



Federal-aid Overview Seminar

Construction Inspection & Contract Administration Training Manual

2025



2025 Federal-aid Overview Seminar

Post-Letting: Construction Inspection and Contract Administration Agenda

Time	Agenda Item	Time	Agenda Item
8:00 - 8:30	Registration		
8:30	<p>Welcome – Local Systems Bureau</p> <ul style="list-style-type: none"> • Introductions • Purpose and Format • Breaks and Facilities • General DOT Contacts • Website resources • Written Guidance <p>Welcome - FHWA</p> <p>Construction Inspection - Region Field Technicians</p> <ul style="list-style-type: none"> • I.M. 6.000 • Pre-construction Meeting • Project Inspection Duties • Working Day Reports • Change Orders • EEO / AA and Wage Rate Compliance • Certified Payrolls • Davis-Bacon Wage Rates • Prompt Payment • No certification, No pay • Build America Buy America (BABA) • Specification updates • Training Opportunities <p>EZ Forms – Sarah Okerlund</p> <p>DBE Requirements – Nikita Rainey</p> <ul style="list-style-type: none"> • DBE Trucking – NEW! <p>Break and Refreshments (provided)</p> <p>Materials - District Materials</p> <ul style="list-style-type: none"> • LPA & Iowa DOT Obligations • Materials Instructional Memorandums • Materials Acceptance Report • Materials Certification • Materials Training <p>Doc Express & Appia – Derek Peck/Niki Stinn</p> <ul style="list-style-type: none"> • Doc Express Instructions • Project Closeout Workflow • Naming Convention • Workflows & Notifications • Auditing • Locking & Archiving • Project Setup & Review • Record Keeping/Audit Guidance • Items Without Certifications/Payrolls • Appia-Doc Express Integration • Payments & Change orders • Final Payment Process • Reminders & Additional Resources 	12:00 – 1:15	<p>Lunch (on your own)</p>
		1:15	<p>Payments & Claim Reimbursements – Field Team</p> <ul style="list-style-type: none"> • Payments (Contractor Pay System, Appia Auto-pay) • New I.M. 6.020, Payments & Reimbursement Processes • Claims for Reimbursement (Form 517050) • Inactive Obligations & PEDs <p>Final Field Reviews - Region Field Engineers</p> <ul style="list-style-type: none"> • What do we look for? <p>Constructability/workmanship issues</p> <p>Project Close-out for Highway Projects - Region Field Engineers</p> <ul style="list-style-type: none"> • I.M. 6.110 • Inspection and Acceptance of Field Work • Pre-audit Checklist and Procedures • Construction & Materials Audits • Semi-final Payment • Final Forms Packet • Interest Payments • Final Payment and Federal Reimbursement • Project Close-out <p>Break and Refreshments (provided)</p> <p>Project Close-out for Non-Highway Projects – Grant Team</p> <ul style="list-style-type: none"> • Process Differences for Non-Highway Projects • Materials Acceptance Requirements
		3:30	<p>Closing Remarks – Local Systems Bureau</p> <ul style="list-style-type: none"> • Top Things to Remember

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Doc Express and Appia

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- ❖ Project Close-out for Highway Projects presentation
- ❖ Project Close-out for Non-highway Projects presentation

Closing - Top Things to Remember

- ❖ Top Things to Remember presentation

Iowa DOT Contact List

Federal-aid Overview Seminars

(December 1, 2024)

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

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Federal-aid Project Development Guide

For Local Public Agencies

January 19, 2024

Iowa Department of Transportation

Local Systems Bureau

800 Lincoln Way

Ames, IA 50010

https://iowadot.gov/local_systems/publications/im/federal-aid-guide.pdf

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1 Introduction

1.1. About the Federal-aid Guide

1.1.1. What is the Federal-aid Guide for?

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

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

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

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

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

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

1.1.3. What does the Federal-aid Guide cover?

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

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

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

1.2. Working with the Iowa DOT

1.2.1. Roles and Responsibilities

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

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

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

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

1.2.2. Who do I Contact?

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

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

2 Federal-aid Basics

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

2.1. Project Programming

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

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

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

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

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

2.2. Funding Agreement

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

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

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

2.3. FHWA Authorization

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

2.3.1. When is FHWA Authorization Needed?

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

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

2.3.2. How is FHWA Authorization Obtained?

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

1. The LPA sends a written request for FHWA Authorization to begin a specific type of project work to the [Administering Bureau](#), including the appropriate documentation for the type of work being requested.

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

2.4. Reimbursement

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

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

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

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

2.5. Match Requirements

2.5.1. General Match Requirements

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

2.5.2. In-Kind Contributions

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

2.6. Person in Responsible Charge

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

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

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

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

3 Getting Started

3.1. Project Development Overview

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

3.2. Concept Statement

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

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

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

3.3. Project Schedule

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

3.4. Project Submittal Dates

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

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

3.5. Project Tracking

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

3.6. Financial Plan

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

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

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

4 Permits and Environmental Review

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

4.1. The NEPA Process

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

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

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

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

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

4.2. Water Trails and Paddling Routes

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

4.3. Section 404 Permits

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

4.4. Iowa DNR Floodplain Development Permits

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

4.5. Storm Water Permits

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

4.6. Farmland Protection Policy Act

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

4.7. Projects in the Vicinity of an Airport or Heliport

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

4.8. Hazardous Materials

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

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

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

4.9. Work on Primary or Interstate Highways

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

4.9.1. Permits

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

4.9.2. Interchange Justification Reports

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

4.9.3. Projects within Interstate Right-of-Way

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

5 Project Design

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

5.1. Final Design and FHWA Environmental Concurrence

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

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

5.2. Federal-aid Participation in Design Activities

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

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

5.2.1. Consultant Services

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

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

5.2.2. In-House Services

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

5.3. Design Guidelines

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

5.3.1. Roadways and Bridges

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

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

5.3.2. Bicycle and Pedestrian Facilities

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

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

5.4. Design Exceptions

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

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

5.4.1. Roadways and Bridges

A design exception is required in the following situations:

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

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

A justification is required in the following situations:

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

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

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

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

5.4.2. Bicycle and Pedestrian Facilities

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

5.5. Plans and Specifications

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

5.5.1. Preliminary Plans

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

5.5.2. Check and Final Plans

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

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

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

6 Right-of-Way, Utilities, and Railroads

6.1. Right-of-Way

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

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

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

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

6.2. Utilities

6.2.1. Accommodation and Coordination

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

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

6.2.2. Federal-aid Participation in Utility Relocations

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

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

6.3. Railroads

6.3.1. Coordination

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

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

6.3.2. Federal-aid Projects Involving Railroads

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

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

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

7 Letting and Contract Award

7.1. Iowa DOT Letting Procedures

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

7.1.1. FHWA Authorization of Construction Costs

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

7.1.2. Project Clearances

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

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

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

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

7.1.3. Iowa DOT Concurrence in Award

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

7.2. Local Letting Procedures

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

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

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

7.3. Participation by Disadvantaged Business Enterprises

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

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

8 Construction

8.1. Contract Administration and Inspection

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

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

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

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

8.2. Iowa DOT and FHWA Reviews

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

9 Project Close-out and Audits

9.1. Completion of the Construction Contract

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

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

9.2. Final Audits

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

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

9.3. Closing the Project and Records Retention

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

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

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

10 Other Federal-aid Requirements

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

10.1. Nondiscrimination

10.1.1. Title VI

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

10.1.2. Americans with Disabilities Act

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

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

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

10.2. Federal Funds Management

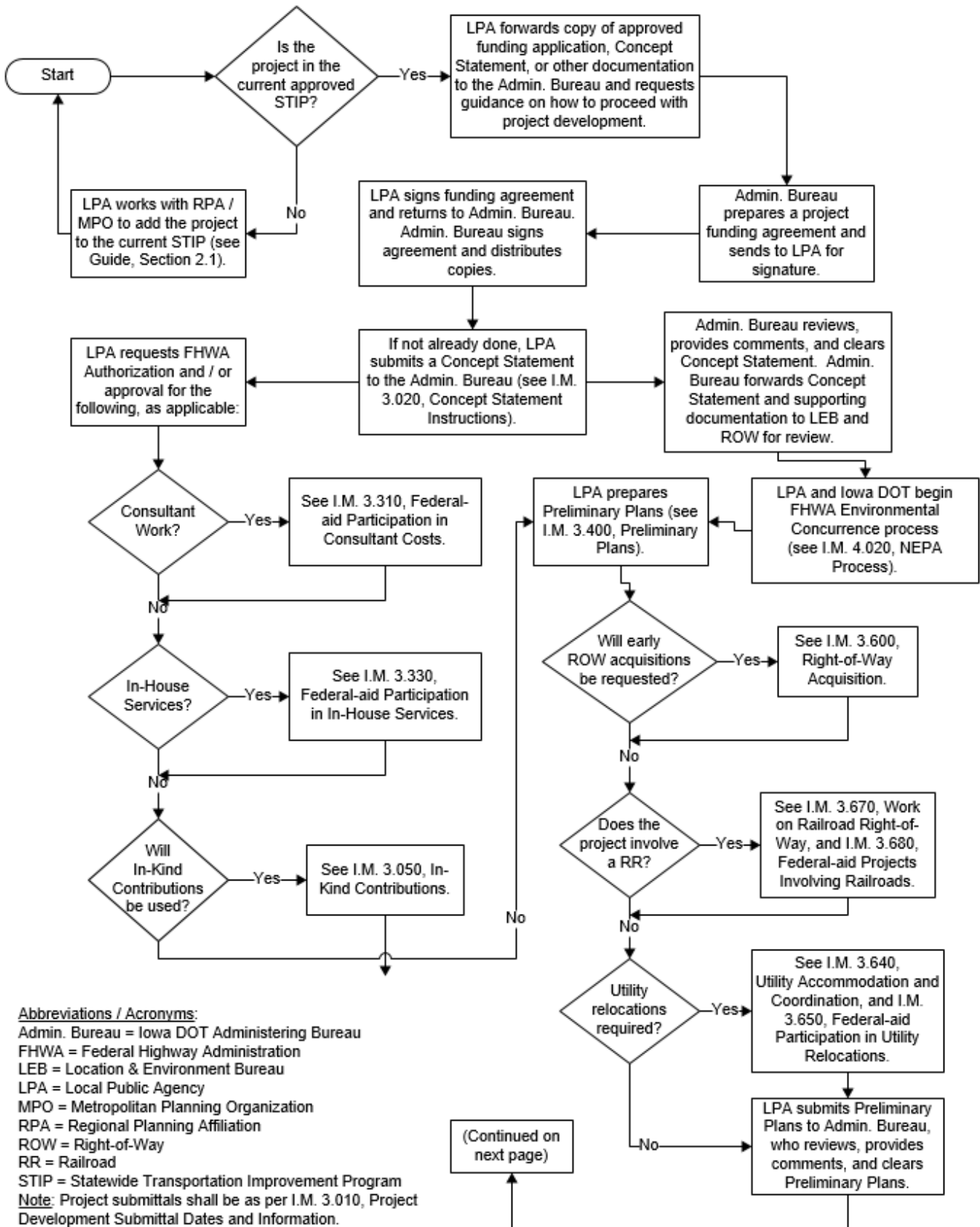
LPAs expending any Federal funds of any kind must comply with various Federal requirements relating to the management of Federal funds, including financial controls, single audit requirements, reporting, inactive obligations, project end dates, and close-out procedures. For more information, refer to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

10.3. Bridges

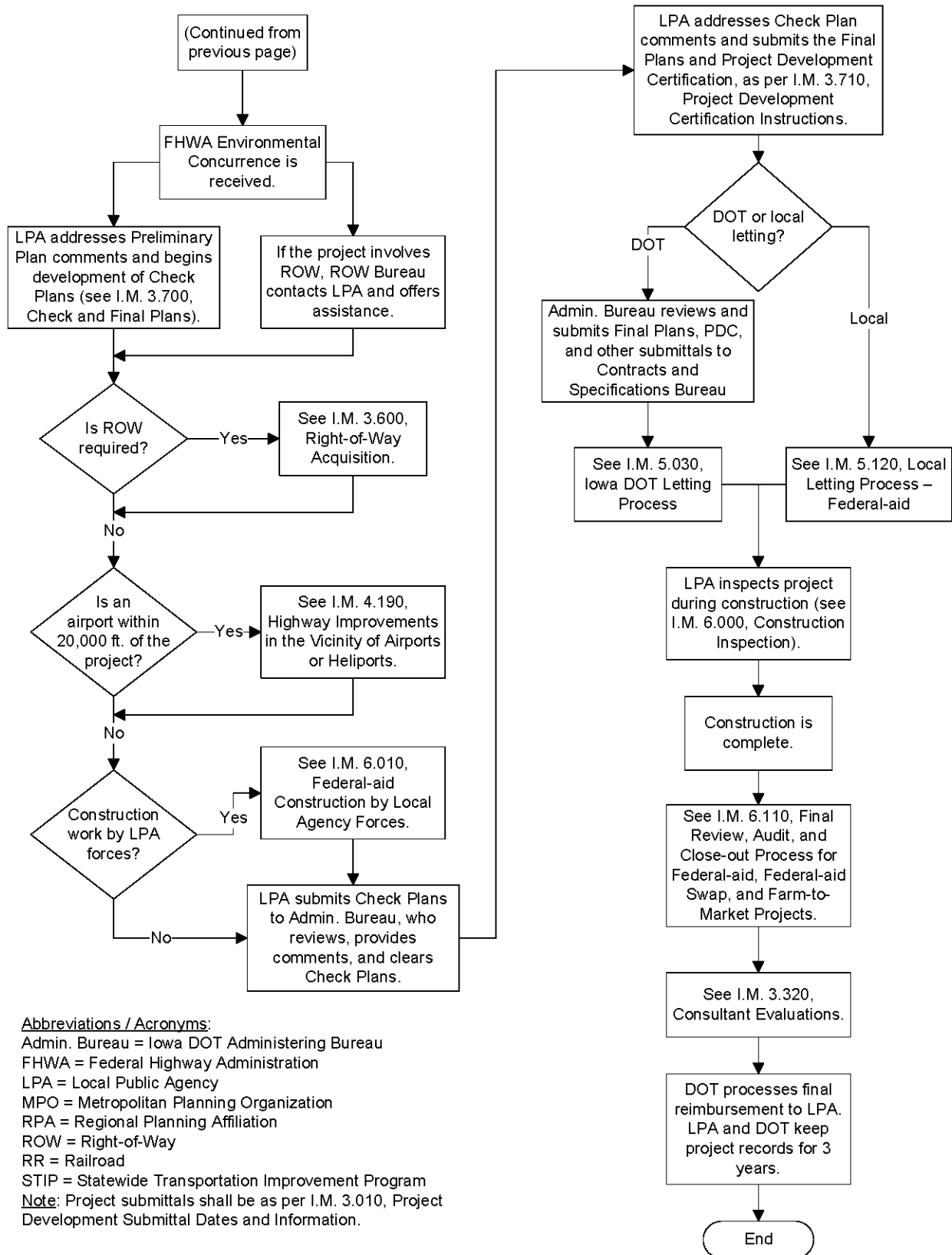
10.3.1. Bridge Inspections

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

Appendix A – Project Development Flow Chart



Appendix A – Project Development Flow Chart (continued)



Abbreviations / Acronyms:

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

Appendix B – Glossary of Terms

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

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

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

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

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

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

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

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

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

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

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

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

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

Appendix B – Glossary of Terms (continued)

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

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

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

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

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

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

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



Instructional Memorandums to Local Public Agencies

Table of Contents

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

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

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

No.	Subject	Revision Date	Funding	Written To
1.180	Procedures for Developing and Administering Emergency Relief (ER) Projects	May 24, 2024	F.A.	Both
Section 1.2 -- Finance				
1.200	Federal Funds Management	October 19, 2023	F.A.	Both
	Attachment A - Procedures for Estimating Project End Dates	June 12, 2024	F.A.	Both
1.250	City Road Use Tax Fund Information	November 4, 2022	All	Both
Chapter 2 – County Road System				
Section 2.0 -- General				
2.010	Requirements for the County Secondary Road Construction Program and Budget	January 19, 2024	All	Counties
	Attachment A - Construction vs. Maintenance	November 21, 2024	All	Counties
	Attachment B - Paving Point Determination	August 8, 2018	All	Counties
	Attachment C - Sample Notice of Public Hearing (Word)	August 8, 2018	All	Counties
	Attachment D - Sample Resolution for Paving Points (Word)	August 8, 2018	All	Counties
2.050	Procedure to Amend a County Secondary Road Construction Program and Budget	August 7, 2020	All	Counties
	Attachment A - Example of Resolution to Add, Modify, or Advance a Project	August 7, 2020	All	Counties
2.070	Secondary Road Budget Accounting Code Series	July 7, 2023	All	Counties
2.080	Requirements for the County Annual Report	August 8, 2018	All	Counties
Section 2.1 -- Farm-to-Market (FM) System				
2.100	Farm-to-Market Program	January 19, 2024	F.M.	Counties
2.120	Temporary Allocation of Farm-to-Market Funds	March 17, 2017	F.M.	Counties
2.130	Transfer of Local Funds to the Farm-to-Market Fund	July 7, 2023	F.M.,Local	Counties
	Attachment A - Local to FM Fund Transfer Resolution (Word)	February 10, 2023	F.M.,Local	Counties
2.140	Transfer of Farm-to-Market Funds to the Local Secondary Road Fund	June 12, 2024	F.M.,Local	Counties
2.160	Procedures to Modify the Secondary Road Route Numbering System	May 26, 2017	All	Counties
2.170	Modification of the Farm-to Market (FM) System	July 12, 2022	F.M.	Counties
2.180	Farm-to-Market Review Board Advisory Opinions on Proposed Jurisdictional Transfers	July 12, 2022	F.M.	Counties
Section 2.2 -- Local Secondary Road Systems				
2.220	Establishing and Signing Area Service Roads	December 31, 2015	Local	Counties
	Attachment A - Area Service “B” Road Maintenance Ordinance (Sample) (Word)	May 12, 2014	Local	Counties
	Attachment B - Resolution for Reduced Level of Maintenance to Area Service “B” Road (Sample) (Word)	December 31, 2015	Local	Counties
	Attachment C - Area Service “C” Road Maintenance Ordinance (Sample) (Word)	May 12, 2014	Local	Counties
	Attachment D - Resolution for Reduced Level of Maintenance to Area Service “C” Road (Sample) (Word)	December 31, 2015	Local	Counties
	Attachment E - Resolution for Increased Level of Maintenance to Area Service Road (Sample) (Word)	December 31, 2015	Local	Counties
2.230	Signing for Low Cost Stream Crossings	June 2002	Local	Counties

No.	Subject	Revision Date	Funding	Written To
	Attachment A - Resolution for Low-Water Stream Crossing (Word)	June 2002	Local	Counties
2.270	County Road Vacations	May 20, 2019	All	Counties
	Attachment A - Resolution for Road Vacation Public Hearing (Word)	May 26, 2017	All	Counties
	Attachment B - Notice of Public Hearing (Word)	May 26, 2017	All	Counties
	Attachment C - Resolution to Vacate a County Road (Word)	May 26, 2017	All	Counties

Chapter 3 – Project Development

Section 3.0 -- General

3.000 *	Federal-aid Project Scheduling	February 16, 2007	F.A.	Both
3.010 *	Project Development Submittal Dates and Information	November 21, 2024	All	Both
3.020 *	Concept Statement Instructions	June 12, 2024	F.A.	Both
	Attachment A - Concept Statement Checklist of Submittal Items (Word)	June 12, 2024	F.A.	Both
3.050 *	In-Kind Contributions	January 19, 2024	F.A.	Both
3.060	Project Numbers	October 8, 2024	All	Both

Section 3.1 -- (Reserved)

Section 3.2 -- Design Guidelines and Exceptions

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

Section 3.3 -- Consultant and In-House Design

3.310 *	Federal-aid Participation in Consultant Costs	January 19, 2024	F.A.	Both
	Attachment A – Federal-Aid Consultant Checklist	October 22, 2018	F.A.	Both
	Attachment B – Requirements for Federal-Aid Consultant Contracts	February 13, 2018	F.A.	Both
	Attachment C – Payment Methods	December 19, 2014	F.A.	Both
	Attachment D – Sample Consultant Contract (Word)	May 26, 2017	F.A.	Both
	Attachment E – Errors and Omissions	December 19, 2014	F.A.	Both
3.320	Consultant Evaluations	July 7, 2023	F.A.	Both
3.330 *	Federal-aid Participation in In-House Services	November 4, 2022	F.A.	Both
	Attachment A - Scope of Work and Budget Worksheet	October 1, 2018	F.A.	Both

Section 3.4 -- Preliminary Design

3.400 *	Preliminary Plans	June 12, 2024	F.A.	Both
	Attachment A – Preliminary Plan Guidelines	February 18, 2013	F.A.	Both
	Attachment B – Preliminary Plan Checklist (Word)	November 21, 2024	F.A.	Both
	Attachment C – Preliminary Plan Process Flowchart	February 18, 2013	F.A.	Both

No.	Subject	Revision Date	Funding	Written To
Section 3.5 -- Bridge Design				
3.500*	Bridge or Culvert Plans	July 7, 2023	All	Both
	Attachment A – Bridge or Culvert Supplementary Checklist (Word)	November 21, 2024	All	Both
	Attachment B – Instructions for Completing the Hydraulic Design of Bridges (Culverts) Form	June 29, 2018	All	Both
Section 3.6 -- Right-of-Way, Utilities, and Railroads				
3.600*	Right-of-Way Acquisition	January 19, 2024	All	Both
	Attachment A – Waiver Valuation Provision	November 27, 2017	All	Both
	Attachment B – FHWA Authorization of Right-of-Way Costs Flowchart	March 4, 2020	F.A.	Both
	Attachment C – Early Right-of-Way Acquisition Process Flowchart	March 4, 2020	F.A.	Both
3.640*	Utility Accommodation and Coordination	May 2, 2016	All	Both
	Attachment A – Utility Coordination Flowchart	December 11, 2008	All	Both
	Attachment B – Utility Coordination Checklist (Word)	February 11, 2014	All	Both
3.650*	Federal-aid Participation in Utility Relocations	May 2, 2016	F.A.	Both
	Attachment A – Utility Relocation Federal-Aid Eligibility Flowchart	February 11, 2014	F.A.	Both
	Attachment B – FHWA Authorization of Utility Relocation Costs Flowchart	February 11, 2014	F.A.	Both
3.670*	Work on Railroad Right-of-Way	October 8, 2024	All	Both
	Attachment A –Work in Railroad Right-of-Way Flowchart	April 24, 2018	All	Both
3.680*	Federal-aid Projects Involving Railroads	March 15, 2023	F.A.	Both
	Attachment A - Railroad Agreement Language for Federal-aid Projects involving Railroads (Word)	March 15, 2023	F.A.	Both
	Attachment B - FHWA Authorization of Railroad Costs	March 15, 2023	F.A.	Both
	Attachment C – FHWA Authorization of Railroad Costs Flowchart	March 15, 2023	F.A.	Both
Section 3.7 -- Final Design				
3.700*	Check and Final Plans	June 12, 2024	All	Both
	Attachment A – Check and Final Plan Guidelines	January 19, 2024	All	Both
	Attachment B – Check and Final Plan Checklist (Word)	November 21, 2024	All	Both
	Attachment C – Check and Final Plan Process Flowchart	February 18, 2013	All	Both
3.710*	Project Development Certification Instructions	October 8, 2024	All	Both
	Attachment A – Project Development Certification Process Flowchart	November 27, 2019	All	Both
3.720*	Public Interest Findings	November 4, 2022	All	Both
3.730	Innovative Contracting Procedures	November 27, 2019	All	Both
3.740	Build America Buy America (BABA) Waiver	(future)	F.A.	Both
Chapter 4 - Environmental Regulations				
Section 4.0 -- General				
4.010*	Environmental and Permitting Process for non-Federal-aid Projects	November 21, 2024	All but F.A.	Both
4.020*	NEPA Process	November 21, 2024	F.A.	Both
	Attachment A - NEPA Process Flowchart	May 20, 2019	F.A.	Both

