



Construction Project Documentation Checklist

Project No. _____

Project No. _____

County _____

Contractor _____

Inspector _____

Audit by _____

Date _____

1.0 Items Conducted Early in the Project

1.01	Doc Express includes a copy of:
	Items to be placed in Doc Express Drawer
	Contract documents Drawer
	-- Bid Proposal
	-- Addendums
	-- Contract
	-- Developmental Specifications
	-- Special Provisions
	-- Supplemental Specifications
	-- DBE Commitment Report (Federal Projects Only)
	-- Storm Water Permit
	-- System NPDES General Permit No. 2 from the Iowa DNR
	-- Final Highway Funding Sources
	-- Preconstruction meeting minutes/attendance list
	-- CPM Schedule
	-- Utility Bid Attachments
	-- ROW Bid Attachments
	Plan Drawer
	-- Plans
	-- Plan Revisions
	Contract Signing Drawer
	-- Contractor Railroad Protective Insurance
	Payrolls Drawer
	-- Wage Decision/Pre-determined Wage Rate

1.02	Material Certifications to cover all Materials Incorporated
	Various forms, C.M. 3.31 & Section 1106, Materials Acceptance Report
Check during the course of the project that all materials incorporated in the project have proper certifications before authorizing payment.	

1.03 Certified Payrolls
Form 830176, CM. 2.24

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

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

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

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

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

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

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

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

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

1.08 Contractors Use of Property
C.M. 2.26

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

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

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

1.10 Ready-Mix Tickets
Form 830212 or similar ticket, C.M. 9.03

Check that the tickets are properly documented and that the yield is within reason.

1.11 Work Zone Reporting/511
Article 2528

RCE office notifies Traffic Operations when traffic restrictions are put in place, modified, and removed.

Comments/ Notes	
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2.0 Environmental

2.01 Notice of Demolition forms processed by Location & Environment Bureau
C.M. 10.61

Required when removing buildings or bridges. No work is to start until the notice has been processed and the Contractor carries a copy in the field and submits to the Contract Documents Drawer in Doc Express

2.02 Registration of Minor, Non-recurring Use of Water
DNR Form 20, C.M. 2.14

Required when Contractor uses more than 25,000 Gal./Day from Natural Sources. Submitted by Contractor to DNR with copy to the Contract Documents drawer in Doc Express.

2.03 Uniform Manifest of Hazardous Waste
C.M. 10.64

Contractor to submit to Contract Documents Drawer in Doc Express.

2.04 Notice of Completion for Asbestos Abatement
C.M. 10.62

Submit to Contract Documents Drawer in Doc Express.

2.05 2.16. Abandoned Water Well Plugging Record
C.M. 10.72, App 10-6, DNR Form 542-1226

Contractor to submit to Contract Documents Drawer in Doc Express.

2.06 Various submittals for painting and paint removals on bridge steel structures
C.M. 10.50, 2508

Contractor to submit to Contract Documents Drawer in Doc Express.

2.07 Underground Storage Tank Removal
Spec. 2537.03.A.1

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

2.08 Post 404 Permit for permanent structures on specific waterways and wetland mitigation projects only
DNR Form 37, C.M. 2.13 & Cert. Of Completion and C.M. 10.40

Check that Contractor posts the 404 permit/agreement and Form 37 on Bulletin Board, which displays the DNR 404 Permit Number. Submit 404 permit to Contract Documents drawer in Doc Express.

2.09 National Pollutant Discharge Elimination System (NPDES) General Permit No. 2 from the Iowa DNR
C.M. 10.32

The Prime Contractor for these projects will be required to complete, sign, and return, along with the signed contract, a certification statement for storm water discharge associated with industrial activity for construction activities. Affected Subcontractors for the project will be required to sign and return an affidavit identifying them as co-permittees with the Contracting Authority prior to starting work.

2.10 Erosion Control Implementation Plan ECIP
Section 2602

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

2.11 Co-Permittee Statement
C.M. 10.33

Before any excavation takes place, including any excavation by subs, the Contractor will submit Co-Permittee statements to the Contract Documents Drawer in Doc Express.

2.12 Storm Water Site Inspection Reports
Form 830214, C.M. 10.33, Section 2602
Only required on projects with a Pollution Prevention Plan. Inspection conducted jointly with Contractor every seven days. Inspector submits forms in Signature drawer in Doc Express.

2.13 Updated Pollution Prevention Plans PPP
C.M. 10.33, Section 2602
Submitted to Doc Express by contractor.

2.14 Storm water Notice of Discontinuation
Form 830216, Appendix 10-4, C.M. 10.31
Complete form & submit to Contract Documents Drawer in Doc Express after 70% of permanent seed is established on a project requiring a Storm Water Permit. Notification of the submittal is sent to the Construction and Materials Bureau.

Comments/ Notes	
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3.0 Items Completed During the Course of the Project

3.01 Certificate of Completion and Acknowledgement of Utility Work
Form 517112, C.M. 12.04
Inspector assists in monitoring reimbursable activity performed by Utility. Form 517112 is prepared by the utility company and signed by District Utility Coordinator. An electric copy is sent to the DUC, who after signing, forwards the completed form to the ROW Bureau Utility Section for utility agreements. Submit a copy of completed form 517112 to the Signature drawer in Doc Express.

