INSTRUCTIONAL MEMORANDUMS
To Local Public Agencies

IOWA | DOT

To:	Counties and Cities	Date: March 20, 2025
From:	Local Systems Bureau	I.M. No. 6.000
Subject:	Construction Inspection	

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

> Attachment A - Preconstruction and Construction Inspection Checklist (Word)
> Attachment B - Intentionally Left Blank
> Attachment C - Subcontract Review and Authorization Process - Post Award Flowchart
> Attachment D - Local Public Agency Construction Contract Administration Guidance
> Attachment E - Intentionally Left Blank
> Attachment F – Doc Express® and Appia® Instructions for Local Public Agencies
> Attachment G - Request for Early Release of Retained Funds (Word)
> Attachment H - Doc Express Change Order Drawer Signatures and Workflow Steps

This I.M. is written for projects utilizing Doc Express®. All Iowa DOT let projects will be set up in Doc Express®. For locally let projects utilizing state transportation funds, Doc Express® can be set up for LPA use upon request. Please reach out to the Local Systems E-construction Administrator to request Doc Express® setup for a locally let project. For locally let projects not utilizing Doc Express®, consult with the Administering Team on the preferred method for transmitting documents. Previous references to the Field Book/Field Manager software have been removed from this I.M. as it is now obsolete and has been replaced by Appia®.

Introduction

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

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

Definitions

Administering Team: The Iowa DOT's representative who is responsible for oversight of the project. The representative may be a LSFE or from the Local Systems Bureau Grant Team. See I.M. 1.000, Iowa DOT Oversight of LPA Projects for additional details.

Contract Administrator: The Contract Administrator is the LPA's assigned representative who will be responsible for all aspects of administration and inspection of the construction contract. The Contract Administrator is the person that will be carrying out the day-to-day duties on the project to ensure that the work is in compliance with the contract documents. The Contract Administrator may be the Project Engineer, the PIRC, or any other LPA employee or designee who would be the first point of contact for businesses, residents, contractor,

etc.; when issues arise that would need the attention of the PIRC or the Project Engineer. If the inspector encounters issues that need to be dealt with, they may first go to the Contract Administrator for guidance if it involves dispute resolution affecting businesses or residents, or may result in modifications to the contract. If the Contract Administrator is not a full-time employee of the LPA, the LPA must designate a PIRC to make final decisions and/or sign any documents pertaining to contract costs, time adjustments, or contractual agreements.

Contracting Authority: See Article 1101.03 of the Standard Specifications.

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

Inspector: See Article 1101.02 of the Standard Specifications. Authority and Duties of the Project Inspector can be found in Article 1105.07 of the Standard Specifications.

Person in Responsible Charge (PIRC): If the LPA uses a consultant to perform construction inspection services, 23 CFR 635.105 requires the LPA to have a full time employee who is in responsible charge of the project. For counties and larger cities, this person is typically the county or city engineer; however, they need not be a licensed engineer or architect to be the Person in Responsible Charge. For smaller cities that do not have full time employees, the mayor or city clerk may perform this function, with assistance from the Iowa DOT Administering Team. The Person in Responsible Charge supervises all project administration duties, oversees the work performed by consultants and contractors, and coordinates the development of the project with the Iowa DOT. A consultant may not serve as the Person in Responsible Charge.

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

- Administering inherently governmental project activities, including those dealing with cost, time, adherence to contract requirements, construction quality, and scope of projects.

- Maintaining familiarity with day to day project operations, including project safety issues.

- Making or participating in decisions about changed conditions or scope changes that require Change Orders (Form 831240) or supplemental contracts.

- Visiting and reviewing the project on a frequency that is commensurate with the magnitude and complexity of the project.

- Reviewing financial processes, transactions and documentation to ensure that safeguards are in place to minimize fraud, waste, and abuse.

- Directing project staff, agency or consultant, to carry out project administration and contract oversight, including proper documentation.

- Is aware of the qualifications, assignments, and on-the-job performance of the LPA and consultant staff at all stages of the project.

- Ensuring that costs requested for reimbursement are allowable 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.

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

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

Resources

The Local Public Agency Construction Contract Administration Guidance (see Attachment D to this I.M.) gives specific guidelines for administration of projects. Additional resources can be found on the Local Systems website including but not limited to the following: Training & Videos, Post-Letting Resources, Inspection Worksheets (Excel), and Doc Express® and Appia® instructions and resources.

