

DOC EXPRESS – IOWA STYLE

INSTRUCTION GUIDE

for

IOWA DOT USERS

JULY, 2016



Iowa DOT Support –

Janet Wastenev –

Office = 641-782-2096 Cell = 641-344-0044

Janet.wastenev@dot.iowa.gov

Dean Herbst –

Office = 712-202-0818 Cell = 515-571-7073

Dean.herbst@dot.iowa.gov

DOC EXPRESS
IOWA DOT
(JULY, 2016)
TABLE OF CONTENTS

NEW USER NEEDS ACCESS	1
CHANGING YOUR ACCOUNT INFORMATION	2
SEE OTHER USERS IN YOUR COMPANY.....	3
ON-LINE HELP.....	4
VIEWING CONTRACTS.....	4
IN ROWS.....	5
IN GRID.....	5
MARK CONTRACT AS A FAVORITE	6
BADGES	6
SEARCH AND FILTER FIELDS	7
SEEING LOCKED CONTRACTS	7
NOTIFICATIONS.....	8
REAL-TIME DRAWER OPTION – TURNED OFF.....	8
REAL-TIME DRAWER OPTION – TURNED ON FOR ALL.....	9
REAL-TIME DRAWER OPTION – SELECTIVELY ON/OFF	9
REAL-TIME REJECTION NOTICES	9
SUMMARY REPORTS.....	9
DASHBOARD.....	10
DRAWER STRUCTURE	
CONTRACT DOCUMENTS	11
PAY ITEMS	11
PAYROLLS	11
CONTRACT MODIFICATIONS	11
WORKING.....	12
SHOP DRAWINGS.....	12
SIGNATURE	12
PLANS.....	13
CONTRACT SIGNING	13
SUBMITTING MULTIPLE DOCUMENTS AT SAME TIME.....	13

INITIAL SCREENS WHEN SUBMITTING DOCUMENTS	14
PAY ITEMS	14
CONTRACT DOCUMENTS	15
PAYROLLS	15
SHOP DRAWINGS.....	15
WORKING	15
PLANS.....	15
CONTRACT MODIFICATIONS	15
SIGNATURE	16
CONTRACT SIGNING	16
 VIEWING ALREADY SUBMITTED DOCUMENTS.....	 16
 DUE DATES.....	 18
DUE DATES FILTER.....	18
 REVERT TRANSITION	 19
 CONTRACT DOCUMENTS – SUBMITTAL & TRANSITIONS	 19
SUBMIT	19
RECEIVE/REJECT.....	21
LOG.....	22
 PAY ITEMS – SUBMITTAL & TRANSITIONS	 23
SUBMIT	23
RECEIVE/REJECT.....	26
LOG.....	28
UPDATE BUTTON- changing types, titles & due dates.....	29
AUDITED STATUS.....	29
CHANGE SEVERAL AT ONCE TO AUDITED STATUS	30
 CONTRACT MODIFICATIONS – SUBMITTAL & TRANSITIONS.....	 31
SUBMIT	31
SIGN & MARK COMPLETE AT SAME TIME.....	32&36
LOG.....	37
SIGNING HISTORY	38
 PAYROLLS – SUBMITTAL & TRANSITIONS	 38
CHECKING PAYROLLS.....	39
RECEIVE/REJECT.....	39
 WORKING – SUBMITTAL & TRANSITIONS.....	 40
SUBMIT	41
LOG.....	43
PUBLISH	43