No.	Subject	Revision Date	Funding	Written To
	Attachment B - Environmental Assessment / FONSI Process Flowchart	May 20, 2019	F.A.	Both
	Attachment C - Environmental Impact Statement / ROD Process Flowchart	May 20, 2019	F.A.	Both
	Attachment D - Section 4(f) Process Flowchart	May 20, 2019	F.A.	Both
Section 4.1 -- Environmental Reviews and Permits				
4.110	Threatened and Endangered Species	July 7, 2023	All	Both
	Attachment A - Threatened and Endangered Species Process for Non-Federal-aid Projects Flowchart	May 20, 2019	All but F.A.	Both
	Attachment B - Threatened and Endangered Species Process for Federal-aid Projects Flowchart	May 20, 2019	F.A.	Both
	Attachment C - Avoidance and Minimization Measures for Threatened and Endangered Bats	February 13, 2018	All	Both
4.120*	Cultural Resource Regulations	January 19, 2024	All	Both
	Attachment A - Cultural Resource Process for Swap Projects Flowchart	February 13, 2018	Swap	Both
	Attachment B - Cultural Resource Process for Federal-aid Projects Flowchart	February 13, 2018	F.A.	Both
4.130*	404 Permit Process	May 20, 2019	All	Both
	Attachment A - 404 Permit Determination Process Flowchart	June 29, 2018	All	Both
	Attachment B - 404 Permit Checklist	June 29, 2018	All	Both
	Attachment C - Commonly Used NWP for Transportation Projects	June 29, 2018	All	Both
4.140	Storm Water Permits	June 29, 2018	All	Both
4.150	Iowa DNR Floodplain Permits and Regulations	June 29, 2018	All	Both
4.160*	Asbestos Inspection, Removal, and Notification Requirements	April 29, 2020	All	Both
4.170*	Farmland Protection Policy Act	November 8, 2016	F.A.	Both
	Attachment A - Farmland Protection Policy Act Process Flowchart	August 22, 2017	F.A.	Both
	Attachment B - Instructions for Completing the Farmland Conversion Rating Form	November 8, 2016	F.A.	Both
4.190*	Highway Improvements in the Vicinity of Airports or Heliports	September 13, 2016	All	Both
4.200	Water Trails and Paddling Routes	January 19, 2024	All	Both

Chapter 5 - Letting and Contracts

Section 5.0 -- Iowa DOT Lettings

5.010*	DBE Guidelines	February 29, 2016	F.A.	Both
5.020	TSB Guidelines	(future)	All	Both
5.030*	Iowa DOT Letting Process	November 4, 2022	All	Both
	Attachment A - Iowa DOT Pre-Letting Process Flowchart	October 1, 2013	All	Both
	Attachment B - Iowa DOT Post-Letting Process Flowchart	November 27, 2019	All	Both
	Attachment C - Sample Resolution for a County to Delegate Contract Signing in Doc Express	March 4, 2020	All	Both

Section 5.1 -- Local Lettings

5.100	Local Letting Process – State-aid or Local Funded Projects	November 4, 2022	State,Local	Both
	Attachment A – Sample Bidding Proposal Form (Word)	November 8, 2016	State,Local	Both
	Attachment B – Sample Notice to Bidders Form (Word)	November 8, 2016	State,Local	Both

No.	Subject	Revision Date	Funding	Written To
	Attachment C – Sample Contract Form (Word)	November 8, 2016	State,Local	Both
5.120*	Local Letting Process – Federal-aid	October 1, 2018	F.A.	Both
	Attachment A – Pre-Award Checklist and Certification (Word)	October 1, 2018	F.A.	Both
	Attachment B – Post-Award Checklist and Certification (Word)	October 1, 2018	F.A.	Both
	Attachment C – Local Letting (Federal-aid) Pre-audit Checklist (Word)	October 1, 2018	F.A.	Both

Chapter 6 - Construction

Section 6.0 -- General

6.000*	Construction Inspection	November 21, 2024	All	Both
	Attachment A - Preconstruction Inspection Process Flowchart	December 31, 2015	All	Both
	Attachment B - Construction Inspection Process Flowchart	December 31, 2015	All	Both
	Attachment C - Subcontract Review and Authorization Process - Post Award Flowchart	November 27, 2019	All	Both
	Attachment D - Local Public Agency Construction Contract Administration Guidance	June 12, 2024	All	Both
	Attachment E - Iowa DOT Field Inspection Review Report (Word)	January 26, 2017	All	Both
	Attachment F - Doc Express and Appia Instructions for Local Public Agencies	February 10, 2023	All	Both
	Attachment G – Request for Early Release of Retained Funds (Word)	February 15, 2022	All	Both
	Attachment H – Doc Express Change Order Drawer Signatures and Workflow Steps	November 21, 2024	All	Both
6.020	Reimbursement Requests for Payments	(future)	All	Both

Section 6.1 -- Project Close-out and Audits

6.110*	Final Review, Audit, and Close-out Procedures for Federal-aid, Federal-aid Swap, and Farm-to-Market Projects	November 21, 2024	All	Both
	Attachment A – Project Close-out Process Overview Flowchart	March 2, 2021	All	Both
	Attachment B – Final Review and Audit Process Flowchart – Highway or Bridge Construction	March 2, 2021	All	Both
	Attachment C – Final Review and Audit Process Flowchart – Non-highway Construction, DOT Specifications	December 21, 2018	All	Both
	Attachment D – Final Review and Audit Process Flowchart – Non-highway Construction, Non-DOT Specifications	December 31, 2015	All	Both
	Attachment E – Required LPA Project Documentation and Pre-audit Checklist (Word)	June 12, 2024	All	Both
	Attachment F – Final Forms Packet Checklist (Word)	December 31, 2020	All	Both
	Attachment G - Doc Express Closeout Drawer Signatures and Workflow Steps	November 21, 2024	All	Both
6.130*	Interest Payment Procedures	December 3, 2007	All	Both
	Attachment A – Sample Interest Payment Information Form	December 31, 2020	All	Both
6.140	Resolution to allow County Engineer to Certify Completion of Work on Construction Contracts	August 28, 2014	All	Counties
	Attachment A – Sample Resolution (Word)	December 3, 2007	All	Counties

Chapter 7 – Maintenance

Section 7.0 -- General

7.020* Bridge Inspections	May 20, 2024	All	Both
Attachment A - Bridge Scour Stability Worksheet - Level A Evaluation (Word)	April 24, 2018	All	Both
Attachment B - Intermediate Scour Assessment - Level B Evaluations	January 11, 2017	All	Both
Attachment C - Intentionally left blank	December 31, 2015	All	Both
Attachment D - Scope of Services for NBI Bridge Inspection Services (Word)	April 24, 2018	All	Both
Attachment E - Iowa Legal Truck, EV, and Annual Permit Truck Diagrams	June 12, 2024	All	Both
Attachment F - Routine Permit Trucks Diagrams	July 18, 2013	All	Both
Attachment G - USGS Hydrologic Region Map with Region Descriptions	July 18, 2013	All	Both
Attachment H - Unknown Foundations Guidance, Flowchart, Risk Assessment, Worksheet, and Plan of Action (POA) - Level A Evaluation (Word)	April 24, 2018	All	Both
Attachment I - Unknown Foundations Flowchart - Level B Evaluation	July 18, 2013	All	Both
Attachment J - Quality Assurance Field Review Worksheet (Word)	April 24, 2018	All	Both
Attachment K - Nonredundant Steel Tension Member Locations and Conditions for Trusses form (Word)	July 7, 2023	All	Both
Attachment L - Nonredundant Steel Tension Member Locations and Conditions for Thru/Two Girders form (Word)	July 7, 2023	All	Both
Attachment M - Sample Nonredundant Steel Tension Member Locations and Conditions for Trusses form	July 7, 2023	All	Both
Attachment N - Berm Stability Criteria	December 31, 2015	All	Both
Attachment O - Highly Erodible Soils	December 31, 2015	All	Both

Section 7.1 -- County Road System

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

Chapter 8 – Miscellaneous Information

8.020 Pavement Friction Evaluation Program	January 11, 2017	All	Both
8.210 Engineering and Traffic Investigations – Speed Limit Study	January 11, 2017	All	Counties
Attachment A - Speed Restriction Ordinance (Word)	January 11, 2017	All	Counties
Attachment B - Amendment to Speed Restriction Ordinance (Word)	January 11, 2017	All	Counties
Attachment C - Resolution for Establishing Speed Limits (Word)	January 11, 2017	All	Counties
8.240 Iowa DOT Traffic Counts	November 21, 2024	All	Both

WELCOME INTRODUCTION

Nicole Moore, P.E.

Director

Local Systems Bureau

Iowa Department of Transportation

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1

PRESENTATION OVERVIEW

Introductions - DOT Contacts

Purpose & Format

Breaks & Facilities

Website Resources

Written Guidance

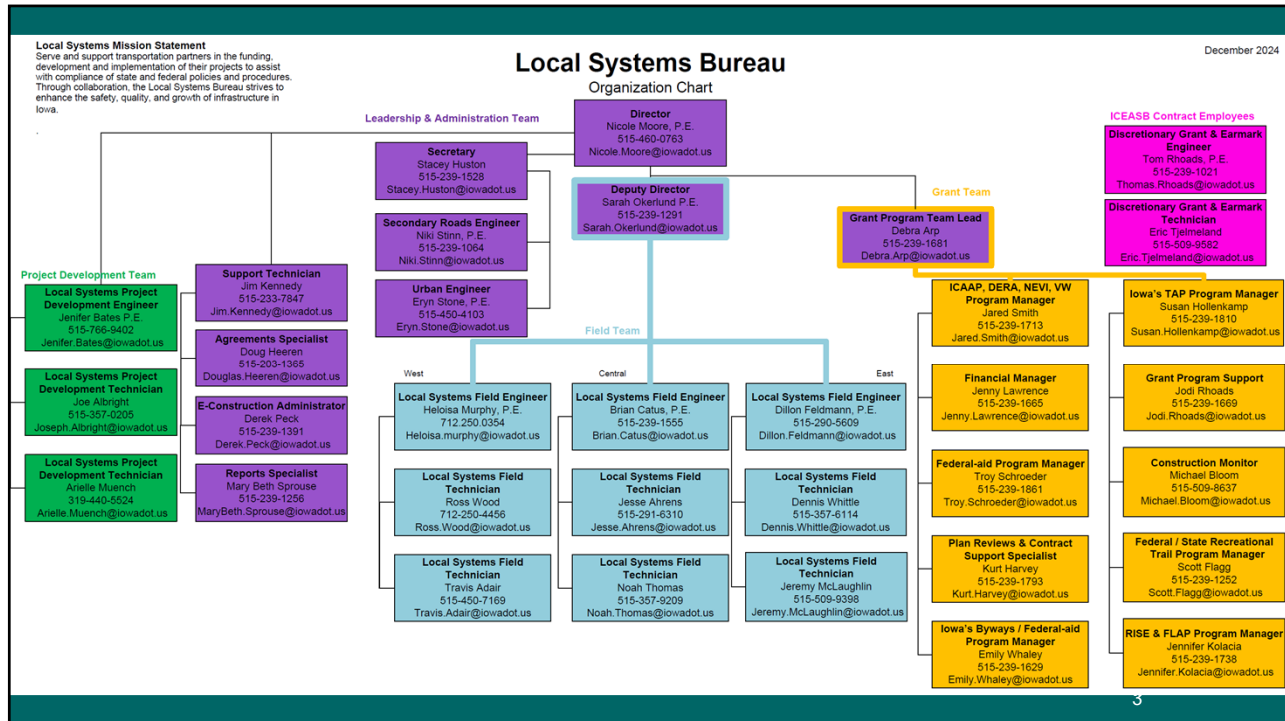
Iowa DOT Role

LPA Role

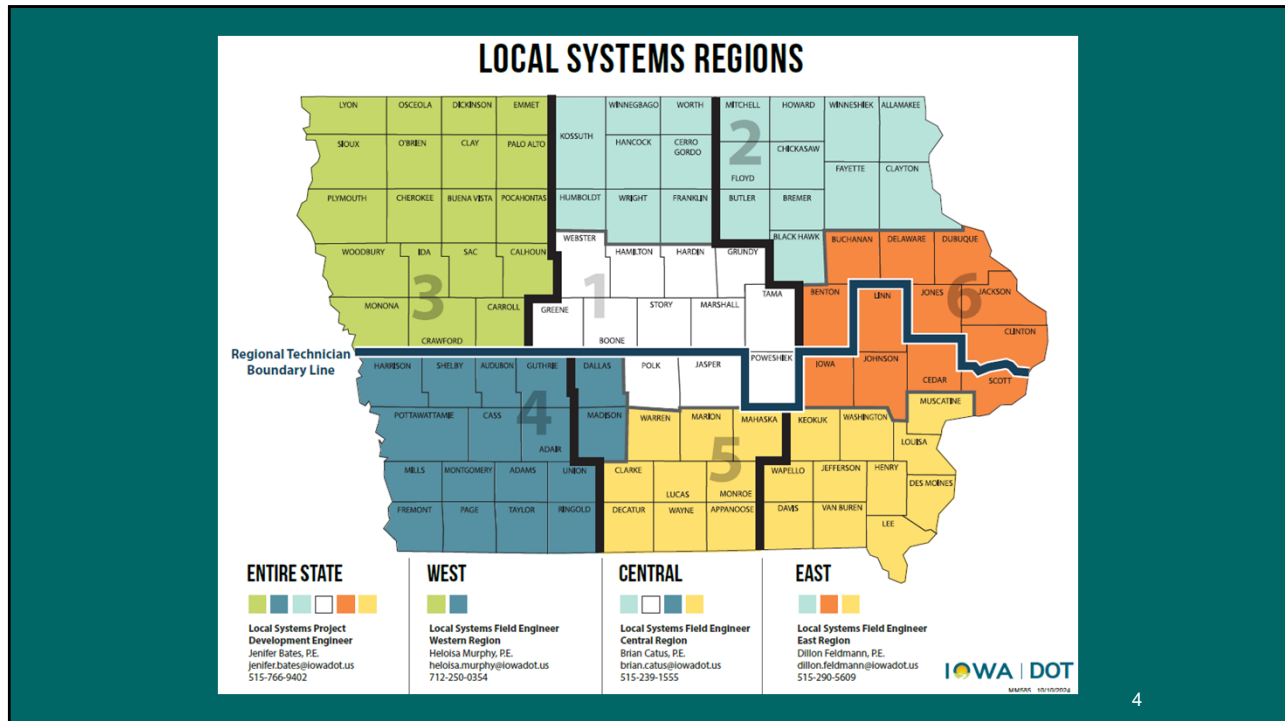
Consultant Role



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4

LOCAL SYSTEMS BUREAU – GRANT TEAM

General Office Information	Staff Contacts (Position / Function)
<p>Systems Planning Bureau Phone: 515-239-1664 www.iowadot.gov/systems_planning</p>	<ul style="list-style-type: none"> • Debra Arp (Grant Team Leader) 515.239.1681, debra.arp@iowadot.us • Mike Bloom (Construction Monitoring) 515.509.8637, michael.bloom@iowadot.us • Scott Flagg (State/Federal Rec Trails Program Mgr) 515.239.1252, scott.flagg@iowadot.us • Kurt Harvey (Plan Reviews, Change Orders) 515.239.1793, kurt.harvey@iowadot.us • Susan Hollenkamp (Iowa's TAP Program Mgr) 515.239.1810, susan.hollenkamp@iowadot.us • Jennifer Kolacia (RISE & FLAP Program Mgr, LIFTS Project Mgr) 515.239.1738, jennifer.kolacia@iowadot.us • Jenny Lawrence (Financial Management) 515.239.1665, jenny.lawrence@iowadot.us • Jodi Rhoads (Claims Processing) 515.239.1669, Jodi.rhoads@iowadot.us • Troy Schroeder (Federal-aid Project Mgr) 515.239.1861, troy.schroeder@iowadot.us • Jared Smith (ICAAP Program Mgr, Federal-aid Project Mgr) 515.239.1713, jared.smith@iowadot.us • Emily Whaley (Iowa Byways Program Mgr, Fed-aid Project Mgr) 515.239.1629, emily.whaley@iowadot.us

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LOCAL SYSTEMS PDT/FT & GRANT TEAM

Local Systems – PDT / FT

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

*Not Federal-aid

Local Systems – Grant Team

- Transportation Alternatives Program (TAP)
- Federal Recreational Trails Program
- Iowa's Clean Air Attainment Program (ICAAP)
- Mainly focus on "Small Grants" projects, that are non-highway

6

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PURPOSE & FORMAT BREAKS & FACILITIES

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



7

AUDIENCE PARTICIPATION

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

8

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STEWARDSHIP/OVERSIGHT AGREEMENT

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

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

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WRITTEN GUIDANCE https://iowadot.gov/local_systems/im/lpa-ims

LOCAL SYSTEMS HOME
IJA INFORMATION
CONTACT US
▶ CONTACT LOCAL/FEDERAL PARTNERS
INSTRUCTIONAL MEMORANDUMS AND FEDERAL-AID GUIDE
I.M. TABLE OF CONTENTS
LOCAL SYSTEMS EMAILS
TRAININGS & VIDEOS
PRE-LETTING RESOURCES
POST-LETTING RESOURCES
DOC EXPRESS AND APPIA
INSPECTION WORKSHEETS (EXCEL)
▶ COUNTY REPORTS, FUNDING, RESOURCES
▶ CITY REPORTS, FUNDING AND RESOURCES
▶ GRANT PROGRAMS
BID AND QUOTE THRESHOLDS
BRIDGE INFORMATION & RESOURCES
EQUIPMENT RATES
MAPS
FHWA EMERGENCY RELIEF PROGRAM

INSTRUCTIONAL MEMORANDUMS & FEDERAL-AID GUIDE

FEDERAL-AID PROJECT DEVELOPMENT GUIDE FOR LOCAL PUBLIC AGENCIES

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

[Federal-Aid Project Development Guide for Local Public Agencies](#)

NON-FEDERAL-AID PROJECT DEVELOPMENT GUIDE FOR LOCAL PUBLIC AGENCIES

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[Non-Federal-Aid Project Development Guide for Local Public Agencies](#)

SEARCH INSTRUCTIONAL MEMORANDUMS (IMS)

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

WHAT CAN WE HELP YOU FIND?



INSTRUCTIONAL MEMORANDUMS

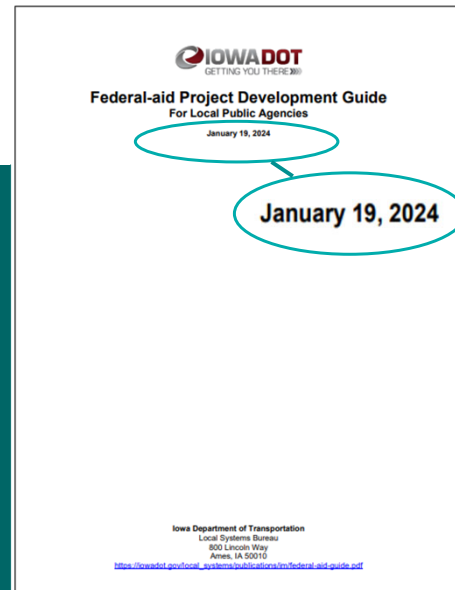
The IMs provide assistance to LPAs on a wide variety of transportation-related topics. Some IMs supplement the Guide by providing more detailed information or instructions that are applicable to federal-aid transportation projects. Other IMs are applicable to state or locally funded projects. Still others are applicable to all types of projects. If the applicability of an IM is limited by funding or other considerations, this is explained in the "Contents" section at the beginning of the IM.

