

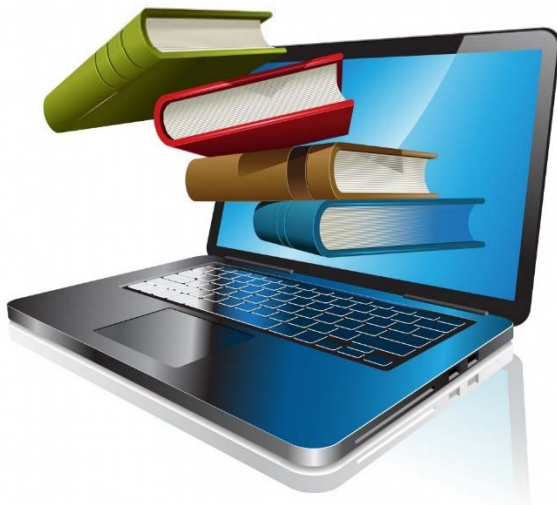
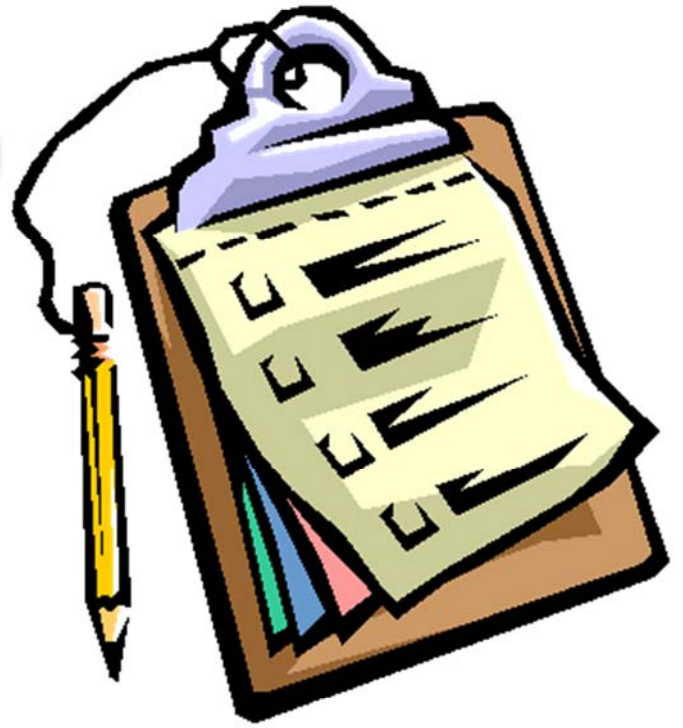
**IM 3.805**

**Local**

**Agency**

**Construction**

**Inspection**



**2018**



# INSTRUCTIONAL MEMORANDUMS

## To Local Public Agencies



To: Counties and Cities	Date: February 13, 2018
From: Office of Local Systems	I.M. No. 3.805
Subject: Construction Inspection	

**Contents:** This Instructional Memorandum (I.M.) includes guidelines and procedures for a Local Public Agency (LPA) as the Contracting Authority, the Person in Responsible Charge, the Project Engineer, and staff, to perform the construction inspection for a Federal-aid project using the Iowa Department of Transportation (DOT) Standard Specifications. This I.M. also includes the following attachments:

- [Attachment A](#) - Preconstruction Inspection Process Flowchart
- [Attachment B](#) - Construction Inspection Process Flowchart
- [Attachment C](#) - Subcontract Review and Authorization Process - Post Award Flowchart
- [Attachment D](#) - Local Public Agency Construction Contract Administration Guidance
- [Attachment E](#) - Iowa DOT Field Inspection Review Report
- [Attachment F](#) - Doc Express User Guide, Flow Chart and File Naming Conventions
- Attachment G - Reserved for Sample Scope of Service for Consultant Construction Inspection

### Introduction

Throughout this I.M., frequent references will be made to various parts of the Iowa DOT [Construction Manual](#), which is available on-line as part of the Iowa DOT Electronic Reference Library ([ERL](#)). However, any references to Chapter 2 of the Iowa DOT Construction Manual should be directed towards [Attachment D](#) to this I.M. Please note the Construction Manual is written primarily for use by Iowa DOT staff and therefore the terminology it uses reflects the Iowa DOT's organizational structure. For example, references in the Construction Manual to the Resident Construction Engineer (RCE) should be interpreted as referring to the Contracting Authority and/or Project Engineer. Likewise, references to the District Construction Engineer (DCE) correspond to the District Local Systems Engineer (DLSE); or in the case of projects administered by the Office of Systems Planning, the appropriate Grant Program Manager or their designee. The Contracting Authority and Project Engineer should also recognize that some of the procedures described in the Construction Manual are internal to the Iowa DOT and therefore may not be applicable for LPA administered projects.

In most cases, this I.M. will simply provide summary guidance and reference the appropriate parts of the Construction Manual for more detailed information. However, in some instances, this I.M. provides additional information or guidance that is applicable only to LPA projects. Therefore, the Iowa DOT strongly recommends that the Contracting Authority, Person in Responsible Charge, Project Engineer, and staff become thoroughly familiar with the contents of both this I.M. and the Construction Manual. If you have any questions concerning the applicability of procedures in the Construction Manual, contact the Administering Office for assistance.

### Definitions

*Administering Office:* The Iowa DOT's representative who is responsible for oversight of the project. The representative may be a District Local Systems Engineer or from the Office of Systems Planning.

*Contract Administrator:* The Contract Administrator is the LPA's assigned representative who will be responsible for all aspects of administration and inspection of the construction contract. The Contract Administrator is the person that will be carrying out the day-to-day duties on the project to ensure that the work is in compliance with the contract documents. The Contract Administrator may be the Project Engineer, the PIRC, or any other LPA employee or designee who would be the first point of contact for businesses, residents, contractor, etc.; when issues arise that would need the attention of the PIRC or the Project Engineer. If the inspector encounters issues that need to be dealt with, they may first go to the Contract Administrator for guidance if it involves dispute resolution affecting businesses or residents, or may result in modifications to the contract. If the Contract Administrator is not a full time employee of the LPA, the LPA must designate a PIRC to make final decisions and/or sign any documents pertaining to contract costs, time adjustments, or contractual agreements.

*Contracting Authority:* See [Article 1101.03](#) of the Standard Specifications.

*Contractor:* When an upper case “C” is used, the term refers to the individual, firm, corporation, or joint venture contracting with the Contracting Authority for performance of prescribed work, as defined in [Article 1101.03](#) of the Standard Specifications. When a lower case “c” is used, the term refers to contractors in general which includes any contractor that may bid on a contract and subcontractors.

*Inspector:* See Article [1101.02](#) of the Standard Specifications. Authority and Duties of the Project Inspector can be found in Article [1105.07](#) of the Standard Specifications.

*Person in Responsible Charge (PIRC):* If the LPA uses a consultant to perform construction inspection services, 23 CFR 635.105 requires the LPA to have a full time employee who is in responsible charge of the project. 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 full time employees, the mayor or city clerk may perform this function, with assistance from the Iowa DOT Administering Office. A consultant may not serve as the Person in Responsible Charge for a Federal-aid project.

Duties and functions of the Person in Responsible Charge include the following:

- Administering inherently governmental project activities, including those dealing with cost, time, adherence to contract requirements, construction quality, and scope of Federal-aid projects.
- Maintaining familiarity with day to day project operations, including project safety issues.
- Making or participating in decisions about changed conditions or scope changes that require Change Orders (Form [831240](#)) or supplemental contracts.
- Visiting and reviewing the project on a frequency that is commensurate with the magnitude and complexity of the project.
- Reviewing financial processes, transactions and documentation to ensure that safeguards are in place to minimize fraud, waste, and abuse.
- Directing project staff, agency or consultant, to carry out project administration and contract oversight, including proper documentation.
- Is aware of the qualifications, assignments, and on-the-job performance of the LPA and consultant staff at all stages of the project.

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

*Project Engineer:* For publicly owned projects, the Engineer is a Professional Engineer licensed in the State of Iowa and authorized representative of the Contracting Authority. For privately contracted projects, with improvements that will become publicly owned, the Engineer is the authorized representative of the public entity ultimately accepting ownership of the improvements. For all other projects, the Engineer is the owner’s authorized representative. Further authority of the Engineer can be found in [Article 1105.01](#) of the Standard Specifications.

Additional Responsibilities for key project personnel can be found in [Attachment D](#) of this I.M., Local Public Agency Construction Contract Administration Guidance

## Resources

The Local Public Agency Construction Contract Administration Guidance (see [Attachment D](#) to this I.M.) gives specific guidelines for administration of projects. [Basic Contract Administration for Local Agencies Manual](#) is the manual used for the Basic Construction Administration for Local Public Agencies class and include examples of project documentation from an actual LPA project. Please consult this I.M. for more in-depth guidance than what is found in the [Basic](#) or [Advanced Contract Administration](#) manuals.

[Advanced Contract Administration Manual](#) is the book used for Advanced Construction Administration and includes FHWA-1273; information about the utility process; [I.M. 3.910](#), Final Review, Audit, and Close-out Procedures for Federal-aid Projects; and [I.M. 3.930](#), Interest Payment.

The [Electronic Reference Library](#) (ERL) is the electronic version of many of the standard contract documents and includes several non-contract documents also. Contract documents which can be found on the ERL include the [Standard Specifications for Highway and Bridge Construction](#), [Supplemental Specifications](#), [Materials I.M.s](#), [Standard Road Plans](#), [Standard Culvert Plans](#), [Standard Bridge Plans](#), [Sign Truss Standards](#), [Construction Manual](#) (non-contract documents), [Flagger's Handbook](#), and [SUDAS Standard Specifications](#) (non-contract documents).

*SUDAS Standard Specifications*: “Refers to specifications developed by the Iowa Statewide Urban Design and Specifications program.” Many specifications are jointly developed and maintained by the [Statewide Urban Design and Specifications](#) (SUDAS) staff and Iowa DOT Specifications Section, with approval by their respective Board of Directors and Specification Committee. The jointly developed and maintained specifications are identified in the Standard Specifications with the following first paragraph of the section:

“This section was developed in conjunction with Section *nnnn* of the [SUDAS Standard Specifications](#), with modifications to suit the needs of the Department.”

Examples of these modifications are testing frequencies, pipe material allowed within the right-of-way, and backfill materials.

Other sections of the [SUDAS Standard Specifications](#) may be used on the project but not by reference. A Special Provision must have been developed using the desired text and included in the proposal and contract.

## Preconstruction Inspection Duties

### 1. Color coding of plans:

If the plans are not printed (or available) in color, it is recommended that the inspector review the plans and use multiple colored highlighters to emphasize key issues that will need to be addressed during construction. For example, on the typical cross-sections, highlight pavement slope in one color, widths in a second color, depth in a third color, etc. On the d-sheets, highlight locations of various types of installations, i.e. field entrances, side roads, culvert locations, right-of-way limits, borrow areas, etc. For suggested colors, see Design Manual, Chapter [21E-4](#).

### 2. Office Task:

- Develop a filing system for each project that will address pre-letting, post-letting, and project close-out requirements.
- Obtain a copy of I.M. 3.910, [Attachment E](#), Pre-audit Checklist, to ensure that the proper documents for each project are included in the project file. The Pre-audit Checklist and the documents required by the checklist can be filed in either an electronic or hardcopy format.
- These checklists may not be all inclusive. If there are more specific files needed for a project, other file folders may be developed.

### 3. Review [Chapter 3](#) of the Construction Manual for general inspection instruction. Review appropriate chapters in the rest of the Construction Manual for the type of work being inspected.

### 4. Field tasks (when appropriate):

- Tying section corners.
- Marking stations/linear reference points.
- Identify survey points needed for construction (i.e. point of curve, PT).
- Mark super-elevated curves for transitions.
- Mark fill areas for leveling courses.
- Identify deviations in roadway crown that may affect overlay thickness.
- Stake structures.
- Mark or identify the locations indicated on plan tabulations to make sure they are correct with field conditions (i.e. subdrain outlets, location of paint markings, mailbox relocations, removal limits, patching locations).
- Preconstruction photos or videos.



- Ensure any environmental or cultural sensitive areas are correctly identified on the plans.
- Communicate with residence, businesses, and services that may be impacted to see if they will have any special access needs during construction.
- Develop preliminary cross-sections for earthwork items.
- If smoothness is not required, verify that a 10 foot straight edge will be available for the inspector to use during construction. (See [Article 2316](#) of the Standard Specifications, the list of Special Provisions in the Proposal, and the Estimate Reference Information or General Notes in the plans to determine if smoothness will or will not be required.)

5. Setting up the field records:

A uniform system of project documentation should be established for construction projects. Uniformity will simplify training of new employees and reduce confusion upon reassignment of inspectors to other projects. It will also facilitate efficient inspection, construction progress documentation, audits, and project reviews. The Person in Responsible Charge will assign staff to inspect the construction project(s). The responsibility for all required documentation must be specifically and clearly communicated to the project inspector(s).

The Contract Administering staff must maintain project records properly, preserve all source documentation, backup electronic files, and make all documentation readily available when needed. A log of all employees providing documentation for a project should be maintained, including their signature and initials. The principles of record keeping discussed in this I.M. apply to all types of documentation, regardless of the media used to save the information. There are three options for contract administration:

### **Doc Express**

Doc Express is a secure, web based, electronic document submittal program complete with a digital filing cabinet document exchange that provides remote access to project documents. Any project let through the Iowa DOT, Office of Contracts, may utilize the program for documentation. The program is required for all county projects let through the Iowa DOT beginning with the January 19, 2018, letting and on all City projects beginning with the July 19, 2018, letting.

Doc Express also has electronic signature capability and configurable workflows for documents. Doc Express can be used to exchange, sign, and store shop drawings, change orders, material certifications and reports, payrolls, final documents, etc. This will reduce or eliminate the possibility of important project documentation from being lost in the mail and help to expedite the project administration process.

Doc Express can be utilized by many different personnel, including, but not limited to: contractors, subcontractor/suppliers, local public agencies, administering offices, inspectors, field auditors, office personnel, contracting authorities, project engineers, Federal Highway Administration, persons in responsible charge, or others that have been approved for access to the electronic project file.

A Doc Express user guide, file naming convention and flowchart are located in Attachment F of this IM. The process to become a user by creating an account or making modifications to an existing account are also contained in Attachment F of this IM. Users can be added or removed from access in Doc Express. The LPA will need to notify the Iowa DOT, Office of Local Systems Administrator (contact) for Doc Express, of all changes in personnel; including email address of the new user and type of access being requested.

Some of the drawers require a submittal to be electronically signed. Who is required to sign a submittal is dependent on the form that is submitted. Additional information on the electronic signature process is contained in Attachment F of this I.M.

### **FieldBook2 and FieldManager**

FieldBook2 is an automated record keeping system that is used by some field staff to document construction progress. It is a PC "front-end" to the FieldManager component that interfaces with the Iowa DOT's mainframe contractor payment system.

There may be multiple users of FieldBook2 making individual entries for the same contract. The information from each of these users is combined by FieldManager which is then used to document progress of the field work and process payments to the Contractor.

FieldManager gathers information on item progress only; supporting documentation must be maintained separately. Since the supporting documents are not available in FieldManager, they will need to be made available to the inspector either electronically or in hard copy format to track the support information for the individual items that require them. For information on what supporting documents are needed, see the guidance in the Item Progress and Supporting Forms section below.

The [FieldBook Users Guide](#) and [FieldManager Users Guide](#) are available for instructions on using the programs. For training opportunities contact the District Local Systems Engineer. There are also documents named [FieldBook Cookbook](#) and [FieldManager Cookbook](#) which give step by step instructions on how to use the respective programs based on the task you are working on.

NOTE: In the near future the Office of Local Systems will be implementing a contract administration automation process. If you are not currently using FieldBook2/FieldManager, it is recommended that you wait to automate until the Office of Local Systems has completed the new process.

### **Setting up a Field Book**

In the past project records have been kept manually on paper forms or on pre-developed Excel spread sheets, what are referred to as “field books”. For each item available for use on a contract, forms have been developed using Excel to record item progress and any item specific information pertinent to the installation/construction of that item. These forms can be utilized in either an electronic or paper format. The forms are available on the Office of Local Systems [Project Inspection and administration](#) webpage; click on “Inspection worksheets (Excel format)”. To see the list of items and forms associated with each item, click on “[Index](#)”. Do not print this list because the column for the support forms may not be wide enough in a printed version to show all the required form for some items. Also, this index of forms is updated every letting that an item code is added or deleted, so a printed copy may be obsolete as early as the next letting.

When setting up a book for a project that was let previously there may be items that no longer appear on the current list. At the bottom of the spreadsheet there are two tabs, one is “Current” and the other is “Obsolete”. If the item you are looking for does not appear on the “Current” list, click on the tab “Obsolete” to find it. The items on these lists are numerical based by the item code and should appear in the same order as they are on the contract. An easy way to get a list of the forms you will need is to make a table of all the items on your contract and then go through the list of items on the index and write down the forms you will need for each item. The table may include columns for “Line No.”, “Item Code/Item Description”, “Unit”, “Form”, and “Support Forms”. Once this list of forms is complete, go back to the [Office of Local Systems Project Inspection and administration](#) webpage. If the list of forms is not visible under “Inspection worksheets (Excel format)”, click on it again to expand the list to show all of the forms. You can download a copy of each form you will need.

From the list that is developed, print each of the forms needed for each item. These should be inserted into a 3-ring binder for use in the field to document the project. In lieu of hardcopy forms, the electronic versions of the forms, in Excel format, can be used to document daily activities and item progress. The advantage of using electronic documentation is that many of the forms have internal quantity calculations built into them and will require the use of a mobile electronic device in the field.

#### **A. Loose Leaf Forms (hard copy and electronic formats)**

- 1) There are six standard forms that are used on every project:
  - a. Project Index forms - “[Project Index](#)” and “[Project Index-A](#)” (page 2 of the form if more than one page is needed for all of the information):
    - i. If setting up books in a hard copy format, this page will not be needed if each of the items in a binder is tabbed for easy access. This eliminates the need to renumber the pages on the index when additional pages are added to the book.

- ii. If using electronic format (Excel) for field documentation, make a new tab (sheet) for each item. On the first tab (sheet) make an index to list the item number and the tab label under which the information for each of the items can be found.
  - b. [Project Information](#) form: This sheet included information on the contract period and key personnel that will be working on the project and their contact information. If utilizing hard copy forms include a printed name, signature, and initials. If utilizing electronic forms include name and initials. If using an electronic signature on any documents, also include that. Anyone who is going to be making entries into books, picking up tickets, or signing documents in the field needs to be included on this sheet.
  - c. [Inspector's Checklist](#) form: The Inspector's Checklist as with many of the support forms serves as a reminder to the inspector of duties they need to perform during the inspection of the project.
  - d. Daily Diary forms - "[Daily 1](#)" and "[Daily 2](#)" – two formats are available depending on how much information will be written each day.
    - i. The Daily Diary is used to document information needed to complete the Weekly Report of Working Days ([Form 830238 \(Word\)](#)).
    - ii. Daily Diaries must be legible and complete. These inspector's diaries are legal documents and may be used to resolve claims and disputes. Entries should be strictly factual and remain objective in nature. Do not include opinions. This documentation may be used in a court of law. Each inspector must also keep a diary that includes a description of activities accomplished during each day.
    - iii. Preparing a Daily Diary:
      - a. Who - Contractor, subcontractors, utilities on site.
      - b. What - Items of work, weather, problems encountered.
      - c. Where - Exact location by station and offset of work performed, problem, or event.
      - d. When - Time of major event.
      - e. How - Specialized equipment or methods used.
      - f. Sketches and computations - Dimensions are critical and neatness counts.
      - g. Visitors - Name, purpose of visit, and discussions held.
      - h. Modifications - Authorization for modifications to the contract documents and any substitutions allowed.
      - i. Author's signature
- 2) Item Progress and Supporting Forms:
  - a. Item progress forms begin with "E0xx" where xx is the form number. For every item there is a form E0xx and a form E0xxA. As with Index and Index-A, if there is too much information for one sheet, the A sheets are used to continue the documentation for that item and do not include the footers shown on the first page. Every item progress form includes a space/field for documenting the Article where the Method of Measurement and Basis of Payment for each item can be found. Enter the appropriate Article number in the space provided on each form.
  - b. Supporting documentation forms are used begin with "E1xx" where xx is the form number. These forms are used to document field test results, samples, measurements, temperatures, observations, etc. for individual items. Not all items require a support form and some items require multiple support forms. If the same support form is required for more than one item, a separate form shall be included for each of those items. For example, if there is more than one concrete item on the contract, [Form E115](#) (which is used to document results of entrained air and slump test) would be included for each concrete item. Note: Form E115 is also available as [Form 830242 \(Excel\)](#), Structures Weekly Grade Report, and [instructions](#) on completing the form.



- c. When using a notebook or pad of paper in the field for documentation of progress or events:
  - i. Hardcopy forms: Do not discard this original document after entering the information on the loose leaf forms in the 3-ring binder. Three-hole punch the paper and insert in your project binder, so if there is a mistake in transferring information the original source documentation is not lost.
  - ii. Electronic forms: Do not discard this original document after entering the information in the electronic loose leaf forms. Scan the original document and attach it to the electronic record so if there is a mistake in transferring information the original source documentation is not lost.

#### **B. Other documents to include in your field book:**

In addition to the loose leaf forms listed above, obtain copies of the documents listed in [Attachment E](#) to this I.M., under Inspectors Records and Office Files. The “Type of documents being used to record project progress” and “Are entries for all items” under the Inspectors Records section refer to the items discussed in Section A above. All other documents listed in [Attachment E](#) to this I.M. are in addition to the item progress sheets.

The bullet items listed in I.M. 3.910, [Attachment E](#), Pre-audit Checklist, Contract Documents, are items that shall be in the project file at the time of final review. Some of these documents will be used in the field by the project inspector and be included in the project file. Please review I.M. 3.910, [Attachment E](#), prior to the start of the project to identify any additional forms that may be needed in the field books for completion on the project site.

#### **Preconstruction Meeting**

After a contract has been awarded, a Preconstruction meeting should be scheduled. Directions on the content of this meeting are available in Section 2.11, Preconstruction Meeting, in [Attachment D](#), to this I.M.

#### **Construction Inspection Duties**

- Inspect Contractor’s Poster Board to verify compliance and record inspection results on Project Engineer’s EEO Project Site Inspection/Wage Rate Report form ([Form 650170](#)).
- If [Section 2602](#) of the Standard Specifications is included in the contract documents (there is an item code that begins with 2602) then an Erosion Control Implementation Plan (ECIP) is required. Using information provided in the ECIP, identify all planned and emergency mobilizations so appropriate payment can be applied.
- If a Pollution Prevention Plan is included in the plans, insure erosion control methods are established before work that could result in erosion begins. Conduct joint inspections and record on Storm Water Site Inspection form ([Form 830214](#)) as specified in the Pollution Prevention Plan.
- If Davis-Bacon Wages apply, (“FEDERAL AID - PREDETERMINED WAGES ARE IN EFFECT” as stated on the first page of the Contract) perform wage rate reviews as specified in Section 2.24, Davis-Bacon Wage Requirements, Project Engineer’s Involvement, A. Field Procedure, in [Attachment D](#) to this I.M. The correct version of the Wage Rate is found on the first page of the Contract and is listed as an addendum (i.e. IA14-1.1). This is the version that should be found on the Contractor’s Poster Board and should be used to check the payrolls for compliance.
- For all DBEs working on the contract, complete a Commercially Useful Function Checklist ([Form 517014](#)).
- As materials are delivered to the site:
  - Obtain the appropriate documentation for those materials, as required by the contract documents.
  - Review documents for accuracy and compliance with the requirements of the contract documents.

- Organize Materials Certifications as submitted.
- Observe work being performed by the Contractor and subcontractors. Document quantities of items installed and record daily activities in the Daily Diary.
- Perform tests and obtain materials samples as directed by [Materials I.M. 204](#).
  - For samples to be submitted to other labs for testing, complete an Identification of Sample for Test form ([Form 820193](#)) and attach to the sample before submitting.
  - Obtain test results from testing labs and include in field records.
- If there are any deviations from the contract requirements that will require either correction or price adjustment, these deviations shall be recorded on Non-Compliance Notice form ([Form 830245](#)) (Notice) (see [Attachment D](#), Section 2.53, Price Adjustment Guide for Reasonably Close Conforming, Reasonably Acceptable, and Deficient Work, to this I.M.).
  - The Contractor's representative should sign the Notice.
  - If the Contractor's representative will not sign the Notice, record name, date, and time of presentation of the Notice.
  - Provide the Contractor a copy of the Notice. If the Contractor is not on site, and the Notice is given to a subcontractor, also send the Contractor a copy of the form.
  - Negotiate between the PIRC, Project Engineer, and Contractor on method of corrective action or price adjustment.
    - If field correction is agreed upon, record date, time, and method of correction in field records.
    - If Price Adjustment is agreed upon, complete a Change Order ([Form 831240](#)) to address the change.
    - If no correction is agreed upon, record basis for that decision in field records.
- Record item progress quantities on the appropriate loose leaf pages or in FieldBook.
- Complete a Weekly Report of Working Days form ([Form 830238](#)) ([Word](#)) and submit to Project Engineer for signature and distribution.

### LPA Construction Reviews

- Local Systems Field Reviews - On an annual basis, the Office of Local Systems will select a sample of projects to review. These reviews will occur during the construction of the project and will utilize the Iowa DOT Field Inspection Review Report (see [Attachment E](#) to this I.M). This checklist includes all of the documents that should be present in the Project Engineer's files, project inspector's records, and observations from the project site. The purpose of these reviews is to verify a project was developed and is being constructed in accordance with the procedures outlined in the Federal-aid Project Development Guide ([Guide](#)) and Instructional Memorandums to Local Public Agencies ([I.M.s](#)), thereby ensuring that Federal requirements are being met.

Any deficiencies that are identified at the time of the field review will be discussed with the LPA to assist them in correcting these issues. This review and correction of any deficiencies will aid in the expedition of the project closeout and final review process. This should also aid in the administration and inspection of future projects to ensure that the documentation will be complete and the project will be in compliance with the contract documents.

- Systems Planning Field Reviews - contact the Office of Systems Planning.
- FHWA Field Reviews - On an annual basis, FHWA will select a sample of projects to review. These reviews will occur during the construction of the project. These are formal reviews and a report is written to document the findings. FHWA does have the authority to rescind funding of a project.
- Work Zone Safety Reviews – On an annual basis, representatives from FHWA and DOT, review a sample of projects currently under construction for compliance of traffic control and flagging procedures.

## **File Format, Location, and Retention**

Project files may be in either paper or electronic format. It is helpful, but not necessary, to have all of the documents in the same location (i.e., the same file folder, binder, drawer, cabinet, or electronic storage equivalent). If documents are stored in different locations, those locations should be clearly identified and easily located. In all cases, documents should be readily accessible for inspection by authorized Iowa DOT, other State agencies, Federal Highway Administration (FHWA), or other Federal personnel. For practical purposes, this means hard copies are either present in the file or can be printed upon request.

If the construction inspection is conducted by a consultant, these documents may be stored at the consultant's office during construction. However, after the project has been closed out, these records should be turned over to the LPA for the duration of the record retention period (see [I.M. 3.910](#), Field Review, Audit, and Close-out Procedures for Federal-aid Projects).



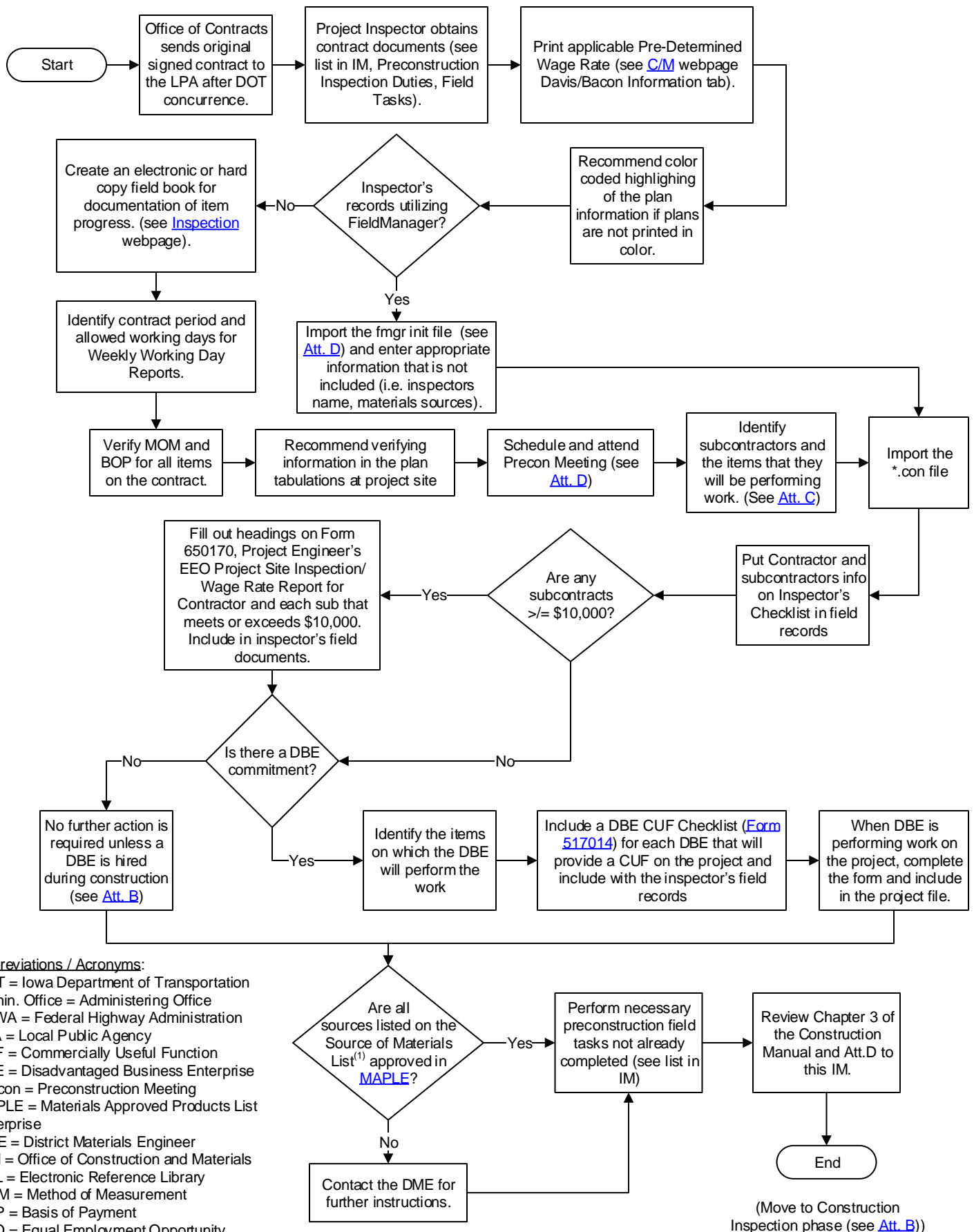
# Attachment A

## Const. Insp.

### Flowchart A



## Preconstruction Inspection Process Flowchart



**Abbreviations / Acronyms:**

DOT = Iowa Department of Transportation  
 Admin. Office = Administering Office  
 FHWA = Federal Highway Administration  
 LPA = Local Public Agency  
 CUF = Commercially Useful Function  
 DBE = Disadvantaged Business Enterprise  
 Precon = Preconstruction Meeting  
 MAPLE = Materials Approved Products List Enterprise  
 DME = District Materials Engineer  
 C/M = Office of Construction and Materials  
 ERL = Electronic Reference Library  
 MOM = Method of Measurement  
 BOP = Basis of Payment  
 EEO = Equal Employment Opportunity

**Notes:**  
 (1) To be supplied by the Contractor at or before the Preconstruction meeting.



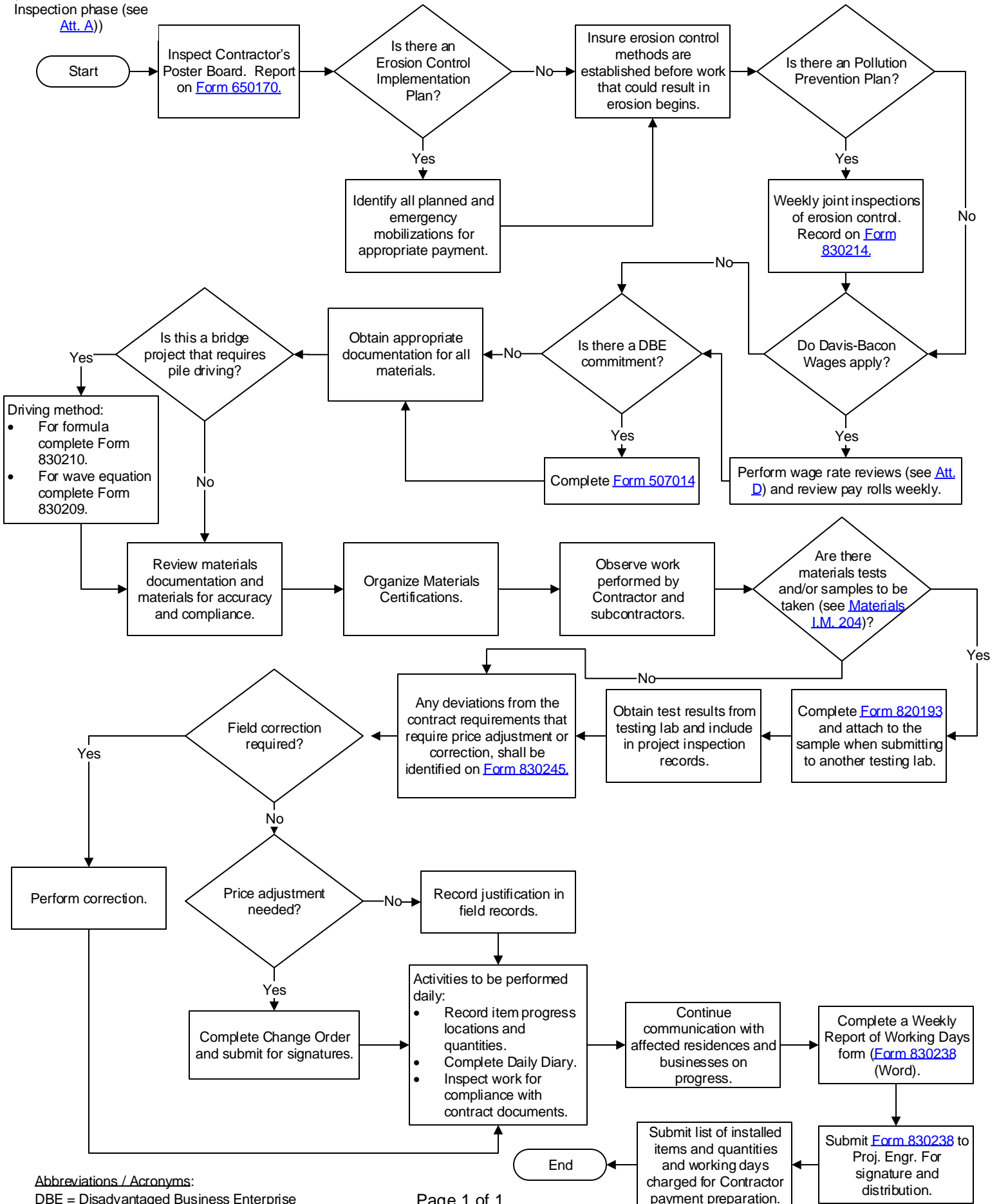
# Attachment B

## Const. Insp.

## Flowchart B

### Construction Inspection Process Flowchart

(End Pre-Construction Inspection phase (see [Att. A](#)))



Abbreviations / Acronyms:

DBE = Disadvantaged Business Enterprise



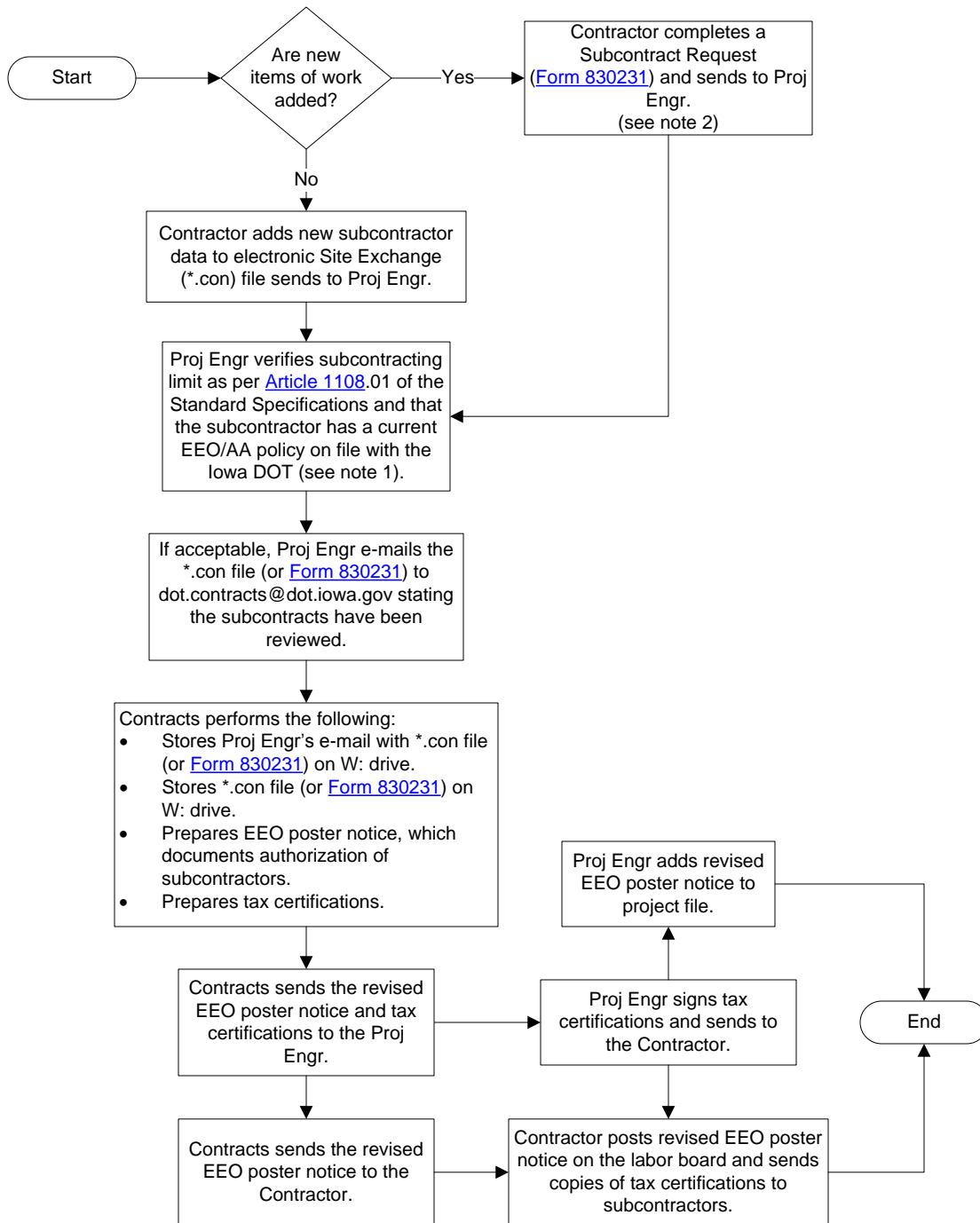


# Attachment C

## Sub. Review

### Flowchart

## Subcontract Review and Authorization Process – Post Award



### Abbreviations:

Admin. Office = Iowa DOT Administrating Office  
 Contracts = Office of Contracts, Iowa DOT  
 EEO / AA = Equal Employment Opportunity / Affirmative Action  
 ERMS = Electronic Records Management System  
 FHWA = Federal Highway Administration  
 LPA = Local Public Agency  
 Proj. Engr. = LPA's Project Engineer

### Notes:

(1) Click on the link provided to view the status of all contractors and subcontractors with a current EEO / AA policy on file with the Iowa DOT.  
 (2) [Form 830231](#) is required when new items of work are added because the Site Exchange software does not allow new items of work to be added to the \*.con file.



# Attachment D

# Project Organization

## Local Public Agency Construction Contract Administration Guidance

This Attachment is only to be used for Local Public Agency administered projects. For projects administered by the Iowa DOT, refer to Chapter 2 of the [Iowa DOT Construction Manual](#). The Appendices for this Attachment can be found in Chapter 2 of the [Iowa DOT Construction Manual](#).

Chapters 1 and 3 through 12 are available in the [Iowa DOT Construction Manual](#).

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## **2.00 PROJECT ORGANIZATION**

### **2.01 AUTHORITY OF ENGINEER**

Responsibility for administering construction contracts on Local Public Agency (LPA) projects rests with the Iowa DOT Administering Office which is the District Local Systems Engineer or the Office of Systems Planning. Responsibility for the actual construction work and the day-to-day administration is delegated to the public employee in responsible charge (PIRC), as defined in [I.M. 3.805](#), of the project on behalf of the LPA, and ultimately rests with the Project Engineer. All reference in this document to “Office of ...” refer to the appropriate Iowa DOT Office.

For county or city projects, Project Engineer decisions are subject to review and concurrence by the appropriate staff person from the Iowa DOT Administering Office. For projects overseen by a District Office, this person is the District Local Systems Engineer or the District Construction Engineer. For projects overseen by the Office of Systems Planning, this person is the appropriate Grant Project Manager.

The Project Engineer has authority to administer construction contracts according to the contract documents and assign and supervise inspection personnel on construction projects. Project Engineer decisions pertaining to contract costs, time adjustments, or contractual agreements are subject to review and perhaps revision by the PIRC.

### **2.02 RESPONSIBILITY OF PROJECT ENGINEER**

The Project Engineer, who is assigned responsibility for supervision of roadway construction projects, is the key person in the field organization.

In assuming the responsibility for proper fulfillment of assigned construction work, the Project Engineer is also responsible for:

- Maintaining good relations with all of the contractors, affected property owners, and the general public.
- Assigning personnel to inspection and survey operations on the project, along with providing the supervision and instructions necessary to assure proper performance of assigned duties.
- Keeping the Administering Office informed as to construction progress, status, etc.
- Maintaining complete project records and proper documentation.
- Assuring proper use of equipment and materials used in the performance of assigned duties.
- Keeping the PIRC informed as to the construction progress, status, and any issues that may need to be addressed.

While Project Engineers have responsibility for general supervision of the work, their main concerns are for compliance with specifications and project completion. It is not their responsibility to direct the everyday activities of the Contractor or their subcontractors.

## **2.03 DELEGATION OF RESPONSIBILITY**

The PIRC cannot and should not expect to retain all the duties and responsibilities. To have an efficient organization each employee, including the Project Engineer, should be delegated authority in line with their responsibilities and duties. The PIRC must check to see that delegated duties are properly performed.

All employees should accept delegated responsibility and make decisions within the authority delegated to them.

## **2.10 PRECONSTRUCTION**

### **2.11 PRECONSTRUCTION MEETING**

After award of the contract and prior to starting work on the project, a meeting between the Contractor, Administering Office, 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 items for discussion at the meeting and scheduling of the meeting will depend on the type and complexity of the project and the Contractor and their subcontractors' familiarity of Iowa DOT's procedures.

Minutes of the Preconstruction Meeting can be documented on the [Preconstruction Meeting Notes](#) form.

#### **Discussion Items**

The Project Engineer must consider the type of work, the experience of all of the contractor, and complexity of the project to determine the appropriate items for discussion.

Many contractors are experienced in working with Iowa DOT specifications and contract requirements. In these instances, the need for discussing administrative requirements and procedures in a meeting format may not be necessary, and may be accomplished by the use of a preconstruction questionnaire.

A comprehensive list of topics that may be discussed at preconstruction meetings or included in a preconstruction questionnaire is included at the end of this section. The guideline includes topics that may not be necessary or applicable to all contracts.

#### **Scheduling the Meeting**

Preconstruction meetings may be scheduled any time after the award of the contract and Iowa DOT Office of Contracts concurrence with the award. Often times, the meetings are scheduled well in advance of the time that the work will start in order to allow for coordination of utilities, work of other governmental agencies, or other construction contracts. While these meetings are productive in discussing the schedule of the project, key project personnel that will be directly involved with the project may not be available. In this situation the opportunity to discuss critical

quality issues between the project personnel that will have primary responsibility for the work may not occur.

Preconstruction meetings for projects that do not require detailed coordination efforts with other entities may be held on the project site just before the work begins. These meetings shall include the contractor and inspection personnel that will be involved in the project.

For complex projects that do require advanced coordination of the intended schedule, an earlier meeting should be held that would involve other appropriate people. These earlier meetings should focus on the planning efforts needed to achieve the intended schedule.

Assign the duties of taking minutes for the Preconstruction meeting to someone from the agency or consultant.

Prepare an [attendance list](#) to circulate at the meeting. This list should include columns for the attendees' name, organization name, telephone, cell, and email information. It is also recommended that columns for signatures and job titles be included.

## List of Discussion Topics

### A. Administrative Details

#### 1. Change Orders

Before commencing any work not covered by the contract, the Contractor and the PIRC must agree on the price or prices to be paid for the work. Extra work performed before this agreement cannot be considered for payment. The basis of payment for the cost of extra work follows four general categories:

- Contract unit prices
- Agreed unit prices
- Lump sum
- Force account

On force account work, the Contractor is required to record labor, equipment, and material furnished on a Statement of Force Account form ([Form 181213](#)). The form, which is prepared in duplicate, shall be signed by the inspector and Contractor's representative at the end of each day's work. Both the Contractor and inspector will retain a copy.

[Article 1109.10](#), Disputed Claims for Extra Compensations, of the Standard Specifications, details requirements for submitting Contractor claims. When the Contractor deems that extra compensation is due for work or materials not covered by their contract, they are required to notify the Engineer in writing before work begins on which the claim is based. The prior notice allows the Engineer an opportunity to evaluate the issue and, if necessary consult with the PIRC, to address possible changes in the design when appropriate. The Engineer is to respond in writing to the Contractor's claim.

If Doc Express is being utilized for contract administration, the Change Orders will be made available in Doc Express.

## 2. Contract Documents

Contractors will see that copies of plans, specifications, and special provisions are available at all times to their representatives on the project.

Plan revisions will be mailed to the Contractor as soon as they are issued, or if Doc Express is being utilized for administration of the contract, the plan revisions will be made available in Doc Express. Contractors will be responsible for keeping their field representatives informed and supplied with such revisions. If the Contractor believes such revisions require extra work, they will immediately advise the Project Engineer.

## 3. Wage Rates (if applicable)

All wages paid must conform to wage and hour provisions prescribed for the contract. Crafts must be listed exactly as shown in the wage decision. Crafts not listed but needed shall be requested by the Contractor through the Project Engineer. Required payrolls must be submitted weekly and within seven days after the last day covered by the payroll.

The Contractor shall collect, sign, and submit all payrolls of approved subcontractors, as a group, to the Project Engineer, or if Doc Express is being utilized for administration of the contract, the payrolls should be submitted in Doc Express.

If the Contractor's pay rolls are more than 2 weeks behind schedule, or more than 3 weeks behind schedule for subcontractors, the Project Engineer should advise the PIRC withhold progress payments on the items where pay rolls are overdue or require corrective action.

## 4. Postings

Contractor shall be responsible for erecting and maintaining required postings as outlined in Sections 2.21 and 2.22 of this Attachment. Discuss methods and location of postings, especially for projects that are at multiple locations or are of short duration.

## 5. Materials

If the Contractor or their subcontractors want payment for stockpiled materials that have been fabricated for the project, they should provide a list of the types, quantity, and estimated cost of material expected to be stockpiled. For payment, refer to Section 2.51 of this Attachment.

The [Source of Materials List](#), furnished to the Contractor by the Project Engineer, is to be returned to the Project Engineer, no later than the Preconstruction Meeting. The Project Engineer is to forward a copy of the list to the Iowa DOT District Materials Engineer.

It is suggested that the Contractor submits a list of the certified technicians that will be working on the project. This will allow the Project Engineer an opportunity to verify that the certifications are current.

6. Subcontracting

On all contracts, the Contractor should have submitted subcontract requests electronically using the SiteXchange program as described in Section 2.25 of this Attachment." The Contractor is responsible for EEO and minimum wage compliance by all subcontractors in addition to fulfilling terms of the contract.

Details of subcontracts that have "Part Items" should be discussed at the preconstruction meeting. "Part Items" are those items that have a portion of the plan quantity subcontracted or a part of the work required for a contract item is subcontracted. It is especially important that "Part Items" subcontracted to DBE subcontractors be discussed so project personnel are informed of the work to be performed by DBE subcontractors (i.e. Commercially Useful Function).

For subcontract requests and requirements, refer to Section 2.25 of this Attachment.

7. Project Supervision

The Contractor shall submit in writing, to the Project Engineer, the name of an authorized representative on the project. Representative will be empowered to coordinate with all operations of subcontractors and negotiate with the engineer any questions concerning extra work, including extra work performed by a subcontractor. If the Contractor wishes, this representative may be a subcontractor's employee that is present when work on the project is being performed.

8. Weekly Report of Working Days

During the contract period, the Project Engineer will prepare and furnish the Contractor with a Weekly Report of Working Days form ([Form 830238 \(Word\)](#)) showing working days charged that week or if Doc Express is being utilized for contract administration, the Weekly Report of Working Days will be made available in Doc Express. Objections to days charged must be submitted in writing to the Project Engineer within 10 calendar days after the receipt of the report. Objections based on delays due to unavailability of materials should be accompanied by copies of orders placed, acceptance of orders, and promised dates of delivery. Engineer will respond to the objection, indicating acceptance of the claim or reasons for rejection.

9. Right of Way

All parties are reminded that roadway right-of-way adjoins private property. Any infringement or trespassing upon such private property could

cause damage that would become a liability to the person or organization involved. Maintaining good relations with the public is also important.

#### 10. Safety

Contractor must comply with provisions of the Federal and State Occupational Safety and Health Acts. Contractors are referred to [Article 1107.07](#) of the Standard Specifications regarding safety responsibilities on construction projects and the Iowa DOT [Construction Manual 12.03](#) regarding railroad company policies and agreements, if applicable.

#### 11. Water Pollution

The Contractor's Erosion Control Implementation Plan (ECIP) and schedule for control of water pollution shall be submitted to the Project Engineer prior to the preconstruction meeting. If Doc Express is being utilized for contract administration, the Weekly Report of Working Days will be made available in Doc Express Storm water discharge requirements, if applicable, should be discussed. For projects regulated by NPDES storm water permit, identify the individual(s) that have completed the Iowa DOT Erosion & Sediment Control Basics (ESC Basics) web-based training and will be onsite daily and the Contractor's Erosion Control Technician (ECT).

Refer to [Section 2602](#) of the Standard Specifications and Iowa DOT [Construction Manual 10.30](#).

#### 12. Payment to Contractor

For Secondary projects, the Contractor may request intermediate progress payments to be made on either a monthly or bi-weekly interval. Measurement of quantities may be based on contract quantities by a written Plan Quantity Agreement ([Article 1109.01](#) of the Standard Specifications).

#### 13. Contractor's Use of Social Media

Providing current information to local businesses and residents affected by a construction project is important. If a contractor intends to use social media (i.e. Facebook, Twitter, etc.), the project engineer is to notify the PIRC so they are able to view the information.

#### 14. Contractor Furnished Borrow Sites and Contractor Waste Sites

Contractor is responsible for identifying and obtaining all environmental permits and land-use permits required by federal, state, and local regulations. These may include, but are not limited to 404 permits, NPDES permits, floodplain permits, and local land use permits. Refer to Articles 1106.06 and 1106.07, Construction Manual 6.10 and 6.34, and FAW's on "Environmental Considerations, Clearances, and Permits".



[https://iowadot.gov/construction\\_materials/faqs/environmental](https://iowadot.gov/construction_materials/faqs/environmental)

## B. Project Details

On many projects it may be necessary for the Project Engineer to prepare and present an enlarged plan or map for showing location, special areas of concern, right of way restrictions, and staging.

Specific project information to be discussed includes:

- Anticipated work starting dates.
- Staging schedule ([Article 1108.02](#), J, or [Article 1110](#) of the Standard Specifications).
- Requirement for all employees to be wearing approved high-visibility apparel as per 23 CFR 655.603 and 6D.03.04 of the MUTCD.
- Signing and barricade responsibilities
  - State/county responsibilities ([Article 1107.09A](#), 1 of the Standard Specifications).
  - Contractor responsibilities ([Article 1107.09](#), A, 2 of the Standard Specifications).
  - Contractor's traffic control contact information, submitted if traffic to be maintained through construction areas ([Article 1107.09](#), A, 2, j of the Standard Specifications).
- Construction staking requirements.
- Discussion of items to be subcontracted and names of subcontractors. Commercially useful function of DBE subcontractors, suppliers, and manufacturers should also be discussed. (Section 2.25 of this Attachment).
- Equipment to be used – Contractor should identify equipment with greater than legal axle loads that is to be moved across bridges or pavements that will remain in place. Equipment with greater than legal axle loads ([Article 2001.01](#) of the Standard Specifications and Iowa DOT [Construction Manual 3.40](#)) must be either loaded on an appropriate trailer or specifically exempted. Requests for exemptions will be analyzed on a case-by-case basis by the Contracting Authority.
- Special notes on plans, proposals, and special provisions.
- Discuss advanced notification of pedestrian path closures as per [Article 2528.01](#), A, 10, of the Standard Specifications.
- Environmentally sensitive areas, including wetlands, mitigation areas, historical sites; and remind the Contractor that they must obtain necessary clearances for Contractor Supplied Borrow if they have not already done so.

- Pre-concreting conferences.
- Value engineering incentive proposals submitted by the Contractor ([Article 1105.14](#) of the Standard Specifications and Section 2.36 of this Attachment).

**C. Documents to be submitted by the Contractor:**

- Superintendent's name and contact information
- Foreman's name and contact information
- 24-hour Contact name and phone number
- Plant Inspector's name and contact information (if applicable)
- Traffic Control Technician's name and contact information (applicable only if the project includes an item for Traffic Control). Must be an employee of the Contractor and not the subcontractor.
- Erosion Control Technician's name and contact information (applicable only if the project includes a Storm Water Permit)
- [Source of Materials List](#) (see [Inspection Tools](#) website)
- Contractor's Co-permit for the Storm Water Permit (furnished by the Office of Contracts and signed by the Contractor)
- Storm Water [Co-permittee Certification Statement \(Form 830215\)](#) for each subcontractors that will be performing work that could result in erosion or prevent erosion
- Borrow documents (applicable only if project includes Contractor Furnished Borrow)
- Example of Contractor's Daily Traffic Control Diary
- Staging schedule
- Traffic Control Plan (if applicable)
- Value Engineering proposal (if applicable)
- Erosion Control Implementation Plan

**Utilities and Law Enforcement Attendance**

At preconstruction meetings, attendance of utilities and law enforcement personnel could be highly beneficial to all concerned. The Project Engineer should expend extra effort to assure attendance and open communication with utilities and appropriate law enforcement.

Relocation of utilities is of extreme interest to all concerned in the progress of the project. Meeting with individual utility companies prior to the preconstruction meeting to discuss their schedule for relocation is recommended. The appropriate time for this meeting to be most effective will depend on project specific circumstances (i.e. start date, letting date, extent of relocations required etc.) For safe control of traffic, the ability to discuss traffic control with all contractors and law enforcement could be highly beneficial. Local law enforcement officers (Local Police, Sheriff, or Campus Police) and Highway Patrol should be invited to attend preconstruction meetings when appropriate. Highway Patrol can be contacted through the Highway Patrol district office having jurisdiction over the area where the project is located. Communication and coordination with enforcement personnel regarding work zone staging changes is helpful in improving project safety.

It is beneficial to discuss utilities relocation, project staging and/or traffic control early in the meeting before more detailed and time consuming construction matters are discussed.

## 2.12 HAUL ROADS

This section is usually not applicable for LPA projects. Negotiate between jurisdictions as needed.

## 2.13 STREAM CROSSINGS

### Permanent Structures - "Iowa Department of Natural Resources Notification of Completion of Construction" (DNR Form 37)

When a permanent structure is to be constructed on a stream with a drainage area of 100 square miles in rural areas and over 2 square miles in urban areas, the DNR requires a permit to build the structure. The requirements are noted in the Iowa Administrative Code, Environmental Protection [567], Chapter 71, [567-71.1](#). The permit is obtained by the Office of Bridges & Structures and issued to the Iowa Department of Transportation. The permit will also cover a temporary stream crossing needed during bridge construction.

The DNR sends a [Notification of Completion of Construction card](#) with approval permit to the Office of Bridges and Structures. A copy of the permit is forwarded to the Project Engineer and DCE and the notification card is retained by the Office of Bridges & Structures. When the structure is completed, the Office of Bridges & Structures will complete the copy of the [Notification of Completion of Construction card](#) and submit the original form to the Iowa DNR.

### Temporary Stream Crossings

A temporary stream crossing should also be reviewed by the Project Engineer to determine if an existing Section 404 permit issued by the U.S. Army Corp of Engineers covers the work or if a new permit must be obtained. Refer to the Iowa DOT [Construction Manual 10.40](#).

The requirements for Temporary Stream Crossings are specified in [Section 2547](#), Temporary Stream Access, in the Standard Specifications. Temporary stream crossings and causeways shall be constructed in accordance with [Standard Road Plan EW-401](#). Note that [EW-401](#) identifies the types of materials that are permitted to be used to construct temporary stream crossings and causeways and those materials **DO NOT** include soils.

## 2.14 WATER REGISTRATION AND PERMIT

Any use of water which is a minor nonrecurring use, including roadway construction and maintenance, shall not require a permit. In lieu of a permit, this use may be registered with the ~~Environmental Protection Agency~~, Department of Natural Resources. Registrations usually extend for up to one year and may be extended by re-registration and re-permitting.

For any construction project requiring water amounting to 25,000 gallons or more per day, a "Registration of Minor, Nonrecurring Use of Water" (DNR Form 20) must be completed. An exception is made if the source is a city water supply; the Mississippi, Missouri, or Big Sioux Rivers; or the Des Moines River bordering Missouri.

The Contractor shall complete and submit the "Registration of Minor, Nonrecurring Use of Water" form (DNR Form 20) and a project location map directly to the Iowa DNR at the address listed on top of the form. A copy of the form is available in the Iowa DOT Construction Manual [Appendix 2-3](#). The Contractor shall provide a copy of the completed form to the Project Engineer.

Daily records or documentation of water usage do not need to be kept.

Duplicate copies of "Registration of Minor, Nonrecurring Use of Water" (DNR Form 20) can be made from blank sample in the Iowa DOT Construction Manual [Appendix 2-3](#).

## **2.15 WORKING AND SHOP DRAWING – SUBMITTAL & REVIEW**

[Article 1105.03](#) identifies the contractual requirements for submittal and review of working and shop drawings including identification of the primary review office. Submit all working and shop drawing to the Project Engineer for review. In addition, an Excel spreadsheet was developed which provides additional guidance information on work type, Specification Article, and distribution of approved documents.

This spreadsheet is available at the following web site address under "Structures".  
[https://iowadot.gov/construction\\_materials/construction-and-materials-home](https://iowadot.gov/construction_materials/construction-and-materials-home)

Working and shop drawing signature requirements are clarified in the following:

1. In the case of the Contractor and their fabricator, working or shop drawing submittals do not need to be signed by a licensed Engineer if they are prepared from the information provided in the plans without any changes, and the contract documents (ie: plans, specifications, etc.) do not state preparation must be by a licensed Engineer.

If the working/shop drawing preparer proposes design changes in their submittal, that would require them to have the submittal prepared and signed by a Professional Engineer licensed in the State of Iowa.

2. In the case of the reviewer who will approve the working/shop drawings; the same as above would apply. Also note that the review and approval does not relieve the submitter/Contractor from responsibility as to the overall correctness of the submittal as stated in [Article 1105.03](#).

## **2.20 CONTRACT ADMINISTRATION**

This section provides instructions and guidance to the Contractor and Contracting Authorities for administration of construction contracts. Instructions include information on required reports or forms, equal employment opportunity, wage reports, training program, minority recruitment, and subcontracting. Copies of all Iowa Department of

Transportation forms referred to in this section are included in the [Iowa DOT Construction Manual Appendix 2](#) and can be copied as needed. Electronic versions (Word, Excel or Adobe Reader format) of the forms are also available on the DOT's website: <https://forms.iowadot.gov/BrowseForms.aspx>

Forms and Reports - Prepared by the Contractor:

<b>Form No.</b>	<b>Title</b>	<b>Reference Section</b>
<a href="#">102116</a>	Certification of DBE Accomplishment	2.25*
<a href="#">518002</a>	Certification of Subcontractor Payment	2.25*
<a href="#">830176</a> (Excel)	Certified Transcript of Labor Payroll	2.24*
<a href="#">830231</a>	Subcontract Request	2.25*
<a href="#">830215</a>	(Storm Water) Co-Permittee Certification Statement	<a href="#">10.33</a>
<a href="#">831240</a>	Change Order for Local Public Agency Projects	2.36*

**Forms & Reports - Initiated by Contractor, Prepared by Project Engineer**

<a href="#">830230</a>	Contract Quantity Agreement	2.27*
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\* Indicates Section in the Attachment

## 2.21 OCCUPATIONAL SAFETY AND HEALTH

Occupational Safety and Health Act (OSHA) regulations (federal and state) apply to all construction projects. (Federal OSHA regulations are codified in 29 CFR, Sections 1910 and 1926.) Contractors are responsible for compliance with OSHA regulations and shall maintain a safe work site. Therefore, the Contractor, the subcontractors, and all of their employees must be familiar with the health and safety requirements of the act.

[Article 1102](#), 19, E, 5 of the Standard Specifications require that a poster entitled Job Safety and Health Form 70-8025 be displayed in a prominent place at all times.

Contractors can obtain OSHA forms and posters from:

Regional Director-OSHA	or	Labor Services Division
Federal Office Building		Department of Employment Services
210 Walnut		1000 E. Grand
Des Moines, Iowa 50309		Des Moines, Iowa 50319
515-284-4794		515-281-3606

23 CFR 634 addresses issues of worker visibility. The purpose of the regulations in this part is to decrease the likelihood of worker fatalities or injuries caused by motor vehicles and construction vehicles and equipment while working within the right-of-way on Federal-aid highways. The rule states that all workers within the right-of-way of a Federal-aid highway who are exposed either to traffic (vehicles using the highway for purposes of travel) or to construction equipment within the work area shall wear high-visibility safety apparel.

## 2.22 EQUAL EMPLOYMENT OPPORTUNITY (EEO)

### Contractor's Responsibility

The Contractor, their subcontractors, and all of their staff who are responsible for the hiring, supervising, promoting, and discharging of employees shall be knowledgeable of their EEO/AA Policy. Their EEO/AA efforts will be reviewed on a company-wide basis rather than on project specific efforts.

#### 1. Contractor's EEO Policy

The Contractor and their subcontractors shall have an EEO/AA policy approved by the Office of Employee Services, Civil Rights Team, prior to awarding a contract or approving subcontracts which are \$10,000 or greater. The policy is to be reviewed and resubmitted each year.

The policy is to include:

- General operating statement
- Designation of EEO officer
- Definition of EEO & AA
- Company's recruitment policy
- Certification that the company does not possess segregated facilities
- Plan for employee training and promotion – If the Contractor or any of their subcontractors do not have a training program, their EEO/AA Policy shall state that there is no plan.

The Contractor and their subcontractors shall conduct periodic meetings with supervisory and personnel staff at least every 6 months to review and discuss the company's policy. All new supervisory and personnel staff shall be instructed of the policy within 30 days of being hired.

#### 2. Postings

All required site postings shall be in a location that is easily accessible to all employees and applicants. The location should have been identified at the Preconstruction Meeting (see Section 2.11 of this Attachment). Postings may be fastened to a bulletin board, tool shed, or job office/trailer and protected from weather by glass or clear plastic. Postings that become soiled, faded, or otherwise illegible should be replaced. More than one posting may be necessary if there are multiple locations where workers report for work. Such cases typically occur on complex or long projects involving several different crews and/or subcontractors. The project bulletin board shall be in place before work starts and remain on the project until the project is completed and accepted by the Project Engineer ([Form 830435](#) is signed).

The following are required to be posted on the project bulletin board:

- Subcontractor Authorization and EEO Poster Notice provided by the Iowa DOT Office of Contracts that lists the name, address and phone number of the Contractor's and all subcontractors' EEO/AA officer. This form is considered the Department's written authorization of subcontractors for the contract.
- "Equal Employment Opportunity is the Law" (Publication OFCCP 1420 or EEOC P/E-1)\*
- "EEO is the Law" Poster Supplement
- "La igualdad de oportunidades de empleo es La Ley" (Form EEOC-P/E-1) \*
- "IOE es la Ley" Cartel Suplementario \*
- Form FHWA 1022 – Notice of False Statement
- Form 70-8025 – Job Safety and Health
- WHD-1420 – Your Rights Under the Family Medical Leave Act of 1993
- WHD-1462 – Employee Polygraph Protection Act
- If predetermined wage requirements apply:
  - Current Pre-Determined Wage Rate Decision
  - Form WH-1321 Employee Rights Under the Davis-Bacon Act
  - Form WH-1321 SPA Derechos Del Empleado Bajo La Ley Davis-Bacon \*

\* The Spanish version of these posters is recommended where Spanish speaking employees or applicants are likely to occur.

Posters may be obtained from the Project Engineer or the Iowa DOT Office of Employee Services, Civil Rights Team. A pdf version can also be found at the Office of Local Systems Mailing webpage, search for "poster".

Electronic files of the posters are available for printing by the Contractor on the Civil Rights website:

<https://iowadot.gov/civilrights/documents-forms-and-reports>

### 3. Reports and Records

The Contractor and their subcontractors are required to maintain records to document compliance with EEO/AA requirements for a period of 3 years following completion of the contract.

These records include:

- Number of minority/non-minority/females employed in each classification
- Progress and efforts made in hiring minorities and females



The Contractor and their subcontractors shall submit the following documents to the Office of Employee Services, Civil Rights Team:

- Their company's EEO/AA Policy annually
- Annual report each July listing the number of minorities/females/non-minorities in each classification in July (FHWA-1391)
- When requested, documentation of periodic meetings, inspections, and investigations

The Contractor and their subcontractors who have not complied with the specification may be required to submit a plan for corrective action to the Iowa DOT Office of Employee Services, Civil Rights Team. Failure to correct the deficiencies may result in suspension of that contractor's bidding privileges for a period up to one year.

### **Project Engineer's Responsibility**

While responsibility for complying with EEO requirements is solely the Contractor and their subcontractors, the Project Engineer's responsibility on contracts include:

#### 1. Subcontract Request

Refer to [I.M. 3.730, Attachment B](#), Iowa DOT Letting Process, for instruction on how to manage subcontractor requests before the contract is executed. For additional requests or modifications to existing requests, the Contractor and their subcontractors are to submit the forms to the Project Engineer. The Project Engineer should confirm that the subcontractor has an approved EEO/AA policy and that the amount subcontracted does not exceed 70% prior to approving the subcontract. The Project Engineer forwards the .CON file (before award) or [Form 830231](#), Subcontract Request, to the Office of Contracts for processing. A list of contractors with approved policies is available from the Office of Employee Services, Civil Rights Team.

#### 2. Review of Project Bulletin Boards

Inspection staff is to review the Contractor's bulletin board for required notices/posters. Progress payments may be suspended if the appropriate notices/posters are not displayed on the project site. Work may be suspended for continued non-compliance. At least one inspection shall be made on contracts of short duration (six months or less). If the contract exceeds 6 months, at the start of every 6 month period, a site inspection shall be performed to ensure that the documents are still correct and legible. If the project's bulletin board is damaged an inspection shall be performed after repairs have been made to ensure that it meets the requirements. Reviews shall be documented on [Form 650170](#), Project Engineer's EEO Project Site Inspection/Wage Rate Report.

3. "EEO Project Site Inspection/Wage Rate Report"

After reviewing the project's bulletin board, the inspector's findings should be documented on the "Project Engineer's EEO Project Site Inspection Wage/Rate Report." This report includes a checklist of the required postings. This report also serves to document the wage-rate interviews of the Contractor and subcontractors' employees. A copy of this report is provided in the Iowa DOT Construction Manual [Appendix 2-10](#). The completed report is to remain in the Project Engineer's file.

4. In-depth EEO Inspections

On selected contracts, staff from the Iowa DOT Office of Employee Services, Civil Rights Team may request that a more detailed EEO interview be conducted. The in-depth interview/report will coincide with EEO reviews of the home office conducted by staff from the Office of Employee Services, Civil Rights Team. The Office of Employee Services, Civil Rights Team staff will provide their request and instructions to the Project Engineer at the time of the in-depth review.

## 2.23 TRAINING PROGRAMS

Requirements for training of all contractors' employees are included in the EEO/AA specification, [Article 1102.19](#). The Contractor and all of their subcontractors are required to have a written training and promotion plan when their three-year average of all work contracted (including subcontracted work) with the Department equals or exceeds \$5,000,000. The required minimum number of trainees is dependent on the amount of work under contract.

### Responsibility of the Contractor and all of their subcontractors

When required, the written training and promotion program shall include details such as:

- Designated crafts of trainees
- Maximum ratio of one trainee to 3 journey-workers (by craft)
- Methods for training and number of hours required for training
- Payment to trainees

Rate of pay for trainees shall be described as a percentage of journey worker's rate of pay. Trainees' rate of pay shall be at least the appropriate rate that is specified in their approved training program. The Project Engineer should verify with the Office of Employee Services, Civil Rights Team that the Contractor and all of their subcontractors have an approved training program if trainees are being paid less than full Davis-Bacon wage rates.

Individuals enrolled in a training program shall be paid benefits as outlined in Section 2.24 of this Attachment.

After a trainee has completed his/her training program, the trainee's base wage rate shall be increased to the Davis-Bacon's wage determination for that job classification.

- Records  
The Contractor and all of their subcontractors shall furnish a copy of the program to each trainee as well as a certification of satisfactory completion. All contractors shall submit an annual training report to the Office of Employee Services, Civil Rights Team documenting their training efforts for the year.

## 2.24 DAVIS-BACON WAGE REQUIREMENTS

### Certified Transcript of Labor Payroll

#### A. Regulations

Regulations covering interstate, primary, secondary, and city projects financed in whole or in part with federal funds may require submission of a "Certified Transcript of Labor Payroll" ([Form 830176 \(Excel\)](#)) in accordance with "Required Contracts Provisions" (Form [FHWA-1273](#)). These requirements will be included on the proposal and shall be carefully studied and observed. A copy of [Form 830176 \(Excel\)](#) is provided in the Iowa DOT Construction Manual [Appendix 2-14.1](#).

Davis-Bacon regulations apply to laborers and mechanics employed by the Contractor and subcontractors on, adjacent or virtually adjacent to the "Site of the Work". "Site of the Work" includes the physical location of the work called for in the contract documents. Also included are tool yards, batch plants, borrow pits, etc. provided they are dedicated exclusively to performance of the contract and "provided they are adjacent or virtually adjacent to the site of the work".

The U.S. Department of Labor has interpreted "adjacent to the Site of Work" to indicate a common boundary, while "virtually adjacent" indicates a small separation between the project and temporary plant site.

Temporary plants, Contractor Furnish Borrows, or the Contractor's staging yard established for a project would be considered "Site of Work only when the site is:

- adjacent (common boundary between the project and plant site) or
- virtually adjacent (for example: plant site is separated from the project site by a narrow strip of land such as a local road between a project and a plant site)

Chapter 15 of the Department of Labor Field Operations Handbook describes Davis-Bacon and the Contract Work Hours and Safety Standard Act requirements. A link to the DOL Handbook is available under the Contract Administration/Davis Bacon Information tab of the Office of Construction and Materials webpage: [https://iowadot.gov/construction\\_materials/construction-and-materials-home](https://iowadot.gov/construction_materials/construction-and-materials-home) <http://www.iowadot.gov/construction/index.htm>.

Project engineers shall refer questions concerning Davis-Bacon coverage to the Administering Office. If necessary, the Administering Office will consult with the Office of Construction and Materials so uniform interpretations can be provided.

Occasionally, Project Engineers receive requests from private sources for copies of certified payroll records. If the project is being administered by a consultant, the request for release of payroll records should be sent to the PIRC. The PIRC is the person responsible for all payroll records. Iowa's "Open Records Law" provides for the release of all information except social security numbers. Requests for payroll records must be submitted in writing. Copies of these written requests are to be provided by registered mail to the Contractor that initially submitted or will submit certified payrolls. If a request for subcontractor information is received, a copy of the request will also be sent to the Contractor. Requests are to be acknowledged in writing, confirming that information is available and indicating that social security numbers will be withheld. Payroll records must not be released until 14 calendar days after a copy of the request is received by the Contractor. This allows the Contractor an opportunity to obtain a court injunction to stop the release if they believed the information could affect the competitive bidding process. These procedures are to be followed for requests received from outside sources, such as labor unions.

Adherence to these procedures during investigations by the Department of Labor or FHWA is not required. Another exception has been made for representatives of the Iowa Labor Management Work Preservation Fund, who may obtain project payrolls for a given week without a written request provided it does not cause undue inconvenience for the Project Engineer's office (Iowa Administrative Code- [761 IAC 4.9\(31\)](#))

When contract provisions state that a certified transcript of weekly payroll is required, the Contractor shall submit to the Project Engineer one copy of [Form 830176 \(Excel\)](#) or an alternate form which contains the information as required in [FHWA-1273](#), Section IV 3.

Project engineers must also ensure "Statement of Compliance" information is furnished with the payrolls and that the Contractor has signed all payrolls received from subcontractors.

If an individual works on more than one project during a period, payroll information shall include adequate data to verify correct computation and payment of fringe benefits.

#### B. Postings

A copy of wage rates must be posted in a location easily accessible and visible to all employees and applicants. It should be attached or adjacent to the posted Wage Rate Information Federal-Aid Highway Project form (Form HW-1321). Supplemental wage rates requested and approved shall also be posted.

#### Davis-Bacon Wage Requirements for Independent Truckers

Federal-aid construction contracts may include Required Contract Provisions ([FHWA-1273](#)) which governs Davis-Bacon wage rates and fringe benefits for the project. Therefore, all employees of the Contractor or subcontractor hauling on a Davis-Bacon covered project must be paid in accordance with [FHWA-1273](#) requirements.

When an independent trucking firm is engaged to haul materials to a Davis-Bacon covered site, Davis-Bacon coverage of drivers depends on the status of the material supply source. Department of Labor has consistently held that the following are construction activities covered by Davis-Bacon provisions [Code of Federal Regulations, 29 CFR, Section 5.2(j)(1) & (2)]:

- Employees working in situations where materials are produced from an operation, plant, or pit that is opened or installed "virtually adjacent" to a construction site for the exclusive purpose, or nearly so, of fulfilling contract material requirements, and
- Truck drivers who haul and deliver materials from those locations to the job site. The only exception is for bona fide owner-operators physically driving their own trucks. This exception does not extend to other drivers of independent trucks.

Truckers hauling from a commercial source are not covered by Davis-Bacon requirements except for the time spent on the project. This ruling applies to all trucking, whether it is by an employee of the Contractor, subcontractor, or an independent material supplier or transporter. A trucker employed by the Contractor/subcontractor may be covered when hauling from portable plant to project and not covered if hauling from commercial quarry to portable plant site. Commercial sources are not considered part of the "site of work." This includes permanent plants and quarries that are not established for a specific project.

Portable plant sites set up in a commercial quarry for a specific project are considered part of the site of work when the quarry is adjacent to or virtually adjacent to the project site.

For deliveries by a supplier or an independent trucking firm from a certain material supply facility to be considered outside Davis-Bacon coverage, the facility must be off the project site and 10% or more of sales must actually be made from the facility to the general public. (See Section 5.2(1)(3) of Regulations, Part 5.) Sales to the public must be more than token sales.

#### C. Preparation of Certified Transcript of Labor Payroll

Use the Certified Transcript of Labor Payrolls form ([Form 830176](#) ([Excel](#))) when preparing and submitting payrolls.

##### 1. Heading

The heading of a payroll transcript must include the information as shown in the Iowa DOT Construction Manual [Appendix 2-14.3](#). Subcontractors shall include name of the Contractor. Wage decision number must be listed, so there will be no confusion on minimum wage rates for the project.

## 2. Contracts with Multiple Projects

Typically, payroll transcripts are required from the Contractor and each subcontractor for a project. However, for multi-project contracts, the Contractor may prepare one "combined" payroll transcript if the projects have identical wage schedules and are worked more or less as one project with individuals used interchangeably between projects.

Therefore, the Contractor and subcontractors may combine multiple projects for payroll transcripts provided:

- the Contractor and each subcontractor prepares individual transcripts, and
- all projects included are listed on that "combined" payroll transcript.

## 3. Required Contract Provisions

The Required Contract Provisions (Form [FHWA-1273](#)) attached to contract documents show that at least the following items shall be observed:

- a. Payrolls shall only contain employee's full name and an individually identifying number for each employee (e.g., the last four digits of the employee's social security number). Contractors and subcontractors are required to maintain complete social security numbers and addresses of employees and to provide such information to government agencies upon request.
- b. Employee's craft and classification must be listed exactly as shown in the wage decision. For example, it is not acceptable to simply use "Operator-Group 2" without listing the classification.
- c. If an employee works in more than one work classification during the pay period, the employee's hours may be assigned to one classification, provided the classifications are in the same Group (i.e. same wage rate and fringe benefit).
- d. Deductions must be itemized.
- e. No individual shall be employed as laborer or mechanic except on a hourly-wage basis.
- f. All Contractors shall comply with all applicable federal, state, and local laws governing safety, health, and sanitation.
- g. Overtime pay shall be computed on 40 hours/week. This means an employee must accumulate the initial 40 hours before overtime becomes reimbursable. This is computed at the base Davis-Bacon rate with fringe benefits being paid at the straight time rate.

Employee work hours accumulated on a contract where the Davis-Bacon Act applies shall be reimbursed at least Davis-Bacon labor rates. The Contractor and their subcontractors shall carefully track and document time for employees who charge time to different contracts in a single pay period, especially if these different contracts are not all subject to Davis-Bacon labor rates. For example:

**CASE 1:**

Employee "A" has charged labor time to two projects in week "X". Project 1 is subject to Davis-Bacon, project 2 is not. Employee "A's" time sheet shows:

Monday - Thursday, 4 days at 8 hours/day, project 1  
Friday, Saturday, 2 days at 8 hours/day, project 2

Employee "A" has accumulated 48 hours (6 days x 8 hours/day) in week "X."

Employee "A" is reimbursed:

- 4 days x 8 hours/day = 32 hours x project 1's Davis-Bacon wage rate
- 1 day x 8 hours/day = 8 hours x project 2's standard wage rate
- 1 day x 8 hours/day = 8 hours OT x project 2's overtime rate

**CASE 2:**

Employee "B" has charged labor time to the same two projects noted in Case 1. This employee's time sheet shows:

Monday - Thursday, 4 days at 10 hours/day, project 2  
Friday, 1 day at 8 hours/day, project 1

Employee "B" has accumulated 48 hours (4 days x 10 hours/day) plus (1 day x 8 hours).

Employee "B" is reimbursed:

- 4 days x 10 hours/day = 40 hours x project 2's standard wage rate
- 1 day x 8 hours = 8 hours OT x project 1's Davis-Bacon overtime rate

#### 4. Work Assignments

The Contractor and their subcontractors shall acquaint their supervisors with crafts and minimum wage provisions so employees are assigned work that conforms to their classification. The correct classification and rate may be reported to Contractor's home office. Exceptions to the general rule include:

To establish a uniform procedure among contractors for future wage determinations, contractor shall show on payroll COMBINATION crafts for employees performing more than one type of work. However, all work classifications for that individual shall be listed. For example:

##### **CASE 1:**

Lower classification employee doing higher classification work.

- Shall segregate hours and pay at higher wage rate if individual is not being reimbursed the highest rate for class of work performed.

##### **CASE 2:**

Higher classification employee doing lower classification work.

- Not necessary to segregate hours performing separate tasks, provided individual continues to be reimbursed at the highest rate.
- Shall segregate hours and classifications if individual will have their wage rate reduced when doing lower classification work.

In Iowa, there is not an "Ironworker" classification for all zones. For these situations, employees erecting structural steel are to be classified as "Carpenters and Piledrivermen".

#### 5. Working Supervisors

Supervisors who spend more than 20% of their time performing other "labor type" duties as a regular part of their activities at the job site must be so designated by having the "other" work classifications listed on the payroll transcript. For example: A supervisor who also does carpentry work, or operates a dozer, or drives a truck would have to have these duties listed on the payroll transcript.

This requirement confirms their hourly rate is for the highest work classification. Any premium pay received for supervision will be over and above the rate of pay for work performed.



6. Apprentices

Apprentices shall be paid fringe benefits in accordance with provisions of the apprenticeship program. If a particular apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for applicable classification. If the Wage and Hour Division administrator determines that a different practice prevails for the applicable apprentice classification, fringe benefits shall be paid in accordance with that determination.

7. Trainees

Trainees shall be paid fringe benefits in accordance with provisions of the trainee program. The Project Engineer should verify with the Office of Contracts that the contractor has an approved training program if trainees are being paid less than full Davis-Bacon wage rates. If a particular trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination for the work actually performed. The Wage and Hour Division administrator will determine if there is an apprenticeship program associated with the corresponding journeyman wage rate on the wage determination which provides for less than full fringe benefits for apprentices.

8. Owner-Operators of Hauling Equipment

Bona fide owner-operators of trucks and similar construction hauling equipment, who are independent contractors, are not subject to enforcement of contract labor standard provisions. Owner-operators of other non-hauling type equipment are considered as employees, not as subcontractors.

A ruling by the Department of Labor states in effect that:

- Because owner-operators usually work under payment arrangements based on a unit price [for example, so much per cubic meter (yard) hauled] rather than on an actual truck or equipment rental rate plus the driver's (or operator's) rate, and
- Because of difficulties that have arisen with respect to securing adequate data on rental arrangements in order to determine whether contract minimum rates are being paid, therefore,
- As a matter of administrative policy, the provisions of Davis-Bacon and related acts will not be applied to bona fide owner-operators of trucks or other similar construction equipment used exclusively for hauling and who are independent contractors.

This policy, which is not intended to encompass other equipment such as bulldozers, scrapers, backhoes, cranes, drilling rigs, and welding machines, will be in effect until such time as it may appear practical to devise workable and easily enforceable procedures for obtaining compliance with respect to such owner-operators.

The Certified Transcript of Labor Payrolls form ([Form 830176 \(Excel\)](#)) including names of such bona fide owner-operators need not show hours worked nor rates allegedly paid, but only operator's name and the notation "owner-operator." In this way, such individuals can be recognized as bona fide independent contractors NOT subject to contract labor standard provisions and can be distinguished from equipment operators who ARE subject to such provisions.

A ruling by the Chief Counsel for the Federal Highway Administration requires that data for each driver employee of truck owner-operators, regardless of number of trucks owned, must be shown the same as for any other laborer or mechanic. This means all such employees shall be listed on the payroll with a complete breakdown of hours worked, hourly rate paid, and all other required information according to "Required Contract Provisions" (Form [FHWA-1273](#)). In those instances where truck "owner operators" drive their own truck, payroll notation shall list them as "owner operator" with no further information relative to hours worked or wages paid. However, during multi-shift operations when an owner may hire a driver for a subsequent shift, a complete breakdown of information relative to daily hours worked, hourly rate paid, etc., must be shown on the payroll for "employee of owner-operator." This same procedure shall be followed if owners have several trucks for which they hire drivers. The only exception to showing a complete breakdown of information is when "owner operators" physically drive their own trucks.

#### 9. Flaggers

The Department of Labor has determined that duties of flaggers are clearly manual and physical in nature and as such they are laborers or mechanics within the meaning of the Davis-Bacon Act. Flaggers who perform a dual function, such as flagger and journeyman, have to be paid journeyman's rate.

#### 10. Exempt Classifications

The Department of Labor has determined that classifications whose duties are generally not manual or physical in nature are not subject to Davis-Bacon regulations. The following classifications are considered exempt from Davis-Bacon regulations, provided that the employees are not engaged in other covered work:

- a. Ticket-taker
- b. Certified plant inspector, Quality Control technician
- c. Survey crew, except for survey crew members who perform primarily physical and/or manual duties.

## 11. Corrections

When errors or omissions are discovered, the Contractor or their subcontractors will be required to make necessary corrections and submit a supplemental payroll transcript. If a subcontractor has to make correction, it must be submitted to the Contractor for review before being submitted to the Contracting Authority. Original transcript will not be returned. A Supplemental transcript shall be so labeled (e.g. No. 15 Supplemental). Examples of supplemental transcripts are shown in the Iowa DOT Construction Manual [Appendix 2-14.4](#). Only employees affected by the errors or omissions are listed on the supplemental.

The Contractor or their subcontractors may be required to submit a notarized statement from the employee or a copy of both sides of a canceled check verifying that an adjustment has been made. Sufficient explanation shall be given to make any adjustment easily understood by all who may review a supplemental transcript.

## 12. Starting, Suspending, Completing Payroll Transcripts

Payroll transcripts shall be submitted as soon as the contractor starts any project activity at the site of work. Transcripts shall be in sequential order starting with the number "1." When work on a contract is suspended, the last payroll transcript should be labeled "suspend" (e.g. No. 14 Suspend). This procedure shall be followed when work is resumed or completed (e.g. No. 15 Resume and No. 24 Final). Contractors, if they choose, may continue payroll transcripts during the suspension period with a notation on the transcript "No work during this period."

If any of the contractors fail to submit required records or make them available, the Iowa DOT, FHWA, or DOL may, after written notice to the Contractor, take such actions as may be necessary to suspend further payments. Payment should be withheld to the Contractor for those items that are contracted to the contractor who is in violation. Payment to subcontractors who submit correct payrolls should not be withheld because of mistakes of another subcontractor. Failure to submit required records upon request or make such records available may be grounds for debarment action.

## 13. Records

Payrolls and basic records shall be maintained by the Contractor and each during the course of the work, and shall be available for inspection at any time by authorized representatives of the contracting agency, DOL, or FHWA.

Regulations and contract provisions require all contractors to preserve employment records at least **3** years after completion and final settlement of the contract.

#### D. Completion of "Statement of Compliance"

A "Statement of Compliance" is printed on the backside of the Certified Transcript of Labor Payroll form ([Form 830176 \(Excel\)](#)) and relates to wage kickbacks, payrolls, apprentices, fringe benefits, and falsification penalties. A copy is provided in the Iowa DOT Construction Manual [Appendix 2-14.2](#). Those Contractors who have permission to use their own payroll form must attach a copy of the "Statement of Compliance" to their payroll transcript. The statement of compliance is certified by the dated signature of the Contractor or an authorized agent. The Contractor must also sign all Statements of Compliance submitted by their subcontractors. A scanned copy of the original "Statement of Compliance" and payroll transcripts may be submitted to the Project Engineer as email attachments, or by uploading to Doc Express, provided the Contractor retains the Statement(s) of Compliance with original signature(s) for the required retention period.

#### E. Fringe Benefits

Davis-Bacon prevailing wages are made up of two interchangeable components - basic hourly wages and fringe benefits. Under Davis-Bacon, fringe benefits must be paid for all hours worked. The fringe benefits may be paid:

- In cash
- To an approved plan, fund or program
- Any combination thereof

Example:

The wage decision requires:

Basic hourly rate	\$10.00
Fringe benefits	<u>\$ 1.00</u>
Total prevailing rate	\$11.00

The contractor can comply by paying:

1. \$11.00 in cash wages
2. \$10.00 plus \$1.00 in pension contributions or other "bona fide" fringe benefits
3. \$ 9.00 plus \$2.00 in pension contributions or any combination of "bona fide" fringe benefits. In this example, overtime must be paid at the basic hourly rate of \$10.00.

##### 1. Payment of Fringe Benefits to an Approved Plan

All contractors who pay fringe benefits to approved plans, funds, or programs in amounts not less than determined in applicable wage decision shall show on the face of their payroll the basic cash hourly rate and overtime paid to employees. Such contractors shall check 4(a) to indicate they are paying to approved plans, funds, or programs not less than the amount predetermined as fringe benefits for each craft. Any exception shall be noted in 4(c). Details of the fringe benefit plan, fund, or program shall be submitted with the first payroll to the Project Engineer.

The submittal shall include description of the benefits, dollar amount contributed per hour, and if applicable, name of the Trustee or third person to whom the benefits were paid.

Included as "bona fide" fringe benefits, are benefits such as supplemental unemployment plan, life insurance, health insurance, pension, vacation, holidays and sick leave. Credit may be taken as Davis-Bacon fringe benefits for training, provided the training program is approved by the U.S. Bureau of Apprenticeship and Training and the amount is reasonable (i.e. less than \$0.50/hr). No credit may be taken for any benefit required by federal, state or local law (i.e. worker's compensation, unemployment compensation or social security contributions). Also, travel expenses, meals, lodging, per diem expenses, uniforms, administrative expenses, union administrative dues, union working dues or industry promotional funds (i.e. Heavy Highway Advancement Fund, Labor-Management Work Preservation Fund) are not considered bona fide fringe benefits within the meaning of Davis-Bacon regulations.

## 2. Cash Payment of Fringe Benefits

All contractors who do not pay any fringe benefits to an approved plan, fund, or program must make cash payment to an employee. Payment shall not be less than the predetermined fringe benefit amount plus minimum wage rate. When fringe benefits are paid in cash, the contractor shall check 4(b). Any exceptions shall be noted in 4(c). If part of the fringe benefits are paid to an approved plan, fund, or program and part in cash to an employee, then both 4(a) and 4(b) shall be checked.

## 3. Fringe Benefits and Overtime

Contracts covered by the Davis-Bacon Act are also subject to the Contract Work Hours and Safety Standards Act (CSHSSA) which requires overtime on covered projects at 1 ½ the hourly rate for hours worked in excess of 40 hours per week.

The overtime rate is computed at the sum of 1 ½ times the basic rate plus the designated hourly rate for fringe benefits. It is not required that the hourly cash rate for fringe benefits be multiplied by a factor of 1 ½.

For example:

Davis-Bacon rate	\$10.00
Fringe benefit	\$ 2.00

The overtime rate of pay may be calculated by 3 methods:

1. \$10.00 (base) + \$2 (fringe) + ½ \$10.00 (D-B rate) = \$17.00
2. \$12.00 (cash) + ½ \$10.00 (D-B rate) = \$17.00
3. \$ 8.00 (base) + \$4 (fringe) + ½ \$10.00 (D-B rate) = \$17.00

## Project Engineer's Involvement

### A. Field Procedure

Early and complete labor compliance inspections are essential to the development of a sound compliance pattern on all contracts. Inspections are required to be performed on the Contractor and each subcontractor performing more than \$10,000 of work (on any contract), unless they participate in the Associated General Contractors of Iowa Prevailing Wage Notification Program (see below). At least one inspection shall be made on the following:

- Contracts of short duration (six months or less).
- If the Contractor or a subcontractor works longer than 6 months on the project, at the start of every 6 month period, an interview shall be performed to ensure that the Davis-Bacon requirements are still being met.

Results of inspections shall be documented on the Project Engineer's EEO Project Site Inspection/Wage Rate Report form ([Form 650170](#)).

For contracts which extend over a longer period of time (greater than 6 months), inspections shall be made on approximate six months intervals. The Project Engineer is responsible to see that required labor compliance inspections are conducted and recorded. Whoever is assigned the compliance inspection needs to be thoroughly familiar with the regulations and instructions.

The Associated General Contractors of Iowa have implemented a Prevailing Wage Notification Program. All contractors participating in this voluntary program have established a proactive method for informing their employees of the Davis-Bacon wages and benefits to be paid on projects.

It is felt that these proactive measures by the contractor will allow the Project Engineer to eliminate the routine wage rate interviews and focus on complaints received from the employees. This procedure will not eliminate the need for posting the wage rate decision on bulletin boards or submittal of certified payrolls.

The list of contractors participating in the Prevailing Wage Notification Program is maintained on the AGCI's website (<http://www.agcia.org/pwnp.asp>). Any contractor wishing to participate should contact the AGC of Iowa.

The Project Engineer's office staff review certified payrolls that have been submitted. In order to ensure that certified payrolls have been received for all subcontractors whose employees worked during a given week, the office staff must be advised of the subcontractors that worked. The Project Engineer's office should develop a process to provide this information between the inspection staff and office staff.

Methods to accomplish this for FieldManager projects include:

- FieldManager query "ContractorsOnSite" lists which contractors worked during a week. FieldBook users must designate in the Inspectors Daily Report (IDR) which contractors were "On Site" during the week.
- Inspectors submit to the office a "Weekly Payroll Check" indicating which subcontractors worked during the week. The FieldManager inquiry, "Subcontractors Assigned to the Contract" can be used for the list of subcontractors.

If payrolls of the Contractor are not received within 2 weeks of the period covered, the residency staff should advise the Contractor, in writing, which payrolls have not been submitted and that progress payments for the work will be withheld. If payrolls of subcontractors are not received within 3 weeks of the period covered, the Project Engineer should advise the Contractor, in writing, which payrolls have not been submitted and that progress payments for the subcontracted items will be withheld. In either case, communication with the Contractor sooner than these time limits may be appropriate to inquire on the status of payrolls.

#### B. Wage-Rate Interview

When conducting a wage-rate interview, the following questions shall serve as a guide:

1. Is the employee receiving at least the specified wage rate for type and class of work performed?
2. Is proper allowance being made for fringe benefits and have the plans been explained to the employees?
3. Is work performed within the proper classification?
4. Are additional classifications necessary?
5. Does the employee have complaints as to hours, wages, and fringe benefits?

The findings of the wage rate interview are to be documented on the EEO Project Site Inspection/Wage Rate Interview form ([Form 650170](#)). Names of employees interviewed and date of the certified payroll transcript used are to be recorded on the interview form. If no discrepancies are identified during the interview, this should be so noted. In some instances, employees may not be knowledgeable of the pre-determined hourly wage rates and fringe benefits to which they are entitled. Furthermore, they may not be aware of the hourly wage rates and fringe benefits they have been paid or what work classification they have been assigned. In these cases, the interviewer should document on [Form 650170](#) that the findings of the interview were inconclusive because the employee was unable to respond to the questions. Interview forms are to be retained in the project files. A copy of the EEO Project Site Inspection/Wage Rate Interview form ([Form 650170](#)) is included in the Iowa DOT Construction Manual [Appendix 2-10](#).

### C. Violations and Complaints

Any violations discovered, or complaints received, shall be investigated promptly. The PIRC should be actively involved in the investigation. If the Contractor is found to be in violation of the contract's labor standard provisions, a complete report shall be written giving details of violation(s) and results of the investigation.

The report shall also include an amount of money, if any, found to be due to employees and the number of employees who shall receive these payments. A copy of this report shall be sent to the Administering Office. The Administering Office will review and forward to the Office of Construction and Materials.

### D. Office Procedure

#### 1. Payroll transcripts shall be checked to verify that:

- Information in the heading is correct and complete.
- Titles designating crafts correspond correctly with those in wage schedule for that particular contract. No others may be used unless a supplemental wage determination has been secured by the Contractor or subcontractor. If a listed craft is not included in the wage decision, the Contractor or subcontractor shall be advised that a supplemental wage rate must be requested.
- Rate per hour is not less than that shown for each craft in the wage schedule for that contract, and overtime rates (if any) are at least one and one half times the regular base rate, plus any fringe benefits. Exception: The Contractor and subcontractors have the option to reduce basic cash wage by the excess payment of fringe benefits. Fringe benefits may be in cash, by contribution into a bona fide fringe benefit program, or a combination of both.
- Fringe benefits (if any) have been provided and appropriate paragraph is checked on the Statement of Compliance.
- The Statement of Compliance is complete and properly signed. Multiple-sheet transcripts will be considered certified if the necessary information and dated signature are shown on the last sheet of that packet.
- Signature of the Contractor appears on all payrolls submitted from subcontractors.
- Transcript is submitted within one week after the end of a payroll period. ESTIMATES SHALL BE WITHHELD until such time as these requirements are fulfilled.
- An occasional spot check to determine accuracy of computations.



- Checking payroll transcripts can be time consuming. The primary objective is to ensure the proper wage rate is being paid. It is important to review the first 3-4 payrolls received from the Contractor and subcontractors carefully to be sure information is complete and accurate. Once it is apparent that wage rates used are appropriate, it is not necessary to check each line of each payroll. However, occasional spot checks should continue to be made, paying particular attention to new crafts listed. If problems are noted, subsequent payrolls must be checked until problems are resolved. Payrolls submitted to Doc Express that have been checked shall be indicated by adding "Checked by xxx" in the comment field in Doc Express.
2. Corrections  
When errors or omissions are discovered on transcripts, the Contractor will be advised. Necessary corrections must be made on a supplemental payroll transcript (See example in the Iowa DOT Construction Manual [Appendix 2-14.5](#)). The original payroll transcript will NOT be returned to the Contractor or their subcontractors; however, copies indicating necessary corrections may be supplied.
  3. Disposition  
  
Retention of payroll transcripts by the Contracting Authority shall comply with the requirements in [I.M. 3.910](#), Final Review, Audit, and Close-out Procedures for Federal-aid Projects.

### **Supplemental Wage Rates**

If, after a letting, the Contractor determines that the wage decision for the contract does not include wage rates for one or more work classifications to be used, the Contractor must request additional classification(s) and wage rate(s). A letter to the Office of Construction and Materials, with a copy to the Project Engineer, shall include wage decision number, contract ID number, work classifications requested, and intended rate of pay including fringe benefits.

Approval from the U.S. Department of Labor usually takes at least 30 days, so an early request by the Contractor is necessary. Final payment to the Contractor shall not be held up pending a response from the Department of Labor, if the Contractor has made timely submittals for additional wage classifications and there are no DOL investigations on file.

## **2.25 SUBCONTRACTS**

### **Subcontract Requests**

Effective with the October 15, 2013, letting, Subcontract Requests must be prepared using the ".CON" file generated by the SiteXchange software and submitted electronically.

## Contractor's Requirements

At the time of contract signature, the Contractor submits their list of subcontractors to the Office of Contracts ([dot.contracts@iowadot.us](mailto:dot.contracts@iowadot.us)) and provides a copy to the Contracting Authority. This is done by electronically submitting the subcontract requests that were prepared using the ".CON" file . Instructions for completing Subcontractor Requests are available at:

[www.iowadot.gov/contracts/Subcontracting.pdf](http://www.iowadot.gov/contracts/Subcontracting.pdf)

- The SiteXchange software is available to all users on the "BIDX Utility Files" webpage <https://iowadot.gov/contracts/general-letting-information/bidexpress-utility-files>. Click on "SiteXchange" to download the software.

After time of contract signature, submit all requests directly to the Project Engineer as an email attachment using the Subcontract Request form ([Form 830231](#)).

For Federal-aid contracts, the Contractor certifies (by signing the contract) that each subcontract is in writing and that subcontract contains all pertinent provisions and requirements of the contract. These requirements include, but are not limited to; the [FHWA-1273](#) is attached to all subcontractor agreements and certification regarding debarment, suspension, ineligibility, and voluntary exclusion.

When completing a subcontract request, describe items to be subcontracted with line numbers, item descriptions, quantities, unit prices, and amounts of specialty items. Unit prices shown must be the contract unit prices except when "labor only" or "place only" items are subcontracted. In such cases, indicate with a notation in the "Description" portion that the "item unit price" is appropriate.

When a subcontracted item is used to satisfy a DBE goal, the amount paid to a DBE must be shown in Column "A." Note the additional guidelines on the administration of DBE subcontracts that follow.

Except for trucking by DBE firms, a Subcontract Request ([Form 830231](#)) is not required for trucking of materials. Trucking by DBE firm shall be documented on a Subcontract Request and Approval form, but the dollar value will not be used to determine the amount subcontracted. The Contractor or subcontractor shall advise the Project Engineer in writing, on a daily basis, the names of independent companies that will be hauling materials on the "site of work". This will allow the Project Engineer to monitor trucking companies for compliance with Davis-Bacon requirements.

"Subcontract Requests" are not required for work performed by a "wholly owned" subsidiary of the Contractor. A list of wholly owned subsidiaries is maintained by the Office of Contracts and can be obtained from the Administering Office. NOTE: the Administering Office can obtain the list at <w:\Highway\Contracts\FieldInformation>.

The Office of Contracts will provide a Subcontractor Authorization and EEO Poster Notice to the Contractor for placement on the project's bulletin board. This poster is considered the Department's written authorization of subcontractors for the contract.

## Project Engineer's Responsibility

For all contracts, the Project Engineer must have the list of subcontractors and their associated items for proper administration. A ".CON" file is required for to view the subcontractor list and the SiteXchange software is needed to view the .CON file.

For LPAs using FieldManager for administration of their projects, refer to Chapter 2.5 of the [FieldManager Users' Guide](#) for instructions on importing the SiteXchange file into FieldManager. The SiteXchange file will import all subcontractor information into FieldManager, including associating items with the appropriate subcontractor.

For most contracts, all subcontractors and their items are known at the time of the letting because the Contractor enters that information in the file that they send to the Office of Contracts.

- To download the SiteXchange software:
  - Go to <https://iowadot.gov/contracts/general-letting-information/bidexpress-utility-files> and click on "SiteXchange".
  - A box will appear "What do you want to do with SiteXchange.zip", click the "Save" button.

NOTE: You only need to do this once to get the software on to your machine!

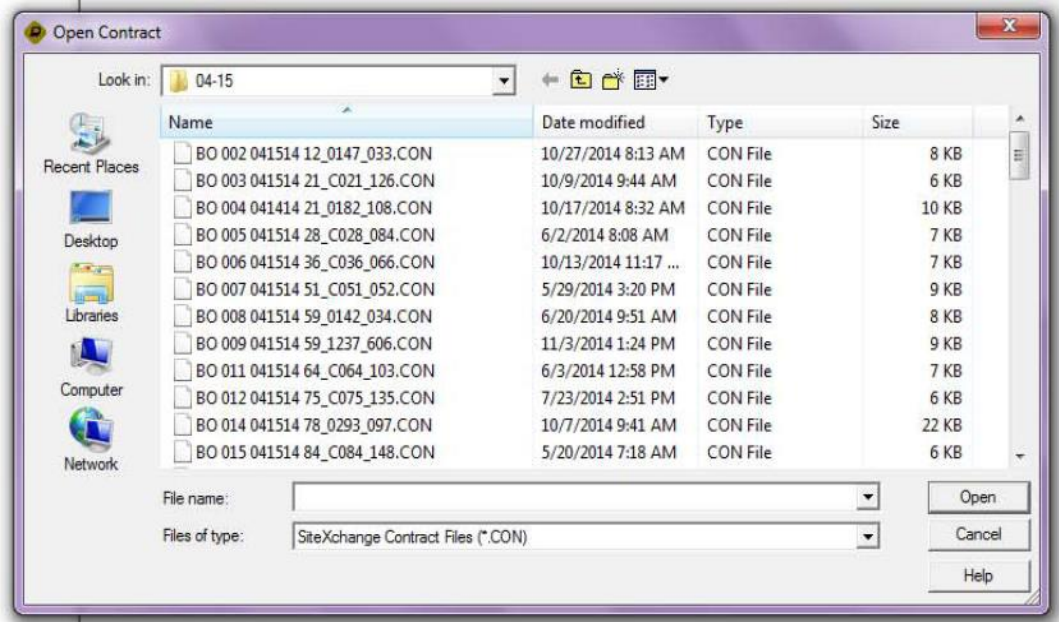
- Save the SubCon.exe file onto your computer.

NOTE: It is VERY IMPORTANT that you keep track of where it is saved, because when the Contractor sends you a ".con" file, you will need to save it in this same folder to be able to open it!!! To make this easier, create a shortcut to the SubCon.exe file on to your desktop so you won't have to find it in explorer every time you want to open a ".con" file.

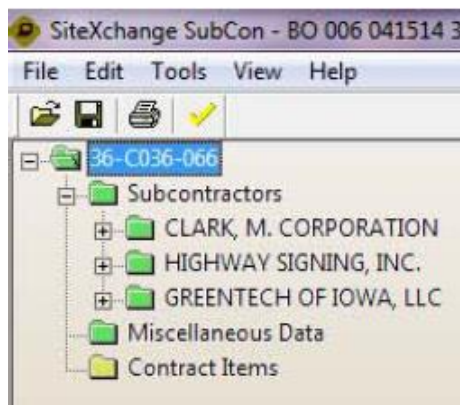
- To view the subcontractor list
  - Open SiteXchange.
  - Click on the File dropdown menu.
  - Click on Open...
  - Or click on the icon that looks like a file folder with an arrow showing that it is opening.



- The Open Contract dialog box will appear.



- Click on the contract that you need.
- Then click on the Open button.
- At this point, click on the printer icon to get the list of Subcontractors.



- If you want a hard copy for your files and inspectors to have in the field select your printer.
- You will also need to print an electronic copy print to Adobe pdf.

#### **To print the subcontract requests –**

In order to print subcontract requests, you must have a C:\SUBCON folder that contains 3 files – SubCon.exe, vendor.bin, and the appropriate .CON file for the contract. The vendor.bin file is periodically updated and it is critical to keep the most current copy of it in the C:\SUBCON folder so the appropriate contractor's name prints.

Once you have the 3 files in the C:\SUBCON folder –

1. Double click on the SubCon.exe
2. Click on Run
3. Click the Open icon
4. Highlight the appropriate .CON file and then click Open
5. Click the Print icon

All subcontract requests will be printed as well as a summary sheet

- Verify that the Subcontracting limit of 70% has not been exceeded.
- Verify that the subcontractor has a current EEO/AA Policy, they should appear on the Status listing as found at this website:  
<https://iowadot.gov/civilrights/documents-forms-and-reports>
- [Approved EEO AA Policy List.pdf](#)
- Send the “.con” file on to the Office of Contracts so they can prepare tax certifications & send a new EEO poster notice for the Contractor’s bulletin board.

While the Contractor submits subcontract requests to the Office of Contracts with the signed contract, additional request or modifications to existing requests are submitted to the Project Engineer.

#### **Existing items by an existing subcontractor**

The Project Engineer is to check revised .CON files for accuracy (% subcontracted, current EEO/AA policy, items assigned to appropriate subcontractor) and forward the revised .CON file to the Office of Contracts as an email attachment. The email is sent to [dot.contracts@iowadot.us](mailto:dot.contracts@iowadot.us) with a subject line of “Revised Con File”.

#### **New items to be completed by an existing or new subcontractor and existing items by a new subcontractor**

If new items are added to a contract and will be completed by a subcontractor, the subcontractor request must be submitted to the Project Engineer using the Subcontract Request form ([Form 830231](#)). The SiteXchange software is not able to generate a Subcontract Request form because the software does not support new items added by Change Order.

The Project Engineer is to check the Subcontract Request form for accuracy (% subcontracted and current EEO/AA policy) and forward the form to the Office of Contracts as an email attachment. The email is sent to [dot.contracts@iowadot.us](mailto:dot.contracts@iowadot.us).

However, if there was originally a .CON file but the revision is due to an item being added by contract modification, the prime must submit a paper subcontract request and then you must add the sub’s new item(s) by hand into FieldManager in addition to forwarding it to the Office of Contracts. (The hard copy of the subcontract request can be scanned and e-mailed.)

If a subcontractor is to be linked to a new item, the Contractor will furnish you with a paper subcontract request. It is the Project Engineer's responsibility to authorize the subcontractor and then forward the request to the Office of Contracts.

- Once the Contractor submits the Subcontract Request to the Project Engineer as an attachment to an email, the Project Engineer is to review the Subcontract Request form to ensure that the percent subcontracted does not exceed the maximum threshold and that the subcontractor has a current EEO/AA policy. If all information is correct the Subcontract Request form should be attached to an email to the Office of Contracts at [dot.contracts@iowadot.us](mailto:dot.contracts@iowadot.us). The email, with attachment, should also be forwarded to the project inspector. The Subcontract Request can then be filed in the project file.

**In summary:**

All Subcontract Requests must be prepared using the ".CON" file and submitted electronically, except for new items added to a contract that will be completed by a subcontractor. In this instance, the SiteXchange software is not able to generate a subcontract request form because the software does not support new items added by contract modification. In this case, the request is submitted on hardcopy form of Subcontract Request (Form 830231) and submitted to the project engineer as an attachment to an email. A blank copy of the Subcontract Request (Form 830231) is provided in the Iowa DOT Construction Manual [Appendix 2-16.1 and 2-16.2](#). An electronic version (PDF format) is available on the Iowa DOT's website <https://forms.iowadot.gov/Default.aspx>

- The Office of Contracts will provide a Subcontractor Authorization and may issue a new EEO Poster Notice to the Contractor for placement on the project's poster board. This poster is considered the Department's written authorization of subcontractors for the contract. If a corrected EEO Poster Notice is sent to the Project Engineer, it should replace the outdated form on the Contractor's Poster Board. If the Office of Contracts does not send a corrected EEO Poster Notice, the Project Engineer should verify with the Office of Contracts that the new Subcontract Requests were received and the new subcontractors may be added to the document on the poster board by hand.

The additional/modified requests are submitted to the Project Engineer in order to minimize delays in providing the information to field staff.

The Project Engineer is responsible to make sure a subcontractor does not perform more work than described on the approved subcontract.

Occasionally, subcontractors may have to rent additional equipment and hire extra employees to complete their work. However, when the entire crew and equipment of the Contractor or another subcontractor is used to complete work, the Contractor is violating the intent of [Article 1108.01](#) of the Standard Specifications and is considered brokering a project. If the Project Engineer's staff observes work performed by anyone other than the approved subcontractors, the Administering Office should be notified. Assistance will be provided to investigate the circumstances.

At the preconstruction meeting, it will be beneficial to discuss methods of keeping subcontractors informed of the work status. Although the Contractor is responsible to make progress payments to a subcontractor, numerous incidents in the past have indicated a lack of timely progress payments from the Contractor to the subcontractor. Subcontractors may request the Project Engineer to furnish them a copy of a progress voucher for informational purposes.

### **Leased Employees**

The Contractor and approved subcontractors may utilize "leased" employees as part of their "own" work crew. In either case, the Contractor shall submit a Subcontract Request before leased employees can be on the job site. "Leased" employees shall be obtained from a firm that does not perform highway construction (i.e. a temporary employment agency).

When "leased" employees are used, they are considered part of the contractors "own organization" when the following requirements are followed:

- The Contractor maintains control over the supervision of the day-to day activities of the leased employees.
- The Contractor remains responsible for the quality of the work of the leased employees.
- The Contractor retains all power to accept or exclude individual employees from work on the project.
- The Contractor remains ultimately responsible for the payment of predetermined minimum wages and submission of payrolls on contracts that required predetermined wages.

The employee leasing company will appear on the list of subcontractors and under the EEO/AA list. The leasing company is responsible for all customary employer responsibilities including EEO/AA in hiring, training and promotions, and the submittal of required employee information to the Department, state, and federal agencies. If prevailing wages are required, the employee leasing company shall submit certified payrolls. The certified payroll will need to designate the Contractor that is using the leased employee(s).

A leased employee may be utilized by the Contractor or different subcontractors during a project; however, the individual employee may be used by only the Contractor or one of the subcontractors at a time.

DBE Contractors and DBE subcontractors may not use leased employees because Federal DBE regulations prohibit the use of leased employees and will not meet the commercial useful function towards DBE commitments.



## **Subcontractor - Disadvantaged Business Enterprise (DBE)**

### **A. Contract Award**

On Federal-aid projects with predetermined goals, all bidders will be required to submit a Statement of DBE Commitment form ([Form 102115](#)) with their bid. A blank copy is provided in the Iowa DOT Construction Manual [Appendix 2-17](#). This form identifies DBE subcontractors, suppliers, transporters, and/or manufacturers that will be used to satisfy the DBE goal. [Form 102115](#) shall also include work or items to be subcontracted, cost of this work, percent applicable to DBE goal, and dollar amount committed to each DBE.

Upon execution of a contract, the Contractor becomes committed to those DBEs listed on [Form 102115](#). This commitment is therefore a contractual arrangement between the State and the Contractor with the same enforcement as any other provision specified in the contract documents. The Contractor is required to enter into a contractual arrangement with each DBE listed by formally executing a written subcontract agreement specifying the work to be performed and appropriate compensation for that work. This two-tier process, which contractually obligates the Contractor to both the State and each participating DBE, formalizes implementation of all DBE contract provisions.

The Office of Contracts will review the low bidder's Statement of DBE Commitments form ([Form 102115](#)) to assure that certified DBEs are being used. After review, the DBE commitment information will be mailed to the Project Engineer by the Office of Employee Services, Civil Rights Section.

### **B. Subcontract Requests**

For added or modified subcontracts, the Project Engineer must compare the Subcontract Request form ([Form 830231](#)) submitted by the Contractor to the Contractor's DBE Commitment. The Contractor must subcontract the work to the certified DBE subcontractor. Any request to subcontract work for less than the total amount shown on the "DBE Commitment" document shall not be approved without written approval from the Office of Employee Services, Civil Rights Team.

#### **1. Temporary Employees and Leased Equipment**

A DBE may lease equipment consistent with standard industry practice provided a rental agreement, specifying terms of lease arrangement, is approved prior to a DBE starting work. If equipment is of a specialized nature, the lease may include an equipment operator. If this practice is generally acceptable within the industry, then the operator can remain on lessor's payroll. For equipment that is not specialized, a DBE is expected to provide the operator and be responsible for all payroll and labor compliance requirements.

Operation of equipment shall be subject to full control of the DBE. Such an arrangement shall be short term and involve a specialized piece of equipment used at the job site.



The Office of Employee Services, Civil Rights Team maintains an electronic roster of certified DBE trucks in their folder on the Local Area Network. Contact the Administering Office for a current copy of the DBE Truck Roster.

## 2. Commercially Useful Function

A commercially useful function exists when:

- DBE is totally responsible for execution of a distinct element of work by actually performing, managing, and supervising the work involved in accordance with the contract documents, normal industry practice, and
- that DBE firm receives due compensation as agreed upon for the work performed.

To meet commercially useful function requirements of the regulations and contract, the following statements are applicable:

- DBE firm must manage the work contracted. Management shall include scheduling work operations, ordering equipment and materials (if materials are part of the contract), preparing and submitting payrolls and all other required reports and forms, as well as hiring and firing employees, including supervisory employees.
- DBE shall perform work with employees normally employed by and under the DBE's control. In all instances, the DBE shall be responsible for payroll and labor compliance requirements concerning all workers under their control. DBEs may use other means to perform work on a limited basis when the contract requires specialized knowledge, skills, or equipment. A DBE may be allowed to augment their work force with personnel which normally work for another firm, if requested and approved by the Office of Contracts prior to commencing work.
- DBE must supervise daily operations of their portion of contracted work. The only two acceptable ways for a DBE to supervise daily operations are:
  - 1) The DBE owner may act as the superintendent and directly supervise work, or
  - 2) A skilled and knowledgeable superintendent employed and paid wages by the DBE must directly supervise that work.

If the latter is used, the DBE owner must be actively involved in making operational and managerial decisions of the firm. Basically, this means that all administrative functions shall be performed by personnel responsible to, or employed by, the DBE at facilities or locations under the DBE's control.

- DBEs shall supervise and perform contracted work with workers on their payroll and under their direct supervision. The DBE and their superintendent must, on a full-time basis, supervise and control contracted work. Supervision of contract work by personnel normally employed by the Contractor or another subcontractor, or by personnel not under the DBE's control constitutes failure to perform a commercially useful function.

The DBE Specifications includes minimum requirements for DBE manufacturers, dealers, transportation services, and subcontractors. DBE subcontractors that indicate work which will be performed by employees of another firm or with leased equipment should be questioned.

The Administering Office shall be notified in all cases where there is a question of commercially useful function before that subcontract is approved.

The Office of Employee Services, Civil Rights Team will assist in determining requirements of a commercially useful function for DBE suppliers and manufacturers.

### 3. Partial Subcontract of an Item

It is not unusual for DBE subcontractors to be involved in only part of a contract item. This is to be documented on [Form 830231](#) by clearly stating in the "Description" column exactly what portion of an item is to be accomplished by the DBE and the corresponding dollar amount. Details of subcontracts that have "Part Items" should be discussed at the preconstruction meeting so project personnel are informed of the work (i.e. Commercially Useful Function) to be performed by DBE subcontractors.

For conditions where a subcontract does not exist but a DBE firm is manufacturing, supplying, or trucking materials to the job site, terms of the agreements shall be described in [Form 830231](#). This information is documented on [Form 830231](#) so the Project Engineer can be assured that the Contractor is meeting commitments previously stated on the Statement of DBE Commitments form ([Form 102115](#)). The work documented on the form shall be assigned to a contract item. A typical example may be for trucking only of hot mix asphalt and should be included as: "HMA Surface-Trucking Only-Lump Sum"; Quantity =1; Unit Price= \$30,000. This dollar value will not be used to determine the percent subcontracted as specified in [Article 1108.01](#) of the Standard Specifications.

Inspection staff must monitor work performed and periodically inform the Project Engineer as to which individuals and equipment actually worked, so payrolls can be spot-checked.

### C. Construction Period

The Project Engineer and inspectors must routinely review work subcontracted to DBE subcontractors to assure work is being performed as intended and that DBEs are performing a commercially useful function. Where work is performed by the Contractor or any other subcontractor or with equipment not owned by the DBE, the inspector shall issue a non-compliance notice citing violation of the Specification for Disadvantaged Business Enterprises, of [Article 1102.17](#) of the Standard Specifications. This non-compliance shall be immediately reported to the Project Engineer, who will in turn notify the Administering Office.

The Contractor will be given credit toward the DBE contract goal only when a DBE performs a commercially useful function. The requirements for a commercially useful function are outlined in the previous section "Subcontract Requests."

A DBE may lease equipment consistent with standard industry practice provided a rental agreement, specifying terms of lease arrangement, is approved prior to a DBE starting work. If equipment is of a specialized nature, the lease may include an equipment operator. No credit will be given for the cost of equipment leased or rented from the Contractor.

DBEs shall negotiate cost, arrange for delivery, and pay for materials and supplies required for their portion of the contract work. Invoices for materials shall be invoiced to the DBE firm and not to the Contractor.

No credit shall be allowed toward the DBE goal for cost of materials placed by a DBE subcontractor when payment is made by deducting this payment from the Contractor's payment to the DBE.

Project engineers must document performance of the DBEs activity on all projects as part of the normal project contract compliance monitoring. On-site project monitoring by field personnel shall include employee assignments, equipment used, and supervision of the work as indicated on the subcontract form. The commercially useful functions shall be documented on the DBE Commercially Useful Function Checklist ([Form 517014](#)) once per DBE per contract. Even though this form is completed only once per DBE per contract, if any irregularities are observed any time that DBE is working on a project, it should be noted on [Form 517014](#). All irregularities must be documented on [Form 517014](#), and immediately reported to the Contractor and the Administering Office.

Project engineers shall not allow the Contractor or other subcontractors to perform work that has been committed to a DBE subcontractor without written approval from the Office of Employee Services, Civil Rights Team.

In situations where a DBE subcontractor cannot (or is not) performing, the Contractor must follow all steps described in the specifications. Upon receipt of a signed statement from the DBE and documentation where the Contractor will satisfy the goal with other items or DBEs, the Project Engineer may recommend to the Office of Employee Services, Civil Rights Team, that the commitment be

waived and the required goal adjusted. The Office of Employee Services, Civil Rights Team, must provide written approval of all substitutions before any changes in subcontracted work are performed.

#### D. Post Construction

The Contractor shall submit a completed Certification of DBE Accomplishment form ([Form 102116](#)) with the final project documents for all Federal-Aid contracts and shall list the dollar amounts paid to all DBE firms on the contract. A blank form is provided in the Iowa DOT Construction Manual [Appendix 2-19](#). This form certifies the dollar amount paid to each DBE. If the contract had a DBE commitment, Project Engineers must compare the dollar amounts on [Form 102116](#) to dollar amounts committed to DBE's as shown in the "DBE Commitment" document that was previously mailed to the Contract Administrator.

If the contract contained a DBE commitment, the Project Engineer will verify that the Contractor has attained the DBE commitment specified to each DBE firm listed on [Form 102116](#). A price adjustment will be assessed for the amount of commitment not paid to each DBE firm used unless the DBE commitment to that DBE firm was reduced as allowed by [Article 1102.17, G, 3](#), of the Standard Specifications. The Project Engineer must include a written explanation describing situations, background, and findings which resulted in reductions of adjustments. This explanation shall be attached to [Form 102116](#). The Administering Office shall review these adjustments prior to signing [Form 830436](#), Final Payment; or [Form 640003](#), Certificate of Completion and Final Acceptance of Agreement Work.

When the Contractor is a certified DBE contractor, [Form 102116](#) is required to be submitted upon completion of a Federal Aid contract. The DBE contractor shall include the amount of work completed by their firm and DBE subcontractors. The Project Engineer will sign the form acknowledging receipt of the form and does not need to complete the amounts in the lower portion of the form.

Unique problems have been noted with the goals and variables of the DBE program. Documentation of any activity related to the program is important and must not be overlooked. Record all telephone or personal contacts noting time, place, and details.

#### **Subcontractor - Traffic Control**

Traffic control items of a contract may require designation of a subcontractor to perform the work depending on how much of the total item is performed. Some guidelines are:

- A. A Subcontract Request ([Form 830231](#)) will NOT be required if:
  1. Traffic control is a lump sum bid item and the traffic control supplier:
    - Furnishes the traffic control devices
    - Delivers materials to the "first use" location
    - Sets devices up at the "first use" location

- Keeps equipment operational by being on call from the Contractor or through periodic visits to the site
  - Picks up devices when a project is completed
2. Traffic control signals are bid as furnish and install and the traffic control supplier:
- Furnishes the traffic control devices
  - Delivers materials to the "first use" location
  - Picks up devices when a project is completed
3. Traffic control bid as incidental to other work will not require a Subcontractor Request.
- B. A Subcontract Request ([Form 830231](#)) shall be required if the traffic control supplier performs the entire item of traffic control (lump sum, furnish and install) and provides regular surveillance, cleaning, routine maintenance and repair of devices, or changes the system between stages.

### **Prompt Payment to Subcontractors**

Contractors are required to pay subcontractors for satisfactorily completed work within 7 calendar days after receiving payment (or should have received payment) from the Contracting Authority.

### **Certification of Subcontractor Payment**

The Contractor shall provide to the Engineer a Certification of Subcontractor Payment form ([Form 518002](#)) with the signed final voucher. The form shall include the names of all approved subcontractors. The Contractor shall provide an explanation for instances that exceed 30 days.

The Certification of Subcontractor Payment form ([Form 518002](#)) form is not required to be submitted if there were no subcontractors on the contract.

An example of the form is included in the Iowa DOT Construction Manual [Appendix 2-23](#).

## **2.26 USE OF PROPERTY OUTSIDE OF PROJECT RIGHT-OF-WAY**

Any proposed use of property outside of the project right-of-way by the Contractor or any subcontractor shall be submitted to the Project Engineer. Prior to any use of private property, the Contractor shall provide the Project Engineer a copy of the written agreement with the property owner that allows them access to the property and releases the Contracting Authority of all liability.

## 2.27 "CONTRACT QUANTITY AGREEMENT" ([FORM 830230](#))

The Contractor may request final payment for an item based on contract quantities. When a contract quantity request is received from the Contractor, the Project Engineer shall verify that items included on the request are not items to be paid as contract quantity by [Article 1109.01](#) of the Standard Specifications.

If there are contractual conflicts, i.e. the Contractor does not agree with the quantities in the contract documents, these issues should be discussed at the Preconstruction Meeting. The method of measurement for those items that may have conflict should be identified at this time. For example, if the Contractor does not agree with the quantity of Class 10 excavation on the contract, the Contractor can request the actual measurements by providing written notice to the Contracting Authority. The preliminary cross-sections and the balance points shown in the contract documents will be used as the basis for payment of quantities. For further explanation of this example, see [Article 2102.04, A, 1, c](#), of the Standard Specifications.

If there are no contractual conflicts, the Project Engineer will prepare a Contract Quantity Agreement form ([Form 830230](#)) and send it to the Contractor for signature. A blank copy of this form is provided in the Iowa DOT Construction Manual [Appendix 2-21](#). After the Contractor returns the signed form, the Project Engineer shall sign and file it in the project file.

## 2.28 RETAINED FUNDS

Retained funds held by the Contracting Authority are for the purpose of satisfying 573 Claims. The term, "573 Claim", originates from Chapter 573 of the Code of Iowa that addresses claims on government contracts. Persons or companies may file a "573 Claim" with the Office of Finance on Farm-to-Market funded projects, all others submit with the Contracting Authority, for unpaid labor and/or materials.

Retained funds are not intended to offset credit payments for deficient work, including price adjustments and liquidated damages.

When payment is needed to be withheld for price adjustments for deficiencies, item progress should be withheld on the appropriate contract item(s) for the amount to be withheld. Pay quantities for the Contractor items should be withheld to cover liquidated damages. These items will be increased to the final quantities after a Change Order for price adjustments and/or liquidated damages is processed.

### Release of Retained Funds

[Chapter 573](#) of the Iowa Code was amended, in part, by [Chapter 26](#) during the 2006 legislative session. The changes included new requirements for the release of retained funds. For contracts let after January 1, 2007, Contractors are required to certify that they have given notice to all subcontractors and suppliers of their intent to request early release of retained funds. The notice must be provided 10 calendar days before the release of retainage is requested. [Chapter 26](#) allows the Contractor to request release of retainage when the contract is substantially complete or after the contract is certified complete by the Engineer.

In consideration of these new Contractor responsibilities, the Contractor should initiate any request for release of retainage. The Project Engineer should not initiate release of retainage.

Procedure and assigned responsibilities:

### **Contractor**

- Submit a signed Request for Early Release of Retained Funds form (see Appendix 2-22\_LS at the end of this Attachment).
- The request shall include a sworn statement, signed by the Contractor, that the notice was given to all subcontractors and material suppliers at least 10 calendar days prior to the date of the request. The "Request for Early Release of Retained Funds" form shall be used (see Appendix 2-22 LS at the end of this Attachment).
- Shall provide a statement to every subcontractor and material supplier that the Contractor intends to request release of retainage. In accordance with Iowa Code [section 26.13](#) the notice shall be similar to the following:

“You are hereby notified that [name of Contractor] will be requesting an early release of funds on a public improvement project or a highway, bridge, or culvert project designated as [name of project] for which you have or may have provided labor or materials. The request will be made pursuant to Iowa Code section 26.13. The request may be filed with the [name of governmental entity or department] after ten calendar days from the date of this notice. The purpose of the request is to have [name of governmental entity or department] release and pay funds for all work that has been performed and charged to [name of governmental entity or department] as of the date of this notice. This notice is provided in accordance with Iowa Code section 26.13.”

### **Project Engineer**

Acting on the Contractor's request the Project Engineer will:

1. Confirm criteria have been satisfied, including receipt of the signed statement from the Contractor.
2. Contact Office of Finance for Farm-to-Market funded projects and the Contracting Authority for all other projects and inquire if any claims are on file. If 573 Claims have been filed, retain twice the amount of claims. If there are no claims, the entire amount of retainage is to be released.
3. Submit completed Early Release of Retained Funds form (see Appendix 2-22\_LS at the end of this Attachment) to the District Local Systems Engineer for Farm-to-Market funded projects and the Contracting Authority for all other projects. If using FieldManager, do not submit the FieldManager Retainage Release voucher (RR) at this time. The District Local Systems Engineer will contact the



Project Engineer for Farm-to-Market funded projects and advise when the appropriate amount of retainage can be released. For all other projects, the Contracting Authority will release the appropriate amount of retainage.

4. Provide the Contractor a written explanation, within 30 days of their request, for denying any amounts requested.

Other items to note for FieldManager projects are:

- No entries for item progress or working day charges or approval of Change Orders are allowed on the Retention Release voucher
- For multiple project contracts, each project must have a checkmark in the "create voucher" box in the voucher tab of the estimate screen.

## **2.29 Intentionally left blank**

## **2.30 CONSTRUCTION PERIOD**

## **2.31 ADMINISTRATION OF THE CONTRACT PERIOD**

Administration of any contract period and determination of the controlling item of work requires a fair and equitable assessment of work performed (either working or calendar days).

- [Article 1108.02](#) of the Standard Specifications identifies how a contract period is identified in the contract documents and provides guidance for contract administration.
- [Article 1108.03](#) of the Standard Specifications supplements by outlining working days on non-Incentive/Disincentive (I/D) projects during holidays.
- [Section 1111](#) of the Standard Specifications provides direction for Incentive/Disincentive projects.
- Iowa DOT Construction Manual [Appendix 2-27](#) shows "Charging of Contract Time."

### **Contract Types**

Three types of working day contracts are:

- Approximate Start Date
- Late Start Date
- Specified Start Date

In addition, a contract may include an intermediate contract period (completion date) for completing certain phases of work. In all cases, the contract documents will identify a maximum project duration, i.e., working days. Project durations, identifying the time allowed to complete work, are used to calculate dollar amounts of liquidated damages and incentive/disincentive assessments.



A. Approximate Start Date

It is expected that the site will be available by the approximate start date. If it appears a project site may not be available by the expected start date, the Project Engineer will notify the Contractor of a delay and, if possible, length of the expected delay. Contractors are expected to remain informed about site conditions and be prepared to start work with minimal delay when a site becomes available.

An approximate start date is designated for the purpose of allowing the Contractor some leeway in planning their work. The Contractor and Project Engineer should work with the Contracting Authority to develop an agreed starting date.

A Contractor may request to start work any time after execution of the contract and before the approximate start date. This request is subject to approval by the Project Engineer and the Contracting Authority. If approved, working days will be charged when work is actually started. If approval is given, the Contractor will be required to sign a waiver giving up any right to claim extra compensation for damages due to delays related to their early commencement. If the Contractor requests to start early, they shall not interfere with operations of other Contractor who have first right to the site.

The guidelines for charging working days are explained in [Article 1108.02](#) and [Article 1108.06](#) of the Standard Specifications and in the following case:

Frequently a paving contract is let following a grading or structure contract which has not been completed when expected.

The policy on charging of working days in this situation is as follows: Whenever paving operations are in progress, working days are charged when paving is identified as the controlling operation, even though there may be a section of the project that cannot be paved because of some uncompleted work. If paving operations must be suspended or cannot start because of this uncompleted work, charging of working days should also be suspended. The Contractor and Project Engineer shall agree on a date for resuming paving operations.

The site is considered not available if the Contractor's operation would be restricted or curtailed to the extent that production is reduced because of insufficient or excluded areas. Examples of contracts often delayed are:

- Bridges delayed due to uncompleted berms
- Paving work delayed because of grading construction

Working days will be charged whenever the Contractor is working on the controlling operation, whether before or after the approximate start date. A "Notice to Proceed" shall be issued if the Project Engineer determines there are sufficient reasons and available areas to expect the Contractor to be working. In this case, the Project Engineer will contact the Contracting Authority to notify the

Contractor that the site is available and work should start. If the Contractor does not start on or before the 15th day following a "Notice to Proceed," charging of working days will begin on the 15th day.

Factors to be considered are amount of work available to the Contractor, safety, other contracts, other work, opening the road to traffic, etc.

Examples of this type of contract are fencing or signing. In either case, the Contractor will only be able to work as areas are completed and become available. The Contractor may be expected to work in somewhat confined or limited areas due to other Contractors or subcontractors on the site.

#### B. Late Start Date

When a contract includes a late start date, the Contractor may start work any time after execution of the contract if permitted by specifications and weather. If an early start is allowed, working days will be charged commencing when work is actually started. Otherwise, working days will be charged starting on the late start date.

Occasionally the Contractor will start a project, complete several items of work, and then request that working days be suspended. The charging of working days may be suspended only when the Contractor begins work on the project before the late start date and with the approval of the Project Engineer. Project suspensions should normally not be allowed after the late start date, unless the project has been opened to traffic. See "Project Suspensions" that follows.

Example of an intermediate project suspension:

Usually the road will not be closed and construction work will be accomplished while maintaining traffic. Before work is suspended, the road must be left in a condition that is at least as safe as it was before the start of any preliminary work. (Refer to "Project Suspensions" in the following section.) After suspending work, a new late start date is calculated using the number of working days remaining at the time of suspension. A statement indicating work is suspended and the new late start date should be reported on the appropriate "Weekly Report of Working Days." The charging of working days would be resumed starting on the new date or when the Contractor resumes work, if earlier.

#### C. Specified Start Date

When a contract includes a specified start date, the Contractor can expect the site to be available by the start date specified. The guidelines for charging working days are covered in the applicable specifications. Starting work after the specified start date, except as noted in the specifications, is unacceptable. Therefore, the Contractor is expected to have a sufficient work force available to start work not later than the specified date.

## Working Day

A working day, as defined in [Article 1101.03](#) of the Standard Specifications, assumes that work is able to be performed on the controlling item (or operation) of work and is defined as any calendar day except:

- Saturdays on non-accelerated projects, when inspection is not required.
- If not worked, Saturdays, Sundays and days defined in [Article 1108.03](#) of the Standard Specifications for state observed holidays on non-accelerated projects. (Refer to the note following this section.).
- If not worked, Sundays and state observed holidays when an accelerated work schedule (mandatory 6-day work week) is specified. If weather and specifications allow, a working day will be charged for all:
  1. Saturdays
  2. Days preceding and following a state recognized holiday, excluding Sunday (Refer to the note following this section.)
- Days where conditions identified in the contract documents require the Contractor to suspend construction operations.
- Days with inclement weather, site conditions, or other conditions beyond the Contractor's control, that prevent prosecution of the controlling item of work at least 25% of the daily hours routinely worked.

[Article 1108.02](#) of the Standard Specifications further refines this by charging 1/2 a working day for construction activities that occur for less than 75%, but more than 50% of the daily hours routinely worked.

**NOTE:** With the exception of Sundays, it is not intended to automatically restrict work on roadways where traffic volumes are not a concern. In fact, the Contractor should be allowed to work on activities that can be accomplished with minimal impact on traffic. The specification is intended to allow a Project Engineer work with the Contracting Authority to approve (or deny) the Contractor's request to work on normally excluded working days. Permission should be evaluated as to how the proposed work impacts traffic - based on site experience, Contractor's operation, and project schedule. Any decision to allow work during normally excluded times, shall be pre-approved by the Contracting Authority on non-primary road projects. For projects that impact a primary road the Administering Office must also pre-approve the request.

Working days (reference the Iowa DOT Construction Manual [Appendix 2-27](#)) will be charged when work actually begins on the contract, unless:

- A. The Contractor does not start work on the Specified Start, or Late Start, date required by the contract documents. In this case, working days will be charged commencing with the date specified.

- B. For Approximate Start date contracts, the Contractor does not start work on the date agreed to at the preconstruction meeting. In this case, the Project Engineer shall notify the Contracting Authority to issue (or has already issued) a "Notice to Proceed." Working days will start on the 15th day following a "Notice to Proceed," or when the Contractor starts, whichever is earlier. (Refer to [Article 1108.02](#) of the Standard Specifications)
- C. The Contractor begins to work, or is working, during winter shutdown (November 15 to April 1) and:
- working days remain for the contract, or
  - the contract does not require winter work.

### **Calendar Day**

Calendar days are typically used on Incentive/Disincentive projects. As the name implies, calendar days are every day shown on the calendar beginning at 12:01 AM and ending at 12:00 midnight.

There is clarification for charging calendar days noted in [Section 1111](#) of the Standard Specifications. It states in part: Additional closure days for weather delays will not be allowed for the first 5 consecutive closure days by adverse weather (i.e. rain, snow, extreme heat, etc.). The specification identifies non-weather related extraordinary circumstances which will be considered provided they cause a delay.

NOTE: Additional closure days have to be authorized by writing a "Substantial" Change Order to the project.

### **Controlling Item of Work**

The controlling item (or operation), as defined in [Article 1101.03](#) of the Standard Specifications, of work 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.

Stated another way: at a given point in time, any task which has the greatest impact on completing the project on time will be considered the controlling item of work.

There can be only one controlling item (or operation) of work at any given time. Also, by definition: A controlling item (or operation) of work should change as the project progresses from start to finish, and the item (or operation) need not be completed to change. For example:

- Placement of reinforcing steel may be a controlling operation at some point in time. However, placing all reinforcing steel in a bridge need not be completed before another operation such as placing structural concrete would become controlling.
- Fabrication and delivery of tower lighting poles may be a controlling item of work. However, delivery of "all" towers and masts need not occur before construction of tower bases or erection of some towers would become the controlling operation.

- Placing granular subbase is a task which obviously needs to occur prior to placing pavement. However, once placing the subbase has advanced far enough to stay ahead of placing pavement, the paving operation would become controlling.

For contracts with a Critical Path Method (CPM) schedule, the controlling item (or operation) is identified by its appearance on the critical path. For contracts without a CPM, determining the controlling item (or operation) is not as straightforward and is decided by the Project Engineer. In these cases, the Project Engineer should include input from the Contractor and then decide:

- What task is, or should be, in progress (at that time) to keep the project on schedule?
- What task (at that time) has the greatest influence on completing the project on time?

Construction operations must be able to occur on the controlling item (or operation) before a working day will be assessed. A working day will not be charged unless work can be performed on the controlling item (or operation) of work, even if the Contractor is working elsewhere on the project. Factors considered outside the Contractor's control are:

- A. Adverse weather which results in site inaccessibility or non-workability of materials. Further, the Contractor will not be required to perform any task under unsafe conditions resulting from (or during) adverse weather. Suspension of working days is allowed only if the Contractor is working, or ready to work, on the controlling item (or operation). In the event of adverse weather, working days will not be charged during inclement weather, even if the Contractor has not mobilized to the project.
- B. Insufficient survey stakes, late acceptance or testing of materials, or lack of inspection support could result in suspension of working days **PROVIDED** the item in question is a controlling item (or operation) of work **AND**:
  - These delays were caused as a result of inaction by the Contracting Authority. For example: Insufficient survey will not be a reason for suspending working days, unless the Contracting Authority has not provided adequate preliminary survey staking or there is a plan error.
  - The Contractor provided adequate advance notice indicating a specific need. Timely notice and communication between all project team members are of the utmost importance.

**Note:** There has to be a clear impact to completing the project on time before a suspension, or additional contract days will be considered.

- C. Strikes which are not directed against the Contractor. For example: A labor strike against a material fabricator, after the project has started. Or a trucking strike which at a minimum affects all transportation in a particular region where materials or supplies must come from.
- D. Legal stoppages are reason to suspend charging of contract time if they are a result of legal action:
1. against the Contracting Authority, or
  2. against the Contractor and are not based on a specification interpretation or violation of the contract documents.
- E. A controlling item (or operation) could be impacted for reasons such as:
- Delays resulting from redesign or a plan revision
  - Redirecting traffic onto a project by State personnel due to some unforeseen emergency
  - Awaiting contract pile lengths based on test pile results
  - Awaiting a preceding Contractor to complete their work
  - Delays associated with environmental problems
- F. Late Delivery of Material. Procurement of material for a project is solely the Contractor's responsibility. Contract time credits for late delivery will be considered only when the Contractor documents:
- Orders were placed with a reliable supplier, in sufficient time for materials to be delivered on schedule.
  - The supplier has made a reasonable attempt to secure equal materials elsewhere within the industry.
  - A supplier has the capability and ability to provide materials at the rate promised.

Contract time credits (working or calendar days) may be allowed for the difference between promised and actual delivery dates. However, the promised delivery date must have been realistic, acceptable, and fully documented to the satisfaction of the Project Engineer. Time credits could be allowed for late delivery if the problem developed after a project was let because of:

- An area or nationwide shortage of the material.
- A natural disaster.
- An industry wide strike.
- Transportation strike which delays the delivery of material.

- Delays due to a change in material commitments when caused by a federal emergency or order.
  - Delays due to specially fabricated material which are damaged during shipment to the project.
- G. Redoing work that had been completed, but was damaged or destroyed for reasons beyond the Contractor's control. For example: A grading Contractor is working on a project and rain occurs. The Contractor starts back to work and has to disk previously placed material to dry it out. Working days should not be charged until the site is back to "reasonably" the same condition it was prior to the rain. (Note: Drying borrow material, after a rain, would also be included in this scenario.)

RATIONALE: If the Contractor is willing to place special "early" effort into a project, or if the Contractor has to redo work which was damaged, the intent is not to penalize that effort by charging contract time until the site is back to its "original" condition.

Obviously, an alternate would be for the Contractor to wait until site conditions are perfect and then resume work. This is not beneficial to either the Contracting Authority or the Contractor.

- H. Change Orders and plan revisions could affect the controlling operation. Impacts on time should be considered for extra work and plan revisions and addressed when the impact is known. A Change Order for additional time may be executed when the impacts are quantified. For projects with a CPM schedule, simply providing an updated schedule, without substantiating information detailing changes, will be inadequate for a comprehensive review.

For large overruns, the magnitude and impact may not be readily known until the final quantities have been determined. In such situations, relative information should be included as notes on the Working Day Report.

- I. Natural Disasters are typically a result of storms which produce catastrophic results and supersede "adverse weather" described in "A" above. In Iowa, the Governor's office issues disaster proclamations.

A suspension order may be issued on any project in a declared disaster area. After consulting with the PIRC, recommendations for a disaster suspension will be initiated by the Project Engineer, sent to the Administering Office for final approval. Disaster suspensions will be considered for projects regardless of the Contractor's working status, i.e., actively working or not yet mobilized to the site. Time credits could also be considered for damages to plant facilities, equipment, supplies, partially completed work, and completed work which must be redone.

- J. The Weekly Working Day Report form ([Form 830238 \(Word\)](#)) becomes a very important document in providing a historic record of events. This form should include notes about delays and other pertinent information that can be used later to assist in resolving disputes that may arise.

## Special Considerations

### A. Adjusting Liquidated Damages

Assignment of working days is based on the estimated value of the contract costs as found in Table for Proposal Guaranty and Liquidated Damages per Day in the [Iowa DOT Letting Guidelines](#). Any adjustments to Working Days, when calculating Liquidated Damages, should be based on costs accrued due to administration costs, user costs from either delays of the project or out of distance travel to get around the project should also be considered (see Section 10. Liquidated Damages in the [Iowa DOT Letting Guidelines](#).)

[Article 1108.09](#) of the Standard Specifications states in part that the Contracting Authority may waive liquidated damages which accrue after the work is in a condition for safe and convenient use by the traveling public. This specification also identifies conditions which must be met before considering any credit.

Further, the Contractor would be expected to retain or obtain sufficient equipment and work force necessary to complete the remaining work within a reasonable time. Normally 30 calendar days would be considered adequate time to allow for completing minor work under this provision. One method for administering working days on projects that are substantially completed with only clean-up / Punch List items remaining to be completed (typically in the following spring) is to advise the Contractor that charging of working days will resume in 31 days. This allows the Contractor to complete the project with no working days for clean-up work if it is completed with the 30-day period.

### B. Winter Work

Determination of contract days (working or calendar days) charged during winter shut down (November 15 through April 1) will be according to [Article 1108.02](#) of the Standard Specifications and [Section 1111](#) of the Standard Specifications, and the contract proposal. Unless otherwise noted, contract proposals allow the Contractor to work between November 15 and April 1 with no time charged. Regardless of whether working days are charged, Working Day Reports are to be issued whenever the Contractor is working on the project. The reports provide documentation of project status and the Contractor's progress.

However, a contract period ends when the Contractor has used all the specified number of working days. Therefore, if the Contractor has used all allowed working days and has not completed the project and continues (or is required) to work after November 15, working days will be charged.

This could also apply on intermediate completion dates. If all specified working days for an intermediate completion are used, but contract time remains for completing the project and the Contractor continues (or is required) to work after November 15, working days would be charged until the intermediate completion work is completed. But, charging working days would then be suspended until April 1.



The two situations above assume work can be completed sometime after November 15. This is not always the case. Anytime working days are charged during winter free time because of uncompleted work, the Contractor will be required to work as long as conditions are favorable for work to occur. At the point where weather and/or site conditions prohibit acceptable constructive work to continue, a suspension will be issued and work will be commenced at the first opportunity in the spring.

The Project Engineer may require the Contractor to place temporary materials prior to a suspension in the following situations:

- A project (or a required intermediate portion) is not completed within the allowed contract time, **and**
- work continues (or is required) after November 15, **and**
- due to weather conditions, work cannot be completed.

Typically, temporary materials will be required for safety or soil erosion considerations. All temporary materials shall be furnished, placed, and removed if required prior to start-up at the Contractor's expense.

If the Contractor wishes to start work prior to April 1 and the contract proposal allows winter free time, the Contractor is required to request authorization to commence work prior to April 1. If the Project Engineer and the Contracting Authority approve the request, a condition shall be imposed that the Contractor is not entitled to compensation for delays when not able to work during the winter free period. This condition shall also be used when the Contractor submits a CPM schedule indicating work performed prior to the contract period.

### C. Project Suspensions

The Project Engineer and Contracting Authority may approve a suspension when either of the following two conditions is met:

- when the Contractor starts work prior to the late start date
- when a project is substantially completed

However, if it is apparent the intended suspension would make it impossible for the Contractor to complete the project within the intended construction season, the Contractor will be advised that suspension of work will not be approved and charging of working days will continue.

If it is necessary, or required, that the road be closed to traffic because of the preliminary work, a suspension will not be allowed and working days will be charged unless there are extenuating circumstances or situations.

Charging of working days may be suspended on substantially completed contracts when only clean-up of the project site and/or completion of minor work remains. The specification that provides for this allowance depends on whether liquidated damages have accrued at the time of suspension.

For contracts that have not accrued liquidated damages at the time of suspension, [Article 1108.06](#) of the Standard Specifications, "Temporary Suspension of Work" is to be followed and working days will not be charged when the following conditions are met:

- Only minor work or clean-up of the project remains to be completed
- The Contractor submits to the Project Engineer a written request for suspension of work and a schedule for satisfactory completion of the work.

If approved, the Project Engineer will notify the Contractor that working days will be suspended. This may be accomplished by the Project Engineer noting on the weekly working day report that charging of working days is suspended. If the request is not approved, the Project Engineer must advise the Contractor in writing of the reasons the suspension is denied. The Contractor should be provided with a response to their request in a timely manner.

It is important to note that this procedure is not intended to allow a suspension for an indefinite period of time without a planned and approved schedule for completing the work. The Project Engineer may resume working day charges when the approved suspension expires if the Contractor fails to complete the work in accordance with the schedule submitted with the request for suspension.

On contracts that have exceeded the allowable number of working days allowed and are accruing liquidated damages, [Article 1108.09](#) of the Standard Specifications, "Failure to Complete Work Within Contract Period" is to be followed. In this case, working days should not be charged when the following conditions are met:

- Traffic must have complete use of the roadway, shoulder to shoulder, with no delays or one-way traffic and no obstructions except for signs warning of construction work ahead.
- The remaining work to be completed is confined to the areas outside the shoulder edge.
- Only minor work is left for completion such as clean-up or erosion control work if it is a small item, not part of an erosion control contract, and the erosion control work is completed during the first available seeding period.
- The remaining work is completed without excessive delay on the part of the Contractor.

#### D. Projects Behind Schedule

Typically, bar charts and Critical Path Method (CPM) schedules have been used as a means of relating construction progress versus time for various types of construction projects. The Project Engineer will monitor progress by using these schedules and the "Weekly Report of Working Days."

No mandatory acceleration action is required of the Contractor unless a project is 10%, or more, behind schedule. If the Contractor is more than 10% behind and an accelerated work schedule is expected, there should be no additional costs passed on to the Contracting Authority for any costs borne by the Contractor due to the requirement of the accelerated work schedule.

- **10% Behind Schedule**  
When the Contractor is 10% or more behind schedule, the Contracting Authority may issue a notice as provided in [Article 1108.02, I](#), of the Standard Specifications. Further action may be taken if it appears that the rate of progress is such that the contract will not be completed within the allowed time. Ten percent behind schedule may warrant written or verbal assurances from the Contractor of what they will do to bring the project back on schedule.
- **20% Behind Schedule**  
When the Contractor is 20% (or more) behind schedule, and it appears that completing the project on time is in jeopardy, the Contracting Authority (working with the Administering Office) will recommend actions described in [Articles 1102.03](#), [1103.01, B](#), and may take further action described in [Article 1108.02, I](#), of the Standard Specifications.

A letter to the Contractor will be required when a project is more than 20% behind schedule. This letter should reiterate the Contractor's obligation to expedite the work and remind them of the various provisions of [Article 1103.01, B](#), and [Article 1108.02, I](#), of the Standard Specifications. The letter should also request a reply from the Contractor on steps which will be implemented to improve work progress within the next two weeks, and to ultimately have the project completed on time.

The Administering Office should be notified at the end of 14 additional working days if:

- the Contractor has failed to respond to the letter, and/or
- the Contractor has not taken positive, measurable actions to improve project deficiencies.

## **2.32 NOTICE TO PROCEED ([FORM 830237 \(Word\)](#))**

Historically, the Notice to Proceed form ([Form 830237 \(Word\)](#)) has not been widely used due in part to good coordination efforts and communication skills of project team members and use of the executed contract as the notice that the Contractor may begin work. The form was developed for Approximate Start Date contracts (where there is no specified starting date on the contract) to formalize Contractor notification relative to a project start date. However, the form may be used for any special situation needing a formal time notice not imposed by the contract documents.

Generally, formal notification is not necessary if:

- A start date has been agreed to at the preconstruction meeting and the agreed date is recorded in the minutes. These minutes must then be distributed to all participants including the Contractor. A week will be allowed for comments and revisions. After that time, the minutes become documentation of agreements made during the meeting.
- The Contractor has started work prior to the critical time for issuing a Notice to Proceed.
- An early work waiver has been approved.

If the Contractor does not appear to be ready to start on the agreed date, or project conditions warrant an earlier start date, the Project Engineer may issue a Notice to Proceed form ([Form 830237](#) ([Word](#))). Examples of these cases are:

- The Contractor agreed at the preconstruction meeting to mobilize and begin work on the second week in July. It is now the first week in July, the Project Engineer has been unable to reaffirm the start date or the Project Engineer has reason to believe the Contractor has no intention of starting as agreed.
- Assume: There is a contract for an HMA overlay. This contract includes some patching with an approximate start date of June 1. At the preconstruction meeting, the Contractor noted they would mobilize and begin patching work on July 15. Sometime after the preconstruction meeting, but before the Contractor starts to work, the Project Engineer or Contracting Authority becomes aware that the roadway in question is experiencing rapid deterioration and patching must begin earlier, say mid-June. In this case, the Notice to Proceed form could be used to require the Contractor to begin work.

NOTE: Cannot "mandate" the Contractor to begin work prior to the approximate start date. If the Contractor is agreeable and the site is ready, work can begin before that date but forcing the Contractor to start early could result in the potential for an acceleration claim.

In either case the Contractor should be contacted to discuss relevant issues and attempts made to redefine a new start date. However in the absence of an agreement, or if the Contractor is not amenable to starting work as needed, the Contracting Authority should issue a Notice to Proceed form ([Form 830237](#) ([Word](#))).

NOTE:

1. In the absence of an agreement, the Notice to Proceed form must be issued before working days can be charged.
2. A starting date in the Notice to Proceed must not be less than 15 calendar days after date of issuance.

3. Working days will be charged beginning on the 15th calendar day after the Date Issued on the Notice to Proceed, or when the Contractor begins work, whichever comes first.

### 2.33 WEEKLY REPORT OF WORKING DAYS ([FORM 830238 \(Word\)](#))

The Weekly Report of Working Days (working day report) form ([Form 830238 \(Word\)](#)) is an Iowa DOT form used to document time charged versus actual work completed. Two forms currently used for reporting of time charges are:

- The Weekly Report of Working Days form ([Form 830238 \(Word\)](#)) is the standard form used for all construction and/or maintenance contracts.
- Incentive/Disincentive contracts require charging of calendar days during critical closure periods and should use the Weekly Report of Working Days for Incentive/Disincentive Clause form ([Form 830241 \(Word\)](#)).

Except for tracking Critical Closure Days, the forms look about the same and their preparation is similar.

#### Preparation of [Form 830238 \(Word\)](#)

The form is divided into two basic sections, one for reporting working days used and the other for reporting work progress. Instructions for preparation are as follows:

1. Late/Approx. Starting Date

If an approximate start date is designated, enter that date. If a specified start or late start date is designated, that date is entered and the abbreviation "Approx." is crossed out. (In FieldManager, the date that the Contractor starts work should be entered in the "Construction Start Date" field.)

2. Length of Project

Enter the length of the project in miles, if applicable. Note: Bridge, culvert, and other site specific projects need not be included in this section.

3. Type of Work

Enter the type of work such as PCC paving, AC resurfacing, shoulder stabilization, structures, etc. For structures, (bridge or culverts) enter the individual design number(s).

4. Days of Week

For reporting contract time, a day starts at 12:01 AM and ends at 12:00 midnight.

## 5. Controlling Operation

During the contract period, list the controlling item (or operation). If work is not progressing on the controlling item (or operation), note controlling item in appropriate column and actual work item in the "Remarks" column.

When work is stopped or suspended and working days are not charged, the reason for not charging time should be noted under "explanation of delays."

When the Contractor is not working and working days are being charged, give the reason why there is no work in progress, if known. For example, under "Explanation of Delays" and/or "Remarks" note something like: Waiting for subcontractor to mobilize.

## 6. Working Days Charged

If conditions allow work on the controlling item (or operation) of work, tabulate time charged for that day. (Refer to the Iowa DOT Construction Manual [Appendix 2-27](#) for charging of contract time.) Listed values will be either 1/2 or 1 for days where conditions allow work on the controlling item and 0 (zero) if days are not charged.

Refer to Section 2.34 of this Attachment for adjustment of time charged in FieldBook/Field Manager contracts.

## 7. Work Progress

Three blanks are provided for major items or phases of construction. Items entered in this section are intended to provide a "quick reference" of progress for various major items. Since working day reports are continuous, it is easy to look back in a file to glean relevant data. Thus, it is preferable to allow a project inspector the flexibility to include various major phases rather than rigidly adhering to 3 items for an entire project. In so doing, anyone looking retrospectively can obtain a quick mental reference as to major work in progress at any given time. For example:

- On report #6 an inspector included Pier 2, North Abutment, and South Slope Protection.
- On report #7 the list changed to Piling, Pier 3 Footing, and Reinforcing Steel.
- On report #8 the list reverted back to report #6's items.

Report Number	Type of Work	% Complete
6	Pier 2	40
	North Abutment	60
	S. Slope Protection	20
7	Piling (Furnish & Drive)	90
	Pier 3 Footing	10
	Reinforcing Steel	30

8	Pier 2	70
	North Abutment	95
	S. Slope Protection	100

Such reporting may seem nonsensical; however, individuals using this report often need "quick" historical data that is unavailable elsewhere.

8. Percent Complete

Blanks are on the form for entering percent of the total contract completed, and percent of time used. All the percentages need only be approximate calculations, rounded to the nearest 1%. When the rate of progress on a project is behind schedule to the extent that there is danger work will not be completed on time, note such situations on the "Weekly Report of Working Days."

### Preparation of Incentive/Disincentive Form

As noted above, the Weekly Report of Working Days for Incentive/Disincentive Clause form ([Form 830241](#)) for projects specifying incentives and/or disincentives (I/D). This form tracks both working and calendar days on the same form.

Preparation of [Form 830241](#) for incentive/disincentive is generally the same as for Weekly Report of Working Days form ([Form 830238 \(Word\)](#)) except:

1. Under "Controlling Operation" there are two columns, one for CPM and the other for "Actual". When charging contract time (working or calendar days), complete the CPM controlling column. An entry in both columns would be appropriate to document when the Contractor is working, but not working on the CPM controlling item (or operation) identified by a CPM.

NOTE: CPM schedules show a critical path. Any item (or operation) on this path is, by definition, a controlling item (or operation).

2. Columns headed "Working Days Charged" or "Critical Closure Days Charged" days are self-explanatory. NOTE: Working days are assessed when site conditions permit work on the controlling item (or operation) during noncritical closure time(s), and calendar days are charged every day during critical closure time(s).

### Multiple Sites on a Contract

A contract may consist of multiple "sites" in addition to the overall contract, which is known as Site 00. Multiple sites are used when smaller specific portions of the contract are required to be completed in a time frame that is different than the overall contract. The site numbers, site description, start date, and time allowed are described in the "Proposal Details."

Multiple site contracts include:

- Contracts with intermediate completion periods. Example: a grading contract with intermediate completion periods for completion of bridge berms.
- Multi-project contracts. Example: a contract consisting of more than one project.

For multiple site contracts, working days for each site, including the overall contract (Site 00), will be administered independently based on the controlling operation for the site. A work day will be charged to a site when work is done on the controlling item of that site.

An example of a proposal that includes multiple sites:

- The overall grading contract (Site 00 with 120 working days allowed)
- A hot mix asphalt paving project (Site 01 with 90 working days allowed)
- An intermediate completion period for constructing a bridge berm (Site 02 with 50 working days allowed)
- A RCB culvert project (Site 03 with 30 working days allowed)

A typical scenario may be that, due to wet weather, conditions allow work on controlling operations of Sites 01 and 03, but not on Site 00 or 02. In this example, time would be charged to sites 01 and 03, but not to the overall contract (Site 00) or Site 02.

Occasionally a proposal will include an intermediate construction period, have a liquidated damage clause, and a statement which paraphrasing states: Liquidated damages will not be charged for work prior to (XXX date) regardless of working days used. In this case, the "XXX date" will be the date (typically approximate start date) for a following contract. Use of this clause is intended to allow the Contractor flexibility and latitude in their schedule, while fixing a point in time that a future Contractor can reasonably assume a site will be available. If the first Contractor does not meet that date, liquidated damages will be assessed because a future Contractor/contract is impacted.

When intermediate construction period requirements have been met, the "Remarks" section on the Weekly Report of Working Days form ([Form 830238 \(Word\)](#)) should be noted with "final" and:

1. Date intermediate work was complete or when contract requirements were met.
2. Total contract time charged to an intermediate construction phase of the work.
3. Total contract time charged in excess of the number of days specified, if an intermediate construction date is not completed on time.



## **2.34 LIQUIDATED DAMAGES AND EXTENSION OF CONTRACT TIME**

If the number of allowable working days is exceeded and it is later determined that previously charged days should not have been charged, the length of the contract period is to be extended. The number of allowable days is increased by processing a time extension modification to the contract.

Retained funds held by the Contracting Authority are not intended to offset credit payments for deficient work and/or liquidated damages.

When liquidated damages, as defined in Weekly Report of Working Days form ([Form 830238](#) ([Word](#))), are anticipated, item progress of the Contractor's items shall be withheld to cover liquidated damages. These items will be increased to the final quantities after a Change Order for liquidated damages is processed.

If initial negotiations between the Contracting Authority and the Contractor fail to resolve differences, the Project Engineer shall request negotiation assistance from the Administering Office.

Should combined efforts described above fail to resolve dispute(s), the issue will be considered to have reached an impasse. At this point, a meeting with all affected parties shall be scheduled by the Administering Office.

If liquidated damages remain after considering possible working day credits or time extensions, a Change Order is to be written. The amount of liquidated damages shall be written as a non-substantial credit Change Order using the item number 6200-1108010. The Administering Office will not process a Final Voucher until all liquidated damage claims are settled.

For projects where construction engineering is Federal-aid funded, the Change Order for Liquidated Damages should be marked under the "Participating" "Federal-aid" column. For projects where projects are State funded, the Change Orders for Liquidated Damages should be marked under the "Participating" "State-aid" column. For all other situations, Liquidated Damages are non-participating so no marks should be made in either column under "Participating". However, it is required to note in the Justification for Costs that "the LDs on this project do not exceed the construction engineering costs."

## **2.35 EQUIPMENT RENTAL RATES**

On construction projects, unanticipated costs for equipment can arise as a result of work that was unforeseen at the time a contract was awarded. Such unforeseen work is often necessary in order to complete a project. Data on actual costs for equipment used for such additional, unanticipated work is usually not available, primarily because it is difficult to separate equipment costs from items bid in the contract documents. Preferably the Project Engineer and Contractor successfully negotiate a price that is agreed to by the Contracting Authority and concurred by the Administering Office for unanticipated work and execute a Change Order to the contract. In formulating the costs for such Change Orders, [Article 1109.03, B](#), of the Standard Specifications allows the Contractor to use EquipmentWatch's Cost Recovery Rates (formerly Rental Rate Blue Book) ~~Rental Rate Blue Book (Blue Book)~~ rate guides or actual lease invoices to calculate equipment costs.

## **EquipmentWatch Cost Recovery Rental Rate Blue Book**

The Rental Rate Blue Book EquipmentWatch Cost Recover is a recognized standard rate guide which can be used to determine rental rate cost in forced account work ownership and operating rates to be reimbursed to the contractor in force account work, and to substantiate equipment costs for agreed price work. Typically, this method of determining rental costs is used when a contractor owns, or has a long term lease for any equipment in question, but does not have an established rental cost per unit of time. EquipmentWatch updates all of these rates annually. EquipmentWatch Cost Recovery rates are available in either the Estimator Plan or the Equipment Manager Plan on the EquipmentWatch website at <https://equipmentwatch.com/>. The Rental Rate Blue Book is a recognized standard rate guide which can be used to determine rental rate cost in force account work and to substantiate equipment costs for agreed price work. Typically, this method of determining rental costs is used when the Contractor owns, or has a long term lease for any equipment in question, but does not have an established rental cost per unit of time. Rental Rate books are published semi-annually as a 3 volume set. The set covers a broad range of types and ages of construction equipment. The volumes are arranged to include information based on the age of equipment:

- The Rental Rate Blue Book EquipmentWatch Cost Recover is a recognized standard rate guide which can be used to determine rental rate cost in force account work ownership and operating rates to be reimbursed to the contractor in force account work, and to substantiate equipment costs for agreed price work. Typically, this method of determining rental costs is used when a contractor owns, or has a long term lease for any equipment in question, but does not have an established rental cost per unit of time. EquipmentWatch updates all of these rates annually. EquipmentWatch Cost Recovery rates are available in either the Estimator Plan or the Equipment Manager Plan on the EquipmentWatch website at <https://equipmentwatch.com/>. Rental Rate books are published semi-annually as a 3 volume set. The set covers a broad range of types and ages of construction equipment. The volumes are arranged to include information based on the age of equipment: Rental Rate books are published semi-annually as a 3 volume set. The set covers a broad range of types and ages of construction equipment. The volumes are arranged to include information based on the age of equipment:
  - Volume 1 - past 5 years
  - Volume 2 - 6 to 10 years
  - Volume 3 - 11 to 20 years

One of the greatest challenges in determining costs using Rental rate books is finding a particular piece of equipment. It is important that Contractors provide complete, definitive, information relative to a particular piece of equipment, i.e., manufacturer, model number, type, size, horsepower, bucket or box capacity, equipment weights, and age. While the EquipmentWatch Cost Recovery database includes a vast array of heavy equipment models that are currently in the market, there may be particular models or types of equipment not included in the guide due

to a lack of data. In the event that a piece of equipment is not found in the Cost Recovery product, contact EquipmentWatch customer service or your account executive in order to receive custom ownership and operating rates from the EquipmentWatch analyst team. Such information is equally important as equipment ages beyond 10 years because the listing breakdown becomes less detailed. Further, it is often necessary for the Project Engineer to use all available information in finding reasonable alternates for non-listed equipment.

In order to determine accurate equipment costs, several adjustment factors must first be applied. Data published in Rental Rate books provide a detailed guide to costs associated with equipment ownership, rental, and usage. (NOTE: Operator wages are not included.) To use Rental Rate costs, several adjustment factors must be applied before a user gets to the "bottom line." A detailed explanation of individual adjustments is provided in Volume 1's "Introduction" section. For Iowa DOT applications, equipment monthly rental rates shall be adjusted by:

#### A. Regional Adjustment Factor

In the first few pages of each section will be a United States map divided into "Adjustment" regions. To the side of this map, adjustment factors are shown by regions. These adjustments reflect variations that affect equipment ownership costs. The most significant item in this factor is an adjustment for climate and its effect on equipment's average annual use. (A shorter working season means rates will be higher to recover fixed annual costs.)

U.S. maps have Iowa divided into two regions by a line running roughly from Dubuque to Council Bluffs. For uniformity of application, projects on and north of Highway 30 will be included in the northern region and work south of Highway 30 in the southern region. Regional adjustment factors apply to rental rates only and are not to be used to adjust hourly operating costs.

To make Regional Adjustments, multiply the monthly rental rate times the appropriate adjustment factor.

#### B. Rate Adjustment Factor

Equipment rental rate listings contain allowances for depreciation and replacement costs. FHWA has ruled that Rental Rate costs are not eligible for reimbursement unless the rate has been adjusted to eliminate depreciation and replacement costs. Therefore, Iowa DOT policy will be to apply Rate Adjustment Factors to both federal aid and non-federal aid projects.

Rate Adjustment Tables included in the front of each section lists equipment in that section, date of equipment manufacture, and an adjustment factor. Instructions for using Rate Adjustment Tables are included in the "Introduction" section. Rate adjustments apply to rental rates only and are not to be used to adjust hourly operating costs.

To make Rate Adjustments, multiply the previously adjusted monthly rental rate times the appropriate adjustment factor.

### ~~C. Rate Element Adjustment (Indirect Cost)~~

~~Care needs to be exercised when applying rental rates to avoid cost duplication. [Article 1109.03, B](#), of the Standard Specifications states: "Profit percentage shall not be added to the rental rate." This is because rental rates published in the Rental Rate Book include indirect costs, i.e. some overhead and profit costs, insurance, taxes, licenses, office support, etc. Since specifications do not allow adding profit, the potential for duplication is eliminated and there is no need to use a factor for removing indirect costs. (This means: Pay what the previously noted adjustments amount to in rental rate, but no more.)~~

~~Rental Rate Books include a Rate Element Adjustment Factor for removing indirect costs. (Refer to the Rental Rate Book "Introduction" section should a deduction be needed.)~~

### **Invoiced Rental Costs**

There are times where the Contractor will obtain needed special or extra equipment at a rental facility. The Contracting Authority reimburses rental costs for providing equipment and highly specialized attachments, equipment operating costs, and costs for an operator, and if necessary equipment support crew. Care needs to be exercised in checking how a rental arrangement is written. Sometimes operators are furnished in a rental agreement. In that case, the operator and/or support crew have to be removed from equipment rates and included on the force account form as hourly labor.

### **Equipment Time Charges**

Charging equipment project time will be as follows:

#### **A. Equipment on the Project**

This can be equipment on the project that is owned, leased, or rented by the Contractor. Rental time is charged when the equipment is physically working at the extra work site. Standby time will not be allowed for equipment which was on the project (prior to extra work) for work required by the contract. Further, rental time will not be charged when equipment is not working, no longer needed for the extra work, or not on the extra work site.

#### **B. Equipment not on the Project**

This can be equipment that is owned, leased, or rented by the Contractor and is mobilized to the extra work site specifically for extra work. Rental time is charged when the equipment is working or is on standby available for work. Rental or standby time will not be charged when the equipment is no longer needed for extra work or not on the extra work site.

### C. Standby Time

Standby time is that time a piece of equipment is at the extra work site, fully functional, and available for work. The use of a standby rate is appropriate when equipment has been ordered to be available for force account work but is idle for reasons which are not the fault of the Contractor.

Standby time will not be charged for:

- nonworking hours
- nonworking days (calendar or working days)

### D. Set-up Time

Often equipment transported to a work site will have to be assembled (set up) prior to being fully functional and available for work. Set-up time will be charged (on a working day basis) after off-loading the equipment from a transporting vehicle and continue until it is assembled and available for work.

## Chargeable Project Costs

As previously noted, rental rates apply to equipment rented or leased for specific extra work items. Equipment often requires highly specialized (not common) attachments to functionally perform the work needed. Rental rates for these attachments will be calculated in the same manner as if they were a separate piece of equipment. For example: A dozer blade would not be considered a specialized attachment for a dozer. However, a special rock ripper for a dozer or a drill table for a crane (used to install drilled shafts) would be considered specialized attachments.

### A. Equipment Watch Cost Recovery ~~Rental Rate Blue Book~~

The formula to calculate hourly equipment rate is:

$$\text{EQUATION 1: } W = \frac{(RR \times RF) \times RA}{HA} + HO$$

Where:

- W = Hourly Equipment Rate (reported as \$ per hour)
- RR = Equipment Rate (Use listed monthly rates)
- RF = Regional Factor (found in the front of each section)
- RA = Rate Adjustment Factor (found in the front of each section)
- HO = Hourly Operational Cost (as listed for each piece)
- HA = Hourly Adjustment (HA = 176, converts monthly to hourly)

Project cost is the hourly equipment rental rate (W), calculated above, and multiplied by the number of hours charged for that piece during the project. This value is combined with any other extra work equipment costs and entered in the "Equipment" column on a Statement of Force Account. NOTE: Operator wages will be included with other "labor" costs on the Force Account sheet.

## B. Standby Costs

Standby rates are calculated as 50% of rental rates, excluding operating costs. Using the ~~EquipmentWatch Cost Recovery Rental Rate Blue Book~~, standby rates are calculated as follows:

$$\text{EQUATION 2}$$
$$Y = \frac{(RR \times RF) \times RA}{HA} \times 0.50$$

~~$$\text{EQUATION 2: } = \frac{(RR \times RF) \times RA}{HA} \times 0.50$$~~

Where:

- ~~W = Hourly Equipment Rate (reported as \$ per hour)~~
- Y = Hourly Equipment Stand-by Rate (reported as \$ per hour)
- RR = Rental Rate (Use listed monthly rates)
- RF = Regional Factor (found in the front of each section)
- RA = Rate Adjustment Factor (found in the front of each section)
- ~~HO = Hourly Operational Cost (as listed for each piece)~~
- HA = Hourly Adjustment (HA = 176, converts monthly to hourly)

## C. Set-up Costs

Project set-up costs will be calculated and charged as standby time. (Refer to "B" above, and section "D" of Equipment Time Charges.)

## D. Mobilization Costs

1. Mobilization and demobilization charges will not be allowed for equipment which was at the project for ongoing operations prior to the extra work.
2. Contractor owned (or long term leased) equipment which is brought to the extra work site from another project, or the Contractor's yard, will have mobilization costs reimbursed based on hauling time to the project. Rental rates as calculated in Equation Number 1, times the hauling time will be applied for mobilization costs.

NOTE: Only equipment needed for the extra work and not already on the project will be considered for mobilization reimbursement. Demobilization time (or costs) will not be included for payment.

3. Equipment leased specifically for extra work and transported by the Contractor will have mobilization time reimbursed as outlined in D. 2. above. Demobilization time (or costs) will not be included for payment.
4. Equipment leased specifically for extra work which is transported by the lessor, or a third party, will be reimbursed on an invoiced basis. Demobilization costs will be reimbursed if the equipment is returned to a lessor's yard.

### Statement of Force Account Form ([Form 181213](#))

The Statement of Force Account form ([Form 181213](#)) completed and signed by the Contractor and project inspector at the end of each day document hours charged to equipment for that day. After the ordered extra work has been completed, total hours charged for equipment can be combined and tabulated on a summary force account sheet.

### 2.36 CHANGE ORDERS ([FORM 831240](#))

A Change Order is a written order to the Contractor for:

- Changing the authorized quantity of a contract item. This includes increases or decreases to contract quantities.
- Adding a new item or material to an existing contract. Often this is a result of plan revisions or a change in scope from what was originally envisioned at time of letting.
- A source document for the Office of Finance to enter changes and additions into the Contractor Pay System or for the Contracting Authority to authorize extra work or changes in item quantities. Ultimate results of this endeavor are changes to items, or additional items, appearing on a Progress Voucher or Pay Estimate.
- Officially documenting changes to the contract documents. Change Orders are written orders to the Contractor (or consultant) which are initiated and prepared by the Project Engineer. Once signed by all parties, these orders become legally binding contract documents ordering a specific change to the original contract.

#### Policy for Change Orders

##### A. Contractor Markup

**Subcontracted Items.** Items added to a contract, and performed by a subcontractor, entitle the Contractor an allowance to cover administration expenses. This markup is not to apply to incentive payments or other specified items covered by specifications. The percentage allowed per [Article 1109.03, B](#), of the Standard Specifications is to be applied to each individual item of extra work which is performed by a subcontractor. The amount of mark-up shall be included in the unit price and not as a separate item such as "Contractor's Markup".

**Contract Unit Price.** Change Orders covering overrun/underrun of items at contract unit price are NOT eligible for any additive. This includes work which was done by a subcontractor. The contract unit price should have already considered any necessary additives for administrative expenses.

A Contractor may request a price adjustment to recover lost administration expense for underruns amounting to more than 25% of the bid amount for a major item of work. A Contractor is allowed to recover that portion of lost

administration expense represented by the difference between the actual quantity and 75% of the original contract quantity.

Price adjustment may be made to reduce the cost of major items of work which overrun by more than 25%, since the Contractor should have already included overhead expenses in their bid. Overrun price adjustments apply to only that portion/quantity which is more than 125%.

**Agreed Unit Price.** Change Orders, based on an agreed unit price, or lump sum, shall have overhead considered as a part of the negotiation. The agreed unit price may include the cost of overhead for handling subcontracted items. It may be included in lump sum items if justified. However, if negotiations specifically excluded markup, the item may be shown as a separate entry on a cost workup sheet.

**Force Account.** Specified force account percentages for labor, material and equipment are intended to cover all costs that the Contractor may incur due to the work, regardless of who does that work (Contractor or subcontractor). Force account work to a subcontractor will be authorized for additional administration percentage to the Contractor.

B. Situations that require processing a Change Order:

- Any change in the original scope or intent of the project, i.e. changing the project limits which results in overruns, underruns, or new contract items amounting to \$10,000 or more. (Contact the Administering Office before proceeding ANYTIME this situation arises. Before any changes to project limits can be made new NEPA clearances must be obtained.).
- Any overrun/underrun of items that are defined at to be paid at contract quantity according to the specifications.
- Overrun/underrun amounting to \$50,000 or more on any contract item.
- All price adjustments.
- Liquidated damages.
- Value engineering proposals.
- Incentive/Disincentive payments (if incentive/disincentive items are not included in the contract).
- Added items.
- Change in specification.
- Plan revision.
- Extension of contract time.

C. Price adjustments which reduce payment for an item are occasionally charged because material or quality of work is below minimum specified standard. These adjustments are applied when the Project Engineer has determined a problem that lacks a level of severity warranting removal and replacement. However, the problem does affect life cycle costs or could cause premature maintenance costs. For example: Rain damage, out of tolerance slump and/or air content, deficient smoothness, and insufficient pavement thickness.



On the other hand, price adjustments could provide an "incentive or reward" for exceptional work. In these cases, a project value is added due to increased diligence on the Contractor's part. Examples are exceptional smoothness and extra pavement thickness.

- D. Mutual benefit agreements require a Change Order to document changes.
- E. Reducing the final quantity of an item to zero requires a Change Order if the original contract quantity is \$50,000 or more.
- F. Settlement of liquidated damages (See Section 2.34 of this Attachment). Contract proposals will list a daily rate (dollar value) for liquidated damages. Change Orders written for liquidated damage assessments are written as non-substantial. Refer to Incentive/Disincentive provisions below.
- G. Incentive/Disincentive (I/D) provisions are included to provide the Contractor with an "incentive" to complete a project early or a "disincentive" if the project is completed late. I/D provisions will list daily rates to be applied to "critical closure" times. Change Orders written for incentive/disincentive payments for early/late completion are considered substantial.
- H. Value Engineering proposals are encouraged for all aspects of contract work. (Refer to Value Engineering later in this section.) Change Orders for implementing value engineering proposals are Substantial and shall document the terms and changes being implemented.
- I. Intentionally left blank.
- J. Items NOT Requiring a Change Order:
  - 1. Deletion of a measured items with original contract amount less than \$50,000.
  - 2. Overruns and underruns of measured items less than \$50,000.
- K. Often, plan revisions result in Change Orders having to be negotiated due to new and/or changes to contract items. Processing Change Orders resulting from plan revisions is sometimes delayed due to disagreement on prices, lack of success in obtaining qualified subcontractor(s), or various other reasons.

It is imperative that the PIRC, in collaboration with the Project Engineer, actively pursue Change Order negotiations to an early conclusion, especially if proposed work involves public safety (guardrail, safety enhancement, etc.) or work related to a prolonged detour. Obviously, agreement on unit prices is desirable; however, there are times that work will have to proceed on a Force Account basis. In all cases, documented agreements on the Method of Measurement and Basis of Payment for items must be obtained before the Change Order is written. NOTE: No work can begin until the Contractor has either agreed to a Change Order or agreed to a basis of computing force account costs.

## Preparation of Change Order ([Form 831240](#))

Each contract, on single project contracts, or each project on multi-project contracts requires preparation of separate Change Orders for changes or additions.

All Change Orders shall be agreed to by the Contractor, and have all necessary approvals prior to commencing additional work. This does not necessarily mean a fully executed Change Order document, but rather a written agreement of the work to be performed, how it is to be paid, and justification of cost. The only exception to this rule is Force Account Work. If costs for work cannot be agreed upon, the extra work must be performed on a force account basis. In such case, the Statement of Force Account ([Form 181213](#)) is used. [Article 1109.03, B](#), of the Standard Specifications provides guidance and responsibilities for preparation of Force Account forms.

Currently, there are two systems for processing Change Orders:

- The FieldBook2/FieldManager programs initiate Change Orders and export the data to CPS for processing of the payment. Refer to the FieldBook and FieldManager User Guides for instructions for generating Change Orders.
  - The reason for proposed changes shall be included for existing and new items.
  - The justification for costs shall be included for new items (Refer to the following instructions in Section C for [Form 831240](#)).
- Change Order form ([Form 831240](#)) may be used for projects paid locally by the LPA or projects on the Farm-to-Market system utilizing paper Contract Construction Progress Voucher (sometimes referred to as 309's) for processing progress payments through the Contractor Pay System (CPS).

The procedure for completing Change Order form ([Form 831240](#)) in the Contract Construction Progress Voucher system or locally paid projects follows:

- All information must be furnished (i.e. substantial/non-substantial).
- It is important that the information is in the standard format because the data is manually entered into the Contractor Pay System.

One copy of the final Change Order form should be printed and distributed for signatures.

### Top of form

**No.:** Enter the Change Orders number. This should be a consecutive numbering system for each contract, but multiple projects on a contract must have their own Change Order. Example: a two project contract and changes need to be made to both ~~contracts~~ projects at the same time. There must be two Change Orders written. Changes to one of the projects will be made in Change Order 01 and the changes to the second project will be made in Change Order 02.

**Non-Substantial and Substantial boxes:** Check the box that is appropriate for this Change Orders. The Administering Office shall be consulted if there are any questions concerning the determination. The following guidelines shall be used for determination;

Non-substantial

- a. Price adjustments made to the contract in accordance with prescribed guidelines in the Iowa DOT Construction Manual and/or contract documents, such as (not all inclusive):
  - Changes in piling length
  - Jetting pile
  - Heating and protection of concrete
  - Price adjustments (plus or minus) for smoothness, pavement thickness, fuel adjustment
  - Price adjustments for liquidated damages
  - Price adjustments for rain damaged pavement
- b. Lump sum agreements, force account, and agreed price settlements less than \$50,000.
- c. Change in contract quantity at contract unit price when variations from the estimated plan quantities are not due to a plan or design change and do not equal or exceed \$100,000.
- d. Total deletion of a measured item that has a bid amount greater than \$50,000.

Substantial

NOTE: when a Change Order is classified as substantial, the Contracting Authority must obtain written pre-approval from the Administering Office.

- a. Changes or extra work requiring new contract items to be added amounting to \$50,000 or more per item. This includes lump sum agreements, force account, and agreed price settlements.
- b. Change Orders that include an overrun or underrun of an original contract item amounting to \$100,000 or more.
- c. Changes to the Method of Measurement or Basis of Payment of a contract item or changes to price adjustment schedules for defective work detailed in the Iowa DOT Construction Manual.
- d. Re-negotiation of a contract item's unit price.
- e. Value Engineering proposals in accordance with [Article 1105.15](#) of the Standard Specifications.
- f. Modifications to the terms of a contract, such as changes in contract periods. An extension to contract time is considered non-substantial. Refer to Section 2.34 of this Attachment.
- g. Adjustment in time of critical closure periods.
- h. Changes in limits of contract or scope of work.

- i. Prior to the work in the extended area, for federal-aid projects, the following items must be accomplished, regardless of the funding source for the extra work:
  - NEPA – Location and Environment staff have reviewed environmental documents and documented the extended area is clear.
  - Document the work to be performed is either cost effective or in response to an emergency.
  - FMIS – Request Administering Office to request a change in scope of work and project limits in FMIS (Financial Management Information System). Also, included are the dates for "revised NEPA clearance" and "cost effectiveness determination".

**Administering Office Concurrence Date:** This is the date that the Administering Office concurs with the Change Order so work may commence. This concurrence can be through verbal communication or email, and entered by the Engineer. This allows work to be performed without waiting until the Administering Office receives the form for their official signature at the end of the form.

**Accounting ID No. (5-digit number):** This is the 5-digit accounting number for this project. This number is obtained from the right hand side of the second section of the first page of the contract.

**Kind of Work:** This is a brief explanation of the work that will be performed or deleted from the project due to this Change Order.

**Contractor:** Name of the Contractor's company on this contract.

**Project Number:** The project number in this contract that will be affected by this Change Order.

**Local Public Agency:** The Local Public Agency that is the Contracting Authority for this contract.

**Date Prepared:** The date this Change Order was prepared.

## Section A - Description of modification to be made

Section A is used to provide a description of the work to be completed or the modifications to be made. All descriptions should be brief and to the point; and each should be preceded by the Line Number (xxxx) in Section F and/or the Change Number (8xxx) in Section G. For example:

xxxx Change	Increase item for "Class 10 Excavation, Roadway & Borrow".
8xxx Change	Add an item for "Silt Basins". Work shall be in accordance with the Pollution Prevention Plan provided for in the contract documents.
8xxx Change	Add an item for "Sealing Wells". Work shall be in accordance with <a href="#">Section 2538</a> , of the Standard Specifications.
8xxx Change	Add a new item for "Lime Green Boulders". This is not a current item; therefore specifications for this work do not exist. The 5 parts of the specifications must be entered in this Section: <ol style="list-style-type: none"><li>1. Description</li><li>2. Materials</li><li>3. Construction</li><li>4. Method of Measurement</li><li>5. Basis of Payment</li></ol>

When new items are added to the contract by Change Order, an item code and item description will be added in Section G of the Change Order form. The item code and item description are found in the [Index to English Items Forms](#). Existing Standard Specifications may or may not be able to be used for item codes starting with, but not limited to, 2590, 2595, 2599, 6100, and 6200. If an existing Specification can be used, identify the section of the Standard Specifications, or the number of the Supplemental Specification, Developmental Specification, or Special Provision, in this Section A (see example above). If there is not an existing Standard Specification, the Description, Materials, Construction, Method of Measurement, and Basis of Payment for that item must be included in this Section A.

## Section B - Reason for modification

Section B provides space for a brief narrative of reasons (or background) for ordering the modifications outlined in Section A.

The explanation should be in sufficient detail and clarity to provide reasons why the modification is necessary; and each should be by the Line Number in Section F and/or the Change Number in Section G. A statement such as "Extra Work ordered by the Engineer" or "As per plan revision" is not a sufficient explanation.

### **Section C - Settlement for cost(s) of modification as follows with items addressed in Sections F and G**

Section C provides space for an explanation of the basis for the cost(s) of the modification; and each should be preceded by the Line Number in Section F and/or the Change Number in Section G. The basis should be noted as one of the following: contract unit price, agreed unit price, agreed lump sum, force account, no-cost change, or mutual benefit.

### **Section D - Justification for cost(s)**

Section D provides space for the justification for the cost(s). The Project Engineer shall conduct an independent cost analysis for items added or changed by the Contractor Modification prior to agreeing to those costs. An extension of contract unit price(s) and price(s) established in the contract documents do not need further justification. However, agreed unit price(s), agreed total price, lump sum, and force account basis do require justification; and each should be preceded by the Line Number in Section F and/or the Change Number in Section G.

Examples of justification could be:

- Original copies of material quotes.
- Comparable to item xxxx (a similar item) in the contract or a previous Change Order.
- Independent cost check of area suppliers.
- Rental Rate Blue Book values and attached to the Change Order.
- Invoiced price(s) and estimated labor cost (Davis-Bacon wage determinations) is comparable to item xxxx (a similar item).
- Certified payroll expenses, invoiced rental rate charges, and actual material invoiced.
- Davis-Bacon wage determinations.
- Summary of cost(s) and attached to the Change Order.
- Similar contracted items on previous project.

If all or part of the cost is based on an actual invoice from the contractor, attach a copy of the invoice to the Change Order.

If the Statement of Force Account ([Form 181213](#)) is used, attach copies of each days form as justification for this Change Order.

### **Section E - Contract time adjustment**

Section E is to address any modifications that may need to be made to the Contract Period. Every Change Order must address working days whether or not an adjustment needs to be made to the Contract Period. Make sure to address working days by checking the appropriate box; "No Working Days added" if the change will have no impact to the time required to complete the controlling item of work, "Working Days added" and how many if the change will require additional days to complete the controlling item of work, or "Unknown at this time" if the impact to the progress of the controlling item is unknown at the

time the Change Order is written. If the impact is unknown, it must be addressed in a future Change Order. Add an explanation to justify the Contract Time Adjustment that was selected.

Impacts on time should be considered when the Change Order for extra work is written. If the impacts can be quantified, the number of days may be addressed in the Change Order. But, in many situations, the impact on contract time may not be known until the work is performed. In those cases, when impact on contract time has been determined and the Change Order has not been fully executed, the time may be addressed on the Change Order. If the Change Order has been fully executed, another Change Order must be written to address the time.

Make sure to address working days by checking the appropriate box:

- 1) "No Working Days added" if the change will have no impact to the time required to complete the controlling item of work,
- 2) "Working Days added" and how many if the change will require additional days to complete the controlling item of work, or
- 3) "Unknown at this time" if the impact to the progress of the controlling item is unknown at the time the Change Order is written. If the impact is unknown, it must be addressed in a future Change Order.

### **Section F - Items included in contract**

Section F provides lines for entering modifications to original contract items. Change Orders written as "Mutual Benefit" or "No-cost Change" do not have entries in this section.

Section F is completed as follows:

- The first two columns indicate the "Participating" funding sources, if there is Federal-aid and/or State-aid. Communication with the Administering Office for their initial approval on Federal-aid and/or State-aid participation before entering an "x" in the column(s) that will indicate how the modification could potentially be funded. The Administering Office will review the Federal and State potential participation determination and make changes if necessary. If an "x" is not entered in either of the first two columns, the change will be locally funded.

Remember to always ask for and obtain initial approval from the Administering Office before proceeding.

Most changes to items on Federal-aid projects are eligible for Federal-aid participation. Examples of items which may not be participating are:

1. Costs relating to field mistakes. These could be errors by the Contractor or inspection forces.
2. Unincorporated material
3. Added work that is considered "maintenance" in nature
4. Hauling of salvaged materials

- The third column, Line Number, lists each modification to a contract item. The "Line Number" identifies the specific contract item affected by a particular change. The line number is the four-digit number identifying the specific contract item and can be found in the contract under "Line No". If making a change that has been added by a previous Change Order, use the 8xxx "Change Number" found on the Change Order in which it was added.
- In the fourth column, Item Description, enter the name of the item being modified. This can be found either on the contract under "Item Description"; or for items that were added by previous Change Orders, it can be found on that Change Order.
- In the fifth column, Unit Price, enter the contract unit price of the affected item. Unit Prices are entered to 2 decimals.

NOTE: Lump Sum items can be entered with a unit price of 1.00.

- In the sixth column, Quantity, enter the adjustment's quantity. (How much quantity is being changed?) All quantities should be entered to 3 decimal places. For example: Structural Concrete is being increased 53 CY. The "Quantity" would be entered as 53.000. If the change to the item will result in a decrease to the quantity, add a negative sign before the quantity to indicate this decrease (-x.xxx).

NOTE: Lump Sum items have the agreed cost (in dollars) entered in the quantity column. For example: Assume some item of work will be deleted. That item was bid as lump sum with a unit price of \$500. Then 500.000 would be entered for the "Quantity."

- The seventh column, Amount, is typically a calculated amount (total dollars) represented by a single entry. The Amount is automatically calculated when using the electronic version of the Change Order form. For example: Structural Concrete is being increased by 53 CY at a unit price of \$250 per CY. The dollar amount of this change would be  $53 \times 250 = \$13,250.00$ . "Amounts" are entered to 2 decimal places. If the change to the item is for a negative price adjustment or other decrease in contract costs, add a negative sign before the number in this column also to indicate a decrease in cost, unless using the electronic form in which a negative sign will automatically be entered with the calculated amount.

**NOTE:** Care must be exercised to identify decreased and deleted contract items, and disincentives. Obviously, the amount is negative for these types of adjustments. To indicate "negative" values, a negative sign (-) must be entered before the numbers in either the "Unit Price" or "Quantity" column. Failure to correctly enter negative values could result in increased payments to the Contractor, when in reality reduced payments were required.



## Section G - Items not included in contract

Section G, provides lines for adding new items NOT originally included in the contract. The Iowa DOT policy requires additional, or new, items to be sequentially numbered starting with 8001 for each project if the contract includes multiple projects. Items added by 8xxx will appear on the progress voucher or can be entered on the pay estimate as an 8xxx item after the Change Order has been processed. Once an 8xxx item has been added, changes to that item shall be considered as original contract items. Future changes to these items shall be processed as changes to items included in the contract under Section F and will continue to carry the 8xxx line number.

NOTE: Change Orders written as "Mutual Benefit" or "No-cost Change" do not have entries in this section.

Section G is completed as follows:

- The first two columns indicate the "Participating" funding sources, Federal-aid and/or State-aid. Enter an "x" in the column(s) that will indicate how the modification could potentially be funded. See Section F above.
- The third column, Change Number, lists each new item being added to the contract. Change numbers begin with 8001 and continue sequentially for each project, even on multiple project contracts. Currently there are two 8xxx items which have special significance. 8998 is used solely for indicating liquidated damages and 8999 is used for stockpile of materials.
- The fourth column, Item Number, can be obtained from the [Index of English Forms](#). Item numbers reference the appropriate section of the Specification Book, Supplemental Specifications, Developmental Specifications, or Special Provisions; and it is mandatory to check to see if an item number exists in the Index of English Forms for the work being added. If an item number specific to the work can be identified, use that item number. If a specification does not exist for the work being added, use the generic 2599 items and include the specification requirements in Section A.
- The fifth column, Item Description, identifies an addition by properly describing the item according to Index of English Forms. If it cannot be identified in the Index of English Forms, provide a brief description of the work being added. The item description should relate to the specification referenced in Section A.
- The last 3 columns (Unit Price, Quantity, and Amount) are used in the same manner as explained in Section F above. For price or quantity deductions enter the number as a negative (-x.xx or -x.xxx). An example of a deduction would be when reducing payment amount on the contract include a negative sign before the amount entered in the "Quantity"

- column. For a disincentive item, enter -1.000 in the “Quantity” column. The form will automatically calculate a negative dollar amount in the “Amount” column.

**NOTE 1:** The list in the "Summary of Awarded Contract Prices" book may also be used. This book is available at <https://www.bidx.com/ia/lettings>. On the “Lettings” tab, select the most recent letting and click on “Awarded Contract Unit Prices - ENGLISH” under “Downloads” on the right side of the screen. This shows the award summary for a one year period ending with the letting selected.

**NOTE 2:** To indicate "negative" values, (i.e., price adjustments) a negative sign (-) must be entered before the numbers in either the “Unit Price” or "Quantity" column. Failure to correctly enter negative values could result in increased payments to the Contractor, when in reality reduced payments were required.

## Section H - Signatures

**Agreed:** This is for the Contractor’s signature that they agree with the Change Orders as written. The Contractor should be the first to sign the Change Order.

**Recommended:** This is for the Project Engineer’s signature and should be the second to sign the Change Order. For publicly owned projects, the Engineer is a Professional Engineer licensed in the State of Iowa and authorized representative of the Contracting Authority, and may or may not be an employee of the Contracting Authority. For privately contracted projects, with improvements that will become publicly owned, the Engineer is the authorized representative of the public entity ultimately accepting ownership of the improvements. For all other projects, the Engineer is the owner’s authorized representative.

### Approved:

- **Person in Responsible Charge (PIRC):** This may or may not be the same person as the Project Engineer. If it is the same person, they may sign on the “Project Engineer” signature line and this line, but their signature on this line is the only one required. If the LPA uses a consultant to perform construction inspection services, 23 CFR 635.105 requires the LPA to have a full time employee who is in responsible charge of the project. 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 full time employees, the mayor or city clerk may perform this function, with assistance from the Iowa DOT Administering Office. A consultant may not serve as the Person in Responsible Charge for a Federal-aid project. For future explanation of duties and functions of the PIRC, see [I.M. 3.805](#).
- **Contracting Authority and Other lines:** These lines are all optional. If the Contracting Authority and the PIRC is the same person, they only need to sign the PIRC line above. The Contract Authority is the

governmental body, board, commission, or officer having authority to award a contract. Some City Boards and County Commissions like to have their Chairs or Treasurers also sign financial documents. This gives them a place for other signatures as they desire or require themselves.

- **Iowa DOT Administering Office:** The Iowa DOT's representative who is responsible for oversight of the project. The representative may be a District Local Systems Engineer or from the Office of Systems Planning, or a designee within their Office.

NOTE: Change Orders for Farm-to-Market projects do not need to be signed by the Administering Office.

- **FHWA Concurrence:** This is only required for Substantial Change Orders which FHWA has oversight and that determination is the responsibility of the Administering Office.

### **Distribution**

When all required signatures are obtained, the Iowa DOT Administering Office (except on Farm-to-Market projects) will distribute the form as listed in the "DISTRIBUTION" list. If FHWA concurrence is required, FHWA will return the document to the Iowa DOT Administering Office after it has been signed. The person who distributes the executed Change Order will date and initial the document that is retained in their Office.

On Farm-to-Market projects, after being signed by the Project Engineer, or the Person in Responsible Charge if the Project Engineer is a consultant; and the Contracting Authority when that option is applicable, the form should be distributed as indicated on the form with the exception of a copy being sent to the Administering Office.

### **Multiple Pages of the Form**

The Accounting I.D. No. and Change Order No. must be included in the upper right hand corner of each subsequent page.

### **Value Engineering**

In accordance with [Article 1105.14](#) of the Standard Specifications the Contractor may submit a value engineering proposal to the Project Engineer with copies to the Administering Office. The purpose of value engineering is to encourage alternative, cost effective measures which produce equal or better quality end products.

Value Engineering proposals will not be accepted for:

- Changes in basic design of a bridge or pavement type. For example: Value engineering a project from PCC to HMA will not be acceptable. Changing a designed bridge to a box culvert is not acceptable.
- Changes which the Contracting Authority may already be considering.

- Basing a value engineering proposal on, or similar to, existing standard specifications, special provisions, or design plans and standards adopted by the Contracting Authority. For example: A plan was let using 15 feet PCC joint spacing. A value engineering proposal would not be accepted changing this to 20 feet because "RH" standards have included this spacing as an acceptable standard.

The written proposal shall have sufficient detail to be evaluated for compliance with the requirements and limitations of [Article 1105.14](#) of the Standard Specifications. The detail provided must also allow for reviewing how a proposal impacts the entire project. It shall include:

- A description of existing requirements and proposed changes.
- All affected contract items, including new Change Order items and supporting justification for that extra work.
- Unit prices requested for the work.
- Effects on crew, equipment, and production needs for the project.
- Impact on the construction period.
- Schedule for obtaining all required materials.

It is very important to pursue these requests quickly to maximize potential savings. Once a proposal is received, the Project Engineer should discuss merits of VE proposal with the Administering Office. If appropriate, the Administering Office will coordinate the review with other offices, including selected section leaders (Design and/or Bridges & Structures) and FHWA if appropriate. Following this review the Administering Office will notify the Project Engineer of approval or disapproval, and any special considerations or requirements.

The Project Engineer will notify the PIRC to prepare and send a written notification to the Contractor outlining the review and conclusions of that review.

If a proposal is acceptable, this notification will form the basis for issuing a Change Order to implement conditions of the value engineering proposal. Therefore, a notification should include:

- A restatement of any changes.
- All costs involved, and how costs will be addressed.
- Any specification requirements as a result of changes or modifications to the existing contract.
- Details pertaining to special requirements for materials inspection and testing, if applicable.
- Any other special considerations or conditions.

If a proposal is not approved, the notification needs to include reasons for rejection.

The Iowa DOT has established a goal of 10 days to complete the entire review and notification process.

## **2.37 PROJECT ACCEPTANCE AND AUTHORIZATION FOR FINAL PAYMENT**

See [I.M. 3.910](#), Final Review, Audit, and Close-out Procedures for Federal-aid Projects.

## **2.38 CONTRACTOR EVALUATION REPORT**

For FieldManager contracts, a Contractor's Performance Evaluation (CPE) must be completed and approved for the Contractor and all subcontractors before the final voucher can be created.

If using FieldManager, refer to the FieldManager User's Guide Section 6-5 for instructions on completing Contractor Performance Evaluations. For all other projects, use the instructions on the [Evaluation Report Instructions](#) web page.

The intent of an evaluation is to report strength and/or weakness of the Contractor Contractor's project related activities including paperwork, material documentation, attitude, and cooperation. Special attention should be given to the Contractor rating below 50 points. Remarks are required for any individual item(s) that is rated less than 50%. Remarks are also required when the Contractor is given a 100% rating.

The Office of Contracts maintains a database of Contractor evaluation ratings, reacts to low evaluations, and seeks to improve Contractor project administration. Evaluations are also used as a factor to establish bidder qualifications. Therefore, it is very important that Contractors are evaluated realistically, factually, and without bias.

It is anticipated that lower than average ratings would have been discussed at a meeting between the Project Engineer and Contractor representatives prior to form submittal. A Contractor should have an opportunity to discuss and understand why a low rating was given. Further, the Contractor should be given (if requested) a critique of corrective actions which would prevent reoccurrence of low rating(s).

See [I.M. 3.910](#), Final Review, Audit, and Close-out Procedures for Federal-aid Projects for additional instructions.

## **2.40 PROJECT REVIEW AND AUDITS**

### **2.41 RESERVED FOR FUTURE USE**

### **2.42 PROJECT ENGINEER'S PRE-AUDIT**

See [I.M. 3.910](#), Final Review, Audit, and Close-out Procedures for Federal-aid Projects.

### **2.43 DISTRICT OFFICE AUDIT**

See [I.M. 3.910](#), Final Review, Audit, and Close-out Procedures for Federal-aid Projects.

### **2.44 RESERVED FOR FUTURE USE**

### **2.45 FORMS FOR FINAL PAYMENT PACKET**

See [I.M. 3.910, Attachment F](#), Final Form Packet Checklist, ([Word](#))

## **2.50 CONTRACTOR PAYMENTS AND PRICE ADJUSTMENTS**

### **2.51 PAYMENT FOR MATERIAL ALLOWANCE**

[Article 1109.05](#) of the Standard Specifications allows for payment of material stored at the project site or, under certain conditions, at other locations. NOTE: The phrase "material allowance" is also referred to as "stockpiled material."

Payment for stockpiled material may be allowed for materials that will be incorporated in the project. Iowa DOT policy is that all payments for stockpiled materials are non-participating. Payment will not be considered for contracts with an award amount less than \$10,000. When reimbursement is allowed, payment will be based on:

- 100% of invoice cost for material properly documented and properly stored at the project; or,
- 90% of invoice cost for material properly documented and stored elsewhere. Storage locations must facilitate routine inspection by Project Engineer.

When material is stockpiled off-site and inspection of the material is not possible by the Project Engineer or Iowa DOT Materials personnel, if Iowa DOT Materials inspection has been requested and approved, the material may be paid for at 90% provided the following information has been submitted by the Contractor:

- Invoice cost of the material,
- Description and quantity of the material,
- Inspection reports, test reports, mill certifications, and approved shop drawings,
- Location of the material, and
- Material clearly marked for the County, Project Number, and Contractor as reserved for that project, including photo(s) of stockpiled materials and photo(s) of product identification tags.

Material allowances could be extended to "raw" structural steel provided:

- "Raw" as used in this context means steel products that have been processed by a steel mill into plates, sheets, or shapes of standard mill dimensions. "Fabrication" is then taking these mill run products, and fabricating them into usable structural shapes as specified in the contract documents.
- Mill Certifications and Heat Numbers have been submitted and approved by the Office of Construction and Materials.
- All shop drawings have been submitted and approved, including development of a fabrication shop "cutting diagram."

- Iowa DOT shop fabrication inspector has verified and inspected all "raw" steel as being delivered, properly marked for the project, and properly stored at the fabrication shop.

### **Pre-conditions for Material Allowances**

- Payment for material allowances is based on actual invoiced cost. This means the Contractor has ownership and/or control of any stockpiled material. Checking or verification of payment to the Contractor may be required in instances where a Project Engineer deems it necessary. In lieu of checking, certification that the Contractor owns or controls the material may suffice.
- Off-site material should be secured and clearly identifiable to the project.
- Material considered for material allowances shall be specifically fabricated or processed for that project. By definition, fabricated items will require shop drawings or shall be fabricated from standard Iowa DOT detail sheets. NOTE: Aggregate is obviously not "fabricated," but is "processed" and can be considered unique as long as the material meets other applicable requirements of this pre-condition section and has been certified by the producer.
- The Project Engineer shall confirm the following items before payment is made:
  1. Inspection or certification reports, test reports, and invoices are included in the project file or in the Office of Construction and Materials.
  2. Processed or fabricated material is satisfactorily stored, correctly identified, reserved for the project, and available for inspection to verify existence and quantity.
  3. Provisions should be made for inspection to verify that quality has not deteriorated and that material has not been utilized for other projects. This inspection can be arranged through the Project Engineer.

The preconstruction meeting is a good place to identify items for, or begin the discussion of, potential stockpiled material. Potential items can be identified, but no action needs to be taken until the material is available at the project or at other agreed locations.

### **Stockpile Documentation Work Sheet**

Payment for material allowances must be documented and monitored. It will be necessary to maintain a project level work sheet covering:

- value and quantity of material being stockpiled
- location of stockpile (not on the project)
- dates of the Project Engineer's inspections
- basis for material approval

The work sheet must show a running total for materials delivered and those used in construction of the project, including the total quantity and value of the remaining stockpiled materials. As materials are placed into "the stockpile," payment may be made by properly including the new amount to Item 8999 on the progress voucher or pay estimate. Federal-aid reimbursement is not allowed until the materials are incorporated in the project.

### **Voucher Entries**

An 8999 item number will be preprinted on the Contract Construction Progress Voucher for Stockpiled Material. (If an 8999 item number is not provided, one can be added by writing a Change Order to the contract for Stockpiled Material.) For locally paid projects, a Change Order may be processed for payment of stock pile materials, but it is not required.

For those agencies using FieldBook/FieldManager for project administration:

- Instructions for processing material allowances in the FieldBook / FieldManager systems are detailed in their respective FieldBook or FieldManager Users Guide.
- Field entries (dollars) in this item number authorize Contractor payment for stockpiled materials. Payment will be based on the actual cost as shown by an invoice.
- Value of the 8999 item will be decreased as stockpiled material is incorporated in the project and included as an appropriate contract pay item. The value of 8999 may fluctuate up or down during the project because of:
  - Increased value as more material is stockpiled, or
  - A decreased value as material is used on the project, i.e., stockpile is being depleted.
- The final entry made concerning stockpiled material must:
  - Zero (0) Item 8999 on the final voucher **AND**
  - Zero (0) all stockpile quantities documented on the project work sheet.

### **Miscellaneous**

The term "material allowance" is used to designate material which will later be incorporated in the project and ultimately paid at contract unit prices. The term "unincorporated material" is used for material ordered for use on the project, but not used. Payment for material ordered, but not used and taken over by the Contracting Authority must be paid by Change Order. (Refer to Section 2.36 of this Attachment for procedure used to process a Change Order.)



## **2.52 PAYMENT FOR UNEXPECTED CLASS 12 ROCK EXCAVATION**

When Class 12 excavation is unexpectedly encountered and there is no contract item for Class 12, the quantity of Class 12 will be paid for as extra work through a Change Order. (Refer to Section 2.36 of this Attachment for procedure used to process a Change Order.)

Approval for Work:

CASE I (Contract has an item for Class 10.)

[Specification 2102.05, A, 1](#) establishes a price of ten times the Class 10 contract unit price for unexpected Class 12 excavation.

CASE II (Contract does not have an item for Class 10.)

In this case a new price will have to be negotiated.

NOTE: When the contract contains items for special categories of Class 12, such as Class 12 (channel) or Class 12 (boulders), these items are not considered as representing normal Class 12 roadway and borrow excavation work.

## **2.53 PRICE ADJUSTMENT GUIDE FOR REASONABLY CLOSE CONFORMING, REASONABLY ACCEPTABLE, AND DEFICIENT WORK**

Every effort should be made to prevent substandard work and/or non-complying material from being incorporated into the project. However, when work and/or materials are deemed to be non-complying, Sections [1101](#) and [1105](#) of the Standard Specifications give authority to the Project Engineer for determining if construction work or materials are acceptable and/or within reasonably close conformity to the plans and specifications. Therefore, the Project Engineer must decide whether deficient work is to be removed and replaced or left in place with a price adjustment. Unusual situations or circumstances may warrant consultation with the Administering Office.

NOTE: A price adjustment is no substitute for specification compliance and "unacceptable work" shall always be removed and replaced with acceptable work. Further, Contractors need to be given an option of removing deficient work and replacing with acceptable work in lieu of a price adjustment.

Price adjustments of \$100 or less need not be formalized in a Change Order.

### **Guide Schedules for Price Adjustments**

#### **A. Gradation**

Unless otherwise specified, variations in the gradation of aggregates shall be price adjusted as prescribed by Price Adjustment for Aggregate Gradation Test Deviation (see Iowa DOT Construction Manual [Appendix 2-34\(A\)](#)). These adjustments apply to variations in gradations for:

- Portland Cement Concrete

B. PCC Slump, Air Content, Rain Damage, and Edge Damage

1. Concrete Slump Price Adjustments are prescribed in the Iowa DOT Construction Manual [Appendix 2-34\(B\)](#). Concrete Air Content, Water Cement Ratio, Vibrator Frequency, Certified Plant Inspection, and Late Curing Application Price Adjustments are prescribed in the Iowa DOT Construction Manual [Appendix 2-34\(C\)](#).
2. Rain Damaged Portland Cement Concrete  
When rain damage occurs, removal and replacement may be required by the Project Engineer in accordance with [Article 2301.03, K, 4](#), of the Standard Specifications. However, damage must be determined to be severe enough to warrant such action. Contact the Administering Office for assistance, if needed.

If work is allowed to remain, [Article 1109.03, C](#), of the Standard Specifications requires the Project Engineer to determine "... a modification of the contract unit price." The following CASES shall be used for determining rain damage price adjustments.

NOTE: Price adjustments are applied to an entire area encompassing the damage. (This means full width placed when damage occurred, beginning at the first transverse joint before any damage and ending at the first transverse joint after damage.)

**ADJUSTMENT SCHEDULE**

**CASE I** - (Payment is 95% of contract unit price.)

Texture is absent from practically all of surface area. Surface appearance may have a "sandy" appearance or may be "pock" marked from the rain droplets. An occasional edge repair may be required due to excess edge slump or from edge rounding. Small areas along edge may have coarser particles of fine aggregate exposed. Surfaces finished in the rain or after a rain are also included in Case I. This includes any manipulation of the pavement surface including mopping of the surface to attempt to remove rainwater or retexturing while rainwater is present.

**CASE II** - (Payment is 90% of contract unit price.)

Texture is totally absent from the surface and cement mortar has been eroded to an extent that coarser particles of the fine aggregate fraction are generally exposed. Some slight troughs or depressions are apparent; exposing coarse aggregate particles, but this damage is confined to a limited area or randomly spread intermittently throughout damaged area. Some edge repairs may be required to restore eroded edges. Surface mortar that was removed by rain water, but later replaced or supplemented with plastic concrete is included in Case II since a cold joint or sand lens with minimal Portland cement paste contact may have been inadvertently incorporated into the slab.

**CASE III - (Payment is 85% of contract unit price.)**

Surface mortar has been practically all removed to an extent that coarse particles of the coarse aggregate fraction are visible. Considerable erosion of edges has occurred, but not to an extent that pavement width is affected. Intermittent edge repair may be required as well as some surface patching of slight troughs or depressions that may have formed in pavement surface due to flowing water.

Severe rain damage may require "localized area" repair by bridge deck overlay procedures. Full depth removal and replacement may be required if edge damage is severe. Severe cases of rain damage should be referred to the Administering Office for review prior to determination of repair or replacement.

In addition to above described price adjustments and repairs, slab surfaces with missing, omitted, or damaged texturing shall have macrotexture re-established by grooving prior to acceptance by Project Engineer. As an alternative to price adjustment and grooving, for CASE I and CASE II corrections, the Contractor may elect to diamond grind the entire affected area to remove questionable surface mortar and re-establish texture. When this option is chosen, payment for CASE I rain damage will be 100% of the contract unit price, and the payment for CASE II rain damage will be 95% of the contract unit price.

3. PCC Pavement Edge Damage

Price adjustments and recommended repairs for PCC pavement edge damage are included in the Iowa DOT Construction Manual [Appendix 2-34\(N\)](#). Typically, PCC pavement edge damage does not affect the structure of the pavement, but it is unsightly and a result of substandard workmanship. Therefore, in moderate cases, a price adjustment is warranted over repair. In severe cases, price adjustment and repair may be appropriate.

C. Steel Products

Certificates for steel products should be reviewed for compliance with the federal Buy America requirements before it is incorporated in the project or paid as stockpiled material. The intent of the Federal requirements is not to utilize foreign steel in a Federal-aid project. If the Contracting Authority permits the minimum usage as allowed by the Standard Specifications, the Contracting Authority must track and report the usage of foreign steel to ensure the minimum usage is not exceeded.

If it is discovered after-the-fact that foreign steel has been incorporated into to the project exceeded the minimum usage, the Contracting Authority must contact the Administrating Office for guidance. All after-the-fact discovers of foreign steel must be reported to FHWA who will determine the resolution on a case-by-case basis, and will vary depending on the circumstances. If the Contracting Authority has chosen to allow the minimum usage, and exceeds the minimum usage, their risk of losing federal reimbursement is increased.

D. "L" Joint Tie Steel Deficiencies

Tolerance problems with "L" joint tie steel shall be corrected according to procedures established in the Iowa DOT [Construction Manual 9.26](#). (Note: "'BT" and "KT" deficiencies usually require field correction.)

An adjustment in the contract unit price shall be made for out of tolerance "L" joint tie steel areas. This price adjustment should be a reduction of 5% to the contract unit price per square yard for affected areas. It should be calculated based upon the length of the area with deficient tie steel multiplied by the width of the placement. The price adjustment is not intended to apply to individual out of tolerance tie steel.

E. Bridge Floor Overlay price adjustments are prescribed in the Iowa DOT Construction Manual [Appendix 2-34\(D\)](#).

F. Macro texture adjustments will be determined by the Project Engineer on a case-by-case basis depending on severity and amount of surface area involved.

For texture depth measurement criteria, refer to the Iowa DOT [Construction Manual 9.43](#). Texture depths less than 1.5 mm (1/16 inch) shall be corrected by sawing in grooving or diamond grinding. Texture depth exceeding 4.5 mm (3/16 inch) may require price adjustment as directed by the Project Engineer. Price adjustments for over depth grooving are found in the Iowa DOT Construction Manual [Appendix 2-34\(E\)](#).

G. Traffic Control

1. Price adjustments may be applied for failure to comply with traffic control requirements in the contract documents. Contract price adjustments will be determined by the Project Engineer, based on magnitude and frequency of violations. A suggested sliding scale is \$500 for the first violation, \$1,000 for the second violation, \$2000 for the third and subsequent violations. See flowchart in the Iowa DOT Construction Manual [Appendix 2-15](#) for further guidance. After the third violation has occurred, work may be suspended. If the traffic control violation is serious, a higher price adjustment may be used based on the Contracting Authority's discretion as recommended by the Project Engineer and/or Administering Office.

Price adjustment violations will be counted from first violation through last violation for an entire contract. It is the Contractor's responsibility to ensure a safe work zone for all construction activities regardless of work in progress or who is doing that work. Therefore, violations will accumulate against the "contract" and not be separated or individualized by subcontractor.

Examples of situations where a price adjustment would be appropriate include:

- Failure to maintain traffic control devices (costs incurred by the Contracting Authority may be recovered against this item).
- Working without proper traffic control setup.

- Unauthorized crossing of multilane divided roadway median.
- Use of unauthorized, substandard, or non-standard traffic control items such as incorrect sign sheeting or unapproved floodlights.
- Violations of, or failure to comply with, traffic control requirements in the contract documents.

It is not intended that minor deficiencies be price adjusted if corrected in a timely manner.

In addition to price adjustments, Project Engineers may suspend work for irresponsible and/or repeated failure to conduct construction activities using proper traffic control procedures.

It is acceptable for Contractors to work beyond the specified work hours when all of the following conditions are met:

- Contractor is working behind temporary barrier rail.
- Inspection is not required.
- No vehicles are entering the work area.
- Traffic control is in accordance with the Night Work Lighting requirements ([Section 2550](#) of the Standard Specifications).
- The work continues only for a short time frame to complete a specific work task.

Copies of traffic control non-compliance notices should be provided to both the Contractor and Subcontractor if the Subcontractor was issued the non-compliance notice.

2. Failure to maintain traffic control devices and signs on a daily basis continues to be a concern of the Project Engineer and/or Contracting Authority. Price adjustments are appropriate for failure to adequately maintain these devices and signs. To determine an appropriate daily price adjustment for lack of maintenance, the total bid price for the traffic control item should be divided by the number of working days allowed on the contract. This calculated amount should then be divided in two to determine an appropriate daily maintenance value. This daily maintenance value would be the appropriate price adjustment for failure to maintain traffic control devices and signs.

The daily maintenance price adjustment calculated below is in addition to other traffic control price adjustments.

An example calculation to determine this daily maintenance value follows:

Traffic control bid item amount (TC) = \$25,000

Number of contract working days (WD) = 100

Daily maintenance price adjustment (PA)

$PA = (TC/WD)/2$

$PA = (\$25,000/100)/2 = (250)/2 = \$125$

PA = \$125

3. Occasionally Contractors fail to provide the required traffic control technician or have the daily traffic control diary completed during the construction of the project.
  - An appropriate price adjustment for failure to provide a traffic control technician is 20% of the traffic control bid item price or \$500, whichever is greater.
  - An appropriate price adjustment for failure to provide a traffic control diary that is supervised by a trained Traffic Control Technician for review during construction activities is an additional 10% of the traffic control bid item or \$500, whichever is greater. This price adjustment can be issued multiple times throughout the duration of the project and may even be issued on a daily basis for gross failure to have an up-to-date completed Traffic Control Diary each day.
  - An appropriate price adjustment for failure to submit to the Project Engineer upon project completion a traffic control diary that is supervised by a trained Traffic Control Technician is an additional 20% of the traffic control bid item price or \$500, whichever is greater.
  - These price adjustments are independent of each other and are also in addition to other traffic control price adjustments.
4. When a flagger is incorrectly flagging according to the Flagger's Handbook, as referenced in [Article 2528.03, K](#), of the Standard Specifications, the project should have the Flagger bid item price adjusted. This price adjustment should be one half of the daily unit bid price for the Flagger item.

Examples of situations where a flagger price adjustment would be appropriate include:

- Incorrect flagging procedures
- Nighttime flagging without a correctly lighted flagger station or without appropriate nighttime flagging equipment or apparel
- Incorrect, inappropriate, or incomplete flagger attire
- Use of incorrect STOP/SLOW paddle
- Failure to carry their flagger training card

When an untrained flagger is used in violation of the specifications, the flagger shall not be measured and paid. The flagger shall continue to flag for

the remainder of the day and a trained flagger shall be substituted the next day. Unattended flagger stations are not allowed by specifications. Any unattended flagger station is considered a severe violation of the specifications and should be price adjusted per Item 1 price adjustments.

When an untrained flagger is used in violation of the specifications, the flagger shall not be measured and paid. The flagger shall continue to flag for the remainder of the day and a trained flagger shall be substituted the next day. Unattended flagger stations are a severe violation of the specifications and should be price adjusted per Item 1 price adjustments.

These price adjustments are also in addition to other traffic control price adjustments.

## G. Asphalt

### 1. Liquid Asphalt

#### a. Viscosity or Penetration

When non-complying tests occur, determine the quantity affected. Average all non-complying quality control tests and use that average in conjunction with the Iowa DOT Construction Manual [Appendix 2-34\(F\)](#) to determine if, or how much, price adjustment is warranted.

#### b. Residue

The determination of compliance for emulsions used as tack coats shall be based on residue percentage. Undiluted emulsion contains a minimum of 57% asphalt residue. Emulsion diluted with one part emulsion to one part water shall contain a minimum of 28.5% residue.

When non-complying tests occur, determine the quantity affected. Average all non-complying quality control tests and use that average in conjunction with the Iowa DOT Construction Manual [Appendix 2-34\(G\)](#) to determine if, or how much, price adjustment is warranted.

### 2. Asphalt Binder - Viscosity

When a non-complying viscosity test occurs, establish the quantity of material affected. This quantity may be the total asphalt binder used that day, unless intermediate quality measurements have been made during the day. The quantity affected shall be in relation to the proportion of non-complying samples to the total number of asphalt binder samples obtained that day.

Example:

Total samples taken during the day	=	5
Number of failing samples for the day	=	2
Total asphalt binder used that day	=	200 tons
Quantity affected = $(2 \div 5) \times 200$	=	80 tons



Non-complying test results for the day shall be averaged to determine the amount of deviation from specification requirements. This average will be used to apply the appropriate percent of payment for the quantity affected. Use the Price Adjustment schedule in the Iowa DOT Construction Manual [Appendix 2-34\(H\)](#) and [Appendix 2-34\(I\)](#) to obtain the applicable payment adjustment.

The materials, both liquid asphalt and asphalt binder, are used on the basis of certification. The follow-up acceptance testing is performed to verify the compliance so work will not be delayed pending the test results. However, if the material has not been incorporated and acceptance tests indicate non-compliance, the material will be rejected.

Unless indicated otherwise in the contract documents, the Contractor must use performance graded (PG) asphalt binders. If a PG asphalt binder is used but the properties do not comply with specifications, consult with the Administering Office and the District Materials Engineer for appropriate resolution. A price adjustment may or may not be appropriate depending upon the circumstances involved in each situation.

### 3. Asphalt Binder Content

The determination for compliance with the specifications of the asphalt binder content control shall be made for periods not exceeding one day in length. Determinations shall be made for shorter time intervals when non-compliance for the shorter intervals has occurred.

The specifications for asphalt construction require the Contractor to maintain the asphalt binder content within plus or minus 0.3 percentage points of the percent intended. The percent intended is given on the job-mix formula sheet. No payment will be made for asphalt binder used in a mixture in excess of tolerance specified. Please note that the Price Adjustment for Deviation in Asphalt Binder Content (see Iowa DOT Construction Manual [Appendix 2-34 \(Table J\)](#)), is only for use in situations when no hot box samples are taken for a given day of asphalt paving.

Excessive asphalt binder content can result in low lab voids which can, in turn, result in a high potential for pavement failure due to flushing and rutting. When the deviation from intended asphalt binder content is greater than 0.3% and the lab voids for the lot are extremely low, the District Materials Engineer should be consulted regarding the rutting potential of the pavement. In cases where severe rutting or flushing develops or is likely to develop, removal and replacement of the non-complying asphalt pavement should be considered.

When the asphalt mixture quantity involved is 200 tons or less, tank-stick measurements lack precision and cannot be used as a basis for determining asphalt binder content. In this case, the average of tank-stick measurement results from the day before and the day after may be used to provide further verification.



The procedures listed in the Iowa DOT [Materials I.M. 508](#) and [I.M. 509](#) should be followed closely in making tank-stick measurement calculations.

The Contractors are cautioned to observe the following procedures in order to help insure accuracy of the determinations:

- a. Keep the storage tank level and in good condition
- b. Make sure that the asphalt binder in the surge tank is exactly the same level each time that measurements are made
- c. Try not to drain the asphalt binder level in the tanks into the heater coil area when measurements are made
- d. See that rail cars and transport trucks are completely unloaded or any unused asphalt binder returned is weighed or measured

To eliminate misunderstandings and uncertainties, it is strongly urged that an authorized representative of the Contractor observe all sampling and tank-stick measurements and check all calculations. A Contractor's representative should also be requested to initial or sign the field book or record sheet containing the measurements and results as they are made.

4. Segregation in ~~Hot Mix~~ Asphalt Pavement  
When mixture segregation occurs in the pavement such that the composition and quality of the mixture required by specification are not uniformly attained, the sections judged deficient may be required to be removed and replaced as defective work. An adjustment in contract price may be made for deficient work for the cases described in the following schedule.

- a. Pavement Surface

The adjustments in contract price are to be applied to the entire paver lane width and lift thickness between extreme areas of segregation. Price adjustment shall apply only to the payment for the asphalt mixture. Price adjustments are defined in the Iowa DOT Construction Manual [Appendix 2-34\(K\)](#).

#### **ADJUSTMENT SCHEDULE**

**Case I** (Payment is 80% of contract unit price.)

When uniform surface texture and mixture composition is evident (by visual observation) except for occasional and random areas of segregation, the mix shall be subject to price adjustment if the area determined segregated equals or exceeds 1 square yard per station per paver width (length determined by longitudinal distance both directions from segregated area).

**Case II** (Payment is 50% of contract unit price.)

When a non-uniform surface texture and mixture composition is evident (by visual observation) and there is a regular interval of numerous areas of segregation connected or nearly connected with longitudinal traces of segregation, the mix shall be subject to price adjustment if the total area segregated equals or exceeds 3

square yards per station per paver lane width (length determined by longitudinal distance both directions from the extreme ends of areas of segregation).

**Case III Longitudinal Streaks** (Payment is 80% of contract unit price.)

When a non-uniform surface texture and mixture composition is evident (by visual observation) and in the form of longitudinal streaks of 3 inches or more in width, the mix shall be subject to price adjustment if the segregation occurs at a rate that exceeds 1 square yard per station. The rate is determined by multiplying approximate width by length of the streaks to determine area and dividing by the length of the streaks (in stations). Longitudinal streaks most commonly occur with the windrow-pickup process, particularly when resurfacing superelevated curves. Streaks are typically seen in the wheel path areas and occasionally in the center of the lane. Streak widths typically vary from 3 to 12 inches and may be continuous or intermittent. This type of segregation results in longitudinal cracking.

More severe surface and mixture segregation may require corrective procedures as:

- full width thin layer 1 inch thick resurfacing or
- removal of asphalt mixture course with no extra payment and replacement with construction that fully complies

Note: Determination of segregation in asphalt pavement is by visual examination in accordance with current specifications. The engineer may consider further verification through coring and extraction tests. Segregation case examples, with corresponding price adjustment calculations, are illustrated in the Iowa DOT Construction Manual [Appendix 2-34\(K\)](#).

b. Fillets & Runouts

This price adjustment procedure does not apply to fillets, bridge runouts, or other hand-worked areas outside of the normal paver lane width.

c. Base & Intermediate Courses

The price adjustment percentages shall be reduced as indicated in the Iowa DOT Construction Manual [Appendix 2-34\(K\)](#) for all base or intermediate courses, except when such mixture is specified and used as the surface course.

d. Procedure for Determination of Price Adjusted Quantities

The segregation case examples shown in the Iowa DOT Construction Manual [Appendix 2-34\(K\)](#) illustrate a concept that may be used to define the severity of segregation and appropriate price adjustment factor. It is not required, however, to physically measure each area of segregation to determine a quantity of HMA mixture that is subject to price adjustment. The intent is to define the quantity subject to price adjustment by identifying the number of truckloads in which segregated areas are evident. This obviously takes some judgment to decide how large or severe an area must be before it is price adjusted. The 1 square yard area shown in examples is a "rule-of-thumb." Most importantly, segregated areas that exhibit an obvious concentration of coarse aggregate resulting in a non-uniform open texture should be price adjusted.

Whenever segregation is observed, the Contractor shall be advised immediately and the inspector must document the deficiency with a Non-compliance Notice. The notice should reference the applicable specification and indicate the Project Engineer will review the work to determine the acceptability of the work. It is recommended that a Non-compliance Notice be issued when segregation is initially observed with final evaluation and price adjustment determined later but prior to project acceptance.

Timeliness is important for two reasons. First, the Contractor must take corrective action immediately. Failure to do so should result in suspension of work. Secondly, early identification of unacceptable work allows for resolution of any disputes before there is an "implied" acceptance. The Iowa DOT [Construction Manual 1.12](#) discusses the enhancement of working relationships by timely notification of unacceptable work.

For streak type segregation, it will be necessary to identify and tabulate the location and length of the segregated streak areas subject to price adjustment and base the price adjustment on the mix quantity within the beginning and ending station limits of the streaks.

Normally this procedure should be repeated for each day from header to header on the day following placement. Each day's run can be tabulated showing a summary of affected tons of HMA mixture subject to price adjustment.

5. Asphalt Binder Film Thickness

Film thickness, as calculated in the Iowa DOT [Materials I.M. 501](#), provides a general indication of an asphalt pavement's potential long-term durability. When asphalt binder content changes are considered to adjust air voids, caution must be used to assure that adequate film thickness required in the Iowa DOT [Materials I.M. 510 Appendix A](#), Table 1 is maintained. When the resulting film thickness is outside the specified range, procedures given in

the Iowa DOT Construction Manual *Specification 2303.05, A, 3, c. Appendix 2-34 (Table M)* should be used to determine the appropriate price adjustment or alternate course of action.

## 6. Laboratory Voids and Field Voids

Production control and compaction requirements are covered in the current specifications for Asphalt Mixtures. Price adjustment is made through use of Pay Factors for laboratory voids and field voids determined for the lot. The Pay Factors are applied to the unit price for asphalt mixture only.

## 7. Defective Field Voids in Asphalt Pavement

When Percent-Within-Limits (PWL) falls below 50 for field voids, the lot may be declared defective. Use the following guidelines to determine if the material shall remain in place or be removed. These guidelines are to be used with engineering judgment. The resulting pay factor at the completion of review should be between 0 and 0.75.

First, determine if there is a testing issue by reviewing Gmm for consistency and correlation. If it is determined the Gmm is not reliable due to testing concerns, re-calculate the field voids using the Engineer's test results and compare. It may be necessary to proceed through the guidelines below with both initial results, and re-calculated results. If Gmm is valid, use the following guidelines:

- a. Randomly core the defective area. The cores shall be for information only and not be included in the acceptance decision.
- b. Re-calculate the voids for each core using the nearest Gmm value instead of the average Gmm value.
- c. Evaluate the initial set of cores as well as the additional cores as follows:
  - If Field Voids are High (risk of long-term durability and strength issues)

If all of the following are true or for a non-surface lift, consider leaving in place with a price adjustment:

- No core exceeds 10% voids
- Film thickness  $\geq 10$
- Average field voids  $< 9\%$

If all of the above are not true, consider removal.

- If Field Voids are Low (risk of rutting)
  - If low traffic and high speed, then consider leaving in place.
  - If high traffic, consider removal.
- If the average thickness is less than the intended, consider removal.

#### H. Adjustments for All Contract Administration Issues

Price adjustments for non-complying work are occasionally appropriate when the issue relates to other incidental items in the contract documents. Price adjustments shall not be considered unless there is willful or repeated reoccurrences indicating lack of due consideration on the Contractor's part. In such cases, the following will apply:

- Provide a clear and concise notification to all parties involved with the incident. (This could be a verbal notification or a written non-compliance without price adjustment.)
- Subsequent violations would result in additional non-compliances and could be reason for price adjustments starting at \$100, then \$250, \$500 etc. (progressively doubling the amount of each following violation).

NOTE: It is NOT intended that minor deficiencies be price adjusted if corrected in a timely manner. Situations and circumstances will dictate how this portion should be applied.

#### I. Steel H-Pile Weight Deficiency

The Iowa DOT [Materials I.M. 467](#) specifies a mass tolerance of 2.5% on steel H-pile weight deficiency. Steel H-piles that are deficient by more than 2.5% of theoretical weight should not be accepted for incorporation into the work except when:

- The need for the steel H-pile is immediate and considered critical by the Project Engineer.
- Replacement of steel H-pile is not reasonably possible due to short supply and availability.

In the above cases, the Project Engineer may decide to approve the use of deficient steel H-pile and apply a price adjustment in contract unit price for the material as prescribed by "Steel H-Pile Weight Deficiency Price Adjustment" in the Iowa DOT Construction Manual [Appendix 2-34\(L\)](#).

#### J. Erosion Control

Occasionally Contractors fail to provide the required erosion control technician (ECT) or an Erosion & Sediment Control (ESC) Basics trained individual during the construction of the project.

An appropriate price adjustment for failure to provide an ECT or ESC Basics trained individual during construction activities anytime during a month is \$250. This adjustment would be issued on a monthly basis. Price adjustments for failure to provide an ECT will not exceed \$1,000 per year.

These price adjustments are independent of each other and are also in addition to other erosion control price adjustments.

#### K. Railroad Safety Violations

Projects that affect railroads will include Contractor safety and flagging requirements. The provisions may specify amounts for price adjustments for safety violations. If the provisions do not include amounts for price adjustments, the Project Engineer and/or Contracting Authority should consult with the Office of Local Systems to determine the appropriate amount.

Copies of non-compliance notices for railroad safety violations should be forwarded to the Administering Office.

#### L. Use of Non-Domestic Steel Products

Certificates for steel products are to be reviewed for compliance with the contract documents before the material is incorporated in the project or paid as stockpiled material. The intent of Specification 1107.06, B and I.M. 107 is not to utilize foreign steel. If the Engineer permits the minimum usage as allowed by the Standard Specifications, the Engineer must track and report the usage of foreign steel to ensure the minimum usage is not exceeded.

If it is discovered “after-the-fact” that foreign steel has been incorporated into the project exceeding the minimum usage, the Engineer must contact the Office of Construction and Materials. All after-the-fact discoveries of foreign steel incorporated into a federal-aid contract must be reported to FHWA who will determine the resolution on a case-by-case basis.

### 2.54 PRICE ADJUSTMENT CHANGE ORDERS

Price adjustment deductions are processed by Change Orders using an 8xxx Change Number. (Refer to Section 2.36 of this Attachment for information about processing Change Orders.)

### 2.55 FINAL PAYMENT TO CONTRACTOR

Iowa Code allows a maximum of 5% to be retained until a contract is completed. Iowa DOT specifications require that 3% will be retained on the first \$1,000,000 paid on a contract.

This retainage is specifically withheld to cover:

- Unpaid creditors who file claims against a contract. The Contracting Authority is obligated by Iowa Code Section 573, to withhold at least double the amount of any claims on file from the retained funds. The amount of retained funds is the maximum amount available for 573 claims.
- Iowa Code also requires payment of interest on retained contract funds.
- Refer to [I.M. 3.930](#), Interest Payment Procedures, for the applicable interest payment requirements.

- **573 Claim**  
A "573 Claim" is a term used to signify an Iowa Code Section (573) that establishes procedures by which unpaid subcontractors, material suppliers, etc. may file a claim for payment against the contract. These claims are formally filed with the Office of Finance.

"If a claim is filed," Iowa Code mandates that the Contracting Authority shall withhold, from the retained funds, an amount of 2 times any claim. The amount of retained funds is the maximum amount available for 573 claims. Following resolution of a "573 claim" or 60 days after the final (if no lawsuit has been filed), the Contracting Authority issues payments as required.

### **Recommended Guidelines**

At the preconstruction meeting, Contractors should be advised that all required forms, documents, and certifications must be properly prepared and forwarded to the Project Engineer before a final progress voucher can be processed. Forms required for Contractor submittal are explained in Section 2.20 of this Attachment and the Contractor is expected to read and be knowledgeable of these requirements.

It is important that required forms, documents, and certifications are dated when received from the Contractor. Every effort should be made to have all documentation and Change Order issues resolved on, or soon after, accepting the project.

For more information, see [I.M. 3.910](#), Final Review, Audit, and Close-out Procedures for Federal-aid Projects.

### **Interest Payment Information for County and City Projects ([Form 830236](#))**

See [I.M. 3.930](#), Interest Payment Procedures.

## **2.56 FUEL ADJUSTMENT**

The specification for Fuel Adjustment, [Section 2120](#) of the Standard Specifications, applies to a contract only when specified in the Proposal with the appropriate note.

The Current Price Index (CPI) is available at the Office of Contracts' website: <https://www.iowadot.gov/contracts/lettings/FuelAdjustment.pdf>. The Base Price Index (BPI) for fuel adjustment calculations will be the CPI listed for the month prior to the letting date of the contract.

### **Fuel Adjustment Calculation**

Standardized Fuel Adjustment work sheet (Form 105) is available in electronic format under the "Inspection Tools" tab on the Office of Construction and Materials' "Contract Administration" webpage: <https://www.iowadot.gov/contracts/lettings/FuelAdjustment.pdf>



Form 105 is usable as either a preprinted form for manual usage or as EXCEL applications. Only raw data inputs are required for those who choose to utilize the EXCEL spreadsheets. Once raw data is entered, the computer calculates adjusted fuel payment from formulas and the user can print a completed monthly adjustment report. Refer to the Iowa DOT Construction Manual [Appendix 2-35](#) for a completed adjustment work sheet.

Payment for fuel adjustments is to be calculated at the end of each month for all qualifying work accomplished that month.

The Contractor shall provide to the Project Engineer, on a monthly basis, a spreadsheet with quantities and the calculated amount of fuel adjustment.

### **Instructions for [Fuel Adjustment Worksheet](#)**

Following instruction also available at  
[https://iowadot.gov/construction\\_materials/contract-administration/fuel-adj](https://iowadot.gov/construction_materials/contract-administration/fuel-adj)

1. Download the [Fuel Adjustment Worksheet](#) and save file to user's computer.
2. Complete contract information in header of spreadsheet.
3. Obtain Base Price Index (BPI), from the [Office of Contracts](#) by selecting Price Index for month previous to month of the letting. (For example: Letting Date is October 18, select CPI for September).
4. Enter the BPI in the designated space.
5. Enter the contract quantity of the items in the designated rows in the "Estimated Project Quantities". Other items included in the contract, but not listed, shall be added.
6. Obtain the Current Price Index (CPI) for a month from the [Office of Contracts](#).
7. Enter the CPI in the column "CPI" for the designated month.
8. Enter the quantities that have been hauled in the appropriate item columns and month row. For example, Selected Backfill and Class 10 Excavation were hauled in June. In the June row, the Selected Backfill quantity is entered in Cell E35 and Class 10 Excavation quantity in Cell F35. The total quantity for the month will be automatically computed and shown in the column labeled "Total CY".
9. When adding an item not already shown in the spreadsheet, use one of the columns designated for the applicable Fuel Usage Factor (FUF). The spreadsheet uses yellow shading for items which use a FUF of 0.20 and green shading for Embankment-in-Place items which use a FUF of 0.27.
10. The fuel adjustment amount for the month will be automatically computed and shown in the column "FA" (Fuel Adjustment).



11. Submit a copy of the completed form to the Project Engineer. Payment or credit will be made by processing a Change Order. The form shall be completed and submitted on a monthly basis. The monthly quantities shall be added to the previous month's spreadsheet.
12. The Contractor and Contracting Authority shall agree upon the frequency of payment or credit.

### **Fuel Adjustment Payment**

Payment shall be by a Change Order form ([Form 831240](#)) using the item number 6200-5000171. With the Contractor's approval, one Change Order may be executed at the end of the project or at intervals agreeable to both the Project Engineer and the Contractor. Regardless of payment intervals, calculations on Form 105 shall be made at the end of each month with a copy forwarded to the Project Engineer for their files.

## **2.60 CONSTRUCTION FORMS**

Most forms can be found on the [Iowa DOT's Forms](#) webpage, but if difficulty is encountered in locating forms, contact the Administering Office.

<u>FORM NUMBER</u>	<u>TITLE</u>	<u>MANUAL LOCATION</u>
<b>General Construction</b>		
<a href="#">830301</a>	Audit of Final Pay Estimate	2.43*
<a href="#">640003</a>	Certificate of Completion and Final Acceptance for Agreement Work	<a href="#">12.04</a>
<a href="#">518002</a>	Certification of Subcontractor Payments	2.25*
<a href="#">830176</a> (Excel)	Certified Transcript of Labor Payroll/Statement of Compliance (WH-348)	2.24*
<a href="#">831240</a>	Change Order	2.36*
<a href="#">830230</a>	Contract Quantity Agreement	2.27*
<a href="#">102008</a>	Contractor Concept for Value Engineering Incentive Proposal	2.36*
<a href="#">830215</a>	Co-Permittee Certification Statement	<a href="#">10.33</a>
<a href="#">830436</a>	Final Payment	2.37*
<a href="#">820193</a>	Identification of Sample for Test	<a href="#">3.21</a>
<a href="#">830236</a>	Interest Payment Information for County and City Projects	2.55*
<a href="#">830245</a>	Noncompliance Notice	<a href="#">3.21</a>
<a href="#">830216</a>	Notice of Discontinuation of a Stormwater Discharge	<a href="#">10.31</a>
<a href="#">810036</a>	Notice of Suspension or Resumption of Work	<a href="#">3.06</a>
<a href="#">830237</a> (Word)	Notice to Proceed	2.32*
<a href="#">830435</a>	Statement of Completion and Final Acceptance of Work	2.37*

<a href="#">181213</a>	Statement of Force Account	2.35*
<a href="#">830214</a>	Storm Water Site Inspection	<a href="#">10.33</a>
<a href="#">830231</a>	Subcontract Request	2.25*
<a href="#">830238</a> (Word)	Weekly Report of Working Days	2.33*
<a href="#">830241</a>	Weekly Report of Working Days (I/D)	2.33*

**EEO and Employee Training**

<a href="#">102116</a>	Certification of DBE Accomplishment	2.25*
<a href="#">650170</a>	Project Engineer's EEO Project Site Inspection / Wage Rate Report	2.22*
<a href="#">102115</a>	Statement of DBE Commitments	2.25*

**Grading**

<a href="#">650014</a> (Word)	Preliminary Estimate for Clearing Right-of-Way	<a href="#">6.11</a>
<a href="#">830214</a>	Storm Water Site Inspection	<a href="#">10.33</a>
<a href="#">830215</a>	Co-Permittee Certification Statement	<a href="#">10.33</a>
<a href="#">830216</a>	Notice of Discontinuation of a Storm Water Discharge	<a href="#">10.31</a>

**Structures**

<a href="#">830209</a>	Log of Piling Driven with Wave Equation	<a href="#">11.25</a>
<a href="#">830210</a>	Log of Piling Driven by Formula	<a href="#">Appendix 11.22</a>
800240E	PCC Plant Page (English)	<a href="#">11.51</a>

**Hot Mix Asphalt and Flexible Bases and Subbases**

800241	Daily HMA Plant Report (English/Metric)	<a href="#">8.02</a>
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**Portland Cement Concrete Paving**

830212	Ready Mix Concrete Ticket	<a href="#">9.03</a>
<a href="#">830213</a>	Project Information/Paver Inspection	<a href="#">9.69</a>
800240E	PCC Plant Page (English)	<a href="#">9.02</a>

\* Indicates Section in the Attachment

**2.70 Intentionally left blank**

**2.71 BRIDGE INVENTORY REPORT**

See [I.M. 2.120](#), Bridge Inspection

## 2.72 PREPARATION OF As-built PLANS

It is recommended practice to generate as-built plans on all projects for historical records but it is not required; however, for projects that go over, under, or intersect with an Interstate or Primary highway, three copies of as-built plans must be submitted to the Administering Office

When revising information on the plan with As-built information, the voided information should be lined out.

The As-built plan shall include the actual quantities included in the project, as well as items added to the project by Change Order that change physical features of the project.

It is not necessary to change wording in the As-built plan from future tense to past tense.

The title page of all as-built plans should include the certification block ([Form 520003](#)) with the name of the Contractor, year of project completion, Project Engineer's signature and certification.

Samples are included in the Iowa DOT Construction Manual [Appendix 2-37](#).

### Types of Work

Changes in the following types of work may include the listed items in the As-built plan:

#### A. Grading, Paving, Subdrains, Fencing, and Erosion Control

The As-built plan may include the following:

1. Control points - marked and referenced.
2. Land section corners - marked and referenced.
3. Vertical and horizontal alignment.
4. Corrections and adjustments in stationing.
5. Elevation of final bench marks and deletion of abandoned bench marks.
6. Planned drainage including pipe location, sizes, and flowlines; subdrains; backslope and letdown drains; etc.
7. Field Tile Crossings including size and location.
8. Subgrade treatment areas.
9. Locations, type, and width of accesses, driveways, and street connections.
10. Include location of overhead and underground utilities, if known.
11. Utility permit number and filing location.
12. Planned location, sizes, and flow lines of storm and sanitary sewers and intakes.
13. Location and type of fence.
14. Erosion control ditch treatment and let-down treatment.
15. Guardrail and other safety appurtenances.

B. HMA Resurfacing

Wedge and strengthening courses and other items such as guardrail, culvert extensions, etc.

C. Structures

Items to include for structures and bridges converted to culverts:

1. Flow line and footing elevation
2. Elevation of bench mark
3. Log of piling
4. Excavation limits (Class 21, 22,23, and 24)
5. Weep hole locations

D. Lighting, Signing, and Traffic Signals

Lighting, Signing, and Traffic Signal projects may include:

1. Location of underground conduit
2. Location of pole and handhole
3. Mounting heights and lengths of mast arms
4. Log of piling for tower lighting projects
5. Location of sign footing, post size and length
6. Vertical clearance of sign truss
7. Detector Loop type, size, and location

E. Bridge Deck Repairs and Pavement Patching

As-built plans are not required for bridge deck repair and pavement patching projects, unless safety items such as; guardrail or barrier rail have been changed. The repair projects for replacing bridge beams do not require an As-built plan.

**Wetlands**

Corps of Engineers' Section 404 Permits require that "Wetland Mitigation As-Constructed Drawings" be submitted to the Corps within 30 days of the completion of the mitigation sites. These drawings are separate from the usual Contracting Authority As-built plans. "Wetland Mitigation As-Constructed Drawings" are more detailed site maps that are used to confirm compliance with mitigation agreements and to monitor future performance of the wetland. The information varies with the permit, but typically includes before/after cross-sections, location and elevation of water control structures, monitoring sites, final boundary of constructed wetlands, list of plant species, photos, depth of transplanted topsoil, geometry and treatment of buffer areas, ditch plugs, drain tiles, and boundary markers.

## **Right of Way**

All right-of-way lines may be darkened and the station and offset included for all right-of-way breakpoints. Location of right-of-way corners may be identified. If the plan and profile sheets become too crowded when the right-of-way information is included, this information may be included on a separate plan sheet.

Information regarding access may be included on the As-built plan, including the limits of access rights purchased and location of constructed and deleted entrances.

The parcel information may include the owner's name and parcel number. Temporary easements do not need to be shown on the As-built plan.

## **Land Section Corner Ties**

During As-built plan preparation, the final land section corner ties information shall be reviewed with the District Land Surveyor. A plan sheet of the corrected land section corner ties shall be included in the As-built plan.

## **Tied Projects**

Tied projects may include references on the As-built plan title sheet that list other projects included in the contract. Project quantity item numbers should correspond to the item numbers shown in the contract, by plan. As-built plans for each project should be completed separately.

## **As-Built Plans Checklists**

See the Iowa DOT Construction Manual [Appendix 2-37.5](#) for checklists to use in developing As-built plans.

**2.73 Intentionally left blank**

**2.74 Intentionally left blank**

## Request For Early Release of Retained Funds

---

(This section to be completed by the Contractor)

Contract I.D. \_\_\_\_\_ County \_\_\_\_\_

Contractor \_\_\_\_\_ Letting Date \_\_\_\_\_

In accordance with Code of Iowa Chapters 26 and 573; I hereby request early release of retained funds on this contract. I certify that on \_\_\_\_\_, 20\_\_ written notice was provided to all subcontractors and suppliers associated with this contract, that early release of retained funds will be requested.

\_\_\_\_\_  
Contractor

\_\_\_\_\_  
Date

*Contractor shall submit signed form to Project Engineer*

---

(This section to be completed by Contracting Authority)

Twice the Amount of Claims on File \_\_\_\_\_

Total of retention to continue \_\_\_\_\_

Contract Acceptance Date (435) \_\_\_\_\_  
(Retained funds will be paid not sooner than 30 days after the Contract Acceptance Date)

**OR**

% Contract Complete (must be  $\geq 95\%$ ) \_\_\_\_\_  
(Retained funds will be paid not sooner than 30 days after DLSE Approval date)

Recommended by: \_\_\_\_\_  
Project Engineer Date

Approved by: \_\_\_\_\_  
Iowa DOT Administering Office Date

Disposition: Project Engineer – Submit completed form to Iowa DOT Administering Office  
Iowa DOT Administering Office – Forward approved form to Office of Finance



# Attachment E

# IDOT Field

# Inspection

# Report







- **Are employee facilities provided on a non-segregated basis?** .....
- Comments:
- **Project Status/Field Operations:**
  - Work Completed:
  - Work in Progress:
  - Construction Activities Observed:
  - Upcoming Work:
- **Comments on Field Inspection:**

**INSPECTORS RECORDS\***

	Yes	No	N/A
● <b>Type of documents being used to record project progress:</b>			
○ Loose leaf			
▪ Hard copy .....	<input type="checkbox"/>	<input type="checkbox"/>	
▪ Electronic .....	<input type="checkbox"/>	<input type="checkbox"/>	
○ Bound field book .....	<input type="checkbox"/>	<input type="checkbox"/>	
○ FieldBook / FieldManager .....	<input type="checkbox"/>	<input type="checkbox"/>	
○ Are there item progress and support forms for items added by Change Order?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
○ Method of Measurement / Basis of Payment included for each item .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
○ For items paid by weight are there adding machine tapes, computer print outs, or other documentation to support the pay quantities? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
○ For items paid by measured length, area, or volume are actual measured quantities shown? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
○ For items paid by count do all items show the actual count? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
○ For items paid as lump sum are the dates work started, dates of intermittent progress (if applicable), and date work completed included in the documentation? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
○ For items paid by plan/contract quantity is the date and location of the work an estimated quantity included in the documentation? .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
○ Comments:			
● <b>Are entries for all items:</b>			
○ Dated .....	<input type="checkbox"/>	<input type="checkbox"/>	
○ Locations indicated. ....	<input type="checkbox"/>	<input type="checkbox"/>	
○ Quantities incorporated .....	<input type="checkbox"/>	<input type="checkbox"/>	
○ Initialed .....	<input type="checkbox"/>	<input type="checkbox"/>	
○ Comments:			
● <b>Contract Quantity Agreements</b> .....	<input type="checkbox"/>	<input type="checkbox"/>	
○ Items:			
● <b>Materials tickets</b>			
○ Signed properly. ....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>For ticket requirements see <a href="#">Materials I.M. 209</a> for aggregate; <a href="#">Materials I.M. 508, App. B</a>, and <a href="#">Construction Manual 3.50</a> for HMA; and <a href="#">Materials I.M. 527</a> and <a href="#">Construction Manual 9.03</a> for PCC.</i>			
○ Turned in weekly. ....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
○ Comments:			
● <b>Storm Water Site Inspection form (<a href="#">Form 830214</a>)</b> .....	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>See <a href="#">Construction Manual 10.33</a>, <a href="#">Administering Projects with Storm Water Discharge Permit</a>.</i>			
○ Frequency:			
○ Proper signatures .....	<input type="checkbox"/>	<input type="checkbox"/>	
Comments:			

- Issues corrected within 3 days .....
- Comments:
- **Erosion Control Implementation Plan** .....     
*See Construction Manual [Appendix 7-1](#). If updates or changes are needed after work has started, use the ECIP Update Checklist, [Appendix 7-2](#), of the Construction Manual.*
  - Comments:
- **Traffic Control Monitor Diary** .....
- Comments:
- **Flaggers' names and training properly documented** .....
- Comments:
- **Non-Compliance Notice form ([Form 830245](#))** .....     
*See Construction Manual [3.21](#), Field Testing on Construction Projects, "Non-Compliance Notice" ([Form 830245](#)), for guidance.*
  - Comments:
- **Identification of Sample for Test form ([Form 820193](#))** .....     
*See Construction Manual [3.21](#), Field Testing on Construction Projects, "Project Verification Sampling and Testing" and [Materials I.M. 204](#) for guidance.*
  - Comments:
- **Log of Piling Driven**  
*Construction Manual [11.25](#), Construction Manual [Appendix 11-22](#)). The appropriate forms for the driving method used should be completed as the piles are driven and forwarded to the Administering Office.*
  - If by formula, ([Form 830210](#)) .....
  - If by wave equation, ([Form 830209](#)) .....
- **ADA (Materials I.M. 363):** Does the project contain any construction or reconstruction of sidewalk or recreational trails? .....
- Has the work been documented as required by [Materials I.M. 363](#)? .....
- **Comments on Inspectors Records:**

**OFFICE FILES\***

- |                                                                                                                                                                                                                                                                                                                                             | Yes                      | No                       | N/A                      |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|--------------------------|
| ○ <b>Estimating Proposal</b> .....                                                                                                                                                                                                                                                                                                          | <input type="checkbox"/> | <input type="checkbox"/> |                          |
| ○ <b>Project Plans</b> .....                                                                                                                                                                                                                                                                                                                | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <p><i>Plans and proposals can be obtained from the Office of Contracts, <a href="#">Current Letting Information</a> website. Click on the letting that your project was in and then select the documents that you need. If you have any questions on using the on-line system, please call the Office of Contracts at 515-239-1414.</i></p> |                          |                          |                          |
| ● <b>Addendums</b> .....                                                                                                                                                                                                                                                                                                                    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ List:                                                                                                                                                                                                                                                                                                                                     |                          |                          |                          |
| ○ <b>Plan Revisions</b> .....                                                                                                                                                                                                                                                                                                               | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <p><i>Changes made to the plans after the letting can be obtained from the Project Engineer or Design Engineer.</i></p>                                                                                                                                                                                                                     |                          |                          |                          |
| ○ Comments:                                                                                                                                                                                                                                                                                                                                 |                          |                          |                          |

- **Contract** .....
- Original signed .....
- Signed copy .....
- Unsigned copy .....
- Copy of FHWA-1273 attached to the contract .....
- General Supplemental Specifications \* .....
- Version:
- Supplemental Specifications \* .....
- List:
- Development Specifications .....
- List:
- Special Provisions .....
- List:
- Standard Road Plans \* .....
- County Standard Road Plans .....
- Standard Bridge Plans \* .....
- County Standard Bridge Plans .....
- Standard Culvert Plans \* .....
- Materials I.M.'s \* .....
- Detail Estimate (and Final Highway Funding Sources) .....
- Comments:

*\*Hard copies are not required if the inspector has access to the [ERL](#) in the field.*

- **Pre-Construction Conference Minutes** .....
- Date meeting was held:
- Sign-in sheet .....
- Comments:

- **Subcontractor Approval(s)** .....

*See I.M. 3.730, [Attachment B](#), Iowa DOT Post-Letting Process Flowchart, for a flowchart of the process of authorizing subcontractors when the contract is executed. (Subcontractors are now “authorized” and no longer “approved”.)  
See [Attachment D](#), Section 2.25, for further explanation of the subcontractor process after execution of the contract.*

- Dollar amount subcontracted:
- Percent of contract subcontracted:

Subcontractor	Items	Dollar Amount

- **DBE Goal:** .....
- Goal percentage:            %
- DBE Commitment Report .....

There should also be a DBE Commitment letter from the Office of Contracts listing the DBE(s) and the dollar amount committed for each DBE. The total dollar amount on this letter should equal the dollar amount on the contract and should be equal to or less than the dollar amount on the Subcontract Request form ([Form 830231](#)), see [Attachment D](#), Section 2.25.

- DBE Commitment: \$
- DBE Subcontractor(s) and Work Type

List:

Any work that has been subcontracted to a DBE should show up in the "A" column of the Subcontract Request form ([Form 830231](#)), see [Attachment D](#), Section 2.25. On the contract there should be a dollar amount indicated after "DBE Commitment". All the work the subcontractor may not be eligible to qualify as DBE work, only the dollar amount in the "A" column is subject to the regulations for DBE Commercially Useful Function. Also, note that in the "Partial Item" column there may be a "Y" indicating that the DBE is not responsible for that entire item. If this is the case, make sure these items are discussed at the Pre-construction meeting so you know which portions of that item you will need to pay closer attention to make sure that the DBE is performing the Commercially Useful Function on those activities.

- Was the DBE Contractor(s) performing the work they were approved for? .....
- DBE Commercially Useful Function Checklist ([Form 517014](#)) for each DBE .....
- Comments:

- **Weekly Report of Working Days** ([Form 830238](#)) ([Word](#)) .....

See [Attachment D](#), 2.33, *Weekly Report of Working Days* ([Form 830238](#)), for guidance.

- Date of first Working Day Report (week ending):
- Date of latest Working Day Report and Report Number (week ending):
- Percent of Contract Completed:
- Percent of Time Used:
- Comments:

- **Notice of Suspension or Resumption of Work** ([Form 810036](#), [C.M. 3.06](#))

- Has the Contractor been directed to stop work by the Project Engineer at any time during the project? .....
- If so, does the project file include a completed copy of this form? .....
- Has the Contractor been issued a Notice of Resumption of Work .....

- **Change Orders** ([Form 831240](#)) .....

- Total number of Change Orders:
- A review of Change Order No. \_\_\_\_\_ was made:
  - Is there adequate cost justification? .....
  - Comments:
  - Was the time impact addressed in the Change Order? .....
  - Comments:

- Concurrence by District/Systems Planning .....
- Comments:

- **Required Payroll Submittals** .....

- Date received documented .....
- Submitted within 14 days (or 21 days for subcontractors) .....
- Checked for compliance. ....
- Predetermined Wage Rate .....
- Number:
- Did the Prime Contractor sign off on the subcontractor payrolls .....
- Comments:

- **EEO/Wage Rate Reviews (Form 650170)** .....

*The first section of the form “1. Which posters are properly displayed?” is for the poster board inspection. Since the Contractor is responsible for erecting the poster board before work starts, and maintaining until the project has been accepted, this portion of the form only needs to be completed for the Contractor. For more information, see [Attachment D](#), 2.22, A, 2, Postings.*

*The next section of the form “2. Are employee facilities provided on a non-segregated basis?” is to document that all employees have access to restroom facilities and all employee have the same opportunities to use the same facilities.*

- Is the Prime Contractor, or any of the subcontractor(s), part of the AGC Prevailing Wage Rate Notification Program (PWNP)? .....

*Sections 3 through 5 are to document verification that employees are receiving Davis-Bacon wages and fringe benefits. For more information, see [Attachment D](#), 2.24, Project Engineer’s Involvement, A, Field Procedures, and B, Wage Rate Interview.*

Contractor / Subcontractor	Date of review	Findings

○ Comments:

- **Storm Water Discharge Permit** .....

*Associated with Industrial Active for Construction Activities for the Prime Contractor: This document is sent to the Contractor from the Office of Contracts after the project has been let and accepted with all of the other contract documents. See [Basic Construction Administration Manual](#), Record Keeping chapter, Pollution Prevention Plan/Storm Water Site Inspections section. (See [Construction Manual 10.33](#))*

- Notice of Intent published: .....

Name of paper	Date published

- Certification Statement for Storm Water Discharge associated with Industrial Active for Construction Activities for the Prime Contractor .....

*This document is sent to the Contractor from the Office of Contracts after the project has been let and accepted with all of the other contract documents. See [Basic Construction Administration Manual](#), Record Keeping chapter, Pollution Prevention Plan/Storm Water Site Inspections section. (See [Construction Manual 10.33](#)). Filed with the Storm Water Discharge Permit.*

- Co- Permittee Certifications Statement ([Form 830215](#)) for subcontractors .....    
*Copies of the completed co-permits for the subcontractors for the Storm Water Discharge Permit. The Contractor should obtain this document from every subcontractor that is performing work that may result in erosion or that is doing work to prevent erosion. (See [Construction Manual 10.33](#)). Filed with the Storm Water Discharge Permit.*
  - List of subcontractor co-permittees:
- Comments:
- **Materials Documentation (as applicable)**
  - Source of Materials list .....    
*This document is completed by the Contractor and submitted at the Pre-Construction meeting. It lists all of the materials that will be used on the project and their source. These sources must be listed as approved sources, consult with Materials Approved Product List Enterprise ([MAPLE](#)).*
  - Materials Certifications and tickets: .....   
    - Comments:
  - Steel items in compliance with Buy America requirements .....   
    - Comments:
  - All field tests in compliance with requirements. ....   
    - Comments:
  - **Progress Payments** .....   
    - Date of first Voucher:
    - Processing frequency:
    - Date of latest Voucher and Voucher Number:
    - Proper signature / authorization included .....
    - Comments:
- **Comments on Office Files:**

\* The locations for the items in these bulleted lists for “Inspectors Records” and “Office Files” are interchangeable depending upon how the project is being administered.

**REVIEW SUMMARY - OBSERVATIONS, FINDINGS, AND RECOMMENDATIONS:**

Comments:

ec:



## HMA Inspection Review

### ALL HMA PROJECTS

**Yes      No      N/A**

- **How many tons of:**
  - Base Course:            tons
  - Intermediate Course:        tons
  - Surface Course:            tons
  - Total tonnage:            tons

If total tonnage is 1,000 tons or less, go to Section A. If total tonnage is more than 1,000 tons, go to Section B.
  
- **Inspector(s) Certification Status:**
  - Name:
  - Certification Level:
  - Expiration:
  
- **Was plant visited:** .....
- Observations:
  
- **Verify Material Certification:** .....
- Process of Material Certification:
  
- **Has the contractor's lab been certified?** .....
- Date of the plant inspector's last proficiency test:
  
- **Comments on All HMA Projects:**

### Section A - Small Quantity Projects

(SS-01059, Quality Control Program for Small HMA Paving Quantities)

- **Sampling and Testing:**
  - Was an aggregate cold-feed sample taken? .....
  - Was a HMA loose mix sample taken? .....
  
- **Comments on Section A:**

**Section B – HMA Quality Control Program**

(Article 2303.04 of the Standard Specifications)

• **Sampling and Testing:**

- Loose Mix:
  - Was the sampling of loose mist observed during the inspection? .....
  - Was the method used in accordance with Materials I.M. 322? .....
  - How is the verification sample selected?
  - Comments:
- Cores:
  - Who determines the core location?
  - How is the core location selected?
  - Who is present when cores are taken?
  - Who transports the core samples?
- Secure samples:
  - Have samples been secured as defined in Materials I.M. 322? .....
  - Who completes Form 193?
  - Have there been any instances of samples arriving unsecured or evidence of being tampered with? .....
  - What happens to the unsecured samples or those samples that showed evidence of being tampered with?

• **Comments on Section B:**

**HMA REVIEW SUMMARY - OBSERVATIONS, FINDINGS, AND RECOMMENDATIONS:**

Comments:

## PCC Inspection Review

	Yes	No	N/A
<b>Does the project include the QMC specifications (Materials I.M. 530)?</b> ..... <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
If yes, complete Section A and Section B. If no, complete Section B only.			

**Section A - QMC project**  
(Materials I.M. 530)

- **Has the Contractor's lab been certified?** .....
  
- **Contracting Authority Certification Status:**
  - Name:
  - Certification Level:
  - Expiration:
  
- **Contractor Certification Status:**
  - Name:
  - Certification Level:
  - Expiration:
  
- **Sampling and testing (Materials I.M. 204)**
  - Quality Control Tests .....  
    - Who is performing Quality Control tests?
  - Verification test .....  
    - Who is performing Verification tests?
  
- **Comments on Section A:**

**Section B - All PCC Projects**

- **Air Content (Article 2301.02, B, 4 of the Standard Specifications)**
  - For QMC projects, was an air test run every day to verify that both air meters (Agency and Contractor) were within tolerance in Materials I.M. 216? .....
  - Have there been any verification test results that were outside the tolerance for air content? .....
  - What corrective action(s) were taken?
    - How many loads of PCC were subject to a price adjustment?
  - Comments:
  
- **Cores (Materials I.M. 346)**
  - Who will determine the core locations?
  - How will the core locations be selected?
  - Who will be present when the cores are taken?
  - Who will transport the core samples?
  - Comments:
  
- **Comments on Section B:**

**PCC REVIEW SUMMARY - OBSERVATIONS, FINDINGS, AND RECOMMENDATIONS:**

Comments:

### PCC Structures Inspection Review

- |                                                                                                                   | Yes                      | No                       | N/A                      |
|-------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|--------------------------|
| <b>• PCC Delivery Tickets</b>                                                                                     |                          |                          |                          |
| ○ Is there a delivery ticket for each load of PCC? .....                                                          | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ▪ Is maximum water content included on the ticket? .....                                                          | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ▪ If water was added on the grade:                                                                                |                          |                          |                          |
| • Are revolutions included for each occurrence? .....                                                             | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Is the total water less than the maximum allowable water content? .....                                         | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ If not, what corrective action(s) were taken?                                                                   |                          |                          |                          |
| ▪ Is time of discharge included on the ticket? .....                                                              | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • If so, were all within the allotted time? .....                                                                 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ▪ If not, what corrective action(s) were taken?                                                                   |                          |                          |                          |
| • Is each ticket signed by                                                                                        |                          |                          |                          |
| ○ the plant inspector? .....                                                                                      | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ the project inspector? .....                                                                                    | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ▪ How many loads of PCC were subject to a price adjustment?                                                       |                          |                          |                          |
| <b>• Air Content</b>                                                                                              |                          |                          |                          |
| ○ Have there been any field test results that were outside the tolerance for air content? .....                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ▪ What corrective action(s) were taken?                                                                           |                          |                          |                          |
| ▪ How many loads of PCC were subject to a price adjustment?                                                       |                          |                          |                          |
| <b>• Slump</b>                                                                                                    |                          |                          |                          |
| ○ Have there been any field test results that were outside of the tolerance for slump? .....                      | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ▪ What corrective action(s) were taken?                                                                           |                          |                          |                          |
| ▪ How many loads of PCC were subject to a price adjustment?                                                       |                          |                          |                          |
| <b>• Flexural Strength</b>                                                                                        |                          |                          |                          |
| ○ Have there been any field test results that were less than the minimum requirement for Flexural Strength? ..... | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ▪ If yes, what corrective action(s) were taken?                                                                   |                          |                          |                          |
| <b>• PCC Plant Reports</b>                                                                                        |                          |                          |                          |
| ○ Are structural PCC Plant Reports being submitted for each lot? .....                                            | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Are all results of gradation tests within allowable limits? .....                                               | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Is the water added on the grade included on the reports? .....                                                  | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Comments:                                                                                                       |                          |                          |                          |

**▪ PCC Plant Inspection Personnel:**

Name	Position/Responsibility	Certification #	Iowa DOT Certification

**STRUCTURES REVIEW SUMMARY - OBSERVATIONS, FINDINGS, AND RECOMMENDATIONS:**

Comments:

# **Appendix F**

## **DocExpress**

## Doc Express Instructions for Local Public Agencies

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## Doc Express Instructions for Local Public Agencies

Iowa Department of Transportation

***DO NOT GO TO THE DOC EXPRESS WEB SITE AND REGISTER.***

# To Use Doc Express

## DOT Administering Office

### Process for Cities -

Contact your Iowa Department of Transportation (DOT) Administering Office to notify them that your City wants to use Doc Express for a contract that will be in an upcoming letting. Provide the necessary information to them including project number and letting date. If the contract has already been let, the Administering Office will discuss options to still use Doc Express for the project.

***DO NOT GO TO THE DOC EXPRESS WEB SITE AND REGISTER ON YOUR OWN. Wait for further instructions to follow.***

**NOTE:** As of the July 17, 2018 Letting Doc Express is required on City contracted projects let at the Iowa DOT. Projects with only local funding let at the Iowa DOT are not required to utilize Doc Express.

## What's next

Once the Administering Office notifies, the Office of Local Systems, and all the necessary information has been received, the process to get set up will begin. An email will then be sent from Tammi Bell, in the Office of Local Systems, and a system generated email from Info Tech Services, with an invitation to join the Iowa Local Systems group.

***DO NOT GO TO THE DOC EXPRESS WEB SITE AND REGISTER ON YOUR OWN. CONTACT TAMMI AND WAIT FOR YOUR E-MAIL INVITATION FROM INFO TECH TO JOIN THE IOWA LOCAL SYSTEMS ORGANIZATION.***

Additional information may be requested to provide a listing of everyone that will need access to the project, as they will need to create their own accounts. In addition to the listing of names, include email addresses, and positions related to the contract.



## Process for Counties -

If you do not already have an account and login, send an email to Tammi Bell at [tammi.bell@iowadot.us](mailto:tammi.bell@iowadot.us) to request an account. The email must include your name, email address, organization, and position related to the contract. Once Tammi receives all the necessary information, she will begin the process. An email will be sent from Tammi and a system generated email from Info Tech Services, with an invitation to join the Iowa Local Systems group.

**NOTE:** As of the January 17, 2018 Letting Doc Express is required for County contracted projects. Projects with only local funding let at the Iowa DOT are not required to utilize Doc Express.

**DO NOT GO TO THE DOC EXPRESS WEB SITE AND REGISTER ON YOUR OWN. CONTACT TAMMI AND WAIT FOR YOUR E-MAIL INVITATION FROM INFO TECH TO JOIN THE IOWA LOCAL SYSTEMS ORGANIZATION.**

Additional information may be requested to provide a listing of everyone that will need access to the project. Each individual will need to create their own accounts. In addition to the listing of additional names, include email addresses, and positions related to the contract.

## How to set up an account

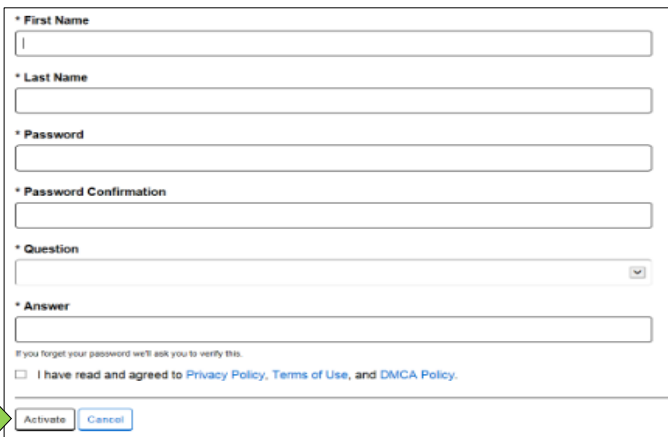
Once the email from Info Tech is received, click on "Create Account".

**NOTE:** If you do not receive the email from Tammi for the account, check your junk/spam and quarantine folders for the email sent from Info Tech Services.



Enter information in all of fields (fields with an asterisk), and then click the “Activate” button. Some drawers will require electronically signing a document. This signature much match the information is entered here. See the Signature Process section later in this User’s Guide.

**NOTE:** Be sure to click on the “I have read and agreed to” statement box.



The form contains the following fields and elements:

- \* First Name: Text input field.
- \* Last Name: Text input field.
- \* Password: Text input field.
- \* Password Confirmation: Text input field.
- \* Question: Dropdown menu with a checkmark icon.
- \* Answer: Text input field.
- Checkbox:  I have read and agreed to [Privacy Policy](#), [Terms of Use](#), and [DMCA Policy](#).
- Buttons: "Activate" and "Cancel".

A green arrow points to the "Activate" button.

Once logged into the Doc Express program you will see the contracts and drawers that you have been given access. If you feel you are missing contract(s) and/or drawer(s), contact Tammi at [tammi.bell@iowadot.us](mailto:tammi.bell@iowadot.us) or 515-239-1529.

**NOTE: DO NOT create the Digital ID option, this is for BidX only. This option is not being used in Doc Express for Local Systems contracts.**

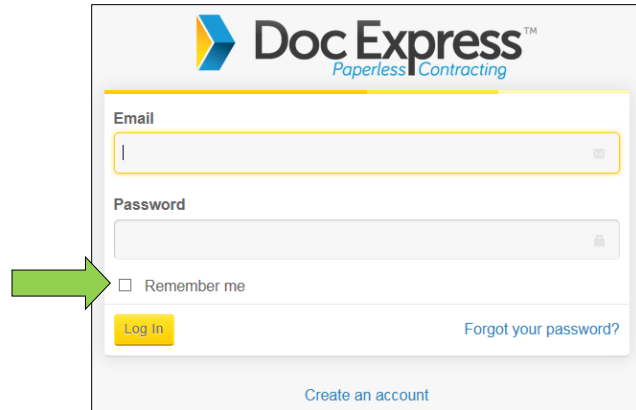
## Getting started

### Logging In

Once the account is created, as instructed above, go to <https://Doc Express.com>. Click on the “Login to Doc Express” button in the top right of the page.



Enter the email address and password. Click “Remember me” below the password if you want the email to remain for future visits to this site, click the box to the left of “Remember me”. Click on the “Log In” button.



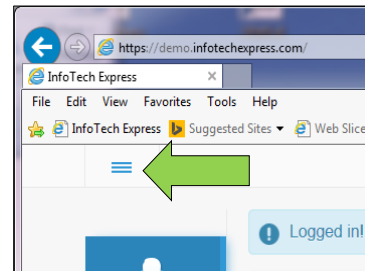
Once logged in, the available contract(s) will be displayed. If there are no contract(s) this may mean that access has not yet been given. After the contract award, additional information will be added by the Office of Local Systems (i.e. the Prime Contractor name and the contract items).

## Logging Out

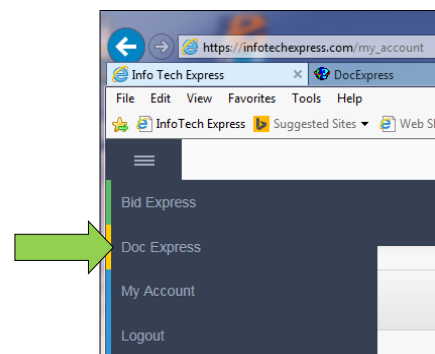
The Logout option is available on all pages in the upper right side of the page. It is also available in the drop-down listing, displayed from the three horizontal lines in the upper left side of the page. It is always a good idea to log out of the program, but the program will automatically log out if inactive for a period of time.

**NOTE:** Once logged out, the page you were on when you logged out will be the first page seen when you log back on. For example, if you are on the contract listing page you will see that page after you sign in or if you were at the “My Account” page, you will be back on that page when you log back in.

To get to the listing of contracts, click on the three horizontal lines in the upper left side of the page.



Click on “Doc Express” from the drop-down listing. This will take you to the Contracts page.

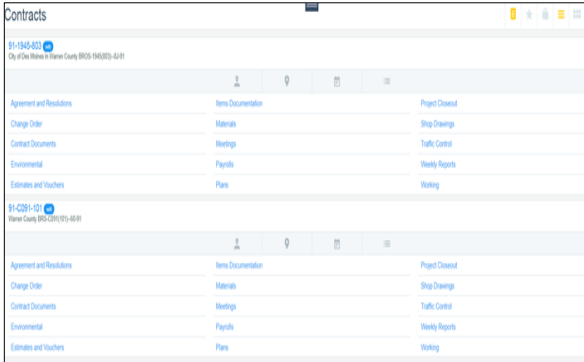


# Looking at the contract(s)

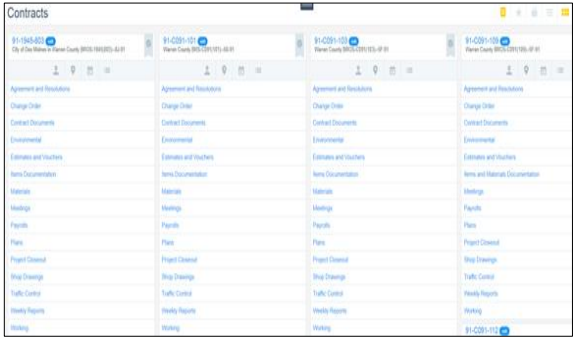
## To view the list of contracts

There are two options to view the list of contracts.

The first option (system default setting) is the list view which displays the contracts listed in rows.



Second option is the grid view, which displays the contracts listed in a tile or block style.



Either view option can be selected by clicking on the three horizontal lines or the tile squares on the upper right hand side.



The selected view option selected will be yellow when selected and gray when not selected.



Both options will display the same information. These options are strictly a personal preference.

## Contract information

The first line will display the Contract ID. For example: cc-nnnn-ppp

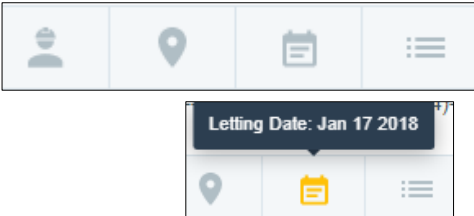
Where:

- cc - county number
- nnnn - county number beginning with C0, or the four-digit city number
- ppp - paran number of the lead project

The county or city name and project number is displayed on the second line. If there are multiple projects, all project numbers will be shown. Additional projects in the contract will be listed in their entirety.

The following information is also shown, (when the curser is hooved over the icon symbol):

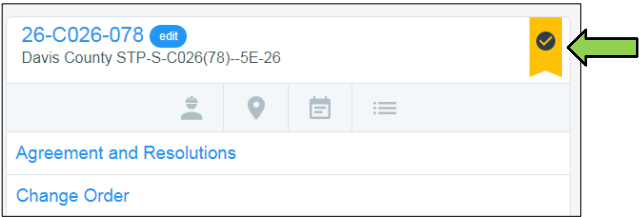
- Prime contractor
- The location of the project
- Date the contract was let
- Bid order number of the contract.



All the drawers available for that contract will be shown.

## Marking a contract(s)

If you have access to multiple contracts but are only working with a few of them, there is an option to mark the contract(s) as favorite(s) and they will automatically be at the top of the list. To do this, find the check mark flag to the far right of the contract id. When clicked on it, it will turn yellow to show that it has been marked as a favorite.



The favorite contracts will be listed first out of all the contracts listed.

If there is no longer want need to have contract marked as a favorite, simply click on the yellow check mark flag again and the contract will revert to its original position in the list of contracts (first by number and then alphabetically).

## What are “Drawers”?

Drawers are designed to organize different documents/files that different users will be submitting. A document/file can be linked to one or more drawers. Selected users have access to drawers according to their role and permissions in the contract administration process. If you do not see a drawer within the contract, then you do not have access to it. If you feel that you should have access to a drawer that is not visible, contact Tammi at [tammi.bell@iowadot.us](mailto:tammi.bell@iowadot.us) or 515-239-1529.

**NOTE:** It will be the user’s responsibility to open each document/file and view it to determine if the document is correct or not. Keep this in mind as you move through the following instructions.

The users are defined as (for further definition of the roles, see I.M. 3.805):

*Administering Office* - The Iowa DOT’s representative who is responsible for oversight of the project. The representative may be a District Local Systems Engineer, their designee, or the Office of Systems Planning.

*Contracting Authority* - The governmental body, board, commission, or officer having authority to award a contract.

*Contractor* - The individual, firm, corporation, or joint venture contracting with the Contracting Authority for performance of prescribed work.

*Project Engineer* - the Engineer is a Professional Engineer licensed in the State of Iowa and authorized representative of the Contracting Authority. The Engineer may act directly or through a duly authorized representative (see [Article 1101.03](#) of the Standard Specifications).

*FHWA* - Federal Highway Administration.

*Inspector* - An authorized representative of the Engineer (see [Article 1101.03](#) of the Standard Specifications).

*Person in Responsible Charge (PIRC)*: If the Contracting Authority uses a consultant to perform construction inspection services, the Contracting Authority is required to have a full-time employee who is in responsible charge of the project. A consultant may not serve as the Person in Responsible Charge for a Federal-aid project.

*Subcontractor* - Any individual, firm, or corporation to whom the Contractor, with the written consent of the Contracting Authority, subcontracts any part of the contract.

## Agreements and Resolutions

If desired, this drawer can include the Agreements and Resolutions files for the project.

## Change Orders

( Contract Modifications on Iowa DOT contracts )

Change Order(s) created on Form 831240, Change Order for Local Public Agency Projects, are to be placed in this drawer. This drawer will require signatures.

## Contract Documents

All necessary contract documents can be placed in this drawer for easy reference (i.e. contract, specifications, Predetermined Wage Rates, etc.). A full list of contract document files that should be included in this drawer is available in the Appendix to this User's Guide. Adding or submitting contract document files to this drawer is typically done by the Contract Administrator. Others may also have submittal privileges to this drawer and can submit if appropriate.

## Environmental

All necessary environmental documents are to be placed in this drawer for easy reference.

## Estimates and Voucher

All Pay Estimates and vouchers must be placed in this drawer.

## Items and Materials Documentation

( Pay Items on Iowa DOT contracts )

This drawer is for documents that pertain to the contract items. At the completion of a contract, all item forms and support forms shall be scanned (if hardcopy) or saved as pdf files (if Excel documents) and attached to the appropriate contract item in this drawer.

This drawer also includes the files that pertain to the material testing and certifications for the contract items. There are a few regularly use material types listed at the top for every contract with many of the other types being grouped by HMA, PCC Paving, Structures, etc. At the completion of a contract, all item forms and support forms shall be scanned (if hardcopy) or saved as pdf files (if Excel documents) and attached to the appropriate contract item in this drawer.

**NOTE:** Multiple material certifications can be one file and add all of the "Types" for the item(s) included in the file can be added. Then the "Tags" will show with the one submitted.

## Meetings

The minutes from all meetings related to this contract should be placed in this drawer.

## Payrolls

This drawer includes payroll documentation required on contracts that include Federal-aid funding.

## Plans

This drawer includes the plan files for the contract.

## Project Closeout

This drawer includes the files that are required to finalize and closeout a contract. This drawer will require signatures.

## Shop Drawings

This drawer includes the Shop Drawings files for the contract. Not all contracts require shop drawing submittals, but if desired all shop drawings may be placed in this drawer. Shop drawings that are required by the Iowa DOT will be automatically distributed to the appropriate Iowa DOT staff.

## Traffic Control

This drawer includes all documents that pertain to the traffic control on the contract, including the Contractor's Traffic Control Daily Diary.

## Weekly Reports

This drawer includes the files all weekly reports on the progress of the contract. This drawer will require signatures.

## Working Documents

This drawer allows documents to be submitted, reviewed, modified, and resubmitted as it is being developed. This drawer will keep a document from being available as part of a contract until it is ready. PDF files should not be submitted to this drawer since they cannot be edited. Anyone with access to a contract can submit documents to this drawer to begin the review process.



## How to use the Drawers

This sections details usage for the drawers and includes how to add documents, approve documents, receive, reject, resubmit, remove, and sign. This section also describes how to use the “Comment” field and adding “Attachments”.

### Drawers that DO NOT require signatures

- Agreements and Resolutions
- Contract Documents
- Environmental
- Estimates and Vouchers
- Items and Materials Documentation
- Meetings
- Payrolls
- Plans
- Shop Drawings
- Traffic Control
- Working

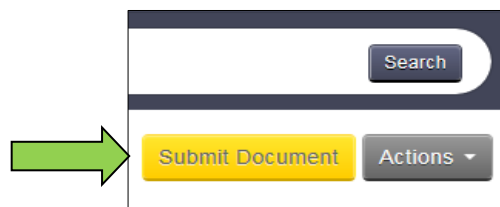
### Drawers that DO require signatures

- Change Orders
- Project Closeout
- Weekly Reports

## How to submit documents

### Adding a document

Begin by selecting desired drawer to open in the contract. Once in the selected drawer, click on the “Submit Document” button option.



Enter the necessary information in all the required fields that appear (required fields have an asterisk by the title of the field).

Several drawers have drop-down listings in the “Types” field. Multiple items can be selected if desired. For the list of Types and the naming convention of files, see Appendix of this User’s Guide. To add multiple Types” after making the first selection, just click in the same field again and the listing will appear again.

In the “Attachment” field, click on the “Browse . . .” button to find the file on any drive for which you have access. Select the document and click “Open”.

**NOTE:** Only PDF files should be attached Doc Express as they cannot be modified and are the desired format for archiving. When not attaching a file, click on “Enter text instead of attaching a document?” to enter text for the document in place of a file. This option may not be available in all drawers for “Submit Document”.

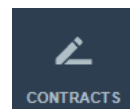
**SPECIAL NOTE:** Certain PDF files created in Adobe programs can only be opened in Adobe Reader and Adobe Acrobat. When trying to open the file in another PDF viewer in Doc Express, will display, a message “Please wait.....If this message is not eventually replaced by the proper contents of the document, your PDF viewer may not be able to display this type of document.” If this happens the creator of the original form will need to re-create the form using options that do not restrict which PDF viewers can open and display the document.

If additional files are needed to support the main document, click on “Add a supporting document?” Additional fields will appear for the “Supporting Documents” area. Multiple files can be added. Supporting documents can be attached either at the time of the submittal or at any transition, but supporting documents are not required.

In the “Comment” field, add any additional comments. This can be added either at the time of the submittal or at any transition, but comments are not required.

When finished, click on the “Save” button option. If a save is not done, the actions will not be processed. **Do Not “Transition” when done with the submittal option, unless you are the next person according to the “Workflow” for the drawer you are working in.**

When working in a drawer and need to return to the Contracts list, just click on the “Contracts” header of the page. This option can be done at any time.



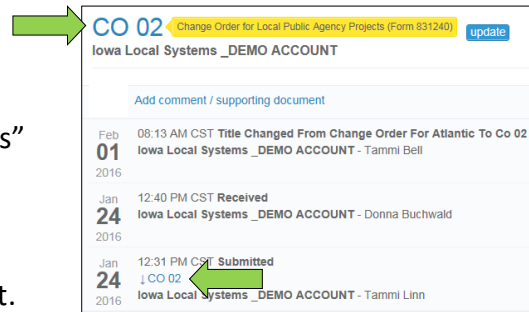
**NOTE:** Before moving on and performing any “Transition” of a document(s), check the “Workflow” for the drawer being worked in. (Detailed instructions are available on page 14).

## Open submitted documents

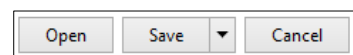
Under every drawer is the option to open and view a document that has been submitted for that contract.

**NOTE:** It is suggested to view a document before a “Status” action is performed.

Review the document by clicking on the name of the document in either of the two locations shown at the right.



A message box should pop-up asking if you want to “Open”, or “Cancel” for the document title selected to review.



“Save”

## Payrolls

Submittals in this drawer can only be made by the Prime Contractor, after the Prime Contractor has reviewed and signed the payroll(s) (see [I.M. 3.805, Attachment D](#), for this process). If a payroll is incorrect for any reason, the contracting authority should reject the payroll(s) so the submitter can correct the issue and resubmit a revised document. It is important to review the first 3-4 payrolls received from the Contractor and each subcontractor carefully to verify the information is complete and accurate. Once it is apparent that wage rates used are appropriate, it is not necessary to check each line of a payroll. However, occasional spot checks should continue to be made, paying particular attention to any new work classifications listed.

Since not every payroll needs to be checked, there should be a comment made in the “Comment” field of each checked payroll that states the payroll was and the name of the individual that checked the payroll. This can be done at the time the status is changed from Submitted to Received.

It must be obvious to others that may review this drawer which payrolls were checked and which were not.

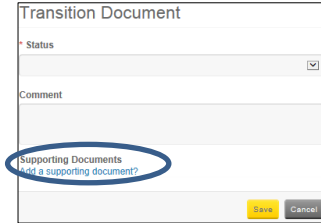
## What are Transitions

### Transition of documents

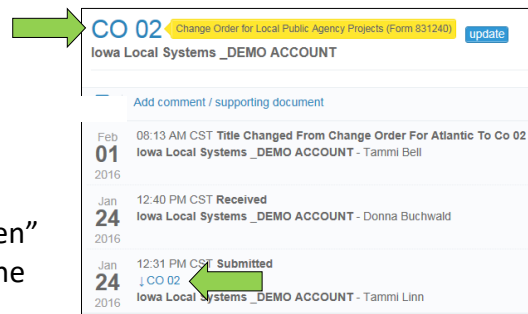
Documents move between users through transitions. When a transition occurs, the status will change. Depending on which email notifications that are selected (See the Notification section in this User’s Guide), an email will be sent when a document is ready for signature or to perform the review. Transitions between Doc Express users occur in the order in which the review approval is set in the

drawer. Prior to selecting the transition, open the document and view it to determine if the document is correct or in need of correction.

Select the drawer under the contract. Click “Transition” and the transition dialog box will open. Click the down arrow for the “Status” field and select a status. Enter a comment, if any. Add any additional supporting documents, if needed. (This will not affect the original attachment.) Sign the document, if required.

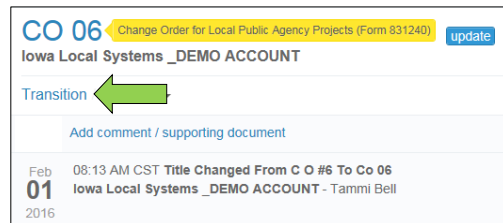


Review the document by clicking on the name of the document in either of the two locations.



**NOTE:** A message box may appear with the option to select Open, Save, or Cancel. Click on the proper action. Click “Open” to view the document. A new window will open displaying the document.

When ready to approve, click on the “Transition” link. If the document issues that need resolved, the document should be rejected by clicking on “Reject” it so that the user can resubmit (see Rejecting Documents section in this User’s Guide).

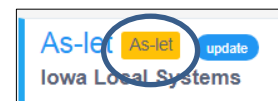


The “Transition Document” dialog box will appear. Click on the drop-down arrow and select from listed options. Be sure to click “Save”.

After a document has been transitioned, the next person in the process will be notified.

If a person is authorized to complete both the second-to-last step and the final step, or if the second-to-last step is optional, a check box to finalize the document will also be available.

**NOTE:** The gold color title is referred as a “Tag” for the type of a document that has been submitted in the contracted.



# Who is first, second, and third

## The “Workflow”

Each drawer has its own Workflow process. If a document has been submitted and a user wants to know who is next to receive or approve it, here is how.

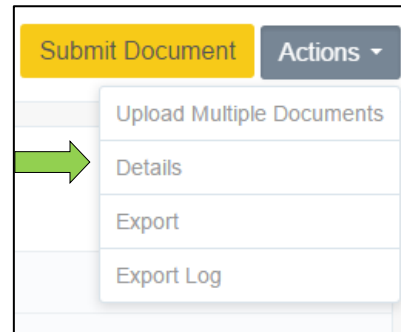
After submitting/transitioning the document, select the “Actions” button.

Select “Details”.

The whole Workflow process for the current Drawer will be shown.

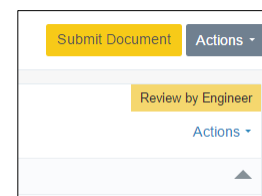
The Workflow Order does vary depending on the Drawer.

Note that there are “Badges” indicating a transition needs done. It may be that the user before the current user needs to do something prior to the transition.



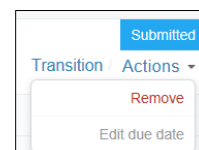
Document Workflow Order	
Status	
Submitted	●
Review by Engineer	●
Approved by Contractor	●
Recommended by Engineer	●
Approved by PIRC (when applicable)	●
Approved by District Materials Engineer	●
Approved by Administering Office or designee	●
Approved by FHWA (When applicable)	●
Completed	●
Document Resubmissions	
Status	
Rejected	

**NOTE:** The Status of the transition that has been performed will appear on the right side and will be in the action log. The Status title is stating who did the last transition, it is not indicating who is next to do a transition.

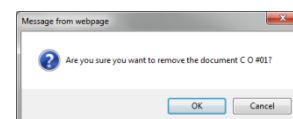


## Removing a Document

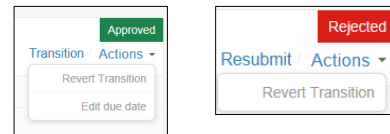
A document that was added to a contract in error can be removed, as long as there haven't been any transitions done. To remove the document by clicking on “Actions” then selecting “Remove”.



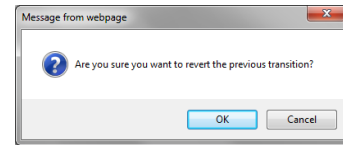
A message box will appear asking “Are you sure you want to remove the document title?” Click on “OK” will delete the document or “Cancel” will stop the removal of the document.



If a transition has been done on the document, it **cannot** be removed. If the Status is “Submitted” there is no action that can be taken. The option of “Revert Transition” is available for an “Approved” or “Rejected” document.



Message box will ask “Are you sure you want to revert the previous transition?” Click on the option needed.

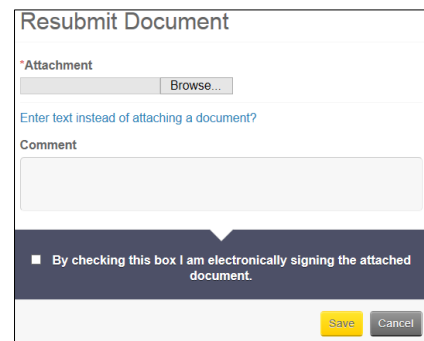


The action will be shown in the log of actions performed under the title of the document.

## Resubmit

This option is available in some of the drawers. If this option is available anyone can submit documents and begin the review process. If an attachment needs to be added to the draft document, click on the “Resubmit” option.

A dialog box will appear that will allow a document to be added at this time. A comment may also be added.



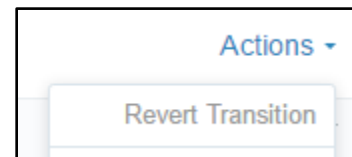
Click on the “Save” button when finished.

When performing a “Resubmit” option, a signature will be required (see Signature Process in this User’s Guide).

## Revert Transition (undo)

A transition can be undone if the original transition was done in error.

Select the drawer that needs this transition undone.



Select “Action” button option, then select the “Revert Transition”.

A confirmation window will appear to confirm the transition. Select “Ok”.

## Final Transition

Some users will need to approve documents that are being submitted. To do final approval, be sure and check the box to indicate “Transition document to final status of Completed?”

Transition Document

\* Status  
Approved by Administering Office

Comment

Supporting Documents  
Add a supporting document?

*Sign this document*

By checking this box and entering my name above, I am electronically signing the attached document.

Transition document to final status of Completed?

Save Cancel

## Signature Process

Some of the drawers will require a submittal to be electronically signed. The person signing a submittal depends on the form that is submitted. Some forms will require only one signature and others will require multiple signatures. This is accomplished by marking the check box acknowledging that you intend to electronically sign the document. This may also require the individual to check a box and type their name in the field shown “By checking this box I am electronically signing the attached document”. When typing in the name, Doc Express will then verify that the name signed matches the name that is registered with Doc Express.

Transition Document

\* Status  
Received

Comment

Supporting Documents  
Add a supporting document?

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

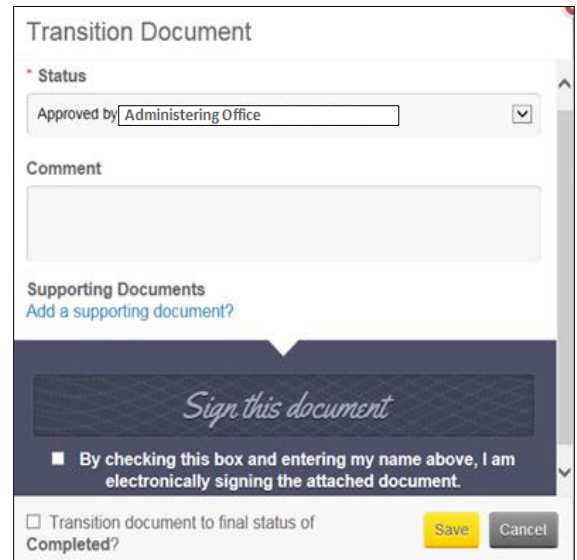
Save Cancel

Once the dialog box appears, select the “status” and check the box acknowledging that you intend to electronically sign the document.

The user name may also be required to electronically sign. If so, type the ***name exactly as the user’s registered name with Doc Express***. Comments or add supporting documentation may also be added.

Click Save in the pop-up.

It is very important that when typing in the name that it matches EXACTLY that of the user logged into the program. For example, if Shannon Westwood would enter “Shannon D Westwood”, “shannon Westwood”, “shannon westwood”, none would be accepted since they do not match the name per the login. The login and signature are case sensitive. For the signature to be official, the check box for the following statement “By checking this box and entering my name above, I am electronically signing the attached document” must be checked. If the signature is entered and this box is not checked, an error message will appear.



### Rejecting Documents

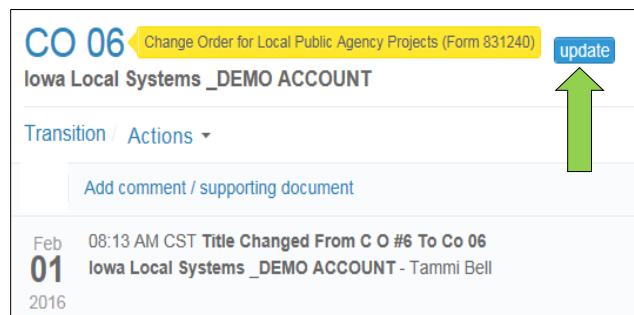
A user has the option of rejecting a document if it is incorrect or not filed properly. In some cases, the review may be both the Submitter and the Receiver of the document.

A user has the option to change some parts of a document no matter who originally submitted it until the document status is “Received”. For instance:

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

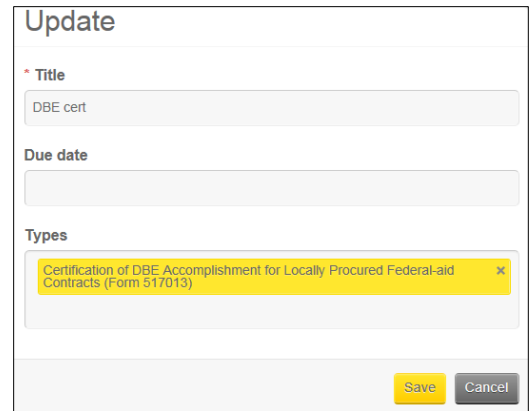
However, if the document was submitted to the incorrect drawer, it must be rejected and then resubmitted in the correct drawer.

To make these changes, click on the word “update” just to the right of the type.





The following screen will be displayed where changes can be made to the title, due date, and type of the document or to remove types for the submittal. Click on the “Save” button option to keep the changes.

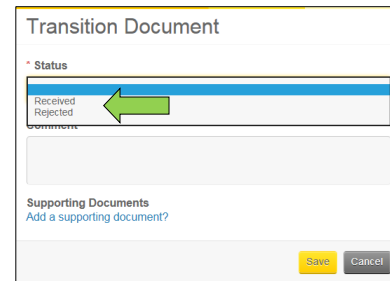


If the submitted document was not submitted correctly AND there have been no comments made, the options are:

- If the current user was NOT the submitter, reject the submittal – everyone with access to that drawer will automatically be notified of the rejection (if they have that notification option set).
- The person who submitted the document will need to remove it and re-submit it correctly. **This can only be done by the submitter if no comments or transitions have occurred.**
- If the user is the submitter, click on the “Remove Document” and re-submit it correctly.

**DO NOT receive a document is the document is incorrect!**

If you want to “Receive” or “Reject” the submittal and possibly make a comment during that process, click “Transition” link. “Remove” is only an available option if you were the original submitter and there has been no comment made or transition performed.



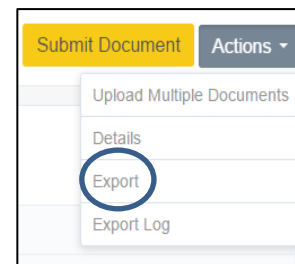
Once either “Received” or “Rejected” then “Save” is clicked, the submittal is a “done deal” – there is no changing it or removing it.

## Exporting All Documents


At any time, all of the documents related to the contracted project can be exported. Be sure to export all of the documents when the project is completed for either the City or County’s own required record retention period.

Begin by selecting the contract to export. This can be done by clicking on the contract ID name.

Select the Actions button option and select “Export”.



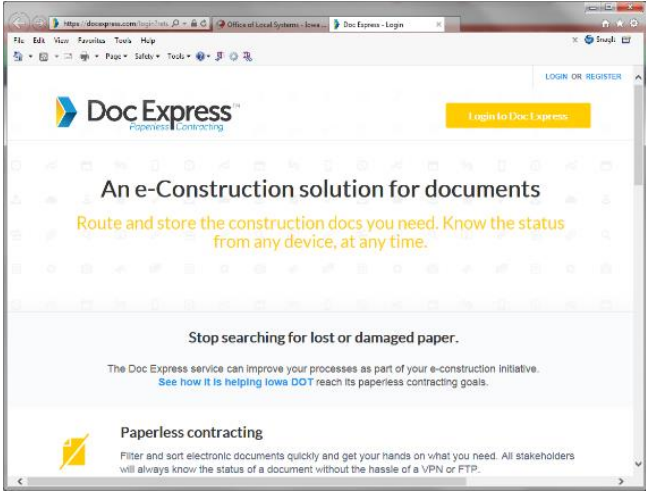
A message will appear across the Doc Express header stating “Export is in progress. You will receive an email with a link to download the export once it is done.”

 Export is in progress. You will receive an email with a link to download the export once it is done.

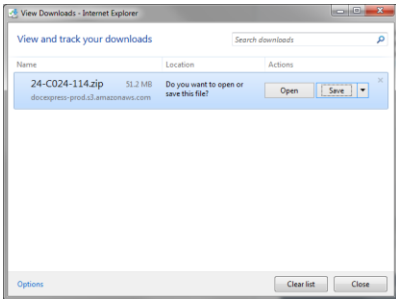
When the email is received, there will be a link to the Doc Express website in the body of the email.



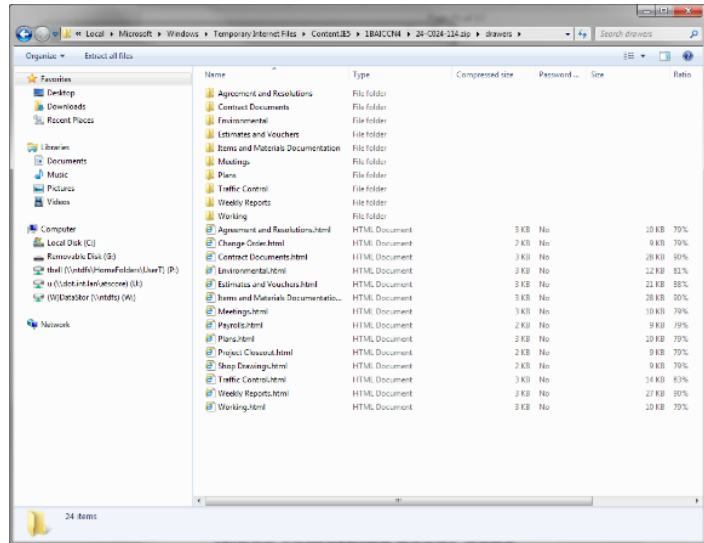
Log in by selecting the “Login to Doc Express” option.  
Enter your email address and password.



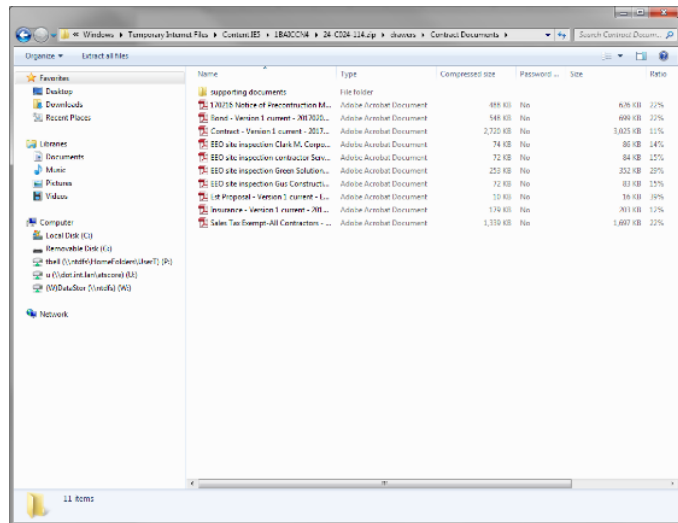
A Zip Window option should open to “Open” or “Save” the files.



If save is selected the file path to the documents that were downloaded will open. Typically, a file called "Temporary Internet File" location Which will show the contract folders, just like in Doc Express. In each folder will show the documents.



After clicking on one of the folders, all the PDF files will be available. A folder will be included for any "Supporting Documents".



# When something needs done

## Badges and Number Indicators

A badge with a number in it beside a drawer reflects the number of documents in that drawer with a “Transition” status. For instance, if the badge shows a 4, there are 4 different submittals needing transitions. This is an easy way to see what contracts and what drawers have a need an action to be taken. Having this badge displayed is automatic and is not dependent on any other choices made within the program.

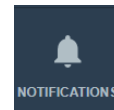
Change Orders	4
Contract Docs	1
Estimates & Vouchers	1
Working	1

**NOTE:** This will be displayed whether the “Transition” option is for you or someone else to “Transition” the document in that drawer.

## Notifications

Notifications can be set to have the Doc Express service send an email when there are changes to contract documents. This is for all contracts that the user is assigned to. The user does not have to submit a document to receive notifications.

To set the notification options, click on “Notifications”.



Then select which process best fits the user need.

- Progressed Document –Receive an email when a document has progressed to the next step in its workflow.
- Completed Document - Receive an email immediately when the final transition of a document has been executed.
- Rejected Document - Receive an email immediately when a document has been rejected.

Select which documents for notification:

- All documents I have access to - Receive notification when any document to which you have access progresses to another step in the workflow.
- Documents I have worked on - Receive notification when any document you worked on progresses to another step in the workflow.
- Documents ready for me to work on - Receive notification when you are the user assigned to the next step in the document workflow.

- Only documents I submitted - Receive notification when any document you submitted progresses to another step in the workflow.

Use the "Any Types" or "Any Drawers" fields to limit the notifications to documents only of the selected types or in the selected drawers. You can select as many or as few types or drawers as you want.

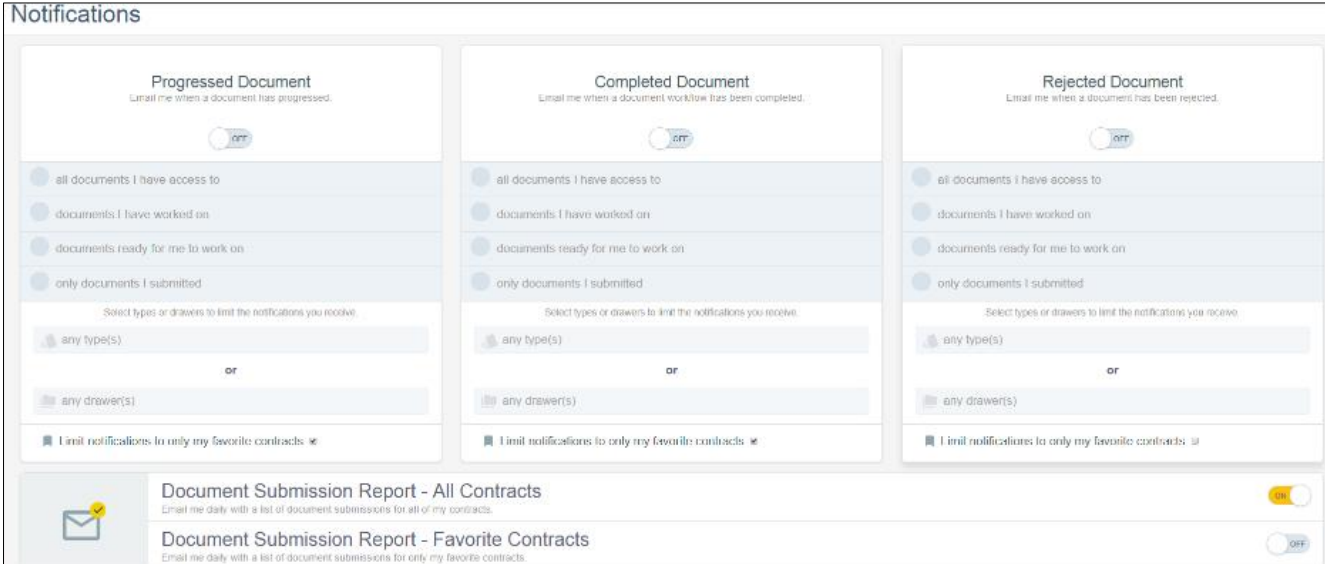
Use the check box to limit the notifications to only "favorite contracts".

Limit notifications to only my favorite contracts

The Document Submission Report is run nightly and contains a list of document submissions over the past 24 hours. The user can determine to see the report for all contracts or solely for "favorites".

If there are no changes to the documents, notifications will be sent.

The following picture shows that the option to receive notifications is turned off for every drawer and contract(s). Only the Daily Submission option is turned "On".



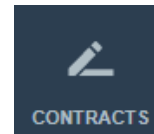
The following picture shows examples of using the “any Type” selection and “any Drawer” options.

**NOTE:** When making your selected notification options, the message in the green color bar states that the change was successfully updated.

The screenshot shows a web interface for configuring notifications. At the top, it says "Progressed Document" and "Email me when a document has progressed." Below this is a toggle switch labeled "ON". There are four radio button options for document types: "all documents I have access to", "documents I have worked on" (which is selected), "documents ready for me to work on", and "only documents I submitted". Below these are two input fields for selecting types or drawers to limit notifications. The first field contains two items: "0010 BRIDGE APPROACH PAVEMENT, AS ..." and "0010 PAINTED PAV'T MARK, WATERBORN ...". The second field contains three items: "Change Order", "Project Closeout", and "Weekly Reports". At the bottom, there is a checkbox labeled "Limit notifications to only my favorite contracts" which is checked.

There is no right or wrong – these are strictly personal preference and there are many options.

When done making notification preferences, click the “Contracts” heading icon to return to the listing of Contracts page.



### Email Examples

The following are examples of the notification emails.

Tammi Bell,

This is a daily summary of new documents submitted to your Doc Express contracts.

Yesterday, 01/24/2016, the following 19 new documents were created:

Atlantic Training

A D Change Orders

change order for Atlantic - Tammi Linn of Iowa Local Systems \_DEMO ACCOUNT - 12:30 PM CST

[Change Order for Local Public Agency Projects \(Form 831240\)](#)

change order for Atlantic - Tammi Linn of Iowa Local Systems \_DEMO ACCOUNT - 12:31 PM CST

[Change Order for Local Public Agency Projects \(Form 831240\)](#)

C O #3 - Tammi Linn of Iowa Local Systems \_DEMO ACCOUNT - 12:50 PM CST

[Change Order for Local Public Agency Projects \(Form 831240\)](#)

C O #6 - TK Linn of Iowa Local Systems \_DEMO ACCOUNT - 12:52 PM CST

Tammi Bell,

PRACTICE Atlantic

CO 02 [Change Order for Local Public Agency Projects \(Form 831240\)](#)

Iowa Local Systems \_DEMO ACCOUNT

Received  
Iowa Local Systems \_DEMO ACCOUNT - Tammi Linn - 02/04/2016 02:08 PM CST

The submittal is ready for further review and action.

If you do not wish to receive notifications, please visit your Doc Express Notifications to disable them. Please do not reply to this message.  
If you have questions please contact customer support +1 352-381-4400.

Example of a "Received"

Example of a "Daily Summary"

Tammi Bell,

PRACTICE Atlantic

Est Proposal [Estimating Proposal](#)

Iowa Local Systems \_DEMO ACCOUNT

Submitted  
Iowa Local Systems \_DEMO ACCOUNT - Tammi Linn - 02/04/2016 01:55 PM CST

The submittal is ready for further review and action.

If you do not wish to receive notifications, please visit your Doc Express Notifications to disable them. Please do not reply to this message.  
If you have questions please contact customer support +1 352-381-4400.

Example of "Submitted"

Tammi Bell,

Atlantic Training Atlantic Training

Estimates [Final Voucher](#)

Iowa Local Systems \_DEMO ACCOUNT

Rejected don't think this is correct  
Iowa Local Systems \_DEMO ACCOUNT - Tammi Bell - 01/21/2016 05:38 PM EST

If you do not wish to receive notifications, please visit your Doc Express Notifications to disable them. Please do not reply to this message.  
If you have questions please contact customer support +1 352-381-4400.

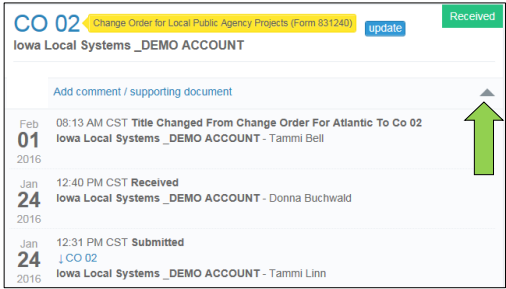
Example of "Rejected"

# How did that happen

## Activity log

This lists the action(s) that were performed on a document in a drawer for a contract.

The screen shot to the right shows the log of transitions for a submittal in expanded view. This is confirmed by the gray arrow head to the right. If the arrow head is pointing up (as shown), the view is expanded; if the arrow is pointing down, the view is collapsed. Click on the arrow head to toggle between the collapsed and expanded views.



The information that will be shown is the date of the submittal or transition. Next to the date is the time of the submittal or transition, as well as the status. Below that are the comments, if any that were made during that particular transition of the document. On the bottom line is the company/organization/agency name followed by the person responsible for that transition.

The log includes the original document that was submitted and all additional supporting documents.

When viewing the document, the signature history page will be displayed. The Doc Express Document Signing History page automatically becomes part of the document once the first signature has been obtained in Doc Express. As signatures are obtained, the names and dates are added to appropriate level.

Doc Express Document Signing History	
Contract: 69-C069-052 Document: 436 - Final Payment	
This document is in the process of being electronically signed by all required signatories using the Doc Express service. Following are the signatures that have occurred so far.	
Date	Electronically Signed By
09/04/2015	Jeff Skalberg Iowa Local Systems (Signed by Engineer or designee)
	(Signed by Contractor)

the



# At a glance

## Dashboard

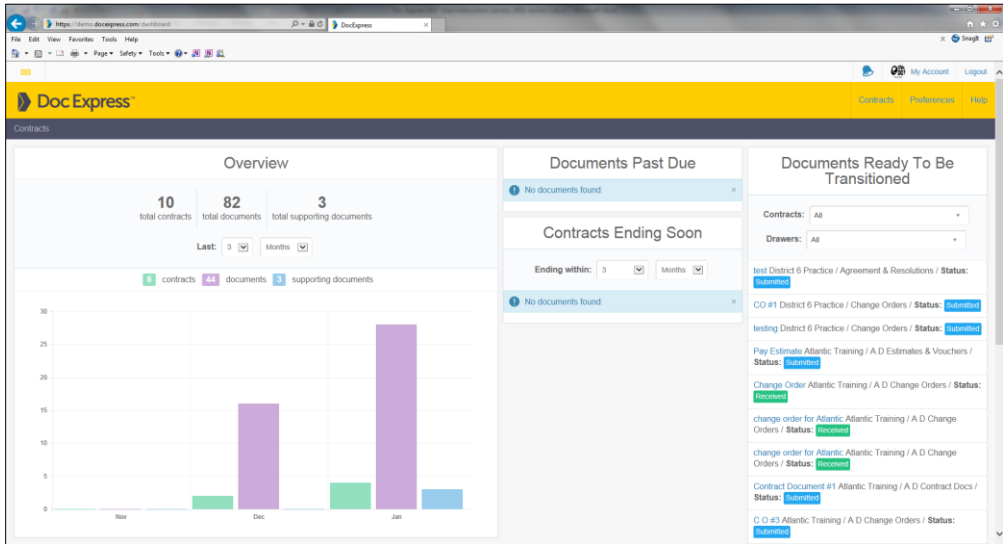
The Dashboard gives an overall view of information related to the documents in each drawer. An overview, past due documents, documents ready for a transition, and contracts ending within a set time frame can be seen here.

From the Contract page, click on the “Dashboard” option.

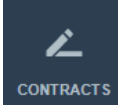


The information that is displayed.

- Overview of contracts, documents, and supporting documents.
- Contracts Ending Soon, which should be the Late Start Date on your contract. You can determine the number of months to include.
- Documents Past Due. This list includes only those contracts/drawers/documents where a due date has been entered.
- Documents Ready to Be Transitioned. This includes all documents in all contracts in your list that need an action to be completed. Displayed along with the contract information is the status of the document. Select a document to open by clicking on the document titled in blue.

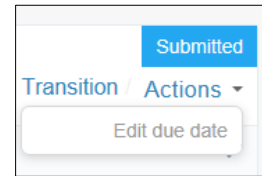


When finished reviewing the Dashboard, click the Doc Express heading icon to return to the listing of Contracts page.

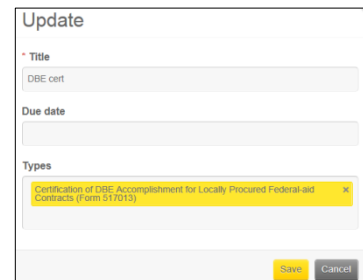


## Due date

A due date can be placed for a document submitted that by anyone that submits to a drawer. After the submittal is saved, you can enter and/or change a due date by either clicking on the “Edit due date” option under the “Actions” or by clicking on “Update” by the document title. Either method will take you to the “Update” pop-up window.



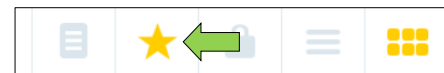
The due date can be changed as many times as needed. Each time the due date is changed that activity will be included in the log for that document. The due date is displayed below the title of the document when viewing the submittals in a drawer.



## Trying to find something

### Filter and Search

One of the filters available allows the display of only the contracts marked as “favorite”. By using this filter option, the favorite contracts will be displayed and the others will be hidden. To use this filter option, click on the “star” icon.

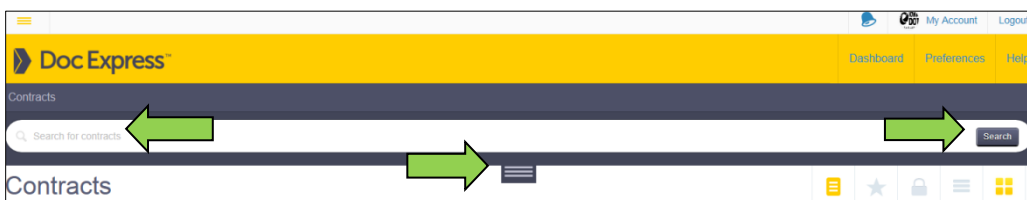


To convert back to being able to view all contracts, click on the “paper” icon.

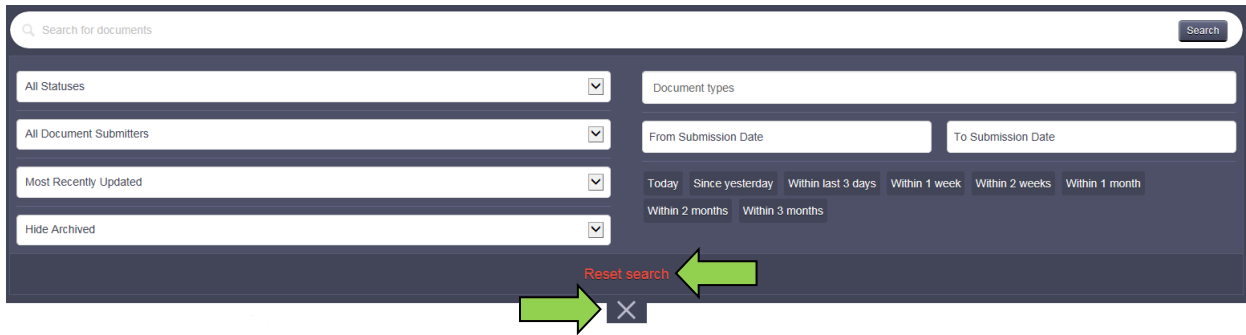


Filter fields are dependent on the screen being viewed. The search field is visible on most pages but, by default, the filter fields are hidden.

For a basic search, click in the “Search for contracts” field. Type your parameters. Click on the “Search” button.



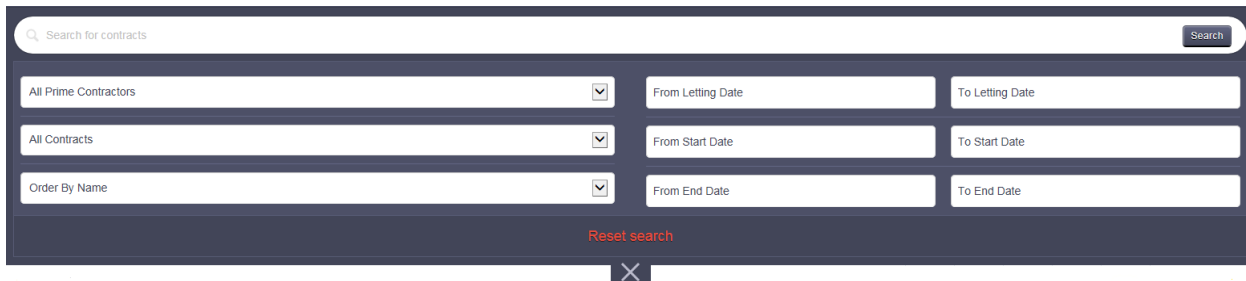
To expand the search options, click on the horizontal lines below the search bar. The filter fields are now displayed. One or more fields shown can be filtered at the same time. If utilizing more than one filter on different types one right after the other, be sure to allow the list of submittals to refresh before selecting the next type of to filter. This is especially important when filtering in a drawer and selecting a type in the Document Types field.



If another search is to be performed, click on “Reset search” in red text, directly above the “X”.

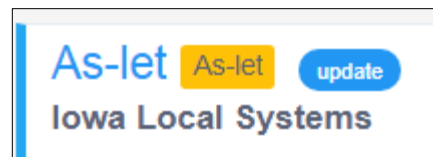
To collapse the search, click on the “X”.

There are many options to finding and organizing a search and view. The following is in a drawer under a contract.



The “Dashboard” can help when searching for a named document “Tag” type.

“Tag” is the gold colored title type of a document that has been submitted in the contracted document.



# Subcontractors

## Need added to a contract

The Subcontractors are added to the contract by the Prime Contractor and the Prime Contractor will give Subcontractor(s) access to the correct drawers. All contractors will need to have created their accounts directly with Doc Express at [www.Doc Express.com](http://www.Doc Express.com)

**NOTE:** Subcontractors will not have access to the “Payroll” drawer. Submittal is only done by the Prime Contractor.

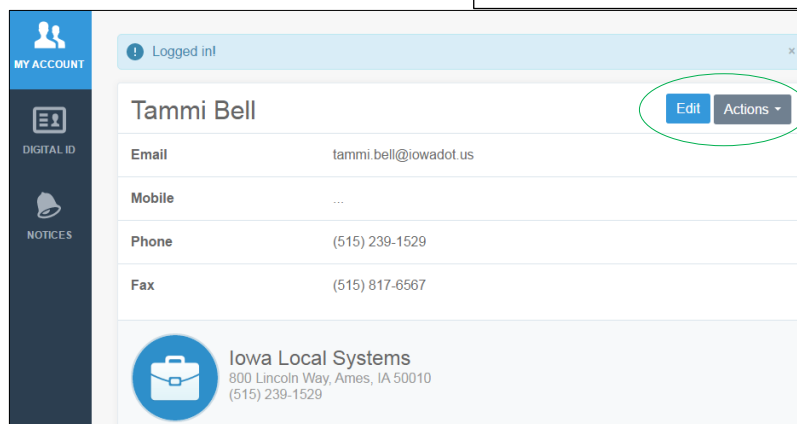
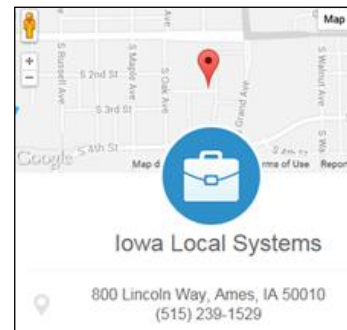
## How to update your account

### Updating your account information

Go to the “My Account” option in the upper right side of the page or click on the three horizontal lines in the upper left corner of the page and select “Account” from the drop-down list.

The address and phone number displayed on the right of the page (under the blue briefcase icon) is the Iowa Department of Transportation, Office of Local Systems’ address and cannot be changed by individual users.

The option to change your e-mail address, security challenge question, and password at any time is available. Do this by clicking the “Actions” button in the upper right side of the page and a drop-down list will be displayed. Simply select the item to change and the appropriate page will be displayed.



To change mobile, phone, or fax numbers, click the “Edit” button and then make the desired changes (example shown). The business name, business phone, or address on the right of the screen cannot be changed.

## Others in the Iowa Local Systems group

To see others in the organization who also have access to Doc Express, go to “My Account” and scroll to the bottom of the page. A list of users, their e-mail address, and their status (Manager or User) is displayed. An example is shown below –

**NOTE: DO NOT create the Digital ID option, this only.**

is for BidX

- Donna Buchwald  
donna.buchwald@dot.iowa.gov Manager
- Douglas Heeren  
douglas.heeren@dot.iowa.gov User
- Gary Mauer  
garym@gccourthouse.org User
- Gregg Durbin  
gregg.durbin@dot.iowa.gov User
- James Boyd  
james.boyd@dot.iowa.gov User

# Doc Express Drawers, Document Types and Naming Conventions

For all multiple project contracts, include the three digit paran number “(ppp)” at the end of the file name if the document is project specific.

Unless specified differently in the “File Naming” column, the following shall apply:

nn = two digit sequential numbering (if a single digit, always use two digits in the file name (1=01, 2=02 etc.))

nnn = three digit sequential numbering (if a single or double digit, always use three digits in the file name (1=001, 2=002 etc.))

d = district number

bbb = bid order number and is always 3 digits

mmm = first three letters of the month name

yy = two digit year

mm = two digit month (if a single digit, always use two digits in the file name (1=01, 2=02 etc.))

dd = two digit day (if a single digit, always use two digits in the file name (1=01, 2=02 etc.))

ppp = paran number in the project number and is always 3 digits

ss = two digit site number, when applicable on multi-site projects (if a single digit, always use two digits in the file name (1=01, 2=02 etc.))

contractor name = company name of the prime or subcontractor

owner last name = last name of the owner of the property

name = last name of individual

xx = plan sheet number

x = shoulder, intermediate, surface as appropriate

z = design level

WE = Week Ending (this is the date on Saturday of the week)

Drawers that will require signatures are noted in the drawer title box.

<b>Drawer and Type</b>	<b>Title / File Naming</b>	<b>Document / Comments</b>	<b>Who Submits</b>
<b>Agreement and Resolution Drawer</b>			
Agreement - City			Engineer
Agreement - Consultant			Engineer
Agreement - County			Engineer
Agreement - Federal			Engineer
Agreement - Other Local Public Agency			Engineer
Agreement - State			Engineer
Agreements for Private Property Used by Contractor	<i>owner last name - nn Agreement</i>		Contractor
Resolutions	Resolution Title		Engineer
FMIS Federal-aid Project Modification (Amend Mod)	FMIS AM nn		Administering Office
FMIS Federal-aid Project Modification (Closure Document)	FMIS Closure		Administering Office
FMIS Federal-aid Project Agreement (FMIS Document)	FMIS Doc		Administering Office
Funding Agreements	Funding Agreement nn		Administering Office
Local Agency Funding Agreement			Engineer
Project Development Certificate	PDC		Engineer
Railroad Agreement	<i>railroad name</i>		Engineer

<b>Drawer and Type</b>	<b>Title / File Naming</b>	<b>Document / Comments</b>	<b>Who Submits</b>
<b>Change Order Drawer (signature)</b>			
Change Order for Local Public Agency Projects (Form 831240)	CO nn		Engineer
Statement of Force Account (Form 181213)	FA nn		Engineer



<b>Drawer and Type</b>	<b>Title / File Naming</b>	<b>Document / Comments</b>	<b>Who Submits</b>
<b>Contract Documents Drawer</b>			
Addendum	Addendum ddmmmbbb.ann		Engineer
Contract	Contract		Engineer
Contractor Evaluation	Evals - contractor name		Engineer
Contractor's Bond	Bond		Engineer
Contractor's Liability Insurance	Insurance		Engineer
Correspondence -Misc	<i>yymmdd subject</i>		All
DBE Commercially Useful Function Checklist (Form 517014)	CUF contractor name nn		Engineer
Developmental Specifications	DS-yynnn		Engineer
Estimating Proposal	Est Proposal		Engineer
Field Review Reports	Field Review yymmdd		Administering Office / Local Systems
Final Highway Funding Sources	Funding Sources		Administering Office
Haul Road Designation	Haul Road Permit		Engineer
Night Work Plan and Approval	Night Work Plan		Contractor
Predetermined Wage Rate	IA-yyn.n		Engineer
Project Engineer's EEO Project Site Inspection / Wage Rate Report (Form 650170)	EEO site inspection contractor name yymmdd		Engineer
Project Information Sheet	ProjInfo		Engineer
Project Schedule	Schedule yymmdd		Contractor
Sales Tax Exempt Certs	Sales Tax Exempt - contractor name		Engineer
Special Provisions	SP-yydnnn		Engineer
Statement of DBE Commitments (Form 102115)	DBE Commitment		Engineer
Statement of DBE Commitments for Locally-Procured Federal-aid Contracts (Form 517012)	DBE Commitment- local let		Engineer
Subcontract Request (Form 830231)	Subcon - subcontractor name		Contractor starts in Working Drawer, Engineer transitions
Supplemental Specifications	SS-yynnn		Engineer

<b>Drawer and Type</b>	<b>Title / File Naming</b>	<b>Document / Comments</b>	<b>Who Submits</b>
<b>Environmental Drawer</b>			
404 Application	404 Application		Engineer
Asbestos Abatement Report	Asbestos nn		Contractor
Clean Water Act Section 404 Permit	404 Permit nn		Engineer
Co-Permittee Certification Statement (Form 830215)	Co-Permittee - contractor name		Contractor
Endangered Species (Determination of Effect)	DOE		Engineer
Erosion and Sediment Control Basics (ESC Basics) trained individual(s)	ESC Basics name	Certification(s) from Erosion Control Class	Contractor & Engineer
Erosion Control Implementation Plan (ECIP)	ECIP yymmdd		Contractor starts in Working Drawer, Engineer transitions
Erosion Control Technician (ECT) trained individual(s)	ECT Cert name		Contractor & Engineer
Iowa DNR Floodplain Permit	Floodplain Permit		Engineer
Iowa DNR Notification of Completion of Construction (DNR Form 37)	DNR Form 37		Engineer
Iowa DNR's Notice of Discontinuation (NOD) form	NOD ss		Engineer
Iowa DNR's Notice to Proceed form	NTP ss		Engineer
NEPA	NEPA		Engineer
Notice of Discontinuation of a Storm Water Discharge (Form 830216)	NOD		Engineer
Notification of Demolition	Demo Notice nn		Contractor
NPDES General Permit No.2 from Iowa DNR	NPDES		Engineer
NRCS Permit	NRCS Permit		Engineer
Phase 1 Archeology	Archeology ss		Engineer
Registration of Minor, Nonrecurring Use of Water (DNR Form 20)	DNR Form 20		Contractor
SHPO	SHPO		Engineer
<b>Drawer and Type</b>	<b>Title / File Naming</b>	<b>Document / Comments</b>	<b>Who Submits</b>

<b>Environmental Drawer (cont.)</b>			
Sovereign Lands Permit	Sovereign Lands Permit		Engineer
Storm Water Discharge Permit	Storm Permit		Engineer
Storm Water Notice of Intent (Public Notices)	Storm NOI		Engineer
Storm Water Site Inspection (Form 830214)	SW yymmdd		Engineer
Storm Water Pollution Prevention Plan Contractor's Certification (not necessary if included in plans, revision)	PPP yymmdd		Engineer
Wetland Report	Wetland report		Engineer

<b>Drawer and Type</b>	<b>Title / File Naming</b>	<b>Document / Comments</b>	<b>Who Submits</b>
<b>Estimates and Voucher Drawer</b>			
Claim for Reimbursement of Project Costs (non-CPS) (Form 517050)	Reimbursement nnn	Include all three required documents in one file; copy of canceled check, progress payment, or Invoice	PIRC / Engineer
Claim for Reimbursement of Federal Grant Program Project Costs (Form 240007)	240007 - nn		PIRC / Engineer
Claim for Reimbursement of Safe Routes to School Project Costs (Form 240009)	240009 - nn		PIRC / Engineer
Claim for Reimbursement of State Grant Program (RISE, RT) Project Costs (Form 240011)	240011 - nn		PIRC / Engineer
Pay Estimate	Est nnn		Engineer
Proof of Payment to Contractor	Payment nnn		Engineer
Progress Voucher	Voucher nnn		Engineer
Request for Early Release of Retained Funds	Retainage Release		Contractor
Stockpile Materials	Stockpile Materials		Contractor

<b>Drawer and Type</b>	<b>Title / File Naming</b>	<b>Document / Comments</b>	<b>Who Submits</b>
<b>Items and Materials Documentation Drawer</b>			
Central Materials Input	Test Report item description	Sample Test Report where item description: <u>Black bar</u> <u>Epoxy coated rebar</u>	Central Materials
	HMA Aggregate Verification	HMA Aggregate Quality Verification	Central Materials
	HMA Binder Verification	HMA Binder Quality Verification	Central Materials
	PCC Verification tested item	PCC Verification test results	Central Materials
	Structures - Steel Piling Sample	Test Report	Central Materials
District Materials Input	Air and Slump Tally	Audit Air and Slump Tally	District Materials
	HMA Test Tally	Audit HMA Test Tally	District Materials
	IM 101	Audit IM 101	Engineer starts in Working Drawer
	Gmm and Gmb Verification Summary	HMA Hot Box Verification	District Materials
	HMA IAP sample type	HMA Independent Assurance	District Materials
	HMA VAG yymmdd or nn	HMA Items - Verification Aggregate Gradations	District Materials
	PCC IAP sample type	PCC Independent Assurance	District Materials
	Profilograph Verification	Profilograph Verification	District Materials
Materials Acceptance Report	MAR		
Materials Source Report	MSR		Contractor
<i>Contract items</i>	Quantity	Generic (Sta to Sta) (Blank) (Form E001)	Engineer
		Area (SF) (Form E002)	Engineer
		Area (SY) (Form E003)	Engineer
		Volume (CY) (Form E004)	Engineer
		Lump Sum (LS) (Form E005)	Engineer
		Excavation Haul (CY) (Form E006)	Engineer
		Material - required, placed, yield (Blank) (Form E007)	Engineer
		Compaction - M & D (CY) (Form E008)	Engineer
		Volume - disposal (Boulders) (CY) (Form E009)	Engineer
		Overhaul (Sta Yds) (Form E010)	Engineer
		Removed & Placed (CY) (Form E011)	Engineer
		Excavation - % shrink, lift (CY) (Form E012)	Engineer
		Compaction - lift (Sta) (Form E013)	Engineer
		Compaction - lift (Miles) (Form E014)	Engineer



<b>Items and Materials Documentation Drawer (cont.)</b>			
<i>Contract items</i>	Drawings (Form E101)		Engineer
	Calculations (Form E102)		Engineer
	Clearing and Grubbing (Form E103)		Engineer
	Equipment Log (E104)		Engineer
	Fuel Adjustment Worksheet (E105)		Engineer
	Scale Check (E106)		Engineer
	Field Moisture Test (E107)		Engineer
	Proctor Test (E108)		Engineer
	Subgrade/Final Grade Checks (E109)		Engineer
	Depth Checks (E110)		Engineer
	PC Concrete Item Check List (E111)		Engineer
	Texture Tolerance Checks (E112)		Engineer
	Locating Tile Lines (E113)		Engineer
	Pile Cutoffs - length, identification (E116)		Engineer
	Pile Cutoffs - calculations (E117)		Engineer
	Structural Steel Placement (E118)		Engineer
	Deck Thickness & Steel Cover (E119)		Engineer
	Mobile Mixer Data (E120)		Engineer
	ACC Mat Temperatures (E121)		Engineer
	Bridge Deck Evaporation Report (E122)		Engineer
	Erosion and Landscaping Measurements (E123)		Engineer
	Seed Plots (E124)		Engineer
	Storm Water (E125)		Engineer
	Salvage and Removal of Buildings (E127)		Engineer
	Trainee Reimbursement - office (E128)		Engineer
	Remarks (E129)		Engineer
	Intake & Utility Access Log (E132)		Engineer
	Loop Detector Data Form (E133)		Engineer
	Plants & Planting Log - counties & cities use (E134)		Engineer
	Incidental Seed, Mulch & Fertilizer (E136)		Engineer
	PCC Pavement Field Page (E137)		Engineer
	PCC Structures Field Page (E138)		Engineer
	Bridge Deck Observation Report (E139)		Engineer
	Grooving Depth Checks (E140)		Engineer
	Maturity Record - (Grade) (E141)		Engineer
	Maturity Meter Data Recording Sheet - (Grade) (E142)		Engineer

Drawer and Type	Title / File Naming	Document / Comments	Who Submits
<b>Items and Materials Documentation Drawer (cont.)</b>			
<i>Contract items</i>	Maturity Meter Strength Development Curve - (Plant) (M143)		Engineer
	Maturity Meter Validation Curve - (Plant)(M144)		Engineer
	Structural Concrete Weekly (Grade) (E145)		Engineer
	IM 363 yymmdd	ADA (Materials IM 363)	Contractor
	Ticket item description	One example of a Materials Ticket	Engineer
	Cert <i>item</i> description yymmdd	Materials Certification where <i>item description</i> : Black rebar, Epoxy coated rebar	Contractor
	800130	Concrete Core Measurement Report (9 pointing)	Engineer
	800131	ACC Thickness Q.I. Report	Engineer
	820150	PC Absolute Volume Calculations	Engineer
	820180	Aggregate Gradations	Engineer
	820912	Portland Cement Shipment Yield Report	Engineer
	821258	M & D Embankment Construction - Nuclear	Engineer
	821297	Density Of Plastic PC Concrete - Nuclear	Engineer
	<i>Location on structure - nn</i>	Log of Piling Driven (wave equation-Form 830209)	Engineer
	<i>Location on structure - nn</i>	Log of Piling Driven (formula - Form 830210)	Engineer
	830212	PCC Ready Mix Concrete Truck Tickets	Engineer
Borrow verification test result	Fabrication Report	Fabrication Report	Central or District Materials
Borrow quality control results	Profilograph Report	Profilograph Report	Contractor
Contractor Furnished Borrow Report	PCC Paving - Thickness Report	Thickness report	Engineer
HMA Hamburg Test Results	Structures - Steel Piling	Mill Cert Steel Piling	Contractor
HMA Items - HMA Base Plant Report	Borrow verification - test type yymmdd		Contractor
HMA Items - HMA Charts	Borrow QC - test type yymmdd		Engineer
HMA Items - HMA Intermediate Plant Report	Borrow report nn		Contractor

<b>Drawer and Type</b>	<b>Title / File Naming</b>	<b>Document / Comments</b>	<b>Who Submits</b>
<b>Items and Materials Documentation Drawer (cont.)</b>			
HMA Items - HMA Surface Plant Report	Hamburg Verification x, z		Central / District Materials
HMA Items - Mix Design	HMA Base yymmdd or nn		Contractor
HMA Items - Mix Temps (Small Quantities)	HMA PWL Chart x		Contractor
HMA Surface Patch	HMA Inter yymmdd or nn		Contractor
PCC Paving / Structure - Beam Break Results (Form E114)	HMA Surface yymmdd or nn		Contractor
PCC Paving - Air & Slump Test Results (Form E115)	HMA intended use Mix Design #		District Materials
PCC Paving - Contractor Quality Control Plan	HMA Small Qty yymmdd or nn		Contractor
PCC Paving / Structure - Maturity (Curves & Verification)	HMA Patch yymmdd or nn Note: In comment field note number of tons used for surface patch.		Contractor
PCC Paving - Mix Design	Beam break yymmdd		Engineer
PCC Paving - PCC Plant Report (Form 800240)	Air and Slump Report yymmdd		Engineer
PCC Paving - Plant Monitor Gradations	QCP		Contractor
PCC Paving / Structure - Time temperature factor readings	Maturity Type of Mix yymmdd or nn	Original, verification number	Contractor start in Working Drawer, Engineer transitions
Soils verification test result	Mix Design Type of Mix nn		Contractor start in Working Drawer, District Materials transitions
Soils quality control results	Plant Report yymmdd or nn		Contractor start in Working Drawer, Engineer transitions
Structure - Air & Slump Test Results (Form 145)	Monitor Gradation yymmdd		Engineer
Structure - Mix Design	Daily maturity report yymmdd		Contractor start in Working Drawer, Engineer transitions
Structure - PCC Plant Report (Form 800240)	Soil verification - test type yymmdd		Engineer
Structure - Plant Monitor Gradations	Soil QC - test type yymmdd		Contractor
Structures Weekly Grade Report (Form 830242)	Air and Slump Report yymmdd		Engineer



<b>Drawer and Type</b>	<b>Title / File Naming</b>	<b>Document / Comments</b>	<b>Who Submits</b>
<b>Items and Materials Documentation Drawer (cont.)</b>			
	Mix Design Type of Mix yymmdd or nn		Contractor starts in Working Drawer, District Materials transitions
	Plant Report yymmdd or nn		Contractor start in Working Drawer, Engineer transitions
	Monitor Gradation yymmdd		Engineer
	Structure Grade Report WE yymmdd		Engineer

<b>Meetings Drawer</b>			
Preconstruction Meeting/Sign In Information	Precon		Engineer or Contractor
Pre-pour Meeting Minutes	Prepour yymmdd		Engineer or Contractor
Progress Meeting Minutes	<i>Progress meeting yymmdd</i>		Engineer or Contractor

<b>Payrolls Drawer</b>			
<i>Contractor name</i>	PR WE yymmdd	Certified Transcript of Labor Payroll (Form 830176) (Non-cash fring add supporting document for each item).	Contractor
<i>Subcontractor names</i>	PR WE yymmdd	Certified Transcript of Labor Payroll (Form 830176) (Non-cash fring add supporting document for each item).	Contractor

<b>Project Closeout Drawer (signature)</b>			
Audit of Final Pay Estimate (Form 830301)	301		Administering Office
Certificate of Completion and Final Acceptance of Agreement Work (Form 640003)	3		Engineer
Certification of DBE Accomplishment (Form 102116)	116		Contractor start in Working Drawer, Engineer transitions
Certification of Subcontractor Payment (Form 518002)	518002		Contractor
Contract Quantity Agreement (Form 830230)	PQA nn		Engineer
Final Audit Checklist (3.910 Attachment F)	Attachment F		Engineer
Final Estimate	Final Est		Engineer
Final Payment (Form 830436)	436		Engineer
Final Voucher	Final Voucher		Engineer
Interest Payment Information (Form 830236)	Interest Payment		Engineer
Noncompliance Notice (Form 830245)	Noncompliance nn		Engineer
Noncomplying Test or Measurements of Materials Incorporated into the Project	Noncomplying Material		Engineer
Pre Audit Checklist (3.910 Attachment E)	Attachment E		Engineer
Semi-final Estimate	Semi-Final Est nnn		Engineer
Semi-final Voucher	Semi-final Voucher nnn		Engineer
Statement of Completion and Final Acceptance of Work (Form 830435)	435		Engineer

<b>Shop Drawings Drawer</b>			
Cofferdam design (when required)	<i>ppp Design no. description</i>		Contractor
Detail plans for falsework or centering support of steel structures (i.e. erection plans)	<i>ppp Design no. description</i>		Contractor
Falsework for slab bridges	<i>ppp Design no. description</i>		Contractor
Highway lighting	<i>ppp Design no. description</i>		Contractor
Highway sign support structures (i.e. bridge type trusses, cantilevers trusses, & bridge mounts)	<i>ppp Design no. description</i>		Contractor
Highway signing - Type A & B signs	<i>ppp Design no. description</i>		Contractor
Highway signing steel breakaway posts	<i>ppp Design no. description</i>		Contractor
Intermediate foundation improvement (IFI)(i.e. stone columns, geopiers, etc.)	<i>ppp Design no. description</i>		Contractor
Misc. Bridge	<i>ppp Design no. description</i>		Contractor
Misc. Soils Design	<i>ppp Design no. description</i>		Contractor
MSE, segmental, & modular block retaining walls	<i>ppp Design no. description</i>		Contractor
Precast concrete (i.e. deck panels, RCB culverts, noise wall panels, arch sections, etc.)	<i>ppp Design no. description</i>		Contractor
Pre-engineered steel truss recreational trail bridge	<i>ppp Design no. description</i>		Contractor
Reconstruction of substructure (detailed plans for supporting the superstructure)	<i>ppp Design no. description</i>		Contractor
Removal of box girder bridges	<i>ppp Design no. description</i>		Contractor
Soil nail & tie-back retaining walls	<i>ppp Design no. description</i>		Contractor
Steel and aluminum pedestrian hand rails and aesthetic fences	<i>ppp Design no. description</i>		Contractor
Steel Structures	<i>ppp Design no. description</i>		Contractor
Structural erection manual	<i>ppp Design no. description</i>		Contractor
Temporary sheet pile retaining wall	<i>ppp Design no. description</i>		Contractor
Temporary shoring	<i>ppp Design no. description</i>		Contractor

<b>Shop Drawings Drawer (cont.)</b>			
Tower lighting	<i>ppp Design no. description</i>		Contractor
Traffic signalization	<i>ppp Design no. description</i>		Contractor
Architectural concrete sealer samples and manufacturer data	<i>ppp Design no. description</i>		Contractor
Architectural concrete texture form liner samples and drawings	<i>ppp Design no. description</i>		Contractor
Architectural mock-ups	<i>ppp Design no. description</i>		Contractor
Architectural ornamental brick	<i>ppp Design no. description</i>		Contractor
Architectural paint color samples and manufacturer data	<i>ppp Design no. description</i>		Contractor
Architectural paving	<i>ppp Design no. description</i>		Contractor

<b>Shop Drawings Drawer (cont.)</b>			
Bridge components	<p><i>ppp Design no. description</i> Where the Design number is added only when applicable. Where description is:</p> <p>Expansion Joint Device-Extrusions</p> <p>Expansion Joint Device-Extrusions Metal Railing - Steel Metal Railing - Steel/Aluminum Metal Railing - Steel/Aluminum/Stainless Steel</p> <p>Covered Plates</p> <p>Welded Wire Bridge Fence Panels</p> <p>Cross Frames / Diaphragms Finger Joint Devices (includes Reinforced Neoprene Trough) Thread Plates</p>		Contractor
Bridge components	<p>Pintle Plates</p> <p>Sole Plates Curved Sole Plates Masonry Plates Bridge Floor Drains Self-Lubricating Bronze Plates Disc Bearings Pot Bearing Assemblies Bearing Assemblies - Castings</p>		Contractor
	<p>Steel Laminated Elastomeric Bearing Pads Walkway Inspection (River Crossing Bridges)</p>		

<b>Traffic Control Drawer</b>			
Contractor's Traffic Control Daily Diary	TC Diary WE yymmdd		Contractor
Traffic Control Monitor Diary (Form E126)	TC Monitor WE yymmdd	E126 - Traffic Surveillance	Engineer
ATSSA or IMSA Work Zone Traffic Control trained individuals	TC Tech Cert - tech name		Contractor

<b>Weekly Reports Drawer (signature)</b>			
Inspector's Daily Diary Report	IDR <i>yymmdd name</i>		Inspector
Daily Work Reports	DWR <i>yymmdd</i>		Engineer
Notice to Proceed (Form 830237)	Notice to Proceed nn		Engineer
Notice of Suspension or Resumption of Work (Form 810036)	Suspend/Resume Notice nn		Engineer
Weekly Report of Working Days (for Incentive/Disincentive Clause) (Form 830241)	WDR ss WE <i>yymmdd</i>		Engineer
Weekly Report of Working Days (Form 830238)	WDR ss WE <i>yymmdd</i>	Add Daily Diary as attachment support document. After 10 days mark approved by Engineer	Engineer

<b>Working Drawer</b>			
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# Flowchart

## Contract

**Key Code -**  
 Blue (No Signature)  
 Green (Require Signature)  
 Lt Gray (who enters the document)  
 Types (#) indicates number of types in that drawer. The list is located in the "Naming Convention".

Doc Express  
 February 2017