SHOP DRAWINGS – SUBMITTAL & TRANSITIONS	45
SUBMIT	45
NAMING CONVENTION OF SUBMITTALS	45
TRANSITIONING THE SHOP DRAWING	46
WORK FLOW	47
SIGNATURE – SUBMITTALS & TRANSITIONS	51
SUBMIT	51
SIGNING	52
SIGNING HISTORY	53
PLANS – SUBMITTAL & TRANSITIONS	54
SUBMIT	54
WORK FLOW	55
EXPORTING DATA	63
EXPORT	63
EXPORT – LOG	66
ARCHIVING (hiding) DOCUMENTS	66
ODDS & ENDS	67
APPENDIX A – NAMING CONVENTIONS as of July, 2016	
SUGGESTED NAMING CONVENTIONS	68
APPENDIX B – DRAWER TYPES as of July, 2016	70
CONTRACT DOCUMENTS DRAWER TYPES	70
SIGNATURE DRAWER TYPES	71
SHOP DRAWING DRAWER TYPES	71
PAYROLLS DRAWER ROUTINE TYPES	72
PAY ITEMS DRAWER ROUTINE TYPES	72
GROUPINGS IN PAY ITEMS DRAWER, IF NEEDED	72
CONTRACT SIGNING	73
APPENDIX C – as of 6/1/15	74
MATERIAL DOCUMENTATION CLARIFICATION	
SINGLE DOCUMENT BASIS OF ACCEPTANCE	
MULTIPLE DOCUMENT BASIS OF ACCEPTANCE	

DOC EXPRESS – IOWA STYLE

IOWA DEPARTMENT OF TRANSPORTATION

July, 2016

Want to begin using Doc Express but don't have a password or know how to get into the program? Contact or send a note to either Janet (janet.wasteney@dot.iowa.gov) or Dean (dean.herbst@dot.iowa.gov) stating such. They will, in turn, send you an e-mail such as the one shown below inviting you to join the Iowa DOT group.

DO NOT GO TO THE DOC EXPRESS WEB SITE AND REGISTER ON YOUR OWN. CONTACT DEAN OR JANET AND WAIT FOR YOUR E-MAIL INVITATION TO JOIN THE IOWA DOT ORGANIZATION.

Subject: You've been invited to join Iowa DOT on Info Tech Express.



Info Tech™
INNOVATION AT WORK

Dear Info Tech Express User,

Please click the link below to join Iowa DOT

[Create Account](#)

Note: This link expires at 10/23/2014 01:04 PM CDT

When you receive the e-mail, click on the Create Account link (as shown above) and the following screen will be displayed which you will complete and then click Activate.

Account Activation

Welcome **bobby.dahl@dot.iowa.gov**.
To enroll as a member of Iowa DOT, please complete the form below.

* First Name

* Last Name

* Password

* Password Confirmation

* Question

* Answer

If you forget your password we'll ask you to verify this.

I have read and agreed to [Privacy Policy](#), [Terms of Use](#), and [DMCA Policy](#).

Activate Cancel

Once logged into the Doc Express program you will see the contracts and drawers to which you have been given access. If you feel you are missing one/some contracts and/or drawers or have some you no longer need, let Dean or Janet know.

CHANGING YOUR ACCOUNT INFORMATION –

When you first log in to Doc Express your account information is the first thing you see.

My Account Edit Actions

Jennifer Strunk

jennifer.strunk@dot.iowa.gov

(555) 555-5555

(641) 782-4518

(641) 782-6618

Map Satellite

Google Terms of Use Report a map error

Iowa DOT

800 Lincolnway, Ames, IA 50010
(515) 239-1352

The address and phone number displayed on the right of the screen is the main company's address and is not to be changed by individual users.

You have the option to change your e-mail address, your security challenge question and your password at any time. Do so by clicking the Actions button in the upper right area and a drop down list will be displayed. Simply select the one you want to change and the appropriate screen will be displayed for you to enter your changes.