Using and referencing I.M. 6.110, Attachment E, (Word) Required Local Public Agency Project Documentation & Pre-audit Checklist, throughout construction will greatly reduce time and effort during the closeout process, and can serve as a guide for documents required throughout construction. 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 provide additional information on Contract Administration.

The Electronic Reference Library (ERL) is the electronic version of many of the standard contract documents and includes several non-contract documents also. Contract documents which can be found on the ERL include the Standard Specifications for Highway and Bridge Construction, Supplemental Specifications, Materials I.M.s, Standard Road Plans, Standard Culvert Plans, Standard Bridge Plans, Sign Truss Standards, Construction Manual (non-contract documents), Flagger's Handbook, and SUDAS Standard Specifications (non-contract documents). Please note, Attachment D to this I.M. is an LPA version of Chapter 2 in the Construction Manual. For other Construction Manual uses, references to the RCE is equivalent to the Project Engineer.

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

> "This section was developed in conjunction with Section *nnnn* of the SUDAS Standard Specifications, with modifications to suit the needs of the Department."

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

Other sections of the SUDAS Standard Specifications may be used on the project but not by plan reference alone. A Special Provision must have been developed using the desired text and included in the proposal and contract to make it part of the Contract Documents.

Preconstruction Inspection Duties

1. **Review Plans:**

    Review and familiarize yourself with the plans to ensure you have a good understanding of them, have proactively identified sensitive or critical details, and have set yourself up for success during active construction when you may need to find accurate information quickly.

    It is recommended that the inspector review the plans and use different colored highlighters or a pdf editor tool to emphasize key issues that will need to be addressed during construction. For example:

    - Mark contract line items that are paid by plan quantity in a separate color. This can help remind you the bid item does not require measurement.
    - On the typical cross-sections, highlight pavement slope in one color, widths in a second color, depth in a third color, etc.
    - On the D-sheets, highlight locations of various types of installations, i.e. field entrances, side roads, culvert locations, right-of-way limits, borrow areas, etc.
    - Find and highlight critical drainage locations on both the grading plan and plan and profile sheets.
    - Find and highlight unique project details that may not be standard or are project specific.
    - Identify the locations indicated on plan tabulations to make sure they are correct with field conditions (i.e. subdrain outlets, location of paint markings, mailbox relocations, removal limits, patching locations).

2. **Review Inspection Guidance:**

- Refer to Attachment A to this I.M. for a Preconstruction and Construction Inspection Checklist.
- Ensure your team has the necessary testing certifications and address recertification, as needed. See the Iowa DOT Technical Training and Certification Program (TTCP) website for further details about enrolling in the certification programs and a list of certified technicians.
- Obtain a current copy of I.M. 6.110, Attachment E, Required Local Public Agency Project Documentation & Pre-audit Checklist for Local Public Agency Projects, to ensure that the proper documents for each project are included in the project file. This checklist is set up to mimic Doc Express drawers. Using and referencing this document throughout the construction project will greatly reduce time and effort during the project closeout process.
- Review Chapter 3 of the Construction Manual for general inspection instruction. Review appropriate and relevant chapters in the rest of the Construction Manual for the type of work being inspected.
- Review the current Doc Express® Naming Convention for the project Letting Date. Ensure that documents are being uploaded to the proper Doc Express® drawer with the correct name.
- Familiarize yourself with the Resources mentioned above, including Attachment D to this I.M. Simply being aware these resources exist and where to find them may save valuable time during active construction.

3. **Field Preparation (when appropriate):**

- Public Coordination and Outreach:
  o Review staging plan, if applicable, and make note of any special considerations that need to be made before or during construction.
  o If not already completed during design, communicate with people at the nearby residences, businesses, and services that may be impacted to see if they will have any special access or notification needs during construction. This may involve transit routes, school bus routes, emergency responders, and/or postal delivery services.
  o For projects with a significant impact to traffic patterns, consider working with a communication team, social media, or a local newspaper/radio station to relay a clear and consistent message ahead of construction, setting realistic expectations for the traveling public.
  o Projects Impacting a Primary Highway: Make plans to update 511 per your Work in ROW Permit.
  o Counties: Make plans to update your Road Notifications application to communicate closures or restrictions to the traveling public and for oversize/overweight permits.

- Field Verification:
  o Mark or identify the locations indicated on plan tabulations to make sure they line up with field conditions (i.e. subdrain outlets, location of paint markings, mailbox relocations, removal limits, patching locations).
  o Take preconstruction photos and/or videos for reference during and after construction for potential verification, claims, or disputes.
  o Ensure any environmental or culturally sensitive areas are correctly identified on the plans.