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WRITTEN GUIDANCE

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



https://iowadot.gov/local_systems/publications/im/federal-aid-guide.pdf

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WRITTEN GUIDANCE https://iowadot.gov/local_systems/im/lpa-ims

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WRITTEN GUIDANCE

- Instructional Memorandums to Local Public Agencies (I.M.s)
 - Variety of detailed guidance on specific topics
 - Federal-aid
 - Non-Federal-aid
 - Other
 - (74) different I.M.s

www.iowadot.gov/local_systems/publications/im/imtoc.pdf

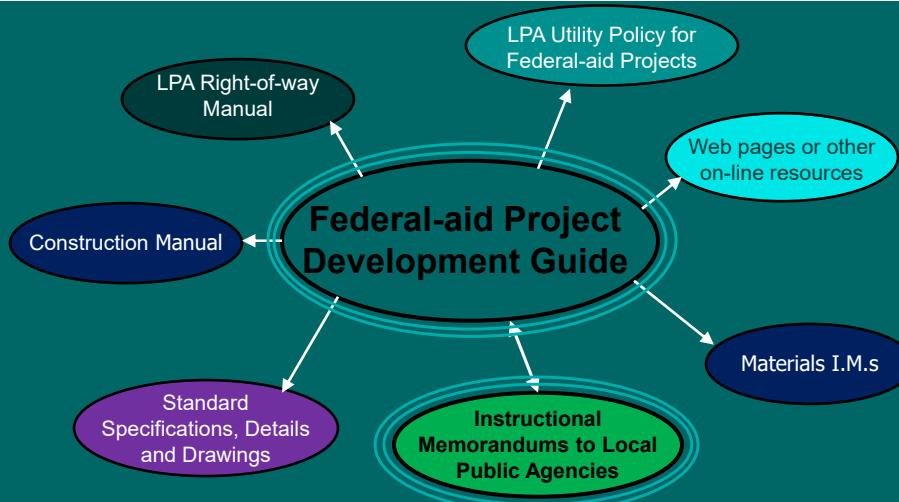
Instructional Memorandums to Local Public Agencies Table of Contents

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

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

No.	Subject	Revision Date	Funding	Written To
Chapter 1 – Administration				
Chapter 2 – County Road System				
Chapter 3 – Project Development				
Chapter 4 – Environmental Regulations				
Chapter 5 – Letting and Contracts				
Chapter 6 – Construction				
Chapter 7 – Maintenance				
Chapter 8 – Miscellaneous Information				
Chapter 1 – Administration				
Section 1.0 – General				
1.000	Iowa DOT Oversight of LPA Projects	January 19, 2024	All	Both
	Attachment A – Project Submittal Table for Each Funding Type	June 15, 2021	All	Both
	Attachment B – Administering Bureau Responsibilities Flowchart	June 15, 2021	All	Both
1.010	Acronym List	December 31, 2019	All	Both
1.020	References to the Iowa Code	August 7, 2020	All	Counties
1.070*	Title VI and Nondiscrimination Requirements	June 29, 2018	F.A.	Both
1.080*	ADA Requirements	October 1, 2013	All	Both
	Attachment A – Sample Curb Ramp Transition Plan (Word)	August 24, 2012	All	Both
Section 1.1 – Programs				
1.100*	Highway Bridge Programs for Cities and Counties	June 12, 2024	All	Both
	Attachment A – City Bridge Priority Point Rating Worksheet (Word)	August 16, 2024	F.A.	Cities
	Attachment B – County Bridge Priority Point Rating Worksheet (Word)	November 4, 2022	All	Counties
	Attachment C – Touchdown Points and Limits of Participation	July 18, 2011	F.A.	Both
	Attachment D – County HBP Fiscal Constraint Requirements	July 18, 2011	F.A.	Counties
1.150	Federal-aid Swap Program	February 10, 2023	Swap	Both
	Attachment A – Federal-aid Swap Policy Approved by the Iowa DOT Commission	November 4, 2022	Swap	Both

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



ROLES AND RESPONSIBILITIES

Iowa DOT Role

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

LPA Role

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

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PERSON IN RESPONSIBLE CHARGE (PIRC)

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

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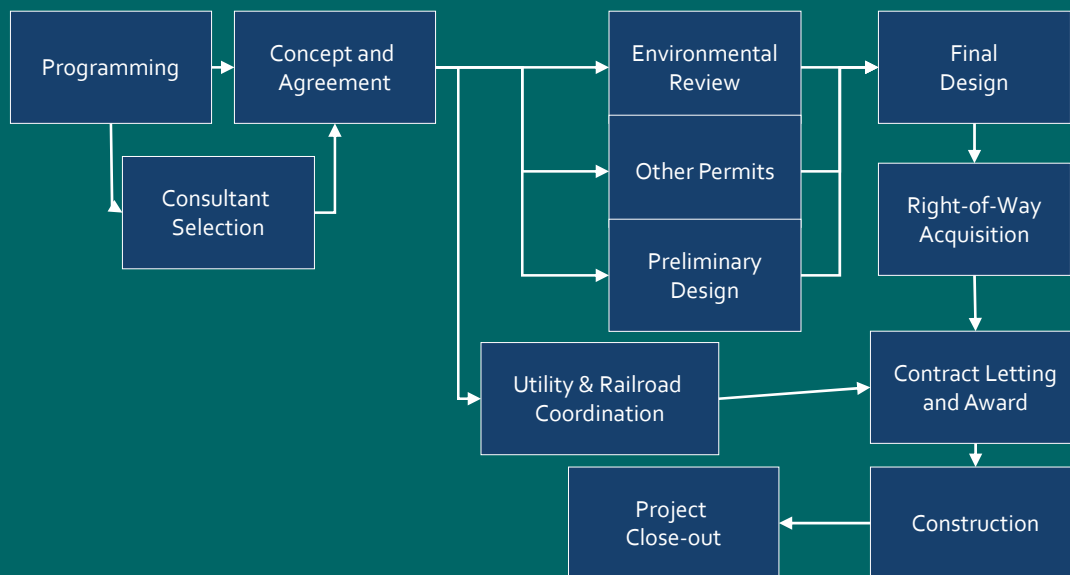
CONSULTANT ROLE

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

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TYPICAL PROJECT SEQUENCE



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QUESTIONS?

Reference Documents:

- As listed on previous slides

Iowa DOT Contact Person:

- See Iowa DOT Contact List for appropriate Administering Bureau staff



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WELCOME

Federal Highway Administration

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CONSTRUCTION INSPECTION

Field Technicians

Local Systems Bureau

Iowa Department of Transportation

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PRESENTATION OVERVIEW

- I.M. 6.000
- Pre-construction Meeting
- Project Inspection Duties
- Working Day Reports
- Change Orders
- EEO / AA and Wage Rate Compliance
- Certified Payrolls
- Davis-Bacon Wage Rates
- Prompt Payment
- No certification, No pay
- Build America Buy America (BABA)
- Specification updates
- Training Opportunities



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LOCAL SYSTEMS I.M. 6.000 CONSTRUCTION INSPECTION

- Att. A – Preconstruction Inspection Process Flowchart
- Att. B – Construction Inspection Process Flowchart
- Att. C – Subcontract Review & Authorization Process
- Att. D – LPA Construction Contract Administration Guidance (C.M. Chapter 2)
- Att. E – Iowa DOT Field Inspection Review Report
- Att. F – Doc Express Instructions for Local Public Agencies
- Att. G – Request for Early Release of Retained Funds
- Att. H – Doc Express Change Order Drawer Signatures & Workflow Steps

3

3

PRE- CONSTRUCTION MEETING

General considerations

- When should it be scheduled?
- Who needs to attend?
- Check availability of Administering Team.

Administrative details

- Change Orders
- Davis-Bacon Wage Rates
- EEO board
- Project supervision
- Weekly Report of Working Days
- Safety requirements
- Storm Water Pollution Prevention Plan
 - Erosion Control Implementation Plan
- Payment to the contractor
- BABA Compliance

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PRE-CONSTRUCTION MEETING

Project details

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

For more information:

- See Section 2.11 of [I.M. 6.000 Attachment D](#)
- [Pre-Construction Template](#)

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PRE-CONSTRUCTION TEMPLATE

Draft Preconstruction Meeting Agenda Template

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

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

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

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

https://iowadot.gov/local_systems/Post-Letting-Resources#564902855-contract-administration

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

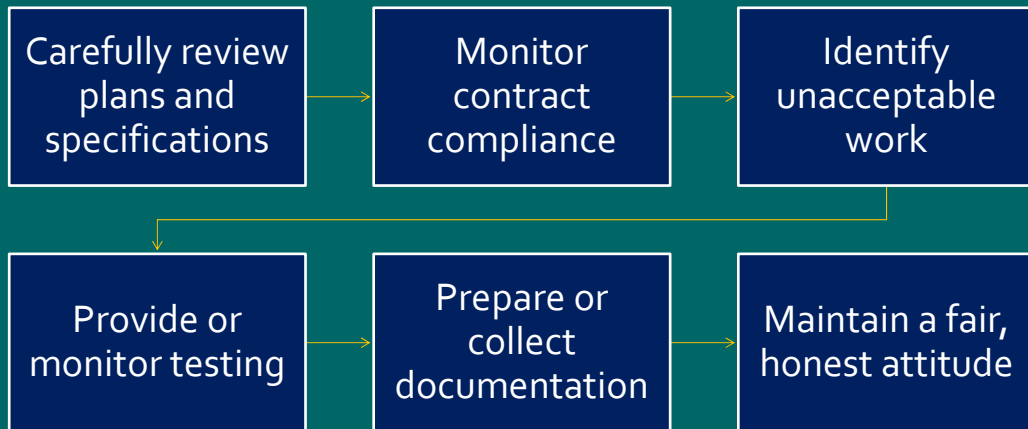
Use this document as a starting point to serve as a guide of subjects to discuss

Not all the information may be applicable to all projects

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PROJECT INSPECTION DUTIES



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PROJECT INSPECTION

Contractor relations

What to look for on the project site

8

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PROJECT INSPECTION - BRIDGES

- Construction Manual Chapter 11
 - <https://erl.iowadot.gov/>
- Print Standard Bridge Plans
- Beams or Maturity?
- Notify the DME when piling and reinforcing steel is delivered to the site
 - Check piling and steel mill certifications for BABA compliance (*before install or pay*)
- Reinforcing steel storage
- Piling logs

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PRE-POUR CHECKLIST FOR DECK POURS

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

Air & Slump Testing (Form E115) Frequency & Tolerances

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

Sufficient inspection staff for major concrete placement

Bridge Deck Evaporation Report (Form E122)

Proper support and clearance of reinforcing steel

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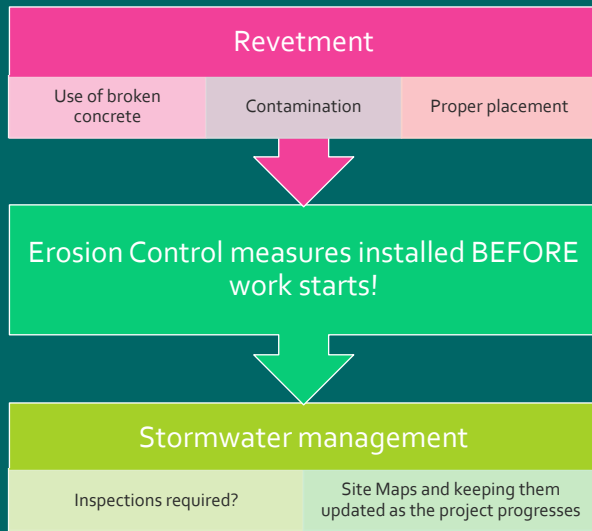
PROJECT INSPECTION - CULVERTS

- Construction Manual Chapter 11
 - <https://erl.iowadot.gov/>
- Proper bedding
- Pre-Cast – visual inspection!!!
- Check for appropriate joint spacing and is sealing needed?
- Check flow line elevation and field adjust if needed
- Check steel placement and clearances
- Beams or Maturity?
- Backfilling & compaction requirements

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PROJECT
INSPECTION -
GRADING

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PROJECT INSPECTION - GRADING

For record keeping, be aware of :

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

Lift thickness

Compaction requirements – understand specification being used

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

Erosion Control

- Erosion control methods should be included in the ECIP
- ECIP should include number of mobilizations needed for each stage of work (Worksheet available)
- Additional mobilizations not outlined in the ECIP must be approved by the Engineer
- Update ECIP as needed to address & document changes

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PROJECT INSPECTION – PCC PAVING

DOT Specs vs. SUDAS Specs – make sure to use DOT Specification!

Beams or Maturity?

Concrete source and approved mix design

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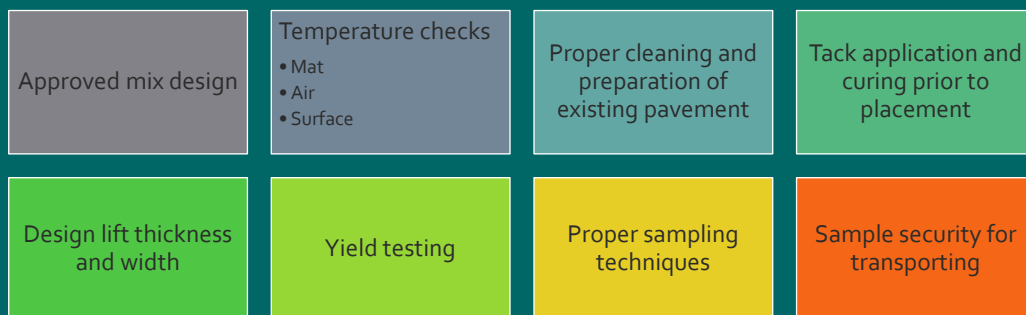
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PROJECT INSPECTION – PCC PAVING

- Prewetting grade prior to placement
- Monitoring batch and delivery times
- Yield checks and adjustments as needed
- Timely and proper application of cure
- Vibration monitoring and recording on (Form 830213)
- Required testing and frequency (Materials I.M. 204 App E.)
- Alternatives to coring?
 - MITSCAN – Availability may differ with each District. Check with your DME. (DS-23049, contractor provided)
 - 2301.04 A.2.d. – refers to IM 396 for probing during construction for sections less than 3500 SY
 - IM 396 – addresses both coring and probing for thickness
 - If probing, there is no incentive - 100% pay, deficient areas Remove & Replace

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PROJECT INSPECTION – HMA PAVING



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PROJECT INSPECTION

Small quantities - IM 204 App. X

What documents take precedence? – 1105.04

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

Identify all plan quantity items by specification

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

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

Review the information in the Materials Acceptance Report.

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

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PROJECT INSPECTION

Check and Verification weighing requirements

- Iowa DOT Standard Specification 2001.07 and Construction Manual 3.50 covers this information
- Verification weighing is defined as a second weighing of the same load on the same scale and applies only to truck platform scales. At least one verification weighing should be made daily when the pay quantity is weighed on truck platform scales. Verification weighing's are made to determine the repeatability of truck platform scales. The verification weight should not be different from the initial weight by more than 0.1%.
- Check weighing is defined as a second weighing of the same load on another certified truck platform scale. Check weighing's shall be made to determine the accuracy for all types of weighing equipment. For check weighing of weigh hoppers, load cells or batch weight tickets, it will be necessary to also get the tare weight of the delivery truck and consider a suitable fuel adjustment to determine the accuracy of the total net weight. Recognizing that in a batch plant some material may remain in the mixing chamber after a drop, the results of two check weighing's may be averaged.

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PROJECT INSPECTION

Check and Verification weighing requirements (continued)

- Check weighing for truck platform scales should not be different from the initial weight by more than 0.3%. Check weighing for weigh hoppers, batch scales, and silos on load cells shall not be different from the initial weight by more than 100 pounds.
- One check weighing should be performed on the first day of asphalt mixture production or aggregate weighing. One additional random check weighing should be performed for project quantities exceeding 5,000 tons. If these check comparisons had been made for another project within the time stipulated, documentation in the project diary will be satisfactory and separate checks will not be required.
- It may help to have a typed instruction to the hand to the truck driver that explained how they could do a check and verification weighing on one trip, with the following:

Go to the Quarry and get a tare, stay in the truck, get loaded and weighed, stay in the truck, leave the scale and circle back around and get weighed again, stay in the truck, this is a verification weighing. With all the tickets drive to another quarry and give the weighmaster your new tare weight from earlier to use, get weighed again, stay in the truck, this is a check weighing.

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PROJECT INSPECTION – WORKING DAYS

- **Working days and controlling operation:**
 - Majority of working day reports indicate the work being performed that day, not the controlling operation.
 - Controlling operation is work that is (or could be) in progress at any given period of time and would have the greatest influence on the duration of the contract.
 - If the contractor is working but not able to work on the controlling operation, no days should be charged.
 - Working day reports need to cover entirety of contract time
 - Working Day 1 – indicate start – **WDR 01 WE 231209 - START**
 - When suspending days – **WDR 01 WE 231209 – SUSPEND**
 - When resuming days – **WDR 01 WE 231209 – RESUME**
 - When contract is complete – **WDR 01 WE 231209 – FINISH**
 - Need to be filled out while contract is open at all times unless project is suspended
 - Fill out all fields correctly and upload to Doc Express timely

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PROJECT INSPECTION

Charging Working Days

- Changes to Article 1108.02 E. – effective April 2023
 - Working days will not be charged for Saturdays, Sundays, and legal holidays the Contractor does not work
 - *Removed the sentence allowing time charged when inspection may be performed*

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

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

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TRAINING AVAILABLE ON LOCAL SYSTEMS WEBSITE

The screenshot displays the 'LOCAL SYSTEMS TRAINING & VIDEOS' section of a website. On the left is a navigation menu with the following items: LOCAL SYSTEMS HOME, IJA INFORMATION, CONTACT US, CONTACT LOCAL/FEDERAL PARTNERS (highlighted with a right-pointing triangle), INSTRUCTIONAL MEMORANDUMS AND FEDERAL-AID GUIDE, I.M. TABLE OF CONTENTS, LOCAL SYSTEMS EMAILS, TRAININGS & VIDEOS (highlighted with a left-pointing triangle), PRE-LETTING RESOURCES, and POST-LETTING RESOURCES. The main content area lists the following training items, each with a plus sign icon:

- + 2025 Spring Meeting
- + Federal-aid Overview Seminar 2025
- + 2024 Appia® Training
- + Contract Administration Training Information
- + E-Ticketing Webinar
- + 2022 Regional Spring Meeting
- + 2021 Virtual Regional Spring Meeting
- + 2020 Virtual Regional Spring Meeting
- + Updated TPMS Development (TPDEV 2020) & Bid Items

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E-TICKETING PRESENTATION

▶ [E-ticketing Webinar 05/23/23](#)

https://iowadot.gov/local_systems/Trainings-Videos#534262845-e-ticketing-webinar

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MATERIALS TESTING AND CERTIFICATION

Projects let by the Iowa DOT

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

Materials I.M. 101

- Worksheets for review of different types of projects
- General procedures and guidelines for review
- Materials certification forms

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MATERIALS TESTING & CERTIFICATION

Materials I.M. 103

- Outlines the procedures to be followed for materials quality assurance inspection and other materials associated services performed for counties, cities, and other state agencies.
- Defines required inspection levels based on project category
- Appendix A — specifies inspection costs of services that may be provided by the Iowa DOT for LPA projects

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MATERIALS TESTING & CERTIFICATION

Materials I.M. 204

- Describes the materials acceptance and independent assurance requirements
- Appendices provide sampling and testing directions to document tests conducted, method used, minimum frequencies, sources, etc.
- Specifies level of testing & certifications required
- Appendix X shows requirements for small quantities

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MATERIALS TESTING AND CERTIFICATION

Materials I.M. 213

- Specifies the training and certifications required for testing personnel

Projects let locally

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

2024 Certified Technicians

Data as of October 28, 2024

For questions or corrections, please contact:

Brian Squier
Technical Training Coordinator
515-233-7915
Brian.Squier@iowadot.us

<https://iowadot.gov/training/CertTechBook.pdf>

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CHANGE ORDERS

What is a Change Order?

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

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CHANGE ORDERS

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

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CHANGE ORDER Form 831240

Send a draft to the Local Systems Field Technician for review before uploading to Doc Express

- Signature workflow for Doc Express (I.M. 6.000, [Attachment H](#))
 - Contractor
 - Project Engineer
 - Person in Responsible Charge for the Contracting Authority (if applicable)
 - Iowa DOT Administering Team

The Doc Express version does not have a signature block section

For more information: See I.M. 6.000 Attachment D, Section 2.36

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APPIA CHANGE ORDERS

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

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EQUAL EMPLOYMENT OPPORTUNITY / AFFIRMATIVE ACTION (EEO / AA)

Contractor/Subcontractor policy

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

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SUBCONTRACT REVIEW AND AUTHORIZATION

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

- Contractor submits Subcontractor data using SiteExchange and submits a “.con” file to the Project Engineer
- Project Engineer verifies Subcontracting Limit (70/30) and that Subcontractor has a current EEO/AA policy on file at IDOT
 - https://iowadot.gov/civilrights/documents/Approved_EEO_AA_Policy_List.pdf
- Project Engineer emails the “.con” file to the Contracts and Specifications Bureau
- Contracts and Specifications Bureau Prepares:
 - EEO Poster Notice – sent to Project Engineer (FYI) and Contractor to post on Bulletin Board
 - Tax Certificates – sent to Project Engineer for signature, then sent to Contractor
 - EEO Board must be updated prior to subcontractor being on site
 - If you have a NPDES Permit – they need to have a co-permittee signed prior to work that would require it.

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Equal Employment Opportunity/Affirmative Action (EEO/AA)

Poster Board

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

For more information:

- See Section 2.22 of I.M. 6.000 Attachment D
- Posters are available at:
<https://iowadot.gov/civilrights/Documents-forms-and-reports>

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DAVIS-BACON WAGE RATES

Wage Rate Interviews

- Not required for contractors that participate in the Prevailing Wage Notification Program
- No required for certain work classifications
- Required at least once or every 6 months for all prime contractors and any subcontracts greater than \$10,000
- Verifies workers are being paid the required wages
- Document interviews on Project Engineer's EEO Project Site Inspection/Wage Rate Report (Form 650170)
- Prevailing Wage Notification Programs (<https://www.agcia.org/member-services-benefits/>)

For more information:

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

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DAVIS-BACON WAGE RATES

Certified Transcript of Labor Payroll

(Form 830176)

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

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PROMPT PAYMENT



Governing Laws and Regulations

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



Progress Payments

- LPA must pay prime **at least** monthly
 - Payment due 14 days after work is completed **and all paperwork has been submitted**
 - Project Engineer should share quantities with contractor.
- Prime must pay subs no later than:
 - 7 days after the prime is paid, or
 - 7 days after the prime could have been paid
 - Full payment to subcontractors (including retention) must be made within 30 days of satisfactory completion of their work including documentation

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PROMPT PAYMENT

Certification of Subcontractor Payments (Form 518002)

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

Complaint Process

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

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BUILD AMERICA, BUY AMERICA ACT (BABA)

Build America, Buy America Act requires the use of domestic iron and steel products and construction materials in Federal-aid projects

This includes all contracts within the scope of the project, as defined by the NEPA document, even those with no Federal funds

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BUILD AMERICA, BUY AMERICA ACT (BABA)

Article 1107.06 and Materials I.M. 107 have been updated

On **Federal aid contracts** and contracts where the Department is the Contracting Authority, all products of iron, steel, and construction materials, which are permanently incorporated into the work, shall comply with the Build America, Buy America Act and Materials I.M. 107.

Minimal amounts of these materials from foreign source may be allowed provided the cost does not exceed 0.1% of the contract sum or \$2,500, whichever is greater. This amount shall include transportation, assembly, and testing as delivered cost of foreign products to the project.

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BABA \$500,000 WAIVER

- New I.M. 3,740 " Build America Buy America (BABA) waiver for Federal Financial Assistance less than \$500,000
- If the Federal-aid is less than \$500,000, and the LPA wants to waive BABA requirement, then let us know at Check Plan Stage. We will communicate with Contracts & Specifications, and add a Proposal Note:
- **"Article 1107.06, B of the Standard Specifications does not apply to this contract, as the total Federal financial assistance for this project is less than \$500,000."**
- Caveats:
 - When determining BABA applicability, the Federal Highway Administration (FHWA) defines a "project" to be the scope of work within a NEPA document.
 - Two separate \$250,000 Transportation Alternatives Program (TAP) Set-Aside awards from a Regional Planning Affiliation (RPA) in two consecutive fiscal years for the same project scope.
 - A \$150,000 TAP Set-Aside award from an RPA and a \$350,000 Federal Recreational Trails Program (FRT) award for the same project.