If you want to change your personal phone and fax numbers (shown on the left side of the screen), click the Edit button and then make the desired changes in the screen displayed (example below). Once again, you cannot change the business name, address, or time zone but you can change the mobile, phone, and fax number fields shown on the left side of the screen

My Account	
* First Name	* Business Name
Jennifer	Iowa DOT
* Last Name	* Business Phone
Strunk	(515) 239-1352
Mobile	* Address1
(555) 555-5555	800 Lincolnway
Phone	Address2
(641) 782-4518	
Fax	* City
(641) 782-6618	Ames
* Time Zone	* State
(GMT-05:00) Eastern Time (US & Canada) <input type="checkbox"/>	Iowa

SEE OTHER USERS IN YOUR COMPANY -

To see others in your company who have access to Doc Express, go to My Account and scroll to the bottom of the screen. A list of users, their e-mail address, and their status (Manager, User, or Reviewer) for your company is displayed. An example is shown below –

Name	Email	Role
Aaron Schwarz	aaron.schwarz@dot.iowa.gov	User
Adam Roberts	adam.roberts@dot.iowa.gov	User
Alan Lightfoot	alan.lightfoot@dot.iowa.gov	User
Alex Crosgrove	alex.crosgrove@dot.iowa.gov	User
Alicia Worden	aworden@snyder-associates.com	User
Anthony Blint	anthony.blint@dot.iowa.gov	User
April Concepcion	april.concepcion@dot.iowa.gov	User
Arlene McCumber	arlene.mccumber@dot.iowa.gov	User
Barb Harrill	barbara.harrill@dot.iowa.gov	User
Barb Thiesen	barbara.thiesen@dot.iowa.gov	User
Baron Hannah	baron.hannah@dot.iowa.gov	User
Barton Hofeldt	barton.hofeldt@dot.iowa.gov	User
Ben Behnami	ben.behnami@dot.iowa.gov	User
Ben Hucker	benjamin.hucker@dot.iowa.gov	User
Ben Sourwine	benjamin.sourwine@dot.iowa.gov	User
Bill Dotlar	william.dotlar@dot.iowa.gov	User

If you are in the Doc Express program (where the contracts are listed) and aren't sure how to get to My Account, click on the horizontal lines in the far upper left area of the screen and select it from the drop down list

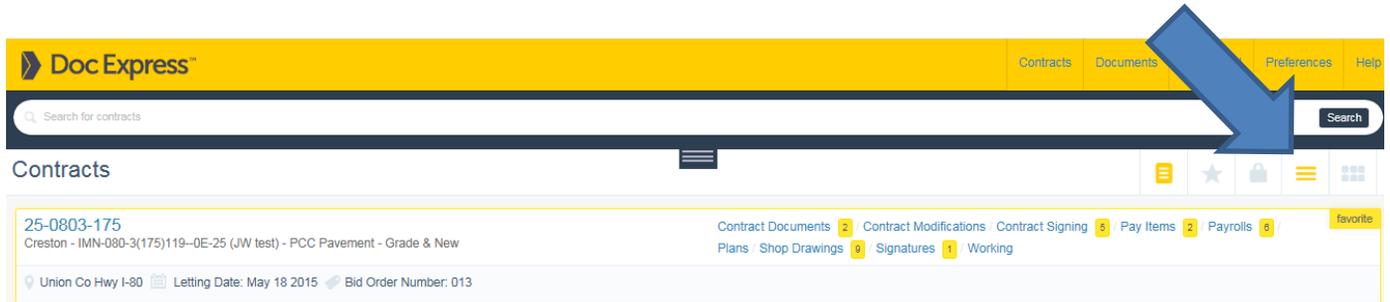
ON-LINE HELP –

There is on-line help within the program that you can access by clicking on the word “Help” in the upper right corner of every screen once you are in the Doc Express program. Although this is an excellent resource, if you need to talk to a local support person, contact either Dean Herbst – dean.herbst@dot.iowa.gov (Office – 712-202-0818, Cell – 515-571-7073) or Janet Wastenev – janet.wastenev@dot.iowa.gov (Office – 641-782-2096, Cell – 641-344-0044)

VIEWING CONTRACTS -

There are 2 views from which to select when viewing the list of contracts. The first (shown below) is similar to the previous version of Doc Express in that the contracts are

