

## Required Local Public Agency Project Documentation & Pre-audit Checklist

Project Number: _____	Project Name / Location: _____
Contract Number: _____	Contracting Authority: _____
Letting Date: _____	Contractor: _____

**Instructions:** Using and referencing this document throughout the construction project will greatly reduce time and effort during the closeout process. This list can serve as a guide for documents required throughout the project. **All** of the applicable documents, steps, or reviews represented by this checklist should be complete and correct **before** submitting this checklist to the Iowa DOT Administering Team for review and determination of final audit by the Iowa DOT Administering Team. Completing this checklist will guide the Project Engineer's Pre-Audit.

The Project Engineer shall review and complete this checklist as indicated below, and as indicated by the instructions for each item:

- If the question(s) associated with an item can be answered "yes", and the project file contains documentation to support this answer, check the respective "Yes" box.
- If the item does not apply, check the "N/A" box.
- If any items need additional explanation, place a note adjacent to that item, add remarks in the "comments" section below, or attach additional documents as necessary. The more accurate and complete information you provide, the more quickly the turnaround will be for the Administering Team.
- Project file can be defined as paper copy files, or electronic file systems such as Doc Express® or Appia®. All Iowa DOT let projects are required to use Doc Express®. All county projects let through the Iowa DOT, since the April 19, 2022 letting, are required to use Appia®. Projects utilizing Doc Express® should have all documentation uploaded into Doc Express® unless otherwise noted on this checklist when submitting the completed checklist.
- This checklist has the same structure as the Local Public Agency drawers in Doc Express, for ease of electronic review.

For many of the checklist items below, references have been provided to the appropriate Iowa DOT form number, Iowa DOT Standard Specifications Section or Article number, Construction Manual (C.M.) section, Materials Instructional Memorandums (Materials I.M.s), or Instructional Memorandums to Local Public Agencies (I.M.s). Also included are responsible parties for each of the checklist items. Such references are included in parenthesis immediately after the checklist item. Consult these references for additional instructions and information.

The Iowa DOT Standard Specifications, C.M., and the Materials I.M.s are all available on-line as part of the Iowa DOT's [Electronic Reference Library](#). Most of the Iowa DOT forms referenced below are also available on the [Iowa DOT Forms](#) web page. The most recent Doc Express® and Appia® instructions can be found on our [Local Systems website](#). Finally, some of the forms or documents included in this checklist are also discussed as part of [I.M. 6.000](#), Construction Inspection.

**This checklist is not an all-inclusive list.** It should be used as a starting point for the project review, pre-audit, and final audit. Additional documents and documentation may be required as part of the project records.

\*Column AB is for use by the Iowa DOT Administering Team.

Agreement and Resolution Drawer Documents	Yes	N/A	AB*
<b>Funding Agreement between the Iowa DOT and LPA:</b> include all funding agreements and any addendums to the funding agreements (Submitted by Administering Team)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Right-of-Way, Temporary, or permanent easement agreements</b> (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Agreements for Private Property Used by Contractor:</b> if the Contractor used private property, other than the existing right-of-way or easements provided by the Contracting Authority, provide copies of the Contractor's agreements for purchase, lease or temporary easements. (Submitted by Contractor)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Change Order Drawer - Documents	Yes	N/A	AB
<b>Change Orders</b> ( <a href="#">Form 831240</a> ); I.M. 6.000, <a href="#">Att. D</a> , section 2.36): include a signed copy of all change orders on the contract (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
Quantities of items added or adjusted by Change Order have been recorded in the field book (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Force Account:</b> If any work was performed on a force account basis, the project files contain a Statement of Force Account with supporting documentation attached? ( <a href="#">Form 181213</a> ; I.M. 6.000, <a href="#">Att. D</a> , section 2.35; <a href="#">Article 1109.03</a> , B) (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Price Adjustments:</b> All appropriate price adjustments have been documented by a completed Change Order, including those related to (Submitted by Engineer):	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Non-Compliance Notice:</b> If it results in a change to the contract, is it attached to the Change Order? (Submitted by Engineer):	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Quantities of items added or adjusted by Change Order have been included in the estimate/voucher</b> (Submitted by Engineer):	<input type="checkbox"/>	<input type="checkbox"/>	

