



Construction Project Documentation Checklist

Contract ID: _____

Date: _____

1.0 Items Conducted Early in the Project

1.01

Doc Express includes a copy of:

Items to be placed in Doc Express Drawer

Contract Documentation Drawer

-- Bid Proposal

-- Addendums

-- Contract

-- Developmental Specifications

-- Special Provisions

-- Supplemental Specifications

-- DBE Commitment Report (Federal Projects Only)

-- Final Highway Funding Sources

-- Preconstruction meeting minutes/attendance list

-- CPM Schedule

-- Utility Bid Attachments

-- ROW Bid Attachments

Plan Drawer

-- Plans

-- Plan Revisions

Contract Signing Drawer

-- Contractor Railroad Protective Insurance

Payrolls Drawer

-- Wage Decision/Pre-determined Wage Rate

1.02

Material Certifications to cover all Materials Incorporated

Various forms, C.M. 3.31 & Section 1106, Materials Acceptance Report

Check during the course of the project that all materials incorporated in the project have proper certifications before authorizing payment.

1.03

Certified Payrolls

Form 830176, CM. 2.24

Submitted weekly by contractor on Federal Aid projects and projects with special wage rates uploaded to the Payrolls Drawer in Doc Express. Check wages and fringes for accuracy. Any errors will require the contractor's adjustment. Item payments should be withheld if forms are inaccurate or not submitted timely. Itemized list of any non-cash fringe and corresponding dollar values included.

1.04 EEO Project Site Inspection/Wage Rate Report
Form 650170, C.M. 2.22, Article 1102.19

Complete questions #1 & 2 for all contracts. Question #3 & 4 are for federally funded projects only and should be conducted with the Prime and all subs having subcontracts over \$10,000. The wage rate interviews should be completed at least once, and if the contract extends more than 6 months, approximately once every 6 months for the duration of the contract. Wage rate interviews do not need to be completed for contractors or subcontractors that participate in the Associated General Contractors AGC Prevailing Wage Notification Program. Once complete, submit to Contract Documentation Drawer in Doc Express.

1.05 Contract quantity agreements
Form 830230, C.M. 2.27, Art. 1109.01

Uploaded to the Project closeout Drawer in Doc Express this agreement acknowledges the Contractors willingness to accept contract quantity on an item requiring payment by measurement. The agreement is then used instead of measurement. Inspector and contractor should consider this agreement on items with large quantities that require measurement if contract quantity appears to be within reason.

1.06 Haul Road Designation and Revocation
Letter, C.M. 2.12, Art. 1105.12

Contractor submits routes for approval. If approval is granted by RCE and local jurisdiction, routes may be videotaped. Office staff performs official designation, revocation, with copies to the local jurisdiction. Uploaded to the Contract Documentation Drawer in Doc Express.

1.07 Subcontract Request
Form 830231, C.M. 2.25, Art. 1108.01

Submitted by Prime for all subcontractors added during the course of the contract i.e. - not originally considered at letting and before the subcontractor starts work. Review form for correctness particularly contractor's EEO policy status, DBE goal, and total subcontracted dollars not to exceed 70% of contract. On federal aid projects, remind the prime contractor that the FHWA 1273 is to be physically attached to each subcontract. Uploaded to the Contract Documentation Drawer in Doc Express.

1.08 Contractors Use of Property
C.M. 2.26

Contractors must obtain a lease from the DOT when using excess ROW or Borrow pits for storage of equipment or setting up plants. In addition, contractors must provide proof of agreements for using private property. Contractors should follow these requirements and clean up the sites when the project is complete. Uploaded to the Contract Documentation Drawer in Doc Express.

1.09 Weight Ticket
C.M. 3.50, IM 209, Art. 2001.07

Check that the Weighmaster certifies all tickets and that the totals match the quantity paid. If the tickets are in order and have a computerized running total, no tape is required. If there are tickets missing and from different days or handwritten, then 2 tapes are required. Double initial on all tickets. A summary sheet and one ticket per source per type of material is submitted to the Items & Material Documentation Drawer in Doc Express.

1.10 Ready-Mix Tickets
Form 830212 or similar ticket, C.M. 9.03
Check that the tickets are properly documented and that the yield is within reason.