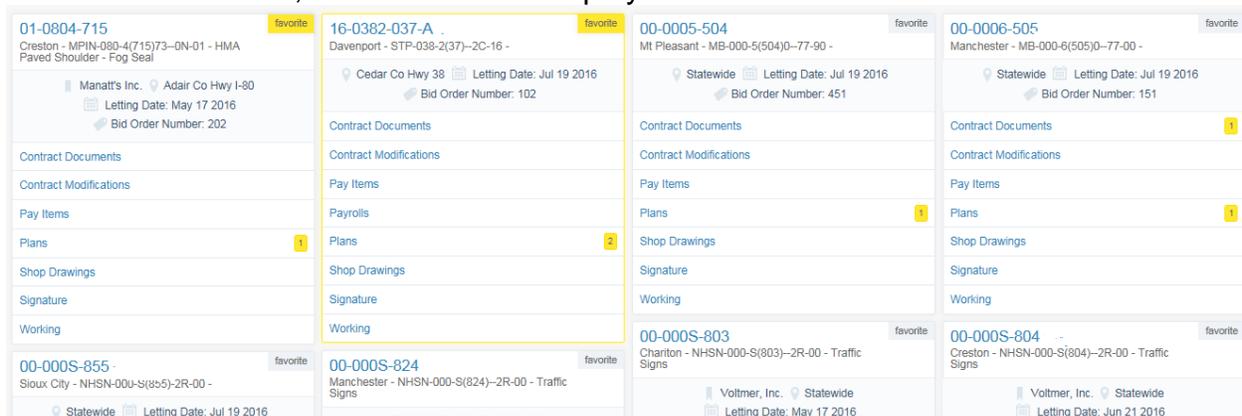
listed in rows, one below the other. The type of view displayed is due to the choice selected shown in yellow (3 horizontal lines) in the following graphic in the upper right area of the screen, just below the Search button.



Notice that the contract information is on the left and the drawers are listed on the right.

There are some icons displayed just above the drawer location when in the row view. These icons represent the same options as what you would find in the Filter area – just an easier and quicker way to select them. By putting your cursor over them, what they are for will be displayed.

The other choice for viewing the contracts, shown below, is the grid view. This option displays the contracts in grids with all information within that contract's grid. Notice that the 4 squares just to the right of the arrow in the above graphic is what determined this look. With this view, the drawers are displayed below the contract information.



There is no right or wrong view choice – it's strictly a personal preference. The same contract information is displayed no matter which view is selected, just with a bit different look.

The contract ID is displayed first as the title.

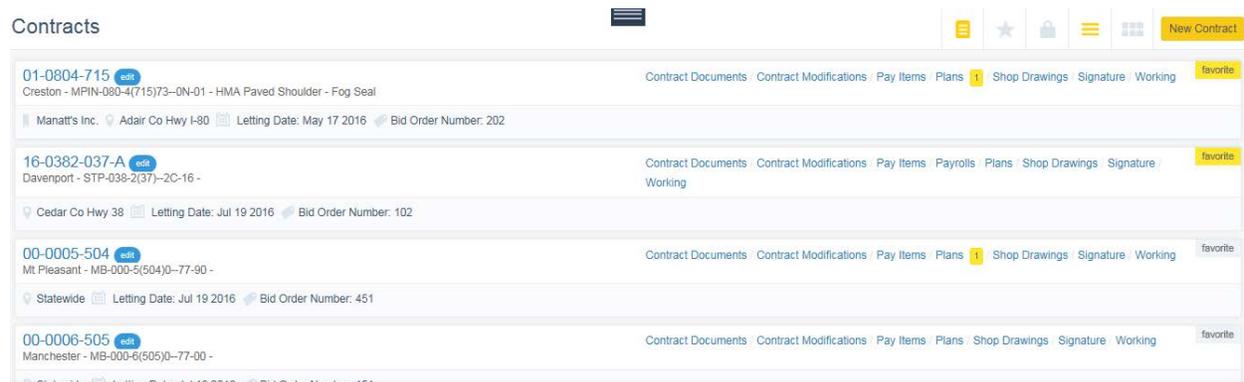
Below the contract ID is the DOT Residency in charge of the contract followed by the project number(s). If there are multiple projects, the main project number will be shown in its entirety with the additional projects being displayed with the highway number (if

different from the main project number) followed by the paren number for each project with each project separated by a comma. Next shown is the description of the contract as shown on the contract document.