Contract Documents Drawer Documents	Yes	N/A	AB
<b>Subcontract Request and Authorization</b> ( <a href="#">I.M. 5.030</a> , I.M. 6.000, <a href="#">Att. D</a> , Section 2.25, <a href="#">Article 1108.01</a> ): Does the project file contain the list of contract items and values of all approved subcontractors that were authorized by the Iowa DOT Contracts and Specifications Bureau (the information from the .con file)? (Submitted by Administering Team)	<input type="checkbox"/>	<input type="checkbox"/>	
When a new Subcontractor is added and any new bid items are added by change order, then <a href="#">Form 830231</a> shall be completed and uploaded. (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Predetermined Wage Rate:</b> A copy of the applicable Predetermined Wage Rate? (Submitted by Administering Team)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Equal Employment Opportunity (EEO) Site Inspections</b> ( <a href="#">Form 650170</a> , I.M. 6.000, <a href="#">Att. D</a> , section 2.22): Does the project file contain completed copies of this form to document the EEO site inspections? These inspections shall be completed at least once, and if the contract extends more than 6 months, approximately once every 6 months for the duration of the contract. <b>Note:</b> If Davis-Bacon wage rates do not apply for the contract, only the top portion and sections 1 and 2 must be completed for each site inspection. (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Sales Tax Exempt Certificates:</b> The project file includes the sales tax exempt certification(s) for Prime and all approved Subcontractors that are signed by the LPA. (Submitted by Engineer or PIRC)	<input type="checkbox"/>		
<b>DBE Commercially Useful Function - Federal-aid Projects Only</b> ( <a href="#">Form 517014</a> ; I.M. 6.000, <a href="#">Att. D</a> , section 2.25): Does the file include a copy of the DBE Commercially Useful Function form or documentation the DBE did a commercially useful function on the project? This form is required for all DBE's working on a Federal-aid project, even if a commitment was not made to the DBE. (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Addendums:</b> Addendums issued prior to letting (Submitted by Administering Team)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Proposals:</b> Estimating Proposal, including attachments (Submitted by Administering Team)	<input type="checkbox"/>		
<b>Specifications:</b> Iowa DOT Standard Specifications, General Supplemental Specifications, Special Provisions, Developmental Specifications, Supplemental Specifications (Submitted by Administering Team)	<input type="checkbox"/>		
<b>Final Highway Funding Sources. Final Detail Estimate Cost Summary, and Final Highway Detail Construction Estimate (if applicable):</b> include a copy of these documents. These documents are distributed by the Iowa DOT Finance Bureau after a contract is awarded by the LPA. Together, these document the Contractor, awarded contract amount, the funding sources that will be used to pay for the contract costs, and if applicable, a breakdown of costs and funding by bid item categories. (Submitted by Administering Team)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>DBE Commitment Report - Federal-aid Projects Only</b> (I.M. 6.000, <a href="#">Att. D</a> , section 2.23): If the contract was let by the Iowa DOT and if the Contractor made a DBE commitment, include a completed copy of this report. This report is provided to the LPA by the Civil Rights Bureau after the contract has been awarded. It shows a summary of the Contractor's DBE commitment(s), including the proposed DBE Contractor and/or subcontractor(s), and the committed amounts to each. (Submitted by Administering Team)	<input type="checkbox"/>	<input type="checkbox"/>	

<b>Contract Signing Drawer Documents</b>	<b>Yes</b>	<b>N/A</b>	<b>AB</b>
<b>Contract:</b> The project file includes the fully executed construction contract (it also includes the FHWA Form 1273 for all Federal-aid projects). (Submitted by Contracts and Specifications Bureau)	<input type="checkbox"/>		
<b>Contractor's Bond and Liability Insurance:</b> The project file includes the fully-executed contractor's bond, as well as a copy of the contractor's liability insurance. (Submitted by Contractor)	<input type="checkbox"/>		
<b>Sales Tax Exempt Certification:</b> The project file includes the unsigned sales tax exempt certification(s). (Submitted by Contracts and Specifications Bureau)	<input type="checkbox"/>		
<b>Subcontractor Authorization and EEO/AA Poster Notice:</b> This is included in the sales tax exempt certification form, for any subcontractors authorized at the time of contract signing. If any new subcontractors are added, there will also be a revised file. (Submitted by Contracts and Specifications Bureau)	<input type="checkbox"/>		