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CERTIFICATION EXAMPLE

Atlas Tube Plymouth
13101 Eckles Road
Plymouth Michigan USA
48170
Tel: 734-738-5600
Fax: 734-738-5604

Sold To
Steel & Pipe Supply Company
PO Box 1688
MANHATTAN KS 66505
USA



MATERIAL TEST REPORT

REF.B/L: 81171724
Date: 09/05/2023
Customer: 179

Shipped To
Steel & Pipe Supply Company
310 Smith Road
JONESBORO MO 63351
USA

Material: 3.5x2.5x250x20'0"(6x7)NMH **Material No:** 35025250 **Made In:** USA

Purchase Order: 4500557313 **Molten and Poured in:** Canada

Heat No: C Mn P S Si Al Cu Cb Mo Ni Cr V Ti B N Ca

859313 0.180 0.770 0.015 0.008 0.018 0.044 0.062 0.002 0.005 0.018 0.056 0.002 0.002 0.0002 0.0000 0.0002

Bundle No: 1943038 **Material No:** 35025250 **CE:** 0.33

MOI: 1391404 **Yield:** 86425 Pa **Tensile:** 87984 Pa **Elon:** 38.4 % **Certification:** ASTM A590-21 GRADE B&C

Mill Location: Naticoke, ON **Method:** Resonant **Content:** Final **Consumer:** Pre-Consumer **Pre-Consumer:** Final **Location:** % Recycled **Within Miles of Location:**

859313 STELCO Naticoke, ON BOF 38.86% 19.89% 14.40% 100% 1000

Material Note:

Sales Or. Note:

Authorized by Quality Assurance: *Jason Richard*

The results reported on this report represent the actual attributes of the material furnished and indicate full compliance with all applicable specification and contract requirements. CE calculated using the AWS D1.1 method. Steel is purchased fully killed with a fine grain practice. This document is in compliance with the requirements of EN10204 type3.1




Page 1 of 1

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SPECIFICATION UPDATES

- DBE Trucking (Article 1102.17)
 - Proposal Note beginning with November 2024 letting. Included in April 2025 spec revisions
 - DBE trucking subcontractors now allowed to use leased trucks with their own employees or hire non-DBE owner/operators to perform work
 - There must be at least 1 DBE truck doing work at all times
- Smoothness (Article 2316)
 - All smoothness is now covered under 2317 beginning with October 2024 letting
- Concrete Opening Strength (Articles 2301 & 2310)
 - If maturity method is used, pavement can be opened to traffic at 350 psi
- 4" & 6" Pavement Markings (Article 2527)
 - Method of Measurement is now based on 6" wide markings.
 - 4" wide markings now utilize smaller pay factors.

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SPECIFICATION UPDATES (CONT.)

- Erosion Control - Seeding (Article 2601)
 - No longer required to do seed bed preparation in areas with existing stabilizing crop
- Heating and Protection of Structures (Article 2403.05)
 - Basis of Payment update (due to HPC having different duration of protection)
- Cross Stitching of Concrete Pavement (Article 2558)
 - Former DS adopted as a specification

April 2024 updates - <https://iowadot.gov/specifications/gs/GS-23002.pdf>

October 2024 updates - <https://iowadot.gov/specifications/gs/GS-23003.pdf>

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TRAINING OPPORTUNITIES

Technical Training and Certification Program (TTCP)

- Workday Learning is now replacing the previous system, Iowa DOT U
- Sign up via the Technical Training and Certification Program (TTCP) web site at: <https://iowadot.gov/training/technical-training-and-certification-program>
- Instructions for registration of City or County employees is available at: <https://iowadot.gov/training/TTCP-Creating-External-User-Account.pdf>
- Other Web based Courses are available in these areas:
 - Certification Review Courses
 - Construction
 - Employee Development
 - Maintenance
 - Materials
 - Safety
- <https://iowadot.gov/training/Online-training>

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QUESTIONS?



Reference Documents:

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

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

Local Systems I.M.s

See Iowa DOT Contact List for appropriate Administering Team staff

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LOCAL PUBLIC AGENCY PROJECTS MATERIALS INSPECTION

District Materials Staff

Iowa Department of Transportation

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PRESENTATION OVERVIEW

Local Public Agency and Iowa DOT
Obligations

Materials Instructional
Memorandums

Materials Acceptance Report

Materials Certification Formats

Materials Training



2

LPA & IOWA DOT OBLIGATIONS

Local Public Agencies with Federal-aid projects enter into a funding agreement with the Iowa DOT.

Project funding agreements have requirements:

- If a portion of the project is Federal-aid, then the entire project should be treated like Federal-aid whether participating or non-participating
- Federal-aid Agreement Exhibit 1 states the recipient of the funds "shall comply with the procedures and responsibilities for materials testing according to the DEPARTMENT's Materials I.M.s".

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LPA & IOWA DOT OBLIGATIONS FOR MATERIALS AUDITS

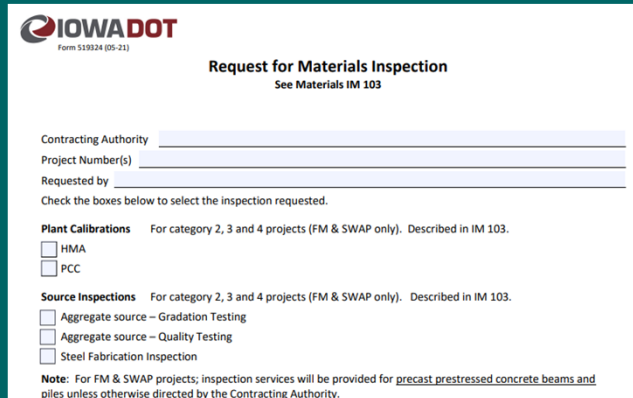
Questions to ask when the project is ready for materials audit:

- Are all the certifications available? Where?
- Is the IM 101 audit form filled out completely?
- Has the project been pre-audited or reviewed?
- How do I plan to get the District Material Engineer the certifications for the project?
- Is there a contact name/email to contact for missing documents?
- Have I notified the Local Systems Technician and District Materials Engineer?

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STARTING A FEDERAL AID PROJECT FROM THE MATERIALS PERSPECTIVE

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



IOWA DOT
Form 51924 (05-21)

Request for Materials Inspection
See Materials IM 103

Contracting Authority _____
Project Number(s) _____
Requested by _____

Check the boxes below to select the inspection requested.

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

Source Inspections For category 2, 3 and 4 projects (FM & SWAP only). Described in IM 103.
 Aggregate source – Gradation Testing
 Aggregate source – Quality Testing
 Steel Fabrication Inspection

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

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ON GOING FEDERAL AID PROJECT

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

Iowa DOT Construction Guidance

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

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

Materials Instructional Memorandums

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

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

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MATERIALS INSTRUCTIONAL MEMORANDUMS

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

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

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MATERIALS INSTRUCTIONAL MEMORANDUMS

I.M. 205 Quality Assurance Program for Construction

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

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

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MATERIALS INSTRUCTIONAL MEMORANDUMS

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

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

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

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MATERIALS INSTRUCTIONAL MEMORANDUMS

October 19, 2021
Supersedes October 15, 2019

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

Mats. IM 204
Appendix F (US) Units

MATERIAL OR CONSTRUCTION ITEM	TESTS	METHOD OF ACCEPTANCE & RELATED Bids	QUALITY CONTROL					INDEPENDENT ASSURANCE & VERIFICATION SAT					REMARKS
			SAMPLE BY	FREQ.	SAMPLE SIZE	TEST BY	REPORT	SAT TYPE	SAMPLE BY	FREQ.	SAMPLE SIZE	TEST BY	
SOURCE INSPECTION													
Aggregates-Coarse (M 207)	AS	200											
Aggregates-Fine (M 207)	AS	200											
Hydrated Lime	AS	491.04											
Asphalt Binder	AS	437											
Emulsions	AS	511											
Cutbacks	AS	511											
Release Agent	AS	491.15											
Recycled Asphalt Shingles	AS	500											
PLANT INSPECTION													
Combined Aggregate (M 207)	Gradation	300, 300, 230	RCE/ CONTR	1/lot	M 301	CONTR							
Moisture			CONTR	1/ half day	1000-gm	CONTR							Dum Mix Plants Only
Asphalt Binder	DSR Quality	AS 303 Cert											Log all shipments ** transporter
Cutback	AS	Cert											Log all shipments
Emission	Residue	AS 300											Plastic bottle required

AS-Approved Source
ASD-Approved Shop Drawing
SAT-Sampling & Testing

Cert. Certification Statement
RCE-Resident Construction Engineer/Project Engineer
DME-District Materials Engineer
CTRL-Central Laboratory

IA-Independent Assurance
V-Verification

*A project approach may be applied at the discretion of the DME at the frequency 1/project.

I.M. 204 App. F Asphalt Mixtures

Source Inspection

- No project-level quality control, verification, or independent assurance sampling & testing required

Plant Inspection

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

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MATERIALS INSTRUCTIONAL MEMORANDUMS

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

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

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

Contains link to Material Review Forms 101.

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MATERIALS INSTRUCTIONAL MEMORANDUMS

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

2025 Construction and Materials Review
HMA PAVING and COLD-IN-PLACE RECYCLING

Project No. _____ Contract No. _____
 Route No. SR 200 / SR 200 / SR 200 / SR 200

Contract	Material	Zone	Amount
_____	Binder	_____	_____
_____	Emulsion / Colours	_____	_____
_____	Emulsion / Colours	_____	_____
_____	Stabilizing Agent	_____	_____

Contract	Date of Installation	Site Number No.	Quantity Field	Quantity Documented
Date No.			Table 4.2.1	Table
_____	Pave, or Small Qty's	_____	_____	_____
_____	Pave, or Small Qty's	_____	_____	_____
_____	Pave, or Small Qty's	_____	_____	_____
_____	Pave, or Small Qty's	_____	_____	_____
_____	Pave, or Small Qty's	_____	_____	_____
_____	Pave, or Small Qty's	_____	_____	_____

Job Control Tests / Construction	Required	Documented
Combined aggregate gradation (CPG)	1 Cert Test / Lot	_____
Binder (DPR) Sample	1 / Day	_____
Binder (DPR) Tests	90 Days - 1 / Week	_____
TAX	Viscosity of Residue	1 per project
Stabilizing Agent (DPR) or Residue	1 / Day	_____
Lab density (DMA) No. of tests based on production	1 per lot	_____
Pave thickness	1 per lot	_____
Smoothness (Yes or No)	Certified Test Rpt	_____
Pave Density (Core or Pave)	10 / lot	_____
Pave Moisture (Core or Pave)	10 / lot	_____
Self-Term Compaction	90 Days - 1 / Week	_____

Verification Test - Materials with Sample Reports	Required	Documented
Ventilation gradation tests (DPR) W / CPG	90 Days - 2 / Week	251
Aggregate Quality	1 / 20,000 Tons of Mix	_____
AD Binder	1 / 20,000 Tons of Mix	_____
Uncompacted In-situ (Lab Density/Visk)	1 / Day	_____
Smoothness (Yes or No)	10% of project	821201
Stabilizing Agent	1 per project	_____

Independent Assessment - Materials with Sample Reports	Required	Documented
Compacted In-situ (Lab Density/Visk)	1 / Project or System Approach	882142
Aggregate Gradation (DPR W / Moisture)	1 / Project or System Approach	_____

Comments: _____

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**MATERIALS
INSTRUCTIONAL
MEMORANDUMS**

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

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

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

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

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

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**MATERIALS
INSTRUCTIONAL
MEMORANDUMS**

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

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

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MATERIALS INSTRUCTIONAL MEMORANDUMS

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

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

Comments: _____

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MATERIALS INSTRUCTIONAL MEMORANDUMS

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

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

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

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MATERIALS INSTRUCTIONAL MEMORANDUMS

IM 204 Small Quantity Alternate Acceptance by Project Engineer

- IM 204 Appendix Z

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

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MATERIALS ACCEPTANCE REPORT

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

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

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MATERIALS ACCEPTANCE REPORT

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

LINE NO	ITEM	DESCRIPTION	UNIT	QUANTITY	
0180	2417-0228036	APRON, METAL, 36"	EACH	6.000	
	Material Desc	Spec No	IM	Sample Freq	Basis of Acceptance
	METAL APRONS,	4141.01	441	DME	Approved Source
			107	RCE	Certification Statement
	Comments:				CONTRACTOR
	BUY AMERICA GROUP 2				

Comments

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MATERIALS ACCEPTANCE REPORT

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

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MATERIALS ACCEPTANCE REPORT

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

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MATERIALS ACCEPTANCE REPORT

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

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

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

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MATERIALS CERTIFICATION FORMATS

A common method of materials acceptance on the project site is with contractor-provided certification. That certification can take several forms:

- Certification statement stamped on each delivery ticket
 - Non-proportioned aggregate
 - Certification document for similar units delivered to the project
 - Precast unit summary (intakes, concrete pipe, etc.)
 - Certification packet addressing individual bid item components
 - Steel products requiring an itemized list by size, length, weight, heat number, etc. with accompanying mill test reports, chemical analysis, etc.; plus similar documents for possible coatings.
- There are multiple individual certification statements and/or certification documents in a single packet.

A cert is not a cert is not a cert.

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MATERIALS CERTIFICATION FORMATS

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

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

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

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MATERIALS CERTIFICATION FORMATS

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

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

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

MATERIALS CERTIFICATION FORMATS

CERTIFICATION PROCEDURES

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

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

IM 451.03B Epoxy-Coated Steel Reinforcement

IM 447 PCC Premix

CERTIFICATION DOCUMENTS

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

Certification Statement

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

Date _____ Signed _____

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

MATERIALS CERTIFICATION FORMATS

CERTIFICATION PROCEDURES

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

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

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

Invoice with certification statement

CERTIFICATION DOCUMENTS

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

Certification Statement

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

Date _____ Signed _____

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

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MATERIALS CERTIFICATION FORMATS

IM 204 App Z

Indicates that some form of material certification is needed

Good first step but can't be your only one

IM 204 App A through W

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

Do not provide certification format details

All IM 204 Appendices

Reference the individual IM for each material

Materials IMs

Provide the material certification format details

There is no shortcut.

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MATERIALS TRAINING

The screenshot shows a website interface for Materials Training. On the left is a vertical navigation menu with the following items: TRAINING HOME, TECHNICAL TRAINING AND CERTIFICATION PROGRAM, TTCP REGISTRATION BOOK, CERTIFIED TECHNICIANS, TTCP MANUALS, ONLINE TRAINING (highlighted with a dark teal background), OTHER RESOURCES AND TECHNOLOGY, CONTACT INFORMATION, CANCELLATION AND REFUND POLICY, and TRAINING VIDEOS. The main content area is titled "TRAINING PROGRAMS" and contains a bulleted list of links and descriptions:

- [Technical Training and Certification Program](#)
The Iowa DOT Technical Training and Certification Program provides training courses in the areas of construction and materials. The program includes certifications for agencies, industry, producers, and consultants for highway materials testing and inspection.
- [Online training](#)
The online courses offered through this site are for use by individuals that would like to take courses at their convenience. These courses are offered for an individual to take online at any time and on any computer system. These courses do include questions, but a formal test is not normally part of the course.
- [Create your Workday Learning Account](#)
- [Log in to Workday Learning](#)
- [Enroll in Training](#)

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MATERIALS TRAINING

[Technical Training and Certification Program \(TTCP\)](#)

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

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

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MATERIALS TRAINING, TTCP CONTRACT ADMINISTRATION

TTCP Contract Administration Courses

The Contract Admin series is being re-launched as a collection of short topic-focused courses.

These courses are being developed now and are planned to be added to the TTCP Registration Booklet and website as each becomes available.

Topic priority and order of development are somewhat "negotiable". Let Local Systems or District Materials staff know if there are preferences.

Starting up again this year.

MATERIALS TRAINING, TTCP CONTACTS

IOWA DOT CONTACT INFORMATION

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

MATERIALS TRAINING



Web-Based Training



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



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

MATERIALS TRAINING, WEB-BASED COURSES

DOT EMPLOYEE AND NON-DOT	WEB-BASED TRAINING COURSES
Both	Aggregate Sampler Review
Both	Aggregate Technician Review
Both	Basic Survey for Iowa Inspections
Both	Basic Survey for Iowa Inspections
Both	Basic Survey for Iowa Inspections
Both	Erosion Control Update
Both	HMA Level I Review
Both	HMA Level II Review
Both	IM 204
Both	Iowa Basic Plan Reading
Both	Iowa Traffic Control and Personal Safety
Both	MAPLE
Both	Math Basics Series for Highway Technicians
Both	PCC Level I Review
Both	PCC Level II Review
Both	PCC Level III Review
Both	Ride Quality Review

MATERIALS TRAINING

Training Videos

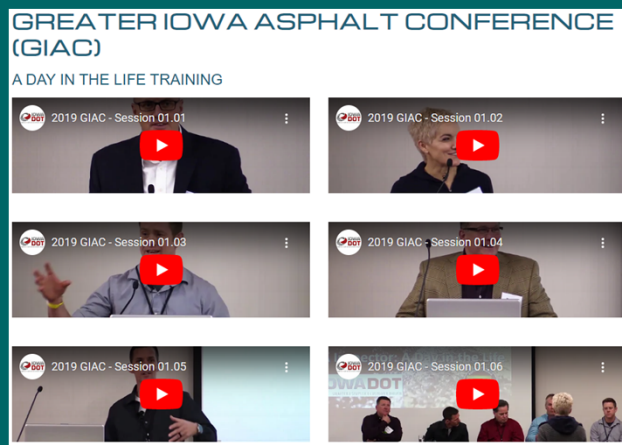
There are two sets of training videos on the Construction and Materials webpage:

- 9 lecture sessions from the 2019 Greater Iowa Asphalt Conference
- 38 hands-on demonstrations of TTCP tests and procedures.
- TTCP Construction Administration classes are returning this year!

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MATERIALS TRAINING, VIDEOS



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MATERIALS TRAINING, VIDEOS

TECHNICAL TRAINING AND CERTIFICATION PROGRAM (TTCP) VIDEOS

PLANT

- ▶ [A Day in the Life of a PC Plant Inspector](#)
- ▶ [Plant Site Safety](#)

- ▶ [Washing Fine Aggregate](#)
- ▶ [Sieving Operation Fine Aggregate](#)
- ▶ [Sieving to Completion Fine Aggregate](#)
- ▶ [Individual Weights and Calculations Fine Aggregate](#)

AGGREGATE

- ▶ [Aggregates: Basic Inspection and Sampling](#)
- ▶ [Clay Lumps and Friable Particles in Coarse Aggregate](#)
- ▶ [Shale in Fine Aggregate](#)
- ▶ [Quartering Method Fine Aggregate](#)
- ▶ [Miniature Stockpile Fine Aggregate](#)

- ▶ [Rifle Splitter Coarse Aggregate](#)
- ▶ [Rifle Splitter Reduction to Test Sample Size](#)
- ▶ [Coarse Aggregate Box Sieving Operation](#)
- ▶ [Coarse Aggregate Gradation Weighing and Calculations](#)
- ▶ [Coarse Aggregate Separate Wash Test Part 1](#)
- ▶ [Coarse Aggregate Separate Wash Test Part 2](#)
- ▶ [Combined Aggregate](#)
- ▶ [Specific Gravity Bringing Sample to SSD](#)
- ▶ [Specific Gravity Calibrating the Pycnometer](#)
- ▶ [Specific Gravity Determining the W Weight](#)

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MATERIALS TRAINING, VIDEOS

TECHNICAL TRAINING AND CERTIFICATION PROGRAM (TTCP) VIDEOS

HMA

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

PCC

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

SOILS

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

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QUESTIONS?



District 1

DME Mike Lauritsen (515) 357-4350

Materials Tech 5 Shane Fetters (515) 239-1756

District 2

DME Vacant

Materials Tech 5 Jon Kleven (641) 422-9428

District 3

DME Vacant

Materials Tech 5 Alex Crosgrove (712) 202-0809

District 4

DME Tim Hensley (712) 254-0386

Materials Tech 5 Mike Magers (712) 250-0324

District 5

DME Allen Karimpour (641) 469-4040

Materials Tech 5 Helen Bailey (641) 469-4036

District 6

DME Shane Neuhaus (319) 366-0446

Materials Tech 5 Mark Dutra (319) 366-1614

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QUESTIONS?



- Reference Documents:

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

<http://www.iowadot.gov/erl/> (being removed April 2025)

<https://erl.iowadot.gov/> (replacing old ERL)

- Construction and Materials Bureau Training Webpage

<https://iowadot.gov/training>

- See Iowa DOT Contact List for appropriate Administering Bureau staff

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DOC EXPRESS & APPIA

Derek Peck & Niki Stinn

Local Systems Bureau

Iowa Department of Transportation

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1

PRESENTATION OVERVIEW

Doc Express

- Doc Express Instructions
- Project Closeout Workflow
- Naming Convention
- Workflows & Notifications
- Auditing
- Locking & Archiving

Appia

- Project Setup & Review
- Record Keeping/Audit Guidance
- Items Without Certifications/Payrolls
- Appia-Doc Express Integration
- Payments & Change Orders
- Final Payment Process
- Reminders & Additional Resources

2

DOC EXPRESS

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DOC EXPRESS



Doc Express is like a file cabinet

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

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

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

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DOC EXPRESS DRAWERS

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

Potential Update Coming

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DOC EXPRESS INSTRUCTIONS

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PROJECT CLOSEOUT WORKFLOW

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

Doc Express User's Guide 2024 September User's Guide

Iowa Local Systems

0 comments 0 supporting documents

Oct 16 11:34 AM EDT Submitted
Version 1 (current)
Iowa Local Systems - Derek Peck
2024

Project Closeout Workflow Chart update

Iowa Local Systems

0 comments 0 supporting documents

Oct 02 10:36 AM EDT Submitted
Version 1 (current)
Iowa Local Systems - Derek Peck
2024

Project Closeout Drawer (signatures) and Workflow Steps 00/24

General Order	Documents	Submitted	Approved by Contractor	Recommended by (Engineer)	Approved by P&C (when applicable)	Approved by District Materials Engineer (Optional)	Approved by Admin/Engineering Office (when applicable)	Approved by Field/LSE (when applicable)	Completed (LS or P&C)
1	None								LSE / LST
1	Contract Details: 00 Doc Express Instructions - Iowa Local Public Agency - Current and Previous Instructions								LST
1	2024								LSE / LST
2	Pre Audit Checklist (6.110 Attachment E)								LSE / LST
3	Contract Quantity Agreement (Form 830230)								LSE / LST
4	Semi-Final Estimate (non-CPS)								LSE / LST
4	Semi-Final Voucher (CPS)								LSE / LST
5	Audit of Final Pay Estimate (Form 830301)								LSE / LST
6	Certification of DSE Accomplishment (Form 102116)								LST
6	Certification of Subcontractor Payment (Form 518002)								LST
7	Est Audit (Certification of Audit)								LSE / LST
7	A. Final Payment (Form 830436) to be used on off DOT let projects or projects using Iowa DOT Specifications								LST
8	Certificate of Completion and Final Acceptance of Agreement Work (Form 640003) to be used only on locally let projects, not utilizing Iowa DOT Specifications.								DME(A) LSE(E)
8	Final Estimate (non-CPS)								LSE / LST
9	Final Voucher (CPS)								LSE / LST
10	Interest Payment Information (Form 830236)								LSE / LST
11	Final Forms Packet Checklist (6.110 Attachment F)								LST

Key Chart





- C = Contractor
- E = Project Engineer
- LST = Local Systems Field Technician
- LSE = Local System Field Engineer
- DME = District Materials Engineer
- P = P&C

See Page 2 for Stand-alone FM Projects

(1) Or a resolution that accepts the project can be attached as a supporting document.
(2) Only submit for Federal-aid projects.
(3) City/County official must sign final voucher when the Engineer is not a city or county employee.
(4) DMS only signs for Federal-aid projects and projects located on the Primary Road System.
(5) Board of Supervisors must sign paper final voucher or signature is done with assist.
All signature transitions are handled by the authorized LPA.
(6) Only required for State, Federal-aid, and projects located on the Primary Road System.
(7) Optional.
(8) County Engineer (by resolution) or Board of Supervisors must sign for projects on RM system.