- Construction Survey (See Chapter 4 of the Construction Manual):
  o Tie section corners.
  o Mark stations/linear reference points.
  o Identify survey points needed for construction (i.e. point of curve, PT).
  o Mark super-elevated curves for transitions.
  o Mark fill areas for leveling courses.
  o Identify deviations in roadway crown that may affect overlay thickness.
  o Complete Construction Staking for structures.

- Develop preliminary cross-sections for earthwork items, if applicable.

- If smoothness is not required, verify that a 10 foot straight edge will be available for the inspector to use during construction. (See Article 2317 of the Standard Specifications, the list of Special Provisions in the Proposal, and the Estimate Reference Information or General Notes in the plans to determine if smoothness will or will not be required.)

4. Field Construction Records:

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

The Contract Administration staff must maintain project records properly, preserve all source documentation, backup electronic files, and make all documentation readily available when needed. A log of all employees providing documentation for a project should be maintained, including their signature and initials. I.M. 6.110, Attachment E (Word) can serve as a guide for documents required throughout the project, but is not an all-inclusive list. The principles of record keeping discussed in this I.M. apply to all types of documentation, regardless of the media used to save the information. There are three documentation solutions for contract administration:

Doc Express®

Doc Express® is a secure, web based, electronic document submittal program with a digital filing cabinet document exchange that provides remote access to project documents. Any project let through the Iowa DOT, Contracts and Specifications Bureau, shall utilize the program for documentation. Use of Doc Express® is required for <u>all</u> projects let through the Iowa DOT.

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

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

A Doc Express® user guide and file naming convention are linked in Attachment F of this I.M. The use of the Doc Express® file naming convention is required for all LPA projects let through Iowa DOT. The process to become a user by creating an account or making modifications to an existing account are also contained in the user guide linked in Attachment F of this I.M. User access can be added or removed from Doc Express©. The LPA will need to notify the Local Systems Bureau E-Construction Administrator of all changes in personnel; including email address of the new user and type of access being requested.

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

Appia®

Appia® is a web-based application used to facilitate the administration and documentation of construction projects. Appia® replaces other forms of field books. Before using Appia®, it is highly recommended that the LPA and Consultant, if applicable, attend training from the Local Systems Bureau. LPAs may utilize Appia® on projects let at the Iowa DOT and locally let projects. Contact the Local Systems Bureau for more information. Instruction manuals for Project Creation & Account Management and "Under Construction" processes, written specifically for Iowa users, are linked in Attachment F of this I.M. The Appia® User's Guide, the Funding Overview Guide, the Inspectors Flash Guide and additional Appia® information is available on the Local Systems Bureau Doc Express® and Appia® website.

Appia® use has been required for counties since the April 2022 letting. Cities will be required to use Appia® beginning with the April 2025 letting. It is required that the LPA grant "read only" user access to Administering Team staff for projects administered by the DOT.

Appia® has some limitations in relation to recording documentation for item measurements, test results, and other relevant documentation necessary for a project or materials audit. At a minimum, item quantity postings must be recorded in Appia®. However, documentation of measurements, test results, and other item information may be recorded in the Excel-based field book sheets ("E-sheets") referenced in the following section, or a combination of Appia® and "E-sheets" may be utilized. Options for documentation are described in the Construction Inspection Duties section below.

Setting up an Excel-based Field Book

In the past, project records have been kept manually on paper forms or on pre-developed Excel spreadsheets which are referred to as "E-sheets". For each item available for use on a contract, forms have been developed using Excel to record item progress and any item specific information pertinent to the installation/construction of that item. These forms can be utilized in either an electronic or paper format. They must be uploaded to Doc Express® and may be added to Appia® as attachments. The inspection worksheets are available on the Local Systems Bureau website in the Inspection Worksheets (Excel) menu tab. To see the list of items and forms associated with each item, click on "Index". Do not print this list because the column for the support forms may not be wide enough in a printed version to show all the required form for some items. Also, this index of forms is updated every letting in which a bid item code is added or deleted, so a printed copy may be obsolete as early as the next letting.

When setting up a book for a project that was let previously, there may be items that no long appear on the current list. At the bottom of the Index spreadsheet there are two tabs; one is "Current" and the other is "Obsolete". If the item you are looking for does not appear on the "Current" list, click on the tab "Obsolete" to find it. The items on these lists are numerically based by the item code and should appear in the same order as they are on the contract. An easy way to get a list of the forms you will need is to make a table of all the items on your contract and then go through the list of items on the index and write down the forms you will need for each item. The table may include columns for "Line No.", "Item Code/Item Description", "Unit", "Form", and "Support Forms". Once this list of forms is complete, go back to the Inspection Worksheets (Excel) Local Systems Bureau webpage. Download a copy of each form needed.