<b>Diaries Drawer (no contractor access)</b>	<b>Yes</b>	<b>N/A</b>	<b>AB</b>
<b>Inspector's Daily Diary:</b> Does the project file contain a copy of the project inspector's daily diary of construction operations, including the date and name or initials for each diary entry if retained in Doc Express®? Or are there entries within Appia®? (Note: A Daily Diary is required. Placement in Doc Express is optional.) (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	

<b>Environmental Drawer Documents</b>	<b>Yes</b>	<b>N/A</b>	<b>AB</b>
<b>Storm Water Permit (<a href="#">I.M. 4.140</a>):</b> If the contract work required a National Pollutant Discharge Elimination System (NPDES) General Permit No. 2 from the Iowa DNR, does the project file include completed copies of the following:	<input type="checkbox"/>	<input type="checkbox"/>	
Iowa DNR's Notice of Intent form and a copy of the required newspaper notice? (Submitted by Engineer)	<input type="checkbox"/>		
Copy of the NPDES and/or any Individual Storm Water Permits that may be applicable? (Submitted by Engineer)	<input type="checkbox"/>		
Does the file include documentation from the contractor that identifies who their Water Pollution Control Manager is? (Submitted by Contractor)	<input type="checkbox"/>		
Storm Water Site Inspection Reports ( <a href="#">Form 830214</a> ) every 7 calendar days starting with initial ground disturbance and continuing until 70% permanent vegetative growth is established? (Submitted by Engineer)	<input type="checkbox"/>		
Are the site inspections signed by a representative of the Contracting Authority and the Contractor's Erosion and Sediment Control Basics or Erosion Control Technician (ECT) trained individual? (Submitted by Engineer)	<input type="checkbox"/>		
Does the file contain the name of the Erosion and Sediment Control Basics (ESC Basics) and Erosion Control Technician (ECT) trained individuals on the Contractor's staff? (Submitted by Engineer and Contractor)	<input type="checkbox"/>		
Does the file contain the updated site map(s), as part of the Pollution Prevention Plan (PPP)? (Submitted by Contractor)	<input type="checkbox"/>		
Does the project file include signed affidavits from the Prime contractor and affected subcontractors, identifying them as co-permittees? (Submitted by Contractor)	<input type="checkbox"/>		
If the seeding or other permanent ground cover has been established, a copy of the Iowa DNR's Notice of Discontinuation (NOD) form that has been submitted to the DNR? (If the project site has not yet been stabilized, this form may be added to the project file after it has been submitted to the Iowa DNR.) (Submitted by Engineer)	<input type="checkbox"/>		
<b>Iowa DNR Notification of Completion of Construction (<a href="#">DNR Form 37</a>, <a href="#">I.M. 3.500</a>):</b> If the project required an Iowa Department of Natural Resources (Iowa DNR) Flood Plain Permit, was this form completed and sent to the Iowa DNR and does the project file include a copy of this form? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Contractor's Erosion Control Implementation Plan (ECIP) (<a href="#">Article 2602.03</a>):</b>	<input type="checkbox"/>	<input type="checkbox"/>	
Does the Contractor's ECIP include stages for erosion control work to address the Contractor's time table and sequence of major activities or stages on the contract? (Submitted by Contractor)	<input type="checkbox"/>		
Was the ECIP prepared by the Contractor's ESC Basics trained individual (or ECT)? (Verified by Engineer)	<input type="checkbox"/>		

June 12, 2024

If Erosion Control Mobilizations apply to the contract, did the ECIP include the anticipated number of erosion control mobilizations for the project? (Verified by Engineer)	<input type="checkbox"/>		
Did the contracting authority approve the ECIP? (Verified by Engineer)	<input type="checkbox"/>		