Additional details show the prime contractor's name, the county name, highway number, letting date and bid order number. All the drawers available for that particular contract to which you have access are displayed either to the right or below the contract information, depending on the view you have chosen.

FAVORITE CONTRACT –

If you have access to several contracts but you are working with 1 all the time and really don't need to see the others, you have the option to mark 1 or more contracts as your favorite. To do so, find the word "favorite" to the far right of the contract information. When you click on it, it will turn yellow so you can easily see that it has been marked as a favorite. See below.



Contracts marked as a favorite will automatically be moved to the top of the list of contracts and sorted, by default, by contract ID followed by all other contracts also sorted by contract ID.

One of the filters available allows you to display only the contracts marked as a favorite. By using that filter option, the favorite contracts will be displayed and the others will be hidden. If you no longer want a contract marked as a favorite, simply click on the word "favorite" again and the contract will revert back to its original position in the list of contracts and no longer be marked as a favorite.

There is a summary notification (Preferences > Notifications) which will display data for only the contracts you have marked as your favorite.

BADGES -

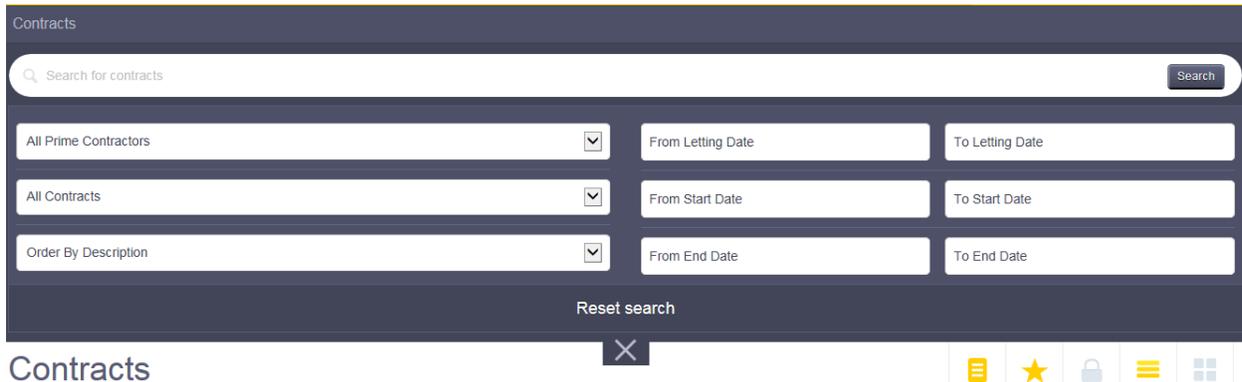
If you see a badge with a number in it beside a drawer (see previous graphic), that reflects the number of documents in that drawer with the submitted status. For instance, if the badge has a 2 in it, there are 2 different submittals that have been

submitted but nothing else done. This is an easy way to see what contracts and what drawers have a need for some action to be taken. Having this badge displayed is automatic and is not dependent on any other choices made within the program.

SEARCH and FILTER - Filter fields are dependent on the screen you are viewing. The search field is visible on most screens but, by default, the filter fields are hidden. By clicking on the horizontal lines (where the X is now shown below), the filter fields are displayed. You can filter on 1 or more fields at the same time.

The graphic below displays the search and filter fields available when viewing the list or grid of contracts.

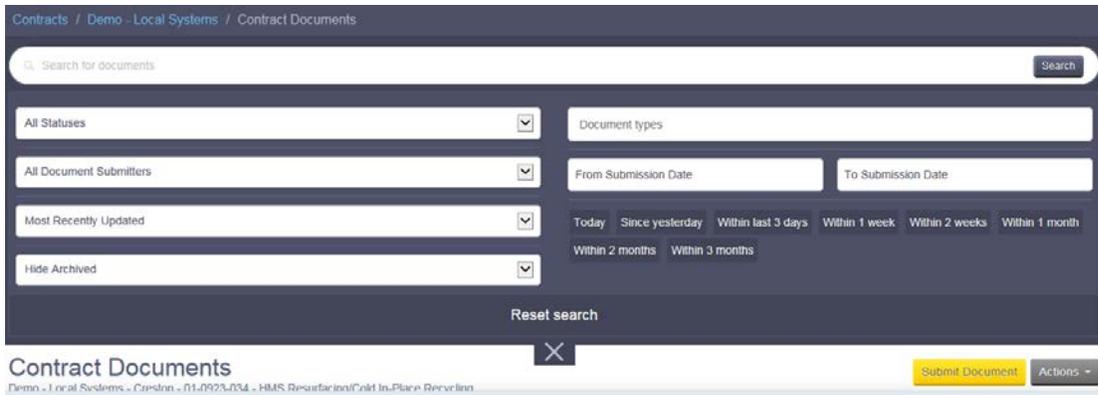
If you filter on different types one right after the other, be sure to allow the list of submittals time to refresh before selecting the next type to filter on.



SEEING LOCKED CONTRACTS -

By default, the contracts screen will show only all active contracts. If you want to see only the locked contracts, simply change the filter field from All Contracts to Locked.

As stated previously, the filter fields available are dependent on the screen you are viewing. The following graphic displays the search and filter fields available when viewing a drawer. By clicking in the Document Types field, only those types (we formerly referred to them as folders) in that drawer that have had a submittal made will be displayed. The only way to see the entire list of possible types in a drawer is to pretend to submit a document and click in the Types field. The list of types in each drawer is also shown in Appendix B of this guide.

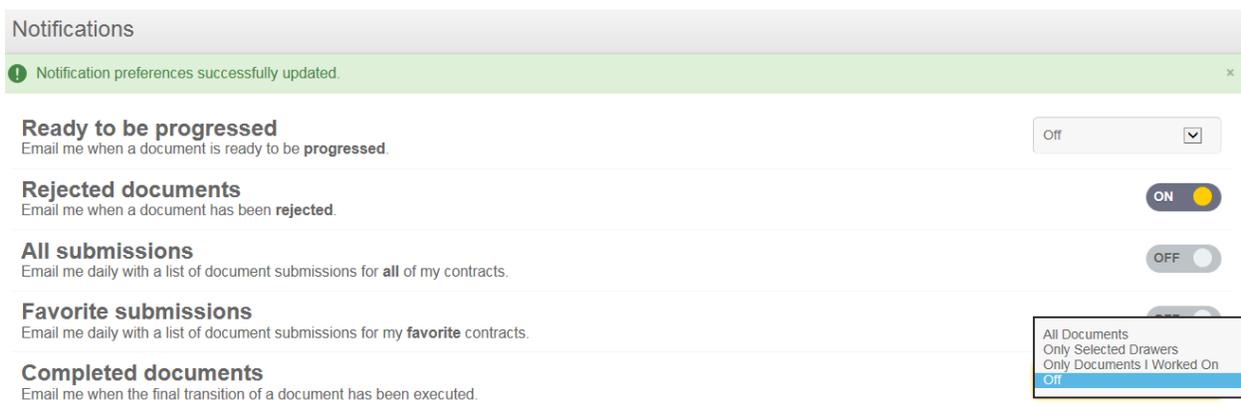


If you choose to no longer have any of the filter fields visible, click on the X below them and they will be hidden once again. The search field will remain visible. If you wish to clear all filters, click “Reset search”

NOTIFICATION –

When a submittal is made, you have the option to be notified in real time for each drawer you choose. You also have a choice of receiving notifications