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DOC EXPRESS – NAMING CONVENTION

-  How do you know what documents to place where, and what do you title those documents?
-  The Naming Convention!
-  The Local Systems Bureau requires the use of the Naming Convention.
-  This is also a specification requirement (1113.01,A) that Contractors must adhere to.

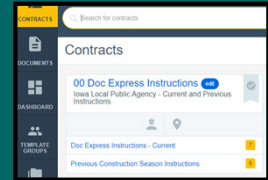
8

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NAMING CONVENTION

Drawers	Type	File Name	Notes	Who Uploads
Meetings				
	Preconstruction Meeting/Sign-In Information	Precon		Engineer
	Pre-pour Meeting Minutes	Prepour yymmdd		Engineer
	Progress Meeting Minutes	Progress Meeting yymmdd		Engineer
Payrolls				
	Contractor name	PR nnn WE yymmdd	Certified Transcript of Labor Payroll (Form 830176) (Non-cash fringe add supporting document for each item).	Contractor
	Contractor name	PR nnn WE yymmdd Revision	DO NOT REMOVE the original payroll or any previous revision	Contractor
Plans				
	As-Advertised	As-Advertised		Administering Bureau
	As-Built	As-Built		Engineer
	As-Let	As-Let		Engineer
	Instruction to Contractor	ITC nn		Engineer
	Plan Revisions	Revised Plan Sheet ppp xx		Engineer
	Request for Information	RFI nn		Contractor
Project Closeout				
	Audit of Final Pay Estimate (Form 830301)	301	See Project Closeout Chart in "00 Doc Express Instructions" in Doc Express	Administering Bureau

- Organized in the same order as the Doc Express drawers (alphabetically)
- Drawer names are shown in red text
- Can filter "Drawer Name" column to find Types quicker
- "Types" column – types belonging to each drawer
- "File Name" column - what to name the file
- "Comments" column - additional guidance/notes
- "Who Submits" column - who typically uploads the document
- Updated in September 2024



- Found here:
 - In the "oo" Drawer in Doc Express
 - Local Systems Bureau website: https://iowadot.gov/local_systems/publications/local_jurisdictions/DocExpressLPAUsersGuideAppendix.pdf

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OLD VS. NEW NAMING CONVENTION

Drawer Name	Type	File Name	Comments	Who Submits
Meetings Drawer				
Preconstruction Meeting/Sign In Information	Precon			Engineer
Pre-pour Meeting Minutes	Prepour yymmdd			Engineer
Progress Meeting Minutes	Progress meeting yymmdd			Engineer
Payrolls Drawer				
Contractor name	PR nnn WE yymmdd		Certified Transcript of Labor Payroll (Form 830176) (Non-cash fringe add supporting document for each item).	Contractor
Subcontractor name	PR nnn WE yymmdd		Certified Transcript of Labor Payroll (Form 830176) (Non-cash fringe add supporting document for each item).	Contractor
Contractor name	PR nnn WE yymmdd Revision		DO NOT REMOVE the original payroll or any previous revision	Contractor
Subcontractor name	PR nnn WE yymmdd Revision		DO NOT REMOVE the original payroll or any previous revision	Contractor
Plans Drawer				
As-advertised	As-adv			administering Bureau
As-built	As-built			Engineer
As-let	As-let			Engineer
Plan Revisions	Revised Plan sheet xx yymmdd			Engineer
Project Closeout Drawer (signature)				
			Project Closeout Chart in "00 Doc Express Instructions" in Doc Express	
Audit of Final Pay Estimate (Form 830301)	301			administering Bureau

Drawer Name	Type	File Name	Comments	Who Submits
Meetings				
	Preconstruction Meeting/Sign-In Information	Precon		Engineer
	Pre-pour Meeting Minutes	Prepour yymmdd		Engineer
	Progress Meeting Minutes	Progress Meeting yymmdd		Engineer
Payrolls				
	Contractor name	PR nnn WE yymmdd	Certified Transcript of Labor Payroll (Form 830176) (Non-cash fringe add supporting document for each item).	Contractor
	Contractor name	PR nnn WE yymmdd Revision	DO NOT REMOVE the original payroll or any previous revision	Contractor
Plans				
	As-Advertised	As-Advertised		Administering Bureau
	As-Built	As-Built		Engineer
	As-Let	As-Let		Engineer
	Instruction to Contractor	ITC nn		Engineer
	Plan Revisions	Revised Plan Sheet ppp xx		Engineer
	Request for Information	RFI nn		Contractor
Project Closeout				
			See Project Closeout Chart in "00 Doc Express Instructions" in Doc Express	
	Audit of Final Pay Estimate (Form 830301)	301		Administering Bureau

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DOC EXPRESS –WORKFLOWS

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

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The screenshot displays the Doc Express web application interface. The top section shows the 'Change Orders' drawer for '52-3715-669 - City of Iowa City in Johnson County STP-U-3715(669)--70-52'. A red arrow points to the 'Actions' menu, which includes options like 'Details', 'Manage Access', 'Export', and 'Export Log'. Below this, a table titled 'Document Workflow Order' details the steps of the workflow.

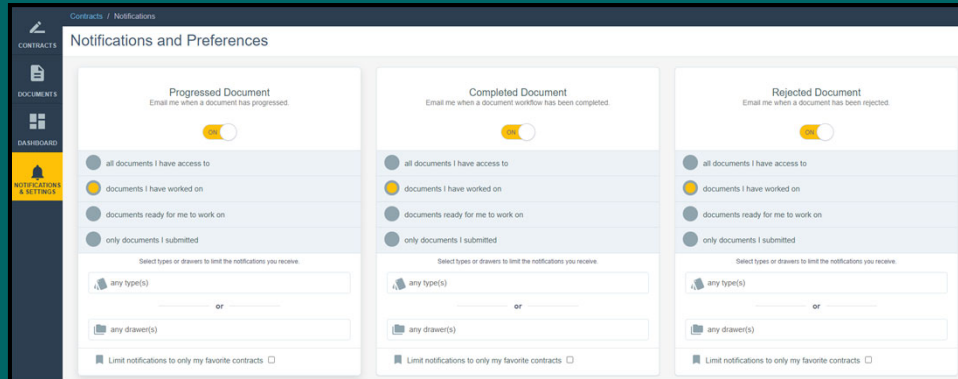
Status	Executed By	Signature	Required?	Allow Document Replacement?	Allow Markup?	Publish?	Bond Validation?
Submit	Agency Managers, Agency Users	No signature required	Yes	No	No	No	No
Approved by Contractor (Optional)	Agency Managers, Primes	User types name and selects check box to confirm electronic signature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

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DOC EXPRESS – NOTIFICATIONS

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



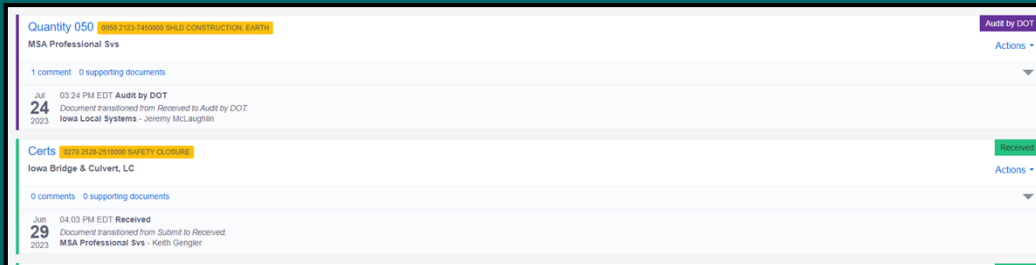
13

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DOC EXPRESS – IOWA DOT AUDITING

Iowa DOT Auditing

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

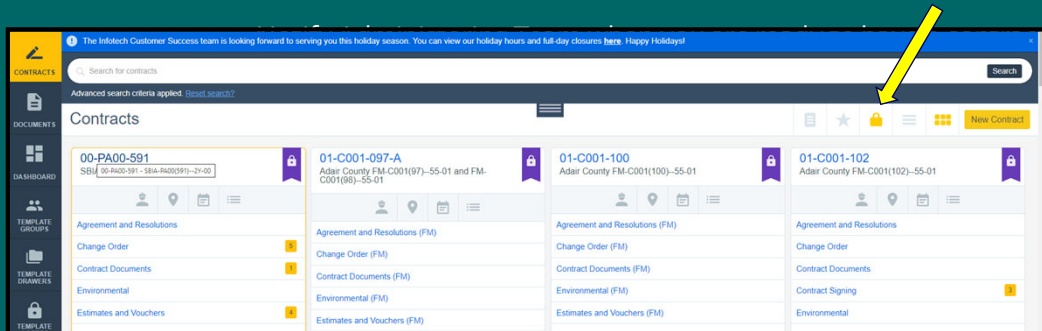


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DOC EXPRESS – LOCKING CONTRACTS

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

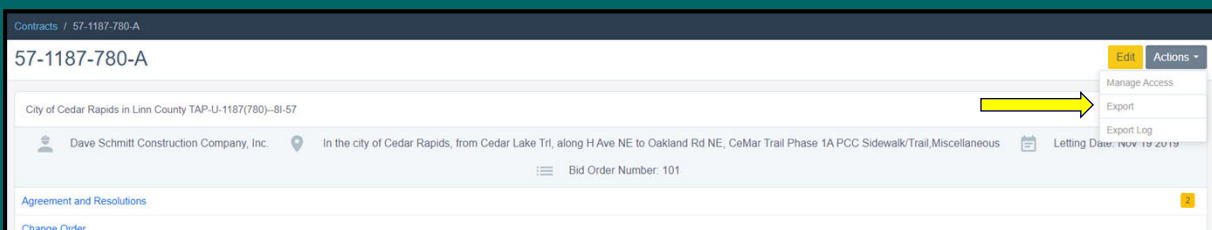


locked

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DOC EXPRESS - ARCHIVING

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



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DOC EXPRESS – TIPS & TRICKS

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

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DOC EXPRESS – TIPS & TRICKS

Did you know?

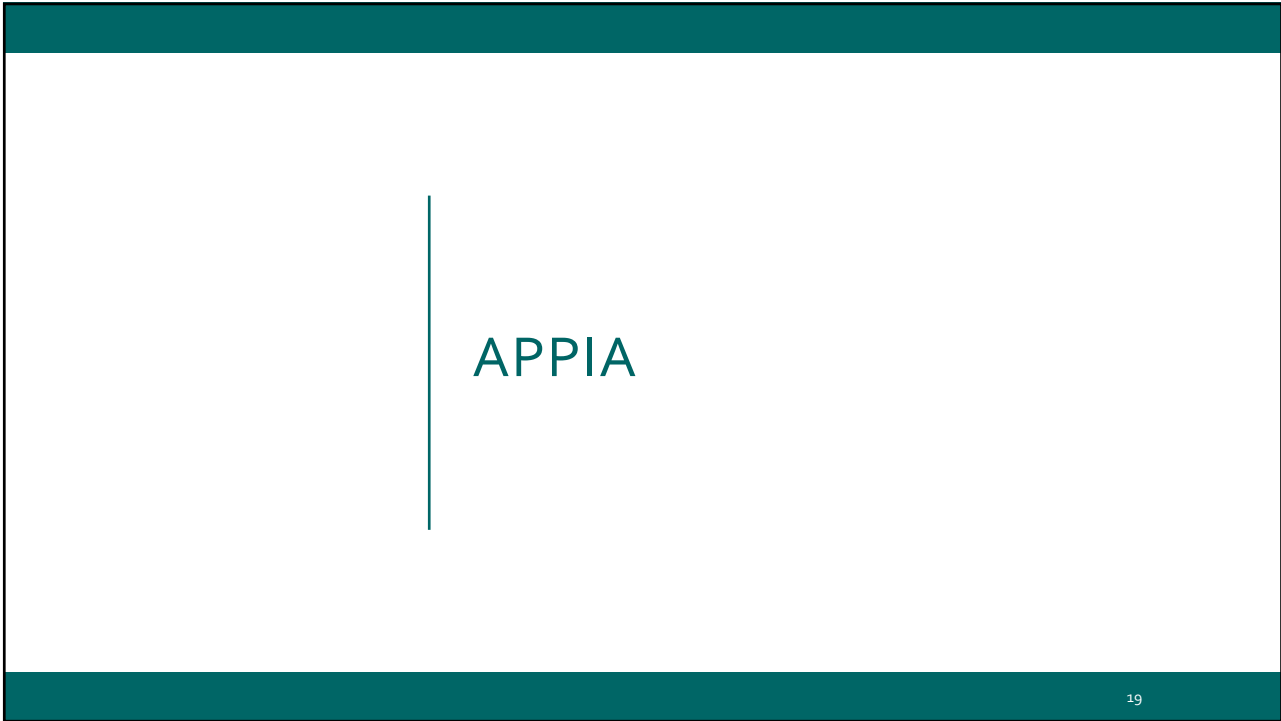
Clicking on the calendar will show the letting date.

69-C069-070
Montgomery County | FM-TSF-C069(70)--5B-69 | HMA Pavement Widening/HMA Resurfacing

Agreement and Resolutions	Estimates and Vouchers	3	
Change Order	Items and Materials Documentation	3	

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USE OF APPIA

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

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PROJECT SETUP

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

Iowa Local Systems

0 comments 0 supporting documents

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

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

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**Appia Instructions on the
Local Systems Doc Express &
Appia webpage**
https://iowadot.gov/local_systems/Doc-Express-and-Appia

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

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PROJECT SETUP REVIEW & APPROVAL

- Send request to Derek Peck to review project setup BEFORE Advancing to Construction
- Things we will check:
 - Lump sum items “un-checked”
 - Change order custom fields
 - Correct payment settings
 - Read-only role for Administering Team staff
 - Read-only role for CPS Contractor Pay Finance (if applicable)
 - Doc Express integration enabled
- Payments/reimbursements will NOT be processed until project setup is approved

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

PROJECT ACCESS & ROLES IN APPIA

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

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APPIA RECORD KEEPING GUIDANCE

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



TO: Email Address
 FROM: Niki Stinn, P.E.
 SUBJECT: Appia - Guidance for Record Keeping and Audit/Review Process
 DATE: May 31, 2022

Cities, Counties, and Consultants,

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

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

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

Documentation of Item Quantities

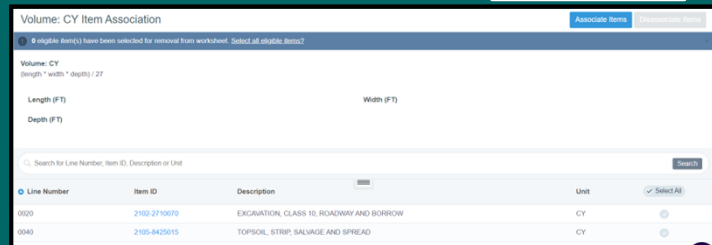
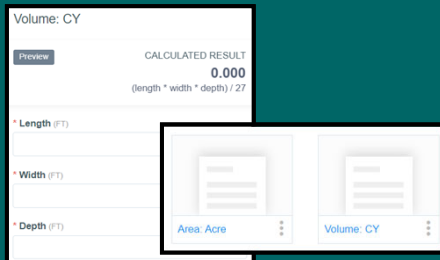
Local agencies must, at a minimum, record item quantity postings on a daily basis under "Daily Reports > Item Postings". However, you have a few options regarding the location

WORKSHEETS & ITEM DOCUMENTATION

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

New EZ Sheets available!

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



ITEMS WITH CERTIFICATIONS NOT YET RECEIVED – LET PRIOR TO 2025

Remember BABA and payrolls!

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

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ITEMS WITH CERTIFICATIONS NOT YET RECEIVED – LET IN 2025+

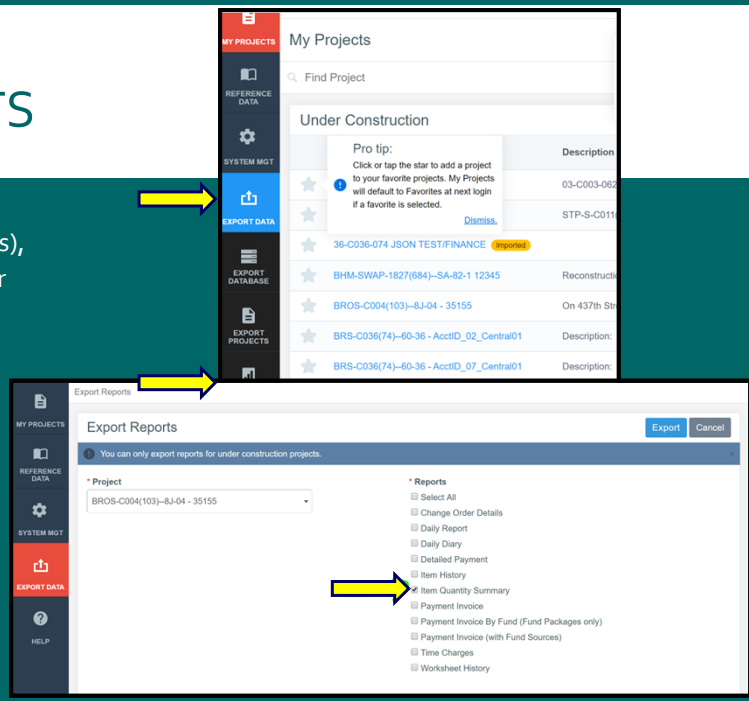
- Will utilize Materials module
- Actual Materials replaced by Bid Items, Payrolls, and Liquidated Damages
- To withhold payment, enter material quantity in "Review Materials" screen (keep usage rate at 0.00)
- When certs and payrolls are cleared and a change order item has been created for LDs, enter approved materials quantity in Materials module
- Payments will exclude "Materials" that have a quantity entered but not approved
- Refer to Appia "Under Construction" Instructions for detailed Guidance

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ITEM QUANTITY SUMMARY REPORTS

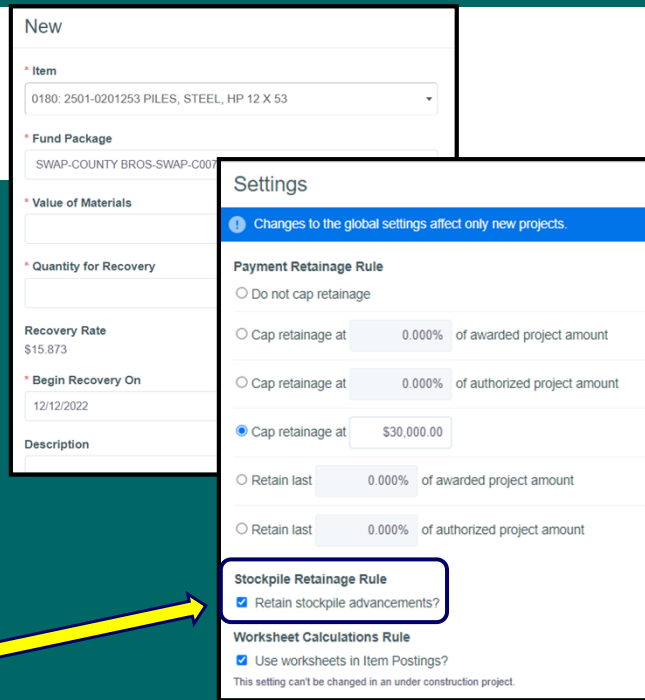
- If item measurements, locations, and/or test results are documented in Appia (vs. E-sheets), produce "Item Quantity Summary" report for upload to Doc Express
 - Format similar to E-sheets
- On main page after log-in, click on "Export Data", then click on "Export Reports"
 - Select project in the pull-down.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



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STOCKPILES

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



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APPIA – DOC EXPRESS INTEGRATION

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

The image shows two screenshots from the Appia software interface. The top screenshot is a 'Table of Contents' with the following items:

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

The bottom screenshot shows the 'Project Settings' page for project '08-C008-089' (Under Construction). The 'INTEGRATIONS' tab is selected, showing the 'Doc Express® Integration' section. It includes instructions to send payments and change orders to the Doc Express service and a button labeled 'Enable Integration'.

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AUTOMATED PAYMENTS & CHANGE ORDERS

NEW!!! – Both “Estimates” and “Vouchers” are now called “Payments”.

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

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AUTOMATED PAYMENTS & CHANGE ORDERS

Auto-pay projects

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

Make sure to select the correct funding packages when posting item quantities!

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

Make sure to send the Semi-final payment to the Project Closeout drawer!

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CHANGE ORDER REMINDERS & NEW NUMBERING

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

***Presenter will clarify at time of presentation

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CHANGE ORDERS – FUND PACKAGE SELECTION

- Assign correct funding package

The screenshot shows the 'New Items' form with a table containing one item. The 'Fund Package' column has a dropdown menu open, showing the selected option '33-C033-126-CAT-1 33-C033-126-CAT-1 33-C'. The table has columns for Line Number, Item ID, Quantity, Unit, Unit Price, Extension, and Fund Package.

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

The screenshot shows the 'New Items' form with a table containing three rows. The 'Fund Package' column has a dropdown menu open, showing the selected option 'Split by 4 packages'. The table has columns for Line Number, Item ID, Quantity, Unit, Unit Price, Extension, and Fund Package.

Line Number	Item ID	Quantity	Unit	Unit Price	Extension	Fund Package
8020	2121-7425020	0.000	TON	\$0.000	\$0.00	Split by 4 packages
52-3715-668-CAT-2 STP-U-3715(668)-70-52		0.000				
52-3715-668-CAT-1 STP-U-3715(668)-70-52		0.000				

- May split quantity between funding packages

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CHANGE ORDERS

The screenshot shows the 'New Items' form with a table containing one item. The 'Fund Package' column has a dropdown menu open, showing the selected option '27-C027-079-CAT-1 STBG-SWAP-C027(79)-FG-27'. The table has columns for Line Number, Item ID, Quantity, Unit, Unit Price, Extension, and Fund Package.