Estimates and Vouchers Drawer Documents	Yes	N/A	AB
<b>Progress Vouchers / Pay Estimates:</b> The project file contains copies of all progress vouchers or pay estimates prepared by the Project Engineer and approved by the LPA, as well as supporting documentation such as invoices and project estimates. (Submitted by Engineer)	<input type="checkbox"/>		
<b>Reimbursements:</b> If the Contractor was paid with LPA local funds (not Farm-to-Market funds), does the project file contain the following:	<input type="checkbox"/>	<input type="checkbox"/>	
Copies of all checks or warrants issued to the Contractor or copy of a check register showing all payments that have been made to-date? (Submitted by PIRC)	<input type="checkbox"/>		
Copy(s) of the one or more of the following:			
Claim for Reimbursement of Project Costs ( <a href="#">Form 517050</a> or equivalent)? (Submitted by PIRC)	<input type="checkbox"/>		
Claim for Reimbursement of Federal Grant Program Project Costs ( <a href="#">Form 240007</a> )? (Submitted by PIRC)	<input type="checkbox"/>		
Claim for Reimbursement of State Grant Program (RISE, Rec Trails) Project Costs ( <a href="#">Form 240011</a> )? (Submitted by PIRC)	<input type="checkbox"/>		

Items and Materials Drawer Documents	Yes	N/A	AB
<b>Field Book(s):</b> Are the quantities for all items documented in a field book, loose leaf binder, or if recorded electronically (Doc Express®, Appia®, E-Sheets), available as a computer print-out or report? Does the item quantity documentation include: (Submitted by Engineer)	<input type="checkbox"/>		
Added Change Order items (8000 "Change Number" series)?	<input type="checkbox"/>	<input type="checkbox"/>	
Dates and initials (or an electronic log) of the person who entered the quantity?	<input type="checkbox"/>		
Initials (or an electronic log) of the person who checked the quantity?	<input type="checkbox"/>		
Locations specified where each quantity was placed?	<input type="checkbox"/>		
Are there contract items deleted with original project costs of \$50,000 or greater? If yes, a change order is required.	<input type="checkbox"/>	<input type="checkbox"/>	
Are there contract items that increased or decreased in value by \$50,000 or greater? If yes, a change order is required.	<input type="checkbox"/>	<input type="checkbox"/>	
Are there contract items that the specifications or plans state to pay at contract or plan quantity, but there needed to be an increase or decrease in the contract quantity? If yes, a change order is required.	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Method of Measurement and Basis of Payment:</b> Do all items have a method of measurement and basis of payment identified? This information is usually contained in the specifications (including any applicable Special Provisions, Developmental Specifications, Supplemental Specifications, etc.) but may also be located on the plans.  <u>Note:</u> If the bid item number indicates the Standard Specification Section where this information can be found, the bid item number is a sufficient reference for this information. (Submitted by Engineer)	<input type="checkbox"/>		
<b>Items Paid by Length:</b> Do all items paid on the basis of length show the actual measured quantity, including the date and initials of the person that performed the measurement? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	

<b>Items Paid by Count:</b> Do all items paid on the basis of count (per each) show the actual count, including the date and initials of the person that performed the count? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Items Paid by Weight</b> ( <a href="#">Article 2001.07</a> ): (Submitted by Engineer) Do all items paid on the basis of weight include:	<input type="checkbox"/>	<input type="checkbox"/>	
Scale tickets that are certified by the producer?	<input type="checkbox"/>		
Scale tickets that are signed by the originator and the receiver?	<input type="checkbox"/>		
Has a minimum of first and last ticket per day been uploaded to Doc Express? For each supplier or quarry, these can be uploaded in a single batch (per bid item), if the first and last ticket for each day is scanned and in chronological order by date. If a date's cumulative total is not correct for some reason, also include the ticket tally for that respective date. An excel file is acceptable in this situation. (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
Daily ticket totals that are supported by adding machine tapes, computer print-outs, or other documentation? If working with hand written tickets without a cumulative total, has a ticket tally for each day been uploaded into Doc Express?	<input type="checkbox"/>		
Dates and locations where the material was placed?	<input type="checkbox"/>		
Documentation of scale checks (verification and/or check weights)?	<input type="checkbox"/>		
Documentation that tare weights were newly determined (if applicable)?	<input type="checkbox"/>		
E-Ticketing <a href="#">DS-23032</a> Ticket summary uploaded (if applicable)?	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Ready Mix Tickets:</b> If ready mix concrete is used, are copies of all ready mix tickets meeting the requirements of <a href="#">C.M. 9.03</a> available in the project file? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
Has a minimum of first and last ticket per day (per bid item) been uploaded to Doc Express? For each supplier, these can be uploaded in a single batch (per bid item), if the first and last ticket for each day is scanned and in chronological order by date. If a date's cumulative total is not correct for some reason, also include the ticket tally for that respective date. An excel file is acceptable in this situation. (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
E-Ticketing <a href="#">DS-23032</a> Ticket summary uploaded (if applicable)?	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Items Paid as Lump Sum:</b> Do all items paid as a lump sum include the date the work was started, dates of intermittent progress (if applicable), the date the work was completed, and initials of the person who verified the work was completed? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Items Paid by Volume:</b> Do all measured items paid by volume include supporting calculations, such as original and final cross sections, or other methods that indicate how the volume was calculated? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Items Paid by Area:</b> Do all measured items paid by area include supporting calculations, such as sketches with dimensions, or other methods that indicate how the area was calculated? <b>NOTE: Sketches must be drawn and dimensioned clearly for verification of calculation.</b> (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Items Paid by Plan</b> (I.M. 6.000, <a href="#">Att. D</a> , section 2.27, <a href="#">Article 1109.01</a> ): For each item paid for on the basis of plan / contract quantities: (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
Does each quantity entry include the date and location of the work performed and an estimated quantity of work performed at that location?	<input type="checkbox"/>		