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

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

There are six standard forms that are used on every project. Many of these forms can be utilized and uploaded to Appia® to ensure all required information is obtained

1. **Project Index forms** - "Project Index" and "Project Index-A" (page 2 of the form if more than one page is needed for all of the information):

   - If setting up books in a hard copy format, this page will not be needed if each of the items in a binder is tabbed for easy access. This eliminates the need to renumber the pages on the index when additional pages are added to the book.
   - If using electronic format (Excel) for field documentation, make a new tab (sheet) for each item. On the first tab (sheet) make an index to list the item number and the tab label under which the information for each of the items can be found.

2. **Project Information form:** This sheet included information on the contract period and key personnel that will be working on the project and their contact information. If utilizing hard copy forms include a printed name, signature, and initials. If utilizing electronic forms include name and initials. If using an electronic signature on any documents, also include that. Anyone who is going to be making entries into books, picking up tickets, or signing documents in the field needs to be included on this sheet.

3. **Inspector's Checklist form:** The Inspector's Checklist as with many of the support forms serves as a reminder to the inspector of duties they need to perform during the inspection of the project.

4. **Daily Diary forms** - "Daily 1" and "Daily 2" – two formats are available depending on how much information will be written each day.

    A. The Daily Diary is used to document information needed to complete the Weekly Report of Working Days.
        i. Non-Appia® projects: Use Form 830238.
        ii. Appia® projects: See the Appia® "Under Construction" Instructions.
            - Daily Diaries are called Daily Reports in Appia®. Daily Diaries are also present in Appia® but do not have the same functionality as Daily Reports. Therefore, Daily Reports should be utilized.
            - Daily Reports can be downloaded from Appia® and placed in Doc Express®. Placement of the Daily Reports in Doc Express® is optional. Daily Reports will download as individual .pdf files, but they can be merged into one .pdf document for upload to Doc Express® if the user has software or can find an internet site capable of doing so.
            - Refer to the "Setting up an Excel based Field Book" section above for guidance on what content to include in a Daily Report.

    B. Daily Diaries must be legible and complete. These inspector's diaries are legal documents and may be used to resolve claims and disputes. Entries should be strictly factual and remain objective in nature. Do not include opinions. This documentation may be used in a court of law. Each inspector must also keep a diary that includes a description of activities accomplished during each day.

    C. Preparing a Daily Diary:

        i. Who - Contractor, subcontractors, utilities on site.
        ii. What - Items of work, weather, problems encountered. For example: If it rained in the morning inhibiting work, then the afternoon work was performed, note this detail as it is important when charging working days.
        iii. Where - Exact location by station and offset of work performed, problem, or event.
        iv. When - Time of major event.
        v. How - Specialized equipment or methods used.
        vi. Sketches and computations - Dimensions are critical and neatness counts.
        vii. Visitors - Name, purpose of visit, and discussions held.
        viii. Modifications - Authorization for modifications to the contract documents and any substitutions allowed.
        ix. Author's signature

5. **Item Progress forms:** These forms begin with "E0xx" where xx is the form number. For every item there is a form E0xx and a form E0xxA. As with Index and Index-A, if there is too much information for one sheet, the A sheets are used to continue the documentation for that item and do not include the footers shown on the first page. Every item progress form includes a space/field for documenting the Article where the Method of Measurement and Basis of Payment for each item can be found. Enter the appropriate Article number in the space provided on each form.

6. **Supporting Documentation forms:** These forms begin with "E1xx" where xx is the form number. These forms are used to document field test results, samples, measurements, temperatures, observations, etc. for individual items. Not all items require a support form and some items require multiple support forms. If the same support form is required for more than one item, a separate form shall be included for each of those items. For example, if there is more than one concrete item on the contract, Form E115 (which is used to document results of entrained air and slump test) would be included for each concrete item. Note:

Form E145 is also available in Excel as Form 830242, Structures Weekly Grade Report, and instructions on completing the form.

When using a notebook or pad of paper in the field for documentation of progress or events:

- Hardcopy forms: Do not discard this original document after entering the information on the loose-leaf forms in the 3-ring binder. Three-hole punch the paper and insert in your project binder, so if there is a mistake in transferring information, the original source documentation is not lost.