Line Number	Item ID	Quantity	Unit	Unit Price	Extension	Fund Package
0460	2210-0475290	0.000	TON	\$0.000	\$0.00	27-C027-079-CAT-1 STBG-SWAP-C027(79)-FG-27

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

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CHANGE ORDER PROCESS: NO DOC EXPRESS INTEGRATION

Change Order process

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

IOWADOT GETTING YOU THERE
Iowa Local Systems DEMO ACCOUNT
 Change Order Details
 15-C015-065

Description: BRS-SWAP-C015(65)-FF-15, Acct ID: 36986, Letting Date: July 21, 2020
 Prime Contractor: A.M. COHRON & SON, INC.
 62180 GREAT RIVER ROAD
 ATLANTIC, IA

Change Order Status: **Pending**
 Date Created: 03/18/2021
 Type: Non-Significant - Federal-aid Participating
 Change Order Description: 8001: Add item for XXX
 Authorized Project Amount: \$664,562.32
 Change Order Amount: \$2,000.00
 Revised Project Amount: \$666,562.32

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

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

CHANGE ORDER PROCESS: USING DOC EXPRESS INTEGRATION

Change Order process

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

This process required for county auto-pay projects

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

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E.	Attachments Tab.....	188

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

PAYMENT REPORTS

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

Line Number	Item ID	Unit	Unit Price	Authorized Quantity	Current Paid Quantity	Previous Paid Quantity	Total Quantity Paid To Date	Total Quantity Placed To Date	Current Payment Amount	Total Amount Paid To Date	
Section: 0001 - ITEMS FOR A 70'-0" X 30'-6" BRIDGE REPLACEMENT - CCS											
0010	2102-2710070	CY	\$4.500	1,433.000	0.000	0.000	0.000	0.000	\$0.00	\$0.00	
EXCAVATION, CLASS 10, ROADWAY AND BORROW											
0020	EXCAVATI										
	Stockpile	Fund Package						Current Advancements To Date	Advancements To Date	Current Recoveries To Date	
#1 - 2501-0201042	SWAP-COUNTY	BROS-SWAP-C007(164)-SE-07						\$9,000.00	\$9,000.00	\$0.00	
PILES, STEEL, HP 10 X 42											
#2 - 2501-0201253	SWAP-COUNTY	BROS-SWAP-C007(164)-SE-07						\$25,000.00	\$25,000.00	\$0.00	
PILES, STEEL, HP 12 X 53											
Totals:								\$34,000.00	\$34,000.00	\$0.00	
Summary											
Current Approved Work:				\$925.93	Approved Work To Date:				\$925.93		
Current Stockpile Advancement:				\$34,000.00	Stockpile Advancement To Date:				\$34,000.00		
Current Stockpile Recovery:				\$0.00	Stockpile Recovery To Date:				\$0.00		
Current Retainage:				\$27.78	Retainage To Date:				\$27.78		
Current Retainage Released:				\$0.00	Retainage Released To Date:				\$0.00		
Current Liquidated Damages:				\$0.00	Liquidated Damages To Date:				\$0.00		
Current Adjustment:				\$0.00	Adjustments To Date:				\$0.00		
Current Payment:				\$34,898.15	Payments To Date:				\$34,898.15		
Previous Payment:				\$0.00	Previous Payments To Date:				\$0.00		

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FINAL PAYMENT PROCESS: WHICH SHOULD I USE?

See Final Payment section in Appia "Under Construction" Instructions

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

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FINAL PAYMENT PROCESS: STANDARD PAYMENT

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

Retainage	
Retain	3.000%
Release	\$24,356.87

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

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

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FINAL PAYMENT PROCESS: APPIA'S FINAL PAYMENT

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

❌ All items are balanced. Items must be balanced to ensure correct payment adjustments. Balance items?
❌ All items are completed. Items must be completed to ensure correct payment adjustments. Complete items?
✅ All punch list tasks are completed. Done.
✅ All stockpiles are fully recovered. Done.
❌ All time limits are completed. Time limits must be completed. Complete time limits?

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

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

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REMINDERS

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



Advance to Construction

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TARGETED IMPROVEMENTS IN PROCESS



Additional documents for Doc Express integration



Optional use of balancing change orders with final payment



Time limit reporting within Daily Reports



GIS/GPS Integration



Other

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TARGETED IMPROVEMENTS COMPLETED

»»» Some documents for Doc Express integration

 Automated payments/change orders


 Funding priorities & caps

 Update Reference Data

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INSTRUCTIONS, GUIDANCE, & RESOURCES

APPRIA


 [Appia Project Creation & Account Management Instructions](#)

 [Under Construction Instructions](#)

 [Appia User's Guide](#)

 [Funding Overview Guide](#)

 [Inspector Flash Guide](#)

 [Manage Reference Data Worksheets](#)

 [Worksheet Calculations](#)

User's Guide Contains Info About

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

Instructions & Guides Available: https://iowadot.gov/local_systems/Post-Letting-Resources/Doc-Express-and-Appia

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ADDITIONAL RESOURCES

YouTube tutorial videos available

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

<https://www.youtube.com/playlist?list=PLvZmrdHhlwRzz7NEhAQYcBMtTvIZgX4qa>



The screenshot shows a YouTube playlist page for 'Using Appia'. The playlist title is 'Using Appia' with 5 videos and 266 views, last updated on Jan 15, 2021. The videos listed are: 1. Managing Users in Appia® (3:16), 2. Settings in Appia® (4:09), 3. Reference Data in Appia® (5:05), 4. Creating a Project in Appia® (6:56), and 5. Daily Reports in Appia® (10:13). The description for the playlist states: 'Appia is Infotech's automated construction administration and inspection software. Appia's modern interface is based on decades of user feedback and includes some of the most intuitive features in the industry.' The website www.infotechinc.com/appia is also mentioned.

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TRAINING

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

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QUESTIONS?



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

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

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PAYMENTS AND CLAIMS FOR REIMBURSEMENT

Local Systems Bureau
Iowa Department of Transportation

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PRESENTATION OVERVIEW

Payments

Contractor Pay System (CPS)

Appia Auto-Pay

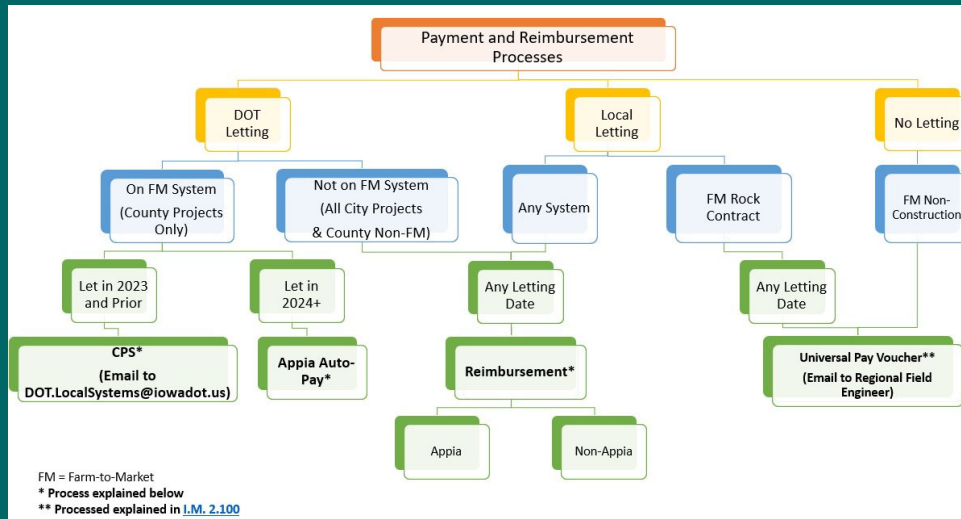
Claim for Reimbursement

Inactive Obligations and Project
End Dates

 IOWA | DOT

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



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TWO METHODS TO PAY CONTRACTORS

Local Funds

- All projects NOT located on a county Farm-to-Market (FM) roadway
- LPA creates and generates payments
 - Spreadsheet
 - Appia
- LPA issues checks to the contractor using local funds

Contractor Pay System / Auto-pay

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

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APPIA PAYMENTS

End Date	Status	Payment	To Date	% Complete	No.
09/23/2023	Approved Doc Express	\$357,871.00	\$2,241,295.81	78.9%	4
09/16/2023	Approved Doc Express	\$1,341,508.25	\$1,883,424.81	68.5%	3
09/10/2023	Approved Doc Express	\$191,445.02	\$541,916.56	19.2%	2
09/08/2023	Approved Doc Express	\$350,471.54	\$350,471.54	12.5%	1

- All county projects let April 2022 or later are required to use Appia payments
 - 309 Vouchers allowed for projects let prior to April 2022
- City use of Appia required beginning with the April 2025 letting
- Refer to the Payment section in the Appia Under Construction instructions
 - https://iowadot.gov/local_systems/publications/local_jurisdictions/Under-Construction-Instructions.pdf
- Enter date of last day covered by payment in Appia
- Check for any Exclusions and verify they are intended and correct reasons if unintended.

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CONTRACTOR PAY SYSTEM & AUTO-PAY APPIA PAYMENTS

Payment Information	
Payment Details	Project Details
Payment Number: 4 Percent Complete: 78.9% Payment Status: Approved Item Payment Amount: \$355,871.00	Prime Contractor: IOWA BRIDGE & CULVERT, L.C. Managing Office: Local Systems
Pay Period	Retainage
From Date: 09/17/2023 To Date: 09/23/2023	Retainage Percent: 3.000% Retainage Released: \$2,000.00 Retainage Cap Amount: \$30,000.00

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

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

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

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

Line Number	Item ID	Unit	Unit Price	Authorized Quantity	Current Paid Quantity	Previous Paid Quantity	Total Quantity Paid To Date	Total Quantity Placed To Date	Current Payment Amount	Total Amount Paid To Date
8001	2527-9263109	STA	\$14,000	3,497.800	0.000	0.000	0.000	0.000	\$0.00	\$0.00
PAINTED PAVEMENT MARKING, WATERBORNE OR SOLVENT-BASED										
0010	2527-9263112	STA	\$18,000	3,497.800	0.000	0.000	0.000	0.000	\$0.00	\$0.00
PAINTED PAVEMENT MARKINGS, HIGH-BUILD WATERBORNE										
0020	2528-8445110	LS	\$1,000.000	1.000	1.000	0.000	1.000	1.000	\$1,000.00	\$1,000.00
TRAFFIC CONTROL										
0030	2528-8445113	EACH	\$555.000	75.000	19.000	0.000	19.000	19.000	\$10,545.00	\$10,545.00
FLAGGERS										

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

Intermediate Payments – Let prior to January 2024

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

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CONTRACTOR PAY SYSTEM APPIA SEMI-FINAL PAYMENTS (LET PRIOR TO JANUARY 2024)

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

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

Line Number	Item ID	Unit	Unit Price	Authorized Quantity	Current Paid Quantity	Previous Paid Quantity	Total Quantity Paid To Date	Total Quantity Placed To Date	Current Payment Amount	Total Amount Paid To Date
Section: 0001 - FM-C017(117)-55-17, Acct ID- 39309, Roadway Items										
0010	2102-0425070	TON	\$31,500	192.000	0.000	0.000	0.000	150.000	\$0.00	\$0.00
SPECIAL BACKFILL										
0020	2102-2625000	CY	\$18,900	236.770	0.000	0.000	0.000	0.000	\$0.00	\$0.00
EMBANKMENT-IN-PLACE										

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

Semi-Final Payments

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

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CONTRACTOR PAY SYSTEM APPIA FINAL PAYMENTS (LET PRIOR TO JANUARY 2024)

Payments

Issue final payment?

Retainage

Retain

3.000%

Release

\$25,643.28

Remarks

14px

Final Payment

Final Payments – Let prior to January 2024

- Use standard payment in Appia (not Appia's final payment)
 - Enter amount of retainage release. Do not reduce retainage %.
 - Write "Final Payment" in remarks
- Upload approved Appia payment to Project Closeout drawer in Doc Express
- Signed by Contractor, County Engineer, and Local Systems Field Engineer in Doc Express
 - Board of Supervisors should "wet" sign payment prior to uploading to Doc Express
 - DOT only signs for projects using State-aid or Federal-aid
- Local Systems staff submits final payment to Finance for processing

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

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

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

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

The screenshot shows the Appia software interface. On the left, a dropdown menu labeled 'Submit For Approval' has 'Submit to Doc Express' selected and circled in green. To the right, the 'Doc Express Information' panel (as of 11/01/2024 12:38 PM EDT) displays the following details:

Document Name	Date Submitted to Doc Express	Doc Express Status
payment-1-20241101-Rev1 - View in Doc Express	11/01/2024	Completed
Doc Express Type(s) Progress Voucher		

Intermediate Payments

- When submitting payment for approval, use "Submit to Doc Express" and choose the Estimates & Vouchers drawer.
 - This transmits the payment directly to Doc Express.
- Engineer signs the payment in Doc Express and transitions it to Complete
- Return to Appia and refresh the Payments screen so that the "Complete" status is brought in from Doc Express.
- Approve the payment in Appia

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AUTO-PAY APPIA SEMI-FINAL PAYMENTS (LET ON OR AFTER JANUARY 2024)

The screenshot shows the Appia software interface. On the left, a dropdown menu labeled 'Submit For Approval' has 'Submit to Doc Express' selected and circled in green. To the right, the 'Doc Express Information' panel (as of 11/30/2023 10:04 AM EST) displays the following details:

Document Name	Date Submitted to Doc Express	Doc Express Status
payment-2-20230922-Rev1 - View in Doc Express	09/22/2023	Completed
Doc Express Type(s) Semi-Final Voucher		

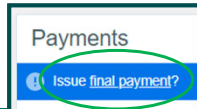
Semi-Final Payments

- When submitting payment for approval, use "Submit to Doc Express" and choose the Project Closeout drawer.
 - This transmits the payment directly to Doc Express.
- Contractor and engineer sign the payment in Doc Express and Engineer transitions it to Complete
- Return to Appia and refresh the Payments screen so that the "Complete" status is brought in from Doc Express.
- Approve the payment in Appia

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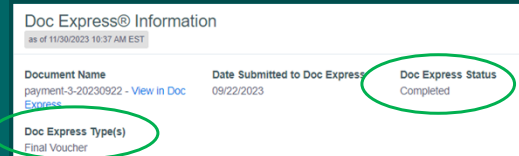
12

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



Final Payments – Let on or after January 2024

- Use Appia’s Final Payments
 - Requires all items to be marked completed
 - Requires creation of a balancing change order
- When submitting payment for approval, use “Submit to Doc Express” and choose Project Closeout drawer
- Contractor, County Engineer, and Local Systems Field Engineer sign payment in Doc Express
 - Board of Supervisors should “wet” sign a copy of the payments that is uploaded as a supporting document to the Doc Express signed payment
 - DOT only signs for projects using State-aid or Federal-aid
- Don’t create Final Payment in Appia until audit is waived or completed and notified by LSFT
- Payment transitioned to Complete only after Administering Team signature
- Return to Appia and refresh Payments screen so that “Complete” status is brought in from Doc Express
- Approve payment in Appia – Payment is automatically sent directly to Finance



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CONTRACTOR PAY SYSTEM & AUTO-PAY

- Federal-aid reimbursements are “automatic” for both 309 and Appia payments
- Iowa DOT Finance Bureau obtains Federal-aid based upon payments issued for Federal-aid eligible items
- Reimbursements are deposited into the County’s Farm-to-Market account
- Dates and amounts of reimbursements will be shown in the FM quarterly statements
- For projects using State-aid (TSIP, CSTEP, CBCF) in conjunction with FM funds, after project completion a letter stating the amount of State-aid being requested to be transferred to the County’s FM fund will need to be sent to the Administering Team.
https://www.iowadot.gov/local_systems/publications/im/2100.pdf

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CLAIMS FOR REIMBURSEMENT

- Projects paid with local funds require the LPA to submit claims for reimbursement
- Reimbursement claims must include
 - Reimbursement claim form 517050 (Field Team projects)
 - Reimbursement claim form 240011 or 240007 (Grant Team projects, as applicable)
 - Copy of payments (spreadsheet or Appia)
 - Proof of payment to Contractor (copy of check issued or check register)
- If creating your own spreadsheet to generate payments, be sure to segregate item quantities and values completed to date by divisions noted in the plans (if applicable). As a reminder, plan divisions should be set up based on funding sources.
- Upload claims to the Estimates & Vouchers drawer in Doc Express

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CLAIMS FOR REIMBURSEMENT

Reimbursement claim form depends on type of funding

I.M. 1.000, https://www.iowadot.gov/local_systems/publications/im/1000.pdf

Local Systems Field Team Projects

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

Local Systems Grant Team Projects

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

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	A	B	C	D	E
1	IOWA DOT		July 2022		
2	Form 517050		IOWA DEPARTMENT OF TRANSPORTATION		
3	12/27/2017		Federal-aid Agreement		
3	CLAIM FOR REIMBURSEMENT OF PROJECT COSTS		for a County Highway Bridge Program Project		
4	Line 1.	Contracting Authority Name:		Request No.:	
5	Line 2.	Date:		Final Reimbursement (Y or N):	
6	Line 3.	Project Number:			
7	Line 4.	DOT Project Agreement No.:			
8	Line 5.	Type of Project Activity:			
9	Line 6.	Total Dollar Amount of Work Completed to Date:		\$0.00	
10	Line 7.	Total Dollar Amount of Non-participating Work Completed to Date:		\$0.00	
11	Line 8.	Total Participating Work Completed to Date: (Line 6 - Line 7)		\$0.00	
12	Line 9.	Retainage Percentage: (As per the contract)			
13	Line 10.	Retainage Maximum: (As per the contract)			
14	Line 11.	Participating Portion of Retained Amount:		\$0.00	
15	Line 12.	Total Amount Paid for Participating Work (Line 8 - Line 11)		\$0.00	
16	Line 13.	Reimbursement Rate (Percent participation in eligible costs, as per the project agreement)		0%	
17	Line 14.	Participating Share of Eligible Costs (Line 12 multiplied by Line 13)		\$0.00	
18	Line 15.	Funding Limit per the Iowa DOT Project Agreement and/or FHWA Authorization		\$0.00	
19	Line 16.	Total Reimbursable Amount (Lesser of Line 14 or Line 15)		\$0.00	
20	Line 17.	Iowa DOT Withholding % (See Administering Office)		0.00%	
21	Line 18.	Iowa DOT Withholding Amount (Line 16 multiplied by Line 17)		\$0.00	
22	Line 19.	Subtotal this Request (Line 16 - line 18)		\$0.00	
23	Line 20.	Participating Costs Previously Reimbursed (Line 19 from previous request)		\$0.00	
24	Line 21.	Amount due this Request (Line 19 - line 20)		\$0.00	
25	I hereby certify that all eligible project costs for which reimbursement is requested have been paid in full and completed in substantial compliance with the terms of the project agreement. Documentation showing proof of payment for costs is attached.				
27	Line 22.	Contracting Authority's Certification:			
31		Title of Claimant	Signature	Date Signed	
33	Mailing Address to Send Payment to:				
34					
35					
36					
37					
38					
39	Below is for information only				
40	Line 23.	Total Iowa DOT Withholding to Date (most current withholding amount (line 18) for construction cost reimbursements)			
41	Line 24.	Total reimbursed to LPA to Date (add all reimbursement amounts (line 19) for all reimbursement project activities)			
42					
43					

RECIPIENT: Humboldt County
 Project No: BROS-C046(83)-8J-46
 Iowa DOT Agreement No: 2-22-HBP-011
 CFDA No. and Title: 20.205 Highway Planning and Construction

- Project Number and DOT Project Agreement No. can be found on the DOT/LPA funding agreement
- Form 517050 is available on the Local Systems website https://iowadot.gov/local_systems/Post-Letting-Resources#564902855-contract-administration
- Instructions for completing the form are available in a separate tab in Excel
- What is new?
 - Stockpiled materials are now eligible for participation in the reimbursement, include in line 6 total.
 - Must follow I.M. 6.000, Attachment D, Section 2.51 https://www.iowadot.gov/local_systems/publications/im/6000d.pdf
 - Stockpile will also have 3% retainage held 17

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	A	B	C	D	E
1	IOWA DOT		July 2022		
2	Form 517050		IOWA DEPARTMENT OF TRANSPORTATION		
3	12/27/2017		IOWA DEPARTMENT OF TRANSPORTATION		
3	CLAIM FOR REIMBURSEMENT OF PROJECT COSTS		for a County Highway Bridge Program Project		
4	Line 1.	Contracting Authority Name:		Request No.:	
5	Line 2.	Date:		Final Reimbursement (Y or N):	
6	Line 3.	Project Number:			
7	Line 4.	DOT Project Agreement No.:			
8	Line 5.	Type of Project Activity:			
9	Line 6.	Total Dollar Amount of Work Completed to Date:		\$0.00	
10	Line 7.	Total Dollar Amount of Non-participating Work Completed to Date:		\$0.00	
11	Line 8.	Total Participating Work Completed to Date: (Line 6 - Line 7)		\$0.00	
12	Line 9.	Retainage Percentage: (As per the contract)			
13	Line 10.	Retainage Maximum: (As per the contract)			
14	Line 11.	Participating Portion of Retained Amount:		\$0.00	
15	Line 12.	Total Amount Paid for Participating Work (Line 8 - Line 11)		\$0.00	
16	Line 13.	Reimbursement Rate (Percent participation in eligible costs, as per the project agreement)		0%	
17	Line 14.	Participating Share of Eligible Costs (Line 12 multiplied by Line 13)		\$0.00	
18	Line 15.	Funding Limit per the Iowa DOT Project Agreement and/or FHWA Authorization		\$0.00	
19	Line 16.	Total Reimbursable Amount (Lesser of Line 14 or Line 15)		\$0.00	
20	Line 17.	Iowa DOT Withholding % (See Administering Office)		0.00%	
21	Line 18.	Iowa DOT Withholding Amount (Line 16 multiplied by Line 17)		\$0.00	
22	Line 19.	Subtotal this Request (Line 16 - line 18)		\$0.00	
23	Line 20.	Participating Costs Previously Reimbursed (Line 19 from previous request)		\$0.00	
24	Line 21.	Amount due this Request (Line 19 - line 20)		\$0.00	
25	I hereby certify that all eligible project costs for which reimbursement is requested have been paid in full and completed in substantial compliance with the terms of the project agreement. Documentation showing proof of payment for costs is attached.				
27	Line 22.	Contracting Authority's Certification:			
31		Title of Claimant	Signature	Date Signed	
33	Mailing Address to Send Payment to:				
34					
35					
36					
37					
38					
39	Below is for information only				
40	Line 23.	Total Iowa DOT Withholding to Date (most current withholding amount (line 18) for construction cost reimbursements)			
41	Line 24.	Total reimbursed to LPA to Date (add all reimbursement amounts (line 19) for all reimbursement project activities)			
42					
43					

REIMBURSEMENT REQUESTS POINTS OF COMMON ERRORS

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

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Form 240007 (08-15)

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

Claim Number: Check for Final Reimbursement Date: Iowa DOT Project Number:
 Local Public Sponsor: Agreement Number:
 City: County:
 Project Name:

1 Maximum federal-aid payable per the Iowa DOT project agreement:
 2 Maximum in-kind contribution authorized (if applicable):
 3 Local Contribution (if applicable):
 4 Total project cost: \$0.00

	Cumulative Non-Eligible Costs of Approved Work (if applicable)	Eligible Amount Paid This Claim [A]	Cumulative Eligible Amount Paid to Date [B]
Preliminary Engineering (PE) (if Federally authorized)			
5 Total dollar amount of PE costs paid:			
Construction Engineering (CE) (if Federally authorized)			
6 Total dollar amount of CE costs paid:			
Right of Way Acquisition (ROW) (if Federally authorized)			
7 Total dollar amount of ROW costs paid:			
Construction (CONSTR) (if Federally authorized)			
8 Total dollar amount of CONSTR costs paid:			
Local Forces (LF - In-House Services of Local Agency Forces Work) (if Federally authorized)			
9 Total dollar amount of LF costs paid:			
Utility Relocation (UR) (if Federally authorized)			
10 Total dollar amount of UR costs paid:			
Railroad (RR) (if Federally authorized)			
11 Total dollar amount of RR costs paid:			
Non-Construction Project Costs (Non-Const) (if applicable, see instructions for examples) (if Federally authorized)			
12 Total dollar amount of Non-Const costs paid:			
In-Kind (Third-Party Contribution) (if Federally authorized)			
13 Total dollar amount of in-kind contribution claimed:			
14 Total dollar amount eligible for reimbursement			\$0.00
15 Federal reimbursement rate per the Iowa DOT project agreement:			
Dollar amount eligible for reimbursement (line 14 multiplied by line 15); or the maximum federal-aid payable per the Iowa DOT project agreement, or total eligible costs (line 14 minus line 13) if in-kind is applicable - whichever is less:	in-kind < 20% \$0.00	in-kind > 20% \$0.00	\$0.00
17 Dollar amount reimbursed by the Iowa DOT prior to this claim:			\$0.00
18 Less 5% Iowa DOT Withholding of Federal-Aid portion of CONSTRUCTION cost until final field audit is completed (5% of the product of line 8 Cumulative Amount [B] multiplied by line 15) OR 5% of maximum federal funds, whichever is less:	5% of Cumul. Fed. Aid \$0.00	5% of Fed. Aid \$0.00	\$0.00
19 Dollar amount due this payment/final payment (line 16 minus line 17 and minus line 18):			\$0.00

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

- Fill out the top portion of the Claim form, see instructions tab
- Enter the maximum reimbursement amount
- Under column enter the Eligible amounts in the applicable category; PE, CE, Construction, etc
- Enter the reimbursement %
- Enter previously reimbursed, if applicable
- The total payment will auto calculate
 - (Final Claims – check the box in top left corner)
- What is new?
 - Stockpiled materials are now eligible expenses
 - Submit claims to DOT.GrantTeamClaims@iowadot.us

19

CLAIMS FOR REIMBURSEMENT

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

20

INACTIVE OBLIGATIONS AND PROJECT END DATES

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

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

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

📅 Cannot extend closeout period past 1 year of PED.