3.02 Construction Survey Item
Section 2526
When Construction Survey is an item on a contract, make sure the contractor has preserved the control points, obtained original and final surfaces of borrows, and turned in all survey documentation to the Pay Items drawer in Doc Express.

3.03 Statement of Salvaged Material
CM Appendix 3-1, C.M. 3.05.
Complete form with Maintenance shop representative or designee, both of whom shall initial entries. Form is submitted in Signature drawer in Doc Express.

3.04 Traffic Quality Control Contractor's Daily TC Diary
C.M. 5.40, Section 2528.
Check that the Contractor has a Certified Traffic Control Tech. on staff. Additionally, if Monitoring with Incident Response is an item on the contract, the contractor must document any event that restricts normal traffic flow particularly crashes. TC Diaries and all Certified TC Techs should be submitted to the Pay Items drawer in Doc Express.

3.05 Pile driving logs

Article 2501, C.M. 11.22 Form 830209

Submitted to Pay Items drawer in Doc Express.

3.06 Incentive/Disincentive/Price Adjustments for the following:

Assure that a contract modification has been written for each of the below when needed

- Smoothness (Section 2316/2317)
- PCC Pavement Thickness (Article 2301, C.M. 9.65, I.M. 346)
- HMA Related Incentives/Disincentives (Section 2303)
- I/D for Early Completion (Section 1111)
- Liquidated Damages (Article 1108, C.M. 2.34)
- Non-compliances (C.M. 3.21)
- Fuel Adjustment (2120 & CM 2.56)
- A +B Incentive/Disincentives (Proposal/Contract) (Article 1112)

3.07 PCC/HMA Reports and HMA Charts.

Article 2301/2303

Submit to Pay Items drawer in Doc Express.

3.08 Commercially Useful Function

CUF Form 517014 & C.M. 2.25

Submit to the Contract Documents Drawer in Doc Express.

3.09 Weekly Report of Working Days

Form 830238 or Form 830241, C.M. 2.33

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

3.10 Notice of Suspension or Resumption of Work

Form 810036, C.M. 3.06

Submit to Contract Documents Drawer in Doc Express

3.11 ADA Ramp Verification

Materials I.M. 363

Contractor to submit to Pay Items drawer in Doc Express

3.12 Railroad Protective Insurance

C.M.12.03

For projects longer than 1 year, renewal of Contractor Railroad Protective Insurance included in the Pay Items drawer in Doc Express.

3.13 Haul Road Revocation and Reimbursement
C.M. 2.12
Submitted to the Contract Documents drawer in Doc Express

3.14 Bridge Inventory Report
C.M. 2.71
Form Bridge 2000 is originated by Bridges & Structures on new bridges and 20' wide culverts. Complete in Bridge 2000.

Comments/ Notes	
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4.0 Items Conducted Towards the End of the Project

4.01 All Contract Items and Contract Modifications Double Checked
C.M. 3.11
Check that all items are correct and complete. Check for overruns, underruns, force accounts, non-compliances/price adjustments and plan quantity items that may need a contract modification before turning in Semi Final.

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

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

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

4.05 Request for Early Release of Retained Funds
Article 1109
Submitted by contractor in Signature drawer in Doc Express

4.06 Contractor Evaluations
C.M. 2.38
Submitted to the Signature drawer in Doc Express

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

4.08	Project Acceptance (435) Form 830435, C.M. 2.37
Complete and submit to Signature Drawer in Doc Express.	

4.09	Certification of Subcontractor Payments Form 518002
Contractor submits to Doc Express and signs. RCE reviews, signs, and completes.	

4.10	Certification of DBE Accomplishment Form 102116, C.M. 2.25
Contractor submits to Doc Express and signs. RCE reviews, signs, and completes.	

4.11	Interest Payment Information Form 830235, C.M. 2.55
Complete and submit to Contract Documents Drawer in Doc Express.	

4.12	Audit of Final Pay Estimate Form 830301, C.M. 2.43
Complete and submit to Contract Documents Drawer in Doc Express.	

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

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

Comments/ Notes	
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5.0	Items to be Checked in FieldManager/FieldBook
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5.01	Check Placed and Paid Quantities C.M. 3.11
Check Placed and Paid Quantities including any unpaid quantities and plan quantity items. Identify unused items.	

5.02	Check Stockpile Balance FM Guide 5.0a, Chapter 6
There should be no leftover stockpile items under "Stockpile Summary by Stockpile."	

5.03	Progress Vouchers/Pay Estimates FM Guide 5.0a/ Doc X
Does the Contract Documents drawer in Doc Express contain copies of all progress vouchers or pay estimates prepared by the Project Engineer?	

5.04**Proposed Semi-final Voucher/Pay Estimate**

FM Guide 5.0a/ Doc X

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

Comments/ Notes	
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Signature 1	
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Signature 2	
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Signature 3	
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Signature 4	
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Signature 5	
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Signature 6	
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Comments/ Notes	
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