1.11 Work Zone Reporting/511
Article 2528
RCE office notifies Traffic Operations when traffic restrictions are put in place, modified, and removed.

1.12 Change Orders
Form 830240, Article 1109.03, C.M. 2.3
Discuss at the Pre-Construction meeting on procedures. Uploaded to the Change Order Drawer in Doc Express.

1.13 Statement of Force Account
Form 181213, Article 1105.08/1109.03, C.M. 2.3, 2.53
Discuss at the Pre-Construction meeting on procedures. Contractor prepares daily and RCE checks for completeness for hours and equipment. Contractor has one (1) week after work is completed to furnish completed forms. Uploaded to the Change Order Drawer in Doc Express.

1.14 Noncompliance Notice
Form 830245, Article 1109.03, C.M. 2.3
RCE completes within 1 day of recognized noncompliance. Uploaded to the Project Closeout Drawer in Doc Express. If a price adjustment is added ensure a change order was written and uploaded to the Change Order Drawer in Doc Express.

Comments/ Notes	
--------------------	--

2.0 Environmental

2.01 Notice of Demolition forms processed by Location & Environment Bureau
C.M. 10.61
Required when removing buildings or bridges. No work is to start until the notice has been processed and the Contractor carries a copy in the field and submits to the Environmental Drawer in Doc Express

2.02 Registration of Minor, Non-recurring Use of Water
DNR Form 20, C.M. 2.14
Required when Contractor uses more than 25,000 Gal./Day from Natural Sources. Submitted by Contractor to DNR with copy to the Environmental Drawer in Doc Express.

2.03 Uniform Manifest of Hazardous Waste
C.M. 10.64
Contractor to submit to Contract Documentation Drawer in Doc Express.

2.04 Notice of Completion for Asbestos Abatement
C.M. 10.62
Submit to Environmental Drawer in Doc Express.

2.05

2.16.Abandoned Water Well Plugging Record

C.M. 10.72, App 10-6, DNR Form 542-1226, must receive before signing 435

Contractor to submit to Environmental Drawer in Doc Express.

2.06

Various submittals for painting and paint removals on bridge steel structures

C.M. 10.50, 2508

Contractor to submit to Contract Documents Drawer in Doc Express.

2.07

Underground Storage Tank Removal

Spec. 2537.03.A.1

Notification of Tank Closure submitted to the DNR and submitted to the Contract Documents Drawer in Doc Express.

2.08

Clean Water Act Section 404 Permit

C.M. 2.13, C.M. 10.40, Note 281-01 and <https://envpermits.iowadot.gov>

Check that Contractor posts the 404 permit/agreement and Form 37 on Bulletin Board, which displays the DNR 404 Permit Number. Upload 404 permit to Environmental Drawer in Doc Express.

2.09

National Pollutant Discharge Elimination System (NPDES) General Permit No. 2 from the Iowa DNR

C.M. 10.32, Pollution Prevention Plans

Permit coverage is obtained by CMB for projects where construction activity disturbs 1 acre or more and the DOT is the Contracting Authority. Check that CMB has uploaded the permit authorization to the Environmental Drawer.

2.10

Erosion Control Implementation Plan ECIP

Section 2602, Pollution Prevention Plans

- Contractor submits ECIP to Environmental Drawer in Doc Express.
- Erosion and Sediment Control Basics (ESC Basics) and Erosion Control Technician (ECT) trained individuals on the Contractor's staff?
- Water Pollution Control Manager

2.11

Storm Water Co-Permittee Certification Statement

C.M. 10.33, Pollution Prevention Plans

Contractor to upload co-permittee certification statements signed by subcontractors prior to any excavation taking place/disturbing the ground. Subcontractor Co-Permittee statements are uploaded to the Environmental Drawer in Doc Express. Prime contractor co-permittee certification statement is signed at time of contract execution and is located in the Contract Signing Drawer

2.12

Storm Water Site Inspection Reports

Form 830214, C.M. 10.33, Section 2602

Only required on projects with a Pollution Prevention Plan. Inspection conducted jointly with Contractor every seven days. Inspector submits forms in Environmental Drawer in Doc Express. Contractor to sign inspection report.

2.13

Amended Pollution Prevention Plan (PPP) Site Map

C.M. 10.33, Section 2602, Pollution Prevention Plans

Submitted to the Environmental Drawer in Doc Express by contractor.