🚀 *But what do these things really mean?*

21

21

HOW DOES A PROJECT BECOME INACTIVE?

- When Federal funds are set aside for a project, they are specifically allocated for that project and phase, authorized by the Federal Highway Administration (FHWA)
- If no reimbursements are requested within 12 months, the funds become "inactive." To avoid this, submitting reimbursement requests at least every 6 months is recommended to keep the project active.
- Iowa DOT must ensure that inactive obligations do not exceed 2% of the total Federal-aid funds Iowa receives annually. ~\$667 Million
- Includes all projects that have Federal-aid including primary highway projects, research projects, City projects, County projects, etc.



22

22

WHAT IS A PROJECT END DATE (PED)?

- Each project must have a set Project End Date (PED), as required by federal regulations. *After the PED, any costs incurred are not eligible for reimbursement.* Projects must also be closed out in a timely manner after the PED.
- When closing out Federal-aid projects, inactive obligations, PED and final audits can impact how much federal reimbursement is actually received by the LPA/awardee.
- Federal regulations require that eligible costs must be reimbursed within **90 or 120 days** after the PED, depending on the specific regulations. To ensure everything is processed in time, the LPA must submit the final reimbursement request, with all necessary documents, within **45 days** of the PED.
- After the reimbursement request submittal, the remainder of the 90 or 120 days is for auditing, finance and other bureaus to finalize the project for payment through FHWA.
- If costs are identified more than 90 days after the PED, the LPA can request an extension from FHWA, but it must explain why the delay was beyond their control. Extensions can't go beyond 1 year after the PED.
- For more information: [I.M. 1.200, Federal Funds Management](#)
- **Best Practice: Don't wait to close out your project until the PED is about to expire!**

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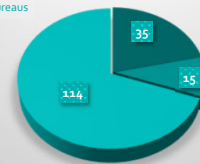
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YEAR IN REVIEW

- Ended FFY24 – Quarter 4 – Total inactive obligation percent was **1.11% (\$7.5M)**
- If no other actions are made by the end of FFY25 – Q1, we'd end at **2.9% (\$30.0M)**. So, we had to **act on approx. \$6.4M** by closing projects, processing payments/billings or de-obligating funding.
- At the beginning of that same quarter (10/1/2024), Iowa had **1180 total federal-aid projects**. **331 of those were Local Systems projects (including grants team)**, of which **50 (or 15.1%) were Priority Projects**, meaning they are nearing inactive or PED expiration.

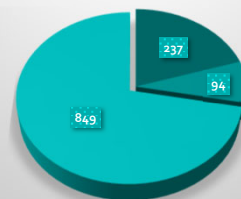
Federal-Aid Projects on the Inactive List
FFY2025 Q1

■ Field Team
■ Grants Team
■ Iowa DOT/Other Bureaus



Total Federal-Aid Projects
FFY2025 Q1

■ Field Team
■ Grants Team
■ Iowa DOT/Other Bureaus



24

24

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

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

25

25

Timely reimbursements
+
Timely project closeouts
=
Everyone HAPPY



26

26

QUESTIONS?



27

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FINAL FIELD REVIEWS

Local Systems Regional Field
Engineer
Iowa Department of Transportation

1

1

PRESENTATION OVERVIEW

Final Field Reviews General
Procedures
Common Observations

2

2







FINAL FIELD REVIEWS - GENERAL

- Required on every Federal Aid project administered by Local Systems
 - Stewardship and Oversight Agreement
 - 23 USC 114(a) "The construction of any Federal-aid highway or a portion of a Federal-aid highway shall be undertaken by the respective State transportation departments or under their direct supervision."
 - Funding agreement details that I.M. 6.110 must be followed
- 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 and/or State requirements are being met.
- Each region performs roughly 100 final field reviews per year

3

3

PROCEDURES

-  Contact the Administering Bureau when Contractor is approximately 2 weeks from substantial completion
-  Schedule a final inspection with Contractor, Administering Bureau, and Project Engineer within 2 weeks of substantial completion
-  Develop a Final Inspection Punch List with all items of work that have not been completed in reasonably close conformity of contract documents and applicable design standards
-  Project Engineer sends Punch List to Administering Bureau for concurrence
-  Project Engineer delivers Punch List to Contractor
-  Provide documentation of completion of the Final Inspection Punch List to the Administering Bureau

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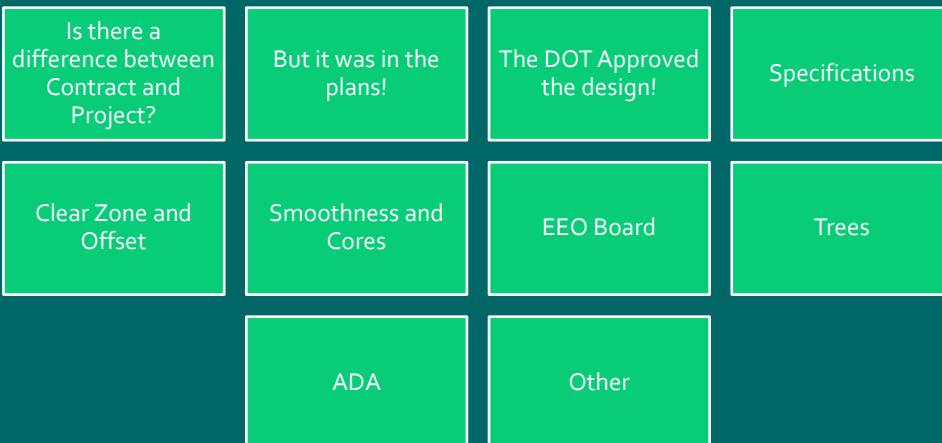
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CONSIDERATIONS

- Varying degrees of requirements based upon road classification/ownership
 - Residential City Street
 - County Road
 - Primary Highway
- Funding sources involved on contract
 - TSIP or HSIP (traffic SAFETY and highway SAFETY) (These funds also have restrictions about modifications to the project for a period of time)
 - Discretionary (BIP, RAISE, EARMARK) or Formula Funds (STBG, HBP)
- Tied Projects
 - If one project on a contract has federal funds, all projects are subject to the same evaluation criteria
- Specifications and Design Standards
 - All* projects are using DOT design standards and specifications

5

COMMON OBSERVATIONS (NOT RELATED TO QUALITY OF CONSTRUCTION)



6

CONTRACT OR PROJECT

Project

- This is the entirety of the work that is done in one area for the proposed improvements

Contract

- This is the signed agreement with the Contractor to complete the work in the Project

Day Labor

- Day Labor is the term used when materials, equipment costs, or labor have not been subjected to formal bids. Day Labor work is only allowed if the estimated day labor costs are less than the current Bid Threshold. A combination of day labor and contract work may be used as long as the day labor portion of the project costs (the portion not subject to formal bids) does not exceed the Bid Threshold. (I.M. 2.010)

Miscellaneous

- Work done by utility companies to relocate due to the project
- Boards, Departments, Groups, Citizens not under Project Owner's umbrella

7

7

CONTRACT OR PROJECT

Day Labor Examples

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

Miscellaneous Examples

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

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8

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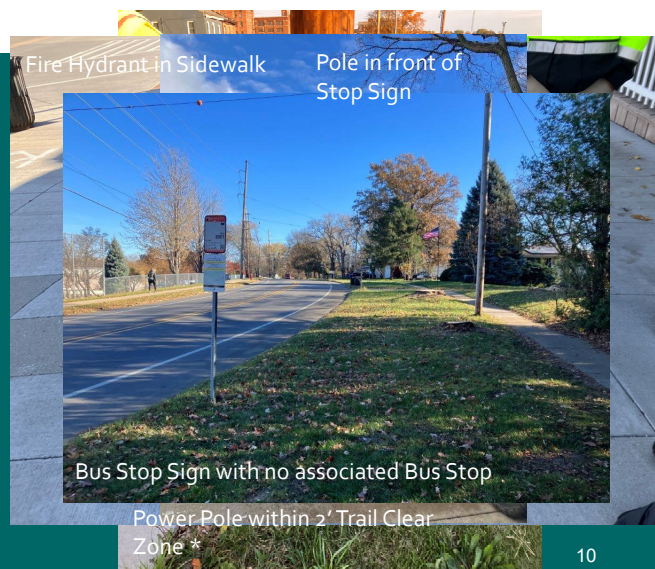
CONTRACT OR PROJECT

- Project without Day Labor
 - Contract and Miscellaneous
- Project with Day Labor
 - Contract and Day Labor and Miscellaneous
- Final Field Review is to inspect **Project**
 - Proper coordination with Contractor and all others throughout is required
 - Work completed outside the contract and within the project limits is subject to same standards as the contract work

9

9

CONTRACT OR PROJECT (EXAMPLES)



10

10

WE INSTALLED IT PER PLAN!

- 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 and/or State requirements are being met. (I.M. 6.000)
- Follow proper documentation procedures if unable to meet design criteria.

11

THE DOT APPROVED IT!

- The LPA is **responsible for all project design activities**. The project design may be completed by the LPA's own staff, by a consultant, or if provided for by an intergovernmental agreement with another governmental agency, the staff or consultants hired by that agency. In any case, all plans and specifications must be prepared by a professional engineer or architect licensed to practice in the State of Iowa.
- The Iowa DOT tracks project development to ensure correct documents and reviews have been performed as well as use of standard bid items and design standards. **The Iowa DOT does not approve plans and all design decisions within the project**. It is the responsibility of the Licensed Professional Engineer to ensure the design is correct and conforms with the standards.

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SPECIFICATIONS



Refer to the Contract Specifications List within the Contract



The Iowa Department of Transportation STANDARD SPECIFICATIONS FOR HIGHWAY AND BRIDGE CONSTRUCTION, SERIES 2023, plus applicable General Supplemental Specifications, Developmental Specifications, Supplemental Specifications AND Special Provisions apply to construction work on this contract.

Please note this does not state "Local Public Agency Typical Practices", "SUDAS", or "my coworker, Dan".

13

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CLEAR ZONE AND OFFSET REQUIREMENTS

- Different Geometric Design Criteria for Road/Bridge Classification
 - Rural
 - Guard Rail and Barrier Rail
 - Overlays and Widening
 - Urban
 - Utility poles
 - Sidewalk or Shared Use Path
 - Offset or Clear Zone
 - 3R
 - Are existing safety considerations addressed?
 - Documentation

14

CLEAR ZONE AND OFFSET REQUIREMENTS

HMA Overlay occurred and cable guard rail was not addressed, foresloped allowable 10:1

Tapered Barrier R section used to using guard rail include requirements as per standard

HMA Overlay, did not address height of guard rail

PCC Overlay, did not address height of guard rail

Sign less than 18" off face of curb (has been hit already)



Pole not meeting offset/clear zone requirements

15

SMOOTHNESS & CORES

- Smoothness is not a default and actively requires it to be specified on most LPA jobs
 - Smoothness is a default on any Primary project for any pavement. Even if there is no bid item, it is still required.
- Additional costs are added to your HMA and/or PCC Item to account for this
- If you specify smoothness, you will need to follow the specification
- Do not specify smoothness if you do not intend on requiring it to be met
- Thickness Cores are required as a basis of payment for any PCC items (2301) greater than 3500 SY and most HMA items (2303). Waiving cores is considered a change to the basis of payment making it a Substantial Change Order. Substantial Change Orders require written pre-approval from the Administering Bureau.

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EEO BOARD

- EEO Board is required to be on site until project is complete
- Project is considered complete when LSFE signs 435
- EEO Board is not to be taken off site when Contractor leaves site
- "The board was in the ditch, you must have missed it, we put it up on the bridge for easier access"

17

EEO BOARD



Excellent!!!!

18

TREES (AND PLANTINGS)

- Trees play a vital role in our world and provide numerous benefits.
- Trees are often the #1 issue on Urban Projects
- Review tree location in respect to sight triangles, clear zone (road and shared use path), proximity to lights, and in proximity to signs prior to planting.
- Trees (and plants) are often the last item of work on a project. If the road work gets done November of 2023 and the trees are planted in Spring of 2024, please note that the project will remain open until late fall of 2024 (if no warranty) or late fall of 2025 (if warranty is specified). This can cause issue with the Project End Date.

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TREES (AND PLANTINGS)

Tree might cause sight distances with sign

Tree that grows 80' tall and 60' wide next to light that was installed for safety?



Tree in sight triangle!



20

ADA

- Please follow the design manual for ADA rules
- Deviations from these rules requires an Accessibility Exceptions Certification (Form 517118) (I.M. 1.080)
- Accessibility Exceptions Certification is preferred to be done with Design
- In most cases, with a little creativity, everything can be brought into compliance
- Pushbuttons
 - A lot of liberties are being taken with the word "should" in the MUTCD
 - If you cannot meet the "should", it is recommended that an Accessibility Exceptions Certification is prepared to adequately document the reasoning why.
 - In most cases, with a little creativity, everything can be brought into compliance.
- Sidewalks and Shared Use Paths
 - Maximum slope of sidewalk when not following grade of road is 5%. Only Type 3 Shared Use Paths (those that primarily serve a recreation and fitness benefits) are allowed to be higher.
 - Understand difference between the two. Shared Use Paths have more stringent offset and clearance requirements. Please do not classify it as one in the plans and actively advertise it as the other.

21

ADA



Maximum slope of sidewalk or trail not adjacent to road is 5% max

2' domes do not cover width of ramp in direction of travel

Stop controlled intersection, intersection modified, cross slope above 2%

Paved through crosswalk, did not update ramps



Grate openings in bike lane exceed maximum allowable width

Grate openings in trail exceed maximum allowable width.

Make sure you have your horizontal clear zone!

22

ADA

- Maintenance/Alteration
 - Whenever alterations are made to the pedestrian circulation path, the pedestrian access route shall be made accessible to the maximum extent feasible within the scope of the project.
 - Resurfacing requires ramps be brought into compliance
 - Resurfacing also requires crosswalks be brought into compliance (often missed)
 - 12A-2.06 is a good reference for when items are need to be brought into compliance
 - Existing pedestrian signals also are required to be brought into compliance when alterations are made
- Grates in sidewalks, cross walks, shared use path, and/or bike lanes need to be ADA compliant
- On Street Parking
- Bus Stops

23

OTHER ITEMS

- Place holder for LSFE to discuss topic of choosing.

24

KEYS TO A SUCCESSFUL WALKTHROUGH

- Please make sure proper coordination is going on throughout the project with Contract work and other work, rather than day labor, utility company, etc.
- Become familiar with the specifications that are in the contract.
- If something looks off, bring it to the attention of the design engineer.
- Understand that making modifications in the field is inherently risky.
- Don't be afraid to call if you have questions (proactive is always better and easier than being reactive).
- Notify other departments that they should wait until after the DOT comes through to start their proposed beautifications.
- If a design standard is not being met – usually it is required to be documented as to why
- Perform independent walkthrough prior to LSFE walkthrough.
- Provide excellent local tenderloin recommendations.

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25

25

FINAL FIELD REVIEWS - CONCLUSION

01

Notify Local Systems when project is nearing completion so a final field review can be scheduled

02

Promptly address the items from punch list

03

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

26

26

QUESTIONS?



Reference Documents:

- Iowa DOT Construction Manual
- I.M. 6.000, Attachment D
- I.M. 6.110, Final Review, Audit, and Close-out Procedures for Federal-aid Projects

Iowa DOT Contact Person:

- See Iowa DOT Contacts list for appropriate Administering Bureau

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PROJECT CLOSE-OUT FOR HIGHWAY PROJECTS

Local Systems Regional Field
Engineer
Iowa Department of Transportation

1

1

PRESENTATION OVERVIEW

- I.M 6.110 Final Review, Audit, and Close-out Procedures
- Inspection and Acceptance of Field Work
- Pre-audit Checklist and Procedures I.M. 6.110E
- Audits
- Semi-final Payment
- Final Forms Packet
- Interest Payments
- Final Payment and Federal Reimbursement
- Project Close-out



2

INSTRUCTIONAL MEMORANDUM 6.110

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

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

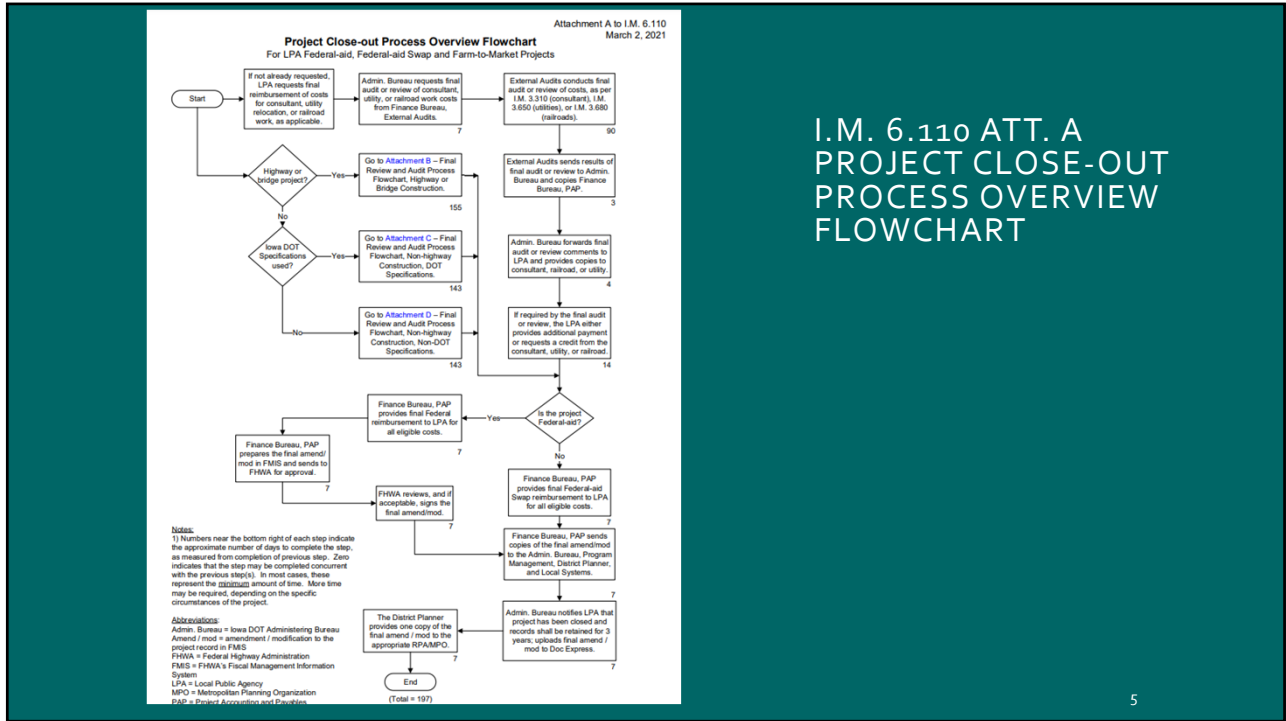
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INSTRUCTIONAL MEMORANDUM 6.110

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

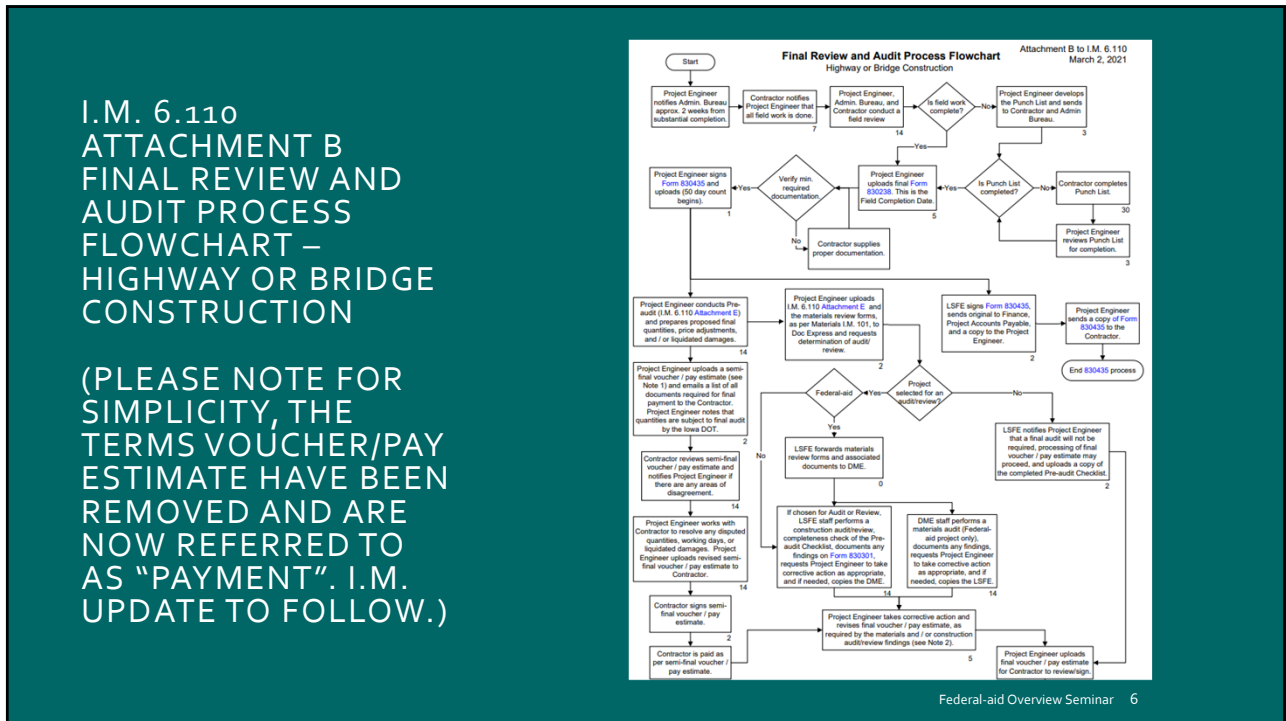
- **Today's topic is discussing Federal-Aid Closeout procedures for projects let through the Iowa DOT**
- **State-aid projects generally follow the same procedures, with increased flexibility for closeout (i.e. review instead of audit).**
- **FM follows generally same procedures, refer to I.M.s for more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