- Electronic forms: Do not discard this original document after entering the information in the electronic loose-leaf forms. Scan the original document and attach it to the electronic record so if there is a mistake in transferring information the original source documentation is not lost.

Item progress and/or supporting documentation forms can be added as attachments in Appia® in order to keep a complete documentation record in that program.

B. Other documents to include in your field book:

Referenced in this IM: In addition to the loose leaf forms listed above, obtain copies of the documents listed in Attachment A to this I.M.

Referenced in I.M. 6.110: The items listed in I.M. 6.110, Attachment E, Required Local Public Agency Project Documentation & Pre-audit Checklist, shall be in the project file at the time of final review. Please review I.M. 6.110, Attachment E, prior to the start of the project to identify any additional forms that may be needed in the field books for completion on the project site.

Preconstruction Meeting

After a contract has been fully executed, a Preconstruction meeting should be scheduled. Preconstruction meeting invitee requirements vary based upon project funding. See I.M. 1.000, Iowa DOT Oversight of LPA Projects for funding categories and associated construction administration activities. When Iowa DOT Administering Team attendance is required, the LPA must consult the Administering Team in scheduling and provide at least two weeks notice. Failure to provide the proper notice and include Iowa DOT in scheduling may require the LPA to reschedule the meeting if the Administering Team is unable to attend. Guidance on the content of this meeting are available in Section 2.11, Preconstruction Meeting, in Attachment D, to this I.M. An optional draft preconstruction agenda template can also be found on the Local Systems Post-Letting Resources website, under Contract Administration, and should be reviewed prior to the meeting, as some sections may not apply to every project.

Construction Inspection Duties

- Inspect Contractor's Poster Board to verify compliance and record inspection results on Project Engineer's EEO Project Site Inspection/Wage Rate Report form (Form 650170).

- On contracts with Contractor Furnished Borrow of 50,000 cubic yards or greater, follow Iowa DOT Standard Specifications 1106.07 and 2102.03.

- For projects regulated by a National Pollutant Discharge Elimination Systems (NPDES) Stormwater Permit, an Erosion Control Implementation Plan (ECIP) is required. Follow Section 2602 of the Standard Specifications for requirements of the ECIP.

- If a Pollution Prevention Plan is included in the plans, ensure erosion control methods are established before work begins that could result in erosion. Conduct joint inspections and record on Storm Water Site Inspection form (Form 830214) as specified in the Pollution Prevention Plan.

- If Davis-Bacon Wages apply, ("FEDERAL AID - PREDETERMINED WAGES ARE IN EFFECT" as stated in the Contract) perform wage rate reviews as specified in Section 2.24, Davis-Bacon Wage Requirements, Project Engineer's Involvement, A. Field Procedure, in Attachment D to this I.M. The

correct version of the Wage Rate is found in the Contract. This is the version that should be found on the Contractor's Poster Board and should be used to check the certified payrolls for compliance.

- On Federal-aid Contracts, for all DBEs working on the contract, complete a Commercially Useful Function Checklist ([Form 517014](#)).

- LPA Materials Labs are required to be qualified for Federal-aid projects, per [Materials I.M. 208](#). For non-Federal-aid projects, if the LPA's Materials Lab has not been qualified by the Iowa DOT, the LPA shall qualify the lab at a minimum of once every 24 months, using the lab qualification checklist in [Materials I.M. 208, Appendix B.](#)

- The LPA shall be certified to perform materials testing, per the Technical Training and Certification Program (TTCP) described in [Materials I.M. 213](#).

- As materials are delivered to the site:
  - Obtain the appropriate documentation for those materials, as required by the contract documents.
  - Review documents for accuracy and compliance with the requirements of the contract documents.
  - Ensure Materials Certifications are uploaded by the Contractor.

- Inspect work being performed by the Contractor and subcontractors. Document quantities of items installed and record daily activities in the Daily Diary.

- Perform tests and obtain materials samples as directed by [Materials I.M. 204](#).
  - For samples to be submitted to other labs for testing, complete an Identification of Sample for Test form ([Form 820193](#)) and attach to the sample before submitting.
  - Obtain test results from testing labs and include in field records.