2.14 Storm Water Permit Notice of Discontinuation (NOD)
 Form 830216, Appendix 10-4, C.M. 10.31, Pollution Prevention Plans

RCE or designee to complete NOD form, sign, and submit to Environmental Drawer in Doc Express after 70% of permanent seed is established on a project requiring a Storm Water Permit. Notification of the submittal is sent to the Construction and Materials Bureau.

2.15 Iowa DNR Floodplain Permit
 DNR Form 542-3017, CM 2.13

Upload floodplain permit to Environmental Drawer in Doc Express.

Comments/ Notes	
--------------------	--

3.0 Items Completed During the Course of the Project

3.01 Certificate of Completion and Acknowledgement of Utility Work
 Form 517112, C.M. 12.04

Inspector assists in monitoring reimbursable activity performed by Utility. Form 517112 is prepared by the utility company and signed by District Utility Coordinator. An electric copy is sent to the DUC, who after signing, forwards the completed form to the ROW Bureau Utility Section for utility agreements. Submit a copy of completed form 517112 to the Project Closeout Drawer in Doc Express.

3.02 Construction Survey Item
 Section 2526

When Construction Survey is an item on a contract, make sure the contractor has preserved the control points, provided the ASCII file of points, Monument preservation certificates, reference monument drawings, Benchmark Coordinates, Required DTM's, Bridge and Box culvert staking diagrams to the Items & Materials Documentation Drawer in Doc Express.

3.03 Statement of Salvaged Material
 CM Appendix 3-1, C.M. 3.05.

Complete form with Maintenance shop representative or designee, both of whom shall initial entries. Form is submitted in Project Closeout Drawer in Doc Express.

3.04 Traffic Quality Control Contractor's Daily TC Diary
 C.M. 5.40, Section 2528.

Check that the Contractor has a Certified Traffic Control Tech. on staff. Additionally, if Monitoring with Incident Response is an item on the contract, the contractor must document any event that restricts normal traffic flow particularly crashes. TC Diaries and all Certified TC Techs should be submitted to the Traffic Control Drawer in Doc Express.

3.05 Pile driving logs
 Article 2501, C.M. 11.22 Form 830209

Submitted to Items & Materials Documentation Drawer in Doc Express.

3.06

Incentive/Disincentive/Price Adjustments for the following:

Assure that a change order has been written for each of the below when needed

- Smoothness (Section 2317)
- PCC Pavement Thickness (Article 2301, C.M. 9.65, I.M. 346)
- HMA Related Incentives/Disincentives (Section 2303)
- I/D for Early Completion (Section 1111)
- Liquidated Damages (Article 1108, C.M. 2.34)
- Non-compliances (C.M. 3.21)
- Fuel Adjustment (2120 & CM 2.56, DS-15102) (FieldManager Contracts Only)
- A +B Incentive/Disincentives (Proposal/Contract) (Article 1112)

3.07

PCC/HMA Reports and HMA Charts.

Article 2301/2303

Submit to Items & Materials Documentation Drawer in Doc Express.

3.08

Commercially Useful Function

CUF Form 517014 & C.M. 2.25

Submit to the Contract Documentation Drawer in Doc Express.

3.09

Weekly Report of Working Days

Form 830238 or Form 830241, C.M. 2.33

Submit to Weekly Reports Drawer in Doc Express to be signed and completed by RCE.

3.10

Notice of Suspension or Resumption of Work

Form 810036, C.M. 3.06

Submit to Weekly Reports Drawer in Doc Express

3.11

ADA Ramp Verification

Materials I.M. 363

Contractor to submit to Items & Materials Documentation Drawer in Doc Express

3.12

Railroad Protective Insurance

C.M.12.03

For projects longer than 1 year, renewal of Contractor Railroad Protective Insurance included in the Items & Materials Documentation Drawer in Doc Express.

3.13

Haul Road Revocation and Reimbursement

C.M. 2.12

Submitted to the Contract Documentation Drawer in Doc Express

3.14

STRUCTURES INVENTORY AND CLEARANCE REPORTING

C.M. 2.71

The RCE is responsible for promptly reporting the following inventory data in Masterworks, when structures are added, reconfigured, or removed from inventory. Open to Traffic Date and As-Built Clearance.