June 12, 2024

Is a Plan Quantity Agreement included (if it was not originally noted in the plans or specifications)?	<input type="checkbox"/>		
<b>Materials Review:</b> For all materials incorporated into projects let using the Iowa DOT Standard Specifications:			
Has a summary statement of non-compliant tests or measurements of material incorporated into the project been completed by the Project Engineer? ( <a href="#">C.M. Appendix 2-33</a> ) (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
If the contract included HMA and / or PCC from a plant, does the project file include copies of the HMA and / or PCC Plant Reports? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
Materials Audit (I.M. 101 sheets) completed by Local Public Agency staff? ( <a href="http://www.iowadot.gov/Construction_Materials/materialsforms/auditforms.xlsx">http://www.iowadot.gov/Construction_Materials/materialsforms/auditforms.xlsx</a> ) (Submitted by Engineer in the Working Drawer)	<input type="checkbox"/>		
All materials have been reviewed for compliance with the materials testing, sampling, and acceptance requirements of the Iowa DOT Standard Specifications and Materials I.M.s <a href="#">101</a> , <a href="#">204</a> , and <a href="#">205</a> ? (Verified by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>ADA (Materials I.M. 363):</b> If project contains any construction or reconstruction of sidewalk or recreational trails, has the work been documented as required by Materials I.M. <a href="#">363</a> ? (Submitted by Contractor)	<input type="checkbox"/>	<input type="checkbox"/>	
Project Engineer has verified documentation as required by Materials I.M. <a href="#">363</a> ?	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Incentive / disincentive specifications:</b> including, but not limited to:			
Pavement smoothness, if required by the contract documents? ( <a href="#">C.M. 3.60</a> ) (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
PCC Pavement thickness? ( <a href="#">C.M. 9.65</a> , <a href="#">Materials I.M. 346</a> ) (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
HMA Lab Voids, Field Voids? ( <a href="#">Section 2303</a> or N/A if <a href="#">DS-15013</a> was used) (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
Early completion? ( <a href="#">Section 1111</a> ) (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
Liquidated damages? (I.M. 6.000, <a href="#">Att. D</a> , section 2.34) (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Log of Piling Driven</b> (if by formula, <a href="#">Form 830210</a> , if by wave equation, <a href="#">Form 830209</a> ; <a href="#">C.M. 11.25</a> , <a href="#">C.M. Appendix 11-22</a> ): If the contract included an item of work for driving piles, such as on a bridge project, does the project file include a completed copy of this form? This form should be completed as piles are driven and uploaded to SIIMS. (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
Has the form been uploaded to SIIMS? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	

Meetings Drawer Documents	Yes	N/A	AB
<b>Pre-construction Meeting Agenda and Minutes:</b> The project file includes a copy of the agenda and notes, including a list of attendees? (Submitted by Engineer)	<input type="checkbox"/>		