- If there are any deviations from the contract requirements that will require either correction or price adjustment, these deviations shall be recorded on Non-Compliance Notice form ([Form 830245](#)) (Notice) (see [Attachment D](#), Section 2.53, Price Adjustment Guide for Reasonably Close Conforming, Reasonably Acceptable, and Deficient Work, to this I.M.).
  - The Contractor's representative should sign the Notice.
  - If the Contractor's representative will not sign the Notice, record name, date, and time of presentation of the Notice.
  - The Contractor is provided the Notice in Doc Express®.
  - Negotiate between the PIRC, Project Engineer, and Contractor on method of corrective action or price adjustment.
    - If field correction is agreed upon, record date, time, and method of correction in field records.
    - If Price Adjustment is agreed upon, complete a Change Order (If using Appia®, complete an Appia® Change Order, otherwise use [Form 831240](#)) to address the change.
    - If no correction is agreed upon, record basis for that decision in field records.

- If utilizing Appia®, record item progress quantities, item measurements, and other item document necessary for audit/review in Appia's® Daily Reports section in the Item Postings tab. Document supporting information either in Appia's® Daily Reports section in the Item Postings tab or in "E-sheets" as described below.

      Measurements
      1. The preferred method of recording measurements is the use of "E-sheets". These "E-sheets" must be uploaded to Doc Express® according to the naming convention. Uploading to Appia® as attachments to the Daily Report or to the overall project is optional.
      2. As an alternative, measurements can be recorded on a "Worksheet" in Appia®.
          a. Worksheets are calculation aids. The user inputs the dimensions, and Appia® calculates the resulting quantity.
          b. Values calculated via worksheets can be overridden if necessary for irregular areas. If overridden, the LPA must supply supporting documentation showing how the overridden value was computed/measured. Measurements must be sufficient to provide a clear picture of how the recorded quantity was calculated. Sketches, CAD drawings, survey

results, etc. can be utilized in lieu of written measurements. These pieces of documentation must be uploaded to Doc Express® according to the naming convention, and they may be uploaded to Appia® as attachments to the Daily Report.

    c. If Worksheets are utilized, a Worksheet History report from Appia® must be uploaded to Doc Express® for materials audit/review purposes.

3. A less favorable option is to record measurements in the "Remarks" section in Appia® within the item posting.

    a. Measurements must be sufficient to provide a clear picture of how the recorded quantity was calculated. Sketches, CAD drawings, survey results, etc. can be utilized in lieu of written measurements. These pieces of documentation must be uploaded to Doc Express® according to the naming convention, Uploading to Appia® as attachments to the Daily Report is optional.

    b. If the Appia® Remarks section is utilized, an Item Quantity Summary report from Appia® must be uploaded to Doc Express® for materials audit/review purposes.

Materials Tests and Other Item Documentation
Documentation of materials test results on support form "E-sheets", as well as the Materials 101 form, is highly preferred. (Support form "E-sheets" are those in the 100 series, such as E100, E101, etc.) These "E-sheets" must be uploaded to Doc Express® according to the naming convention. Uploading to Appia® as attachments to the Daily Report or to the overall project is optional.

Refer to the Appia® Project Creation & Account Management Instructions and the Appia® "Under Construction" Instructions for guidance on how to accomplish the above documentation and report exports in Appia®.

LPA Construction Reviews

- Local Systems Field Reviews - On an annual basis, the Local Systems Bureau may select a sample of projects to conduct field reviews on during construction of the project (in addition to Final Field Reviews). 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.

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

- Local Systems Grant Team Field Reviews - contact the Program Manager.

- Federal Highway Administration (FHWA) Field Reviews - On an annual basis, FHWA will select a sample of Federal-aid projects to review. These reviews will occur during the construction of the project. These are formal reviews and a report is written to document the findings. FHWA does have the authority to rescind funding of a project.

- Work Zone Safety Reviews – On an annual basis, representatives from FHWA and DOT, review a sample of projects currently under construction for compliance of traffic control and flagging procedures.

File Format, Location, and Retention

Per Iowa DOT Standard Specification Section 1113, Electronic Document Management shall be used for electronic document storage on contracts let through Iowa DOT. Doc Express® is the complete and officially recognized construction document management system for contract documents. It is expected that all completed documents are submitted to Doc Express® as soon as practical.

Documents that are completed throughout the project, such as those found in the inspector's field book, are not required to be uploaded until completed. In all cases, documents shall be readily accessible for inspection by authorized Iowa DOT, other State agencies, FHWA, or other Federal personnel.

At the completion of the project, the LPA shall download the entirety of the project file from Doc Express® for the duration of the record retention period (see I.M. 6.110, Field Review, Audit, and Close-out Procedures for Federal-aid, Federal-aid Swap, and Farm-to-Market Projects). The LPA shall then notify the Administering Team that the download is complete and the project can be transitioned to the archive section of Doc Express®.