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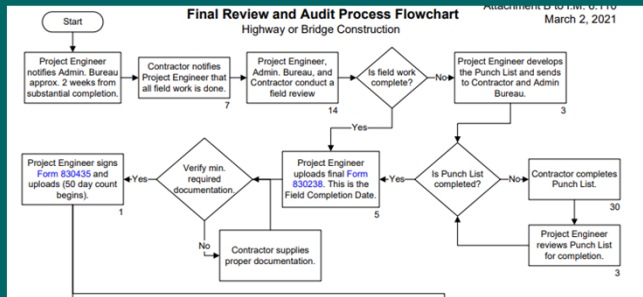
I.M. 6.110 ATT. A PROJECT CLOSE-OUT PROCESS OVERVIEW FLOWCHART

5



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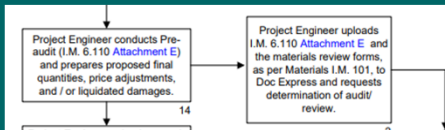
ATTACHMENT B INSPECTION AND ACCEPTANCE OF FIELD WORK



1. LPA Project Engineer contacts Local Systems Field Representative (LSFR) when Prime Contractor is nearly completed with work.
2. If available, LSFR visits project and works with Project Engineer to make final punch list to complete project
3. Project Engineer has punch list items completed and notifies LSFR of completion and uploads final working day report to Doc Express.
4. Statement of Completion
 - Documented on Statement of Completion and Final Acceptance of Work (Form 830435)
 - Project Engineer uploads Form 830435 to Doc Express for signature
 - 50-day count for interest payment begins when signed by Project Engineer

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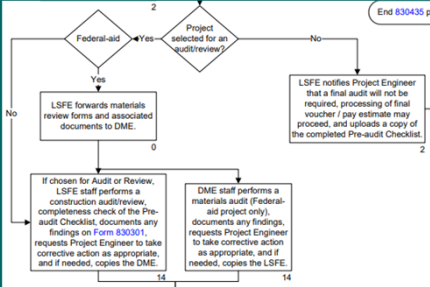
ATTACHMENT B PRE-AUDIT CHECKLIST AND PROCEDURES



- After field work is completed the **Project Engineer**
 - Reviews and completes Pre-audit Checklist (Attachment E to I.M. 6.110) – *This is the LPA's initial audit.*
 - Reviews and completes Materials audit forms as per Materials I.M. 101 – *This is also part of the LPA's initial audit.*
 - Downloads remaining project and materials documents into Doc Express
 - Send/Notify Administering Bureau that Pre-audit Checklist and Materials audit forms have been completed
 - **Best practice is to be completing the Pre-Audit checklist throughout the project to ensure project can be closed out as soon as possible.**
 - Per I.M. 6.110, within 90 days of completion of construction, the Recipient shall provide the completed pre-audit checklist to the Administering Bureau and request a review and determination of final audit/review.

8

ATTACHMENT B AUDITS



1. Methods of DOT audit

- Systems Approach
- Detailed review

2a. Local Systems

- Reviews Pre-audit Checklist and conducts audit if required
- Documents corrective action needed on the Audit of Final Pay Estimate (Form 830301) and uploads to Doc Express
- Performing Systems Approach and only verifying a portion of work, it is the responsibility of the Project Engineer to ensure all information is correct.

2b. District Materials

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

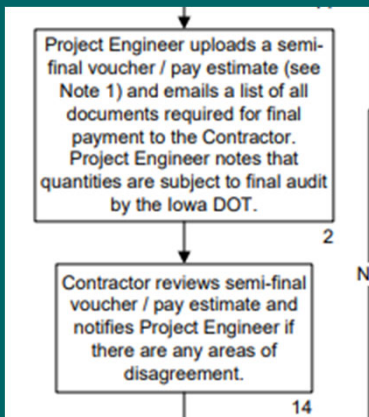
3. Project Engineer

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

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ATTACHMENT B SEMI-FINAL PAYMENT



1. Begins after Project Engineer's Pre-audit

2. Project Engineer

- Prepares semi-final payment and list of all remaining documents required for final payment
- Sends to Contractor; notes quantities are subject to DOT audit

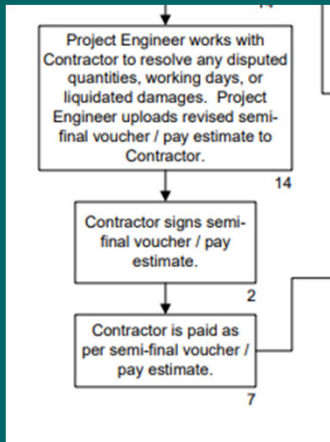
3. Contractor

- Reviews semi-final payment
- Notifies Engineer of any areas of disagreement

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ATTACHMENT B SEMI-FINAL PAYMENT

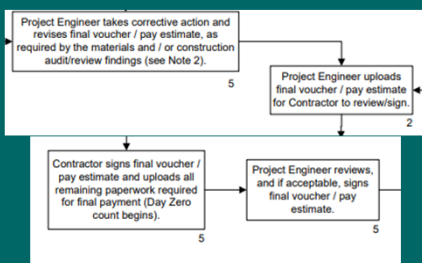


4. Project Engineer
 - Works with Contractor to resolve any disputed quantities, working days, liquidated damages
 - Sends revised semi-final payment if needed
5. Contractor
 - Signs or approves semi-final payment
6. Project Engineer
 - Pays Contractor as per semi-final payment (only retainage withheld)

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ATTACHMENT B FINAL PAYMENT

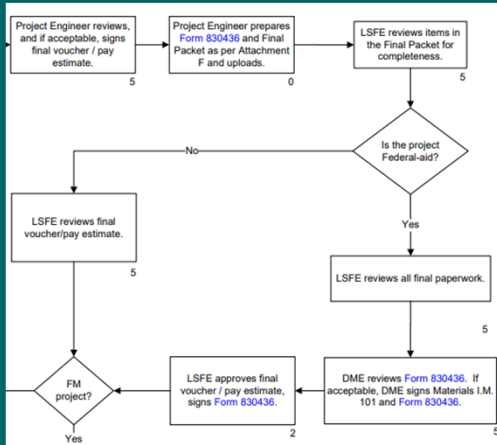


- Begins after DOT audits are complete, and semi-final payment processed
 - Adjust final payment as necessary as required by the audit findings
- Project Engineer sends final payment to Contractor for review and signature
- Contractor returns final payment to Project Engineer with other required paperwork
 - Day Zero count for interest payment begins

12

12

ATTACHMENT B FINAL FORMS PACKET



Project Engineer

- Reviews final paperwork provided by Contractor
- Prepares and uploads Final Forms Packet including Final Payment form 830436 and approved final payment to Doc Express (Attachment F to I.M. 6.110)

LSFR reviews final forms packet for completeness

District Materials reviews and if acceptable, signs Form 830436

LSFE / Grant Team

- Approves final payment
- Signs Form 830436

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640003 OR 830435

- Both forms are Final Payment to Contractor
- 830435 is used on all Federal-aid projects we are discussing today in the Project Close-Out for Highway Projects presentation.
- 640003 is for locally let projects (and other rare circumstances) that aren't being discussed today in the Project Close-Out for Highway Projects presentation.

Submittal Item:	Federal-Aid Category 1	Federal-Aid Category 2	Swap Category 4	FM Category 4	Work on Primary Highway Category 3	Other (not Swap or FM) Category 4	Comments
Form 640003 submitted to Iowa DOT	No	Yes, see comments	No	No	Yes, see comments	Yes, see comments	Only for projects not utilizing DOT specifications; see I.M. 6.110
Form 830435 submitted to Iowa DOT	Yes	Yes, see comments	Yes	Yes	Yes, see comments	Yes, see comments	Only for projects utilizing DOT specifications; see I.M. 6.110
Form 830435 - Iowa DOT Signature	Yes	Yes, see comments	Yes	No	No	No	Only for projects utilizing DOT specifications; see I.M. 6.110

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I.M.6.130 INTEREST PAYMENTS PROCESS

- If the Contractor is not paid within 50 days of the final acceptance date (FAD) interest may be due
 - FAD = date of Project Engineer's signature on Form 830435
- Interest will begin to accrue 31 days after all final paperwork has been received from the Contractor (Day Zero)
- Interest Payment Information – County and City Projects (Form 830236) documents when interest will begin to accrue
 - Project Engineer submits with Final Forms Packet
 - For reimbursement projects, LPA is responsible to make interest payment if due

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I.M.6.130 INTEREST PAYMENTS EXAMPLES

- Contractor completes all work and Project Engineer signs 435 accepting the project on 7/10/2023.
- Contractor provides all final paperwork to Project Engineer on 7/20/2023.
- Zero suspension periods in Day Zero count.
 - FAD = 7/10/2023
 - FAD + 50 = 7/10/2023 + 50 = 8/29/2023
 - Day Zero = 7/20/2023
 - Day Zero + 31 = 7/20/2023 + 31 = 8/20/2023
 - Total Day Zero Count Suspensions = 0 days
 - Date of Final Warrant = 09/22/2023
- Date of Final Warrant (9/22/2023) is after FAD +50 (8/29/2023), therefore interest is due from Day Zero + 31 (8/20/2023) to Date of Final Warrant (9/22/2023)
- Date of Final Warrant (9/22/2023) – Day Zero + 31 (8/29/2023) = 34 days

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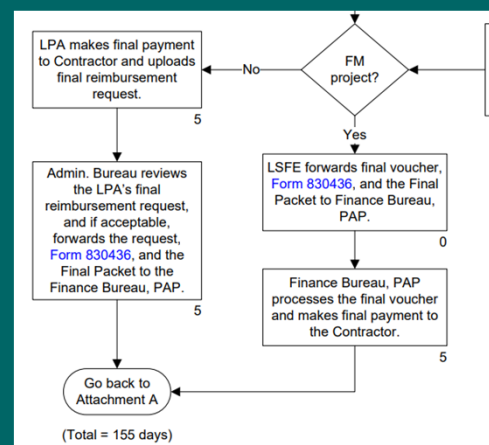
I.M.6.130 INTEREST PAYMENTS EXAMPLES

- Contractor completes all work and Project Engineer signs 435 accepting the project on 7/10/2023.
- Contractor provides all final paperwork to Project Engineer on 9/10/2023.
- One suspension periods in Day Zero count for 20 days.
 - FAD = 7/10/2023
 - FAD + 50 = 7/10/2023 + 50 = 8/29/2023
 - Day Zero = 9/10/2023
 - Day Zero + 31 = 9/10/2023 + 31 = 10/11/2023
 - Total Day Zero Count Suspensions = 20 days
 - Day Zero + 31 + Day Zero Days = 10/11/2023 + 20 = 10/31/2023
 - Date of Final Warrant = 10/15/2023
- Date of Final Warrant (10/15/2023) is after FAD + 50 (8/29/2023), therefore interest may be due from Day Zero + 31 + 20 to Date of Final Warrant
- Date of Final Warrant (10/15/2023) is before Day Zero + 31 + 20 (10/31/2023), therefore, no interest is due

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ATTACHMENT B FINAL PAYMENT AND FEDERAL REIMBURSEMENT

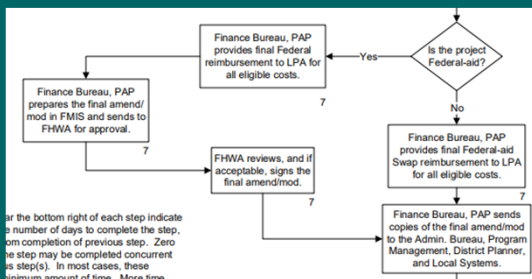
- Contractor Pay Projects
 - LSFR sends final paperwork to Finance Bureau
 - Finance processes final payment
 - Finance processes final Federal reimbursement and credits County's FM account
- Reimbursement Projects
 - Project Engineer makes final payment and requests final Federal reimbursement from LSFR
 - LSFR reviews, accepts, and sends request to Finance
 - Finance reviews, accepts and processes final Federal reimbursement to LPA



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ATTACHMENT A PROJECT CLOSE-OUT

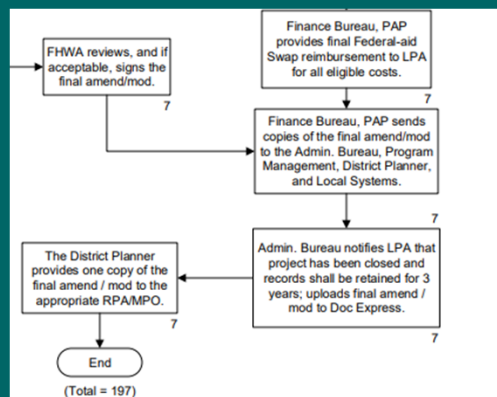


- Begins after final Federal reimbursement has been made to the LPA's Office for all eligible costs:
 - Construction contract costs
 - Consultant costs
 - Railroad costs
 - Utility costs
 - In-house Engineering costs
- Finance prepares final amendment / modification (amend / mod) to project in the Federal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

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ATTACHMENT A PROJECT CLOSE-OUT

- Finance sends a copy of signed final amend / mod to Administrating Team and other Iowa DOT offices
- Admin Team provides copies to LPA and District Planner
 - Iowa DOT and Project Engineer's files must be retained for 3 years from date of FHWA's acceptance of final amend/mod
- District Planner provides copy to RPA or MPO



Federal-aid Overview Seminar

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LS FIELD TEAM – ACTIVE CONSTRUCTION PROJECTS (PROJECTS LET AND NOT YET CLOSED) 511 PROJECTS, TOTALING OVER \$1 BILLION

	West 181 Total	Central 153 Total	East 177 Total	Statewide 511 Total	% Total Project Count	End 2023		End 2022	
						Active Project Count	% Total by Count	Active Project Count	% Total by Count
Federal-Aid Projects	77	47	83	207	40.5%	173	33%	138	23%
Swap Projects	59	51	36	146	28.6%	211	41%	311	52%
Other State Projects	15	28	25	68	13.3%	52	10%	44	7%
FM Projects	30	27	33	90	17.6%	82	16%	103	17%
ALL Projects	181	153	177	511	100.0%	518		596	

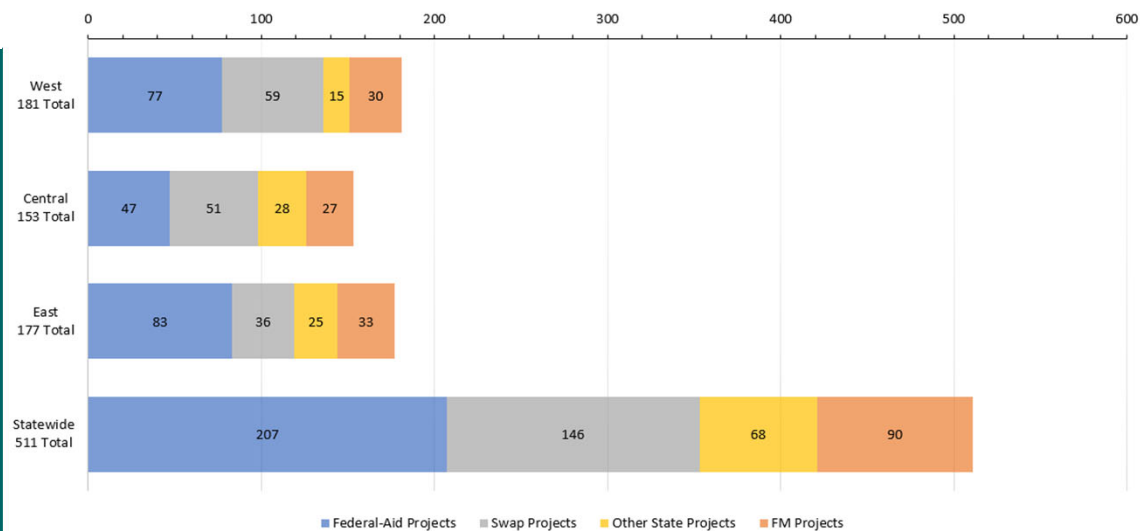
As of 11/04/24 - As Let Project Award Value Totals:

	West	Central	East	Total	% of Total
Total Project Award Value:	\$ 272,171,379	\$ 292,922,538	\$ 481,223,549	\$ 1,046,317,466	
Federal-Aid Award Value:	\$ 104,979,556	\$ 132,232,706	\$ 196,897,011	\$ 434,109,273	41.5%
FM Award Value:	\$ 47,142,692	\$ 26,324,238	\$ 39,108,475	\$ 112,575,405	10.8%
Total (minus FM) Award Value:	\$ 225,028,687	\$ 266,598,300	\$ 442,115,074	\$ 933,742,061	

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NUMBER OF ACTIVE LOCAL SYSTEMS PROJECTS AS OF 11/04/24



22

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QUESTIONS?



Reference Documents:

- Section 9 of the Federal-aid Guide
https://iowadot.gov/local_systems/publications/im/federal-aid-guide.pdf
- I.M. 6.110, Final Review, Audit, and Close-out Procedures for Federal-aid Projects
- I.M. 6.130, Interest Payment Procedures

Iowa DOT Contact Person:

- See Iowa DOT Contacts list for appropriate Administering Bureau

PROJECT CLOSE-OUT FOR NON-HIGHWAY PROJECTS

Debra Arp

Grant Team Leader

Local Systems Bureau

Iowa Department of Transportation

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PRESENTATION OVERVIEW

Process Differences for Non-Highway Projects

Materials Acceptance Requirements

IOWA | DOT

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PROCESS DIFFERENCES FOR NON-HIGHWAY PROJECTS

- All references to District Local Systems Engineer (DLSE) or Regional Local Systems Field Engineer (LSFE) are replaced with Local Systems Grant Team Project Manager
- For projects not constructed under Iowa DOT specifications, the Certificate of Completion and Final Acceptance of Agreement Work (Form 640003) is signed by the LPA and their engineer when project complete. The Local Systems Grant Team will then sign to acknowledge the project was completed according to the funding agreement
- Local Systems Grant Team performs a final audit on all projects

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MATERIALS ACCEPTANCE

- For projects let under Iowa DOT specs: Material sources, project inspection, and certification shall follow Materials I.M. 204
- Category 1: Federal-aid (Highway & Bridge)
 - Iowa's Clean Air Attainment projects
 - TAP projects that are on-highway, and
 - Other highway projects funded by other discretionary programs that are funded through FHWA
- Category 2: Federal-aid for Non-highway projects
 - Federal Recreational Trails projects
 - National Scenic Byways projects
 - TAP projects
 - Other non-highway projects funded by other discretionary programs that are funded through FHWA

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MATERIALS ACCEPTANCE (CONTINUED)

Category 1 projects:

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



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MATERIALS ACCEPTANCE (CONTINUED)

For Category 2 projects let using Iowa DOT specifications:

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



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MATERIALS ACCEPTANCE (CONTINUED)

For Category 2 projects let using local specifications (not Iowa DOT specifications):

The LPA and their project engineer will certify the work was completed in substantial compliance with the plans, specifications and agreements by signing Form 640003



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QUESTIONS?



Reference Documents:

- Materials I.M.s 103, 204 and 205, Materials Source and Project Inspection

Iowa DOT Contact Person:

- Debra Arp
Phone: 515-239-1681
Debra.Arp@iowadot.us
- Or, contact the appropriate Iowa DOT project manager from the "Iowa DOT Contact List" handout

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TOP THINGS TO REMEMBER FROM TODAY

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**Read the Guide and applicable
I.M.s**

The Federal-aid Project Development Guide (Guide) and the Instructional Memorandums to Local Public Agencies (I.M.s) are all available on-line at:



www.iowadot.gov/local_systems/publications/im/lpa_ims



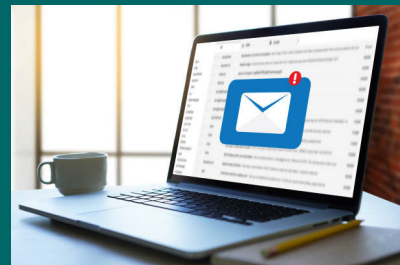
To locate all available written guidance, refer to the Guide and the I.M.s, then to the other documents referenced by the Guide or I.M.s.

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CONTACT YOUR ADMINISTERING TEAM

Unless specifically noted otherwise, the Iowa DOT Administering Team is the primary point of contact for all project submittals and requests for information (see Iowa DOT Contacts List for appropriate offices and staff members).



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PRECONSTRUCTION MEETING

- Give advance notice to DOT Administering Bureau on Preconstruction Meeting
- Don't hold the Preconstruction Meeting prior to Contract being fully executed – don't even talk to the contractor until the contract is fully executed
- Invite the DOT
 - Administering Bureau
 - District Materials
 - Civil Rights Bureau

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I.M. 6.110, ATTACHMENT E

Use Attachment E, starting at the beginning of Construction

Document all items shown (as applicable) as the project progresses

- i.e., It is much easier to find something that is missing while the project is happening, rather than after the project is field completed and the contractor has moved off the site

Set up project file to mimic Attachment E

- (hint: Attachment E follows the drawers in Doc Express)

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USE THE MATERIALS ACCEPTANCE REPORT

Fill out Materials I.M. 101 as the project progresses



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COORDINATE FINAL FIELD REVIEW

Coordinate Final Field Review with Administering Bureau team 2 weeks before Contractor moves off site

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THANK YOU

- As we transition back to Federal-aid, we very much appreciate your patience, diligence and cooperation.
- Thank you to the Local Systems Bureau for all the presentations.
- Thank you to the other DOT Bureaus for the presentations.
- Thank you to the FHWA as our partners.

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QUESTIONS?

Reference Documents:

- As listed on previous slides

Iowa DOT Contact Person:

- See Iowa DOT Contact List for appropriate Administering Bureau staff



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