Payrolls Drawer - Federal-aid projects only Documents	Yes	N/A	AB
<b>Davis-Bacon Compliance</b> (I.M. 6.000, <a href="#">Att. D</a> , section 2.24): If Davis-Bacon wage requirements apply to the contract, does the project file contain the following: <b>Note:</b> For contracts let by the Iowa DOT, applicability of the Davis-Bacon requirements is indicated on the bid proposal and contract.	<input type="checkbox"/>	<input type="checkbox"/>	
Completed Wage Rate Reports ( <a href="#">Form 650170</a> ) for the Contractor and all subcontractors with contracts greater than \$10,000 to document the wage rate interviews? The wage rate interviews should be completed at least once, and if the contract extends more than 6 months, approximately once every 6 months for the duration of the contract. <b>Note:</b>	<input type="checkbox"/>		

Wage rate interviews do not need to be completed for Contractor or subcontractors if they participate in the Associated General Contractors (AGC) Prevailing Wage Notification Program. (Submitted by Engineer)			
Copies of the Certified Transcript of Labor Payroll ( <a href="#">Form 830176</a> ) that are:  Signed and dated by the Contractor, for each week that the Contractor or subcontractors performed work? (Submitted by Contractor)  Checked by the Project Engineer or designee for compliance? (See <a href="#">I.M. 6.000 Attachment D</a> ) Have all payrolls been transitioned to Received in Doc Express and has a comment been added to Doc Express to identify which payrolls were checked for compliance? (This is only required for the first few submitted; if no compliance problems are noted, subsequent submittals will only require spot checking.) (Verified by Engineer)	<input type="checkbox"/>       <input type="checkbox"/>		
An itemized list of any non-cash fringe and corresponding dollar values with the first payroll from each contractor? (Submitted by Contractor)	<input type="checkbox"/>		

Plans Drawer Documents	Yes	N/A	AB
<b>Plans:</b> Does the project file include a copy of the plans? Include plans as advertised, as well as let (includes addenda information). (Submitted by Administering Team)	<input type="checkbox"/>		
<b>Plan Revisions:</b> If the plans were revised after the contract award, are copies of such plan revisions, including transmittals to the Contractor, included in the project file? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>As-built Plans</b> (I.M. 6.000, <a href="#">Att. D</a> , section 2.72): If the contract involves work on an Interstate or Primary Highway, has the Project Engineer prepared as-built plans and forwarded to the appropriate Administering Team? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	

Project Close-out Drawer Documents	Yes	N/A	AB
<b>Noncompliance Notice</b> ( <a href="#">Form 830245</a> , <a href="#">C.M. 3.21</a> , I.M. 6.000, <a href="#">Att. D</a> , section 2.53): If any of the contract items, test results for incorporated materials, or work activities were not in compliance with the contract documents, was the Contractor issued a noncompliance notice for each, and does the project file include complete copies of this form? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Statement of Completion and Final Acceptance of Work</b> ( <a href="#">Form 830435</a> , <a href="#">I.M. 6.110</a> ): If the contract was let using Iowa DOT Specifications, is a copy of this form included in the project file, signed and dated by the Project Engineer? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Contract/Plan Quantity Agreement</b> (I.M. 6.000, <a href="#">Att. D</a> , section 2.27, <a href="#">Article 1109.01</a> ): For each item paid for on the basis of plan / contract quantities: If the item is not plan / contract quantity by specification or plans, does the item have a completed and approved Contract Quantity Agreement ( <a href="#">Form 830230</a> )? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<p><b>Proposed Semi-final Voucher / Pay Estimate:</b> Does the project file contain a copy of the semi-final voucher or pay estimate, including the final quantities and price adjustments proposed by the Project Engineer? (Submitted by Engineer)</p> <p>For Appia projects, is the semi-final “Detailed Payment” file uploaded from Appia? This report should contain remarks indicating it is the semi-final voucher. Please note: For Appia projects, a balancing change order is generated after the project audit and during the Final Voucher / Pay Estimate process. (Submitted by Engineer)</p>	<input type="checkbox"/>		
<b>TSB:</b> If the project is a locally-let state-funded project, does it include a completed Targeted Small Businesses (TSB) form? See funding agreement for details and a copy of the form. (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	

<b>Certificate of Completion and Final Acceptance of Agreement Work</b> ( <a href="#">640003</a> ) For state-funded locally-let projects, is a copy of this form included in the project file, signed and dated by the Project Engineer? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
--	--------------------------	--------------------------	--

<b>Right of Way Acquisition</b>	<b>Yes</b>	<b>N/A</b>	<b>AB</b>
Right-of-Way documents are not required unless the Iowa DOT Right-of-Way Bureau requests an audit. An LPA may choose to store Right-of-Way documents in th is drawer, but it is not required.	<input type="checkbox"/>	<input type="checkbox"/>	

<b>Traffic Control Drawer Documents</b>	<b>Yes</b>	<b>N/A</b>	<b>AB</b>
<b>Traffic Control Documentation</b> ( <a href="#">C.M. 5.40</a> , <a href="#">Article 2528.01</a> ): If the contract includes an item for traffic control, does the project file include:	<input type="checkbox"/>	<input type="checkbox"/>	
A copy of the Contractor's Traffic Control Daily Diary? (Submitted by the Contractor)	<input type="checkbox"/>		
Records to verify that the Contractor has a technician on staff that has attended and passed the exam in an American Traffic Safety Services Association (ATSSA), International Municipal Signal Association (IMSA) Work Zone Traffic Control, AGC of Iowa Traffic Control Technician class, Minnesota DOT Traffic Control Supervisor training class, or Texas Engineering Extension Service Work Zone Traffic Control training class within the last 5 years? (Submitted by Contractor)	<input type="checkbox"/>		

<b>Weekly Working Day Reports Drawer Documents</b>	<b>Yes</b>	<b>N/A</b>	<b>AB</b>
<b>Weekly Report of Working Days</b> ( <a href="#">Form 830238</a> or Appia report, I.M. 6.000, <a href="#">Att. D</a> , section 2.33) If the Appia generated report is used, are the correct dates shown on each report, the % of contract complete shown on each report, and the controlling items noted in the remarks for each day's entry? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Weekly Report of Working Days for Incentive/Disincentive</b> ( <a href="#">Form 830241</a> , I.M. 6.000, <a href="#">Att. D</a> , section 2.33). If the contract included a critical closure period with incentive and/or disincentive clause, does the project file contain a copy of these reports? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	
<b>Notice of Suspension or Resumption of Work</b> ( <a href="#">Form 810036</a> , <a href="#">C.M. 3.06</a> ): If the Contractor was directed to stop work by the Project Engineer at any time during the project, or if the contractor started work prior to the late start date and then requested a work suspension, does the project file include a completed copy of this form? (Submitted by Engineer)	<input type="checkbox"/>	<input type="checkbox"/>	



## Project Engineer's Comments

Project Engineer's Certification: I have reviewed and verified each of the applicable items shown above. The supporting documentation associated with each applicable item is in the project file (Doc Express). The project file is organized and ready for Iowa DOT and / or FHWA inspection. I acknowledge my responsibility as Project Engineer, as defined in I.M. 6.000, This shall be uploaded to Doc Express and transitioned to Recommended by Engineer. I recommend approval by the PIRC.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Person in Responsible Charge (PIRC) if different than Project Engineer: I acknowledge this checklist has been completed and the project file is ready for Iowa DOT and / or FHWA inspection. I acknowledge my responsibility as PIRC, as defined in I.M. 6.000. This shall be transitioned in Doc Express to Recommended by PIRC.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

-----  
**Iowa DOT Use Only:** As the authorized representative of the Iowa DOT:

- ☐ Federal-aid Projects: I have reviewed this checklist and performed a final audit of this contract. I have reviewed a sample of the supporting documentation and found it to be in substantial conformance with the contract documents and / or project requirements, except as noted on the Audit of Final Pay Estimate ([Form 830301](#)).
- ☐ Federal-aid Swap and FM Projects: I have reviewed this checklist and performed a final review of this contract. I have reviewed a sample of the supporting documentation and found it to be in substantial conformance with the contract documents and / or project requirements, except as noted on the Audit of Final Pay Estimate ([Form 830301](#)).
- ☐ Federal-aid, Federal-aid Swap, FM, or Other: I acknowledge that this checklist has been completed by the LPA; this contract was not selected for a final audit or review.

The Iowa DOT Administering Team has marked appropriate boxes and added comments this this document and/or within Doc Express to indicate what was reviewed.

Iowa DOT Administering Team signatures/approvals will be applied via Doc Express.