3.15 Stockpiled Materials
C.M. 2.51
Discussed at the pre-construction meeting. RCE prepares within 2 weeks of contractor's request.

Comments/
Notes

4.0 Items Conducted Towards the End of the Project

4.01 All Contract Items and Change Orders Double Checked
C.M. 2.36 and 3.11, Article 1109
Check that all items are correct, complete and in the correct division/categories for future billing. Check for overruns, underruns, force accounts, non-compliances/price adjustments and plan quantity items that may need a contract modification before turning in Semi Final.

4.02 Supporting Documentation
C.M. 2.42 & 3.11
Organize documentation and retain in project file. Submit Sketches, Photos, and any other supporting documentation in Contract Documentation/Items & Materials Documentation Drawer in Doc Express to justify paid quantities.

4.03 Materials Report (IM101)
I.M. 101, I.M. 204, Section 1106
Complete and forward to District Materials staff.

4.04 Itemized Billing to City/County for Work Completed According to DOT Agreement
C.M. 2.74
Summarize actual quantities placed and submit to Project Closeout Drawer in Doc Express.

4.05 Request for Early Release of Retained Funds
Article 1109
Submitted by contractor in Project Closeout Drawer in Doc Express

4.06 Contractor Evaluations
C.M. 2.38
Submitted to the Project Closeout Drawer in Doc Express

4.07 Final Weekly Report of Working Days.
Article 1108, C.M. 2.33
Complete and submit to Weekly Reports Drawer in Doc Express.

4.08 Project Acceptance (435)
Form 830435, C.M. 2.37
Have the following items been received?- Surveyors Books, Contractors Traffic Control Diary, Abandoned Water Well Plugging Record, DNR Form 542-1226, Corrected Final Profilometer Reports, Plant Reports, Non-compliances - involving field work Resolved.
Complete and submit to Project Closeout Drawer in Doc Express.

4.09 Final Quantities
C.M. 2.40
Submit Final Quantities letter along with Contract Project Items XLS file. Contractor to sign the agreement of quantities in the Project Closeout Drawer under the Pre-Audit Agreement/Estimate Payment

4.10 Certification of Subcontractor Payments
Form 518002
Contractor submits to Project Closeout Drawer in Doc Express and signs. RCE reviews, signs, and completes.

4.11 Certification of DBE Accomplishment
Form 102116, C.M. 2.25
Contractor submits to Project Closeout Drawer in Doc Express and signs. RCE reviews, signs, and completes.

4.12 Interest Payment Information
Form 830235, C.M. 2.55
Complete and submit to Project Closeout Drawer in Doc Express.

4.13 Audit of Final Pay Estimate
Form 830301, C.M. 2.43
Complete and submit to Project Closeout Drawer in Doc Express.

4.14 Final Payment and Noncompliance Statement (436)
Form 830436, C.M. 2.37
Complete and submit to Project Closeout Drawer in Doc Express.

4.15 Project As-builts
C.M. 2.72
Complete As-built and turn in to the RCE to check, sign and send into ERMS.

Comments/ Notes	
--------------------	--

5.0	Items to be Checked in AASHTOWare Project (AWP)
------------	--

5.01	Check Placed and Paid Quantities C.M. 3.11
-------------	--

Check Placed and Paid Quantities including any unpaid quantities and plan quantity items. Identify unused items.

5.02	Check Stockpile Balance AWP Manual, Chapter 6
-------------	---

There should be no leftover stockpile items under "Stockpile Summary by Stockpile."

5.03	Progress Vouchers/Pay Estimates AWP Manual / Doc X
-------------	--

Does the Contract Documentation Drawer in Doc Express contain copies of all progress vouchers or pay estimates prepared by the Project Engineer?

5.04	Proposed Semi-final Voucher/Pay Estimate AWP Manual / Doc X
-------------	---

Does the Contract Documentation Drawer in Doc Express contain a copy of the negative semi-final voucher to correct any possible overpayment if warranted?

Comments/ Notes	
--------------------	--

Signature 1	
Signature 2	
Signature 3	
Signature 4	
Signature 5	
Signature 6	

Comments/ Notes	
--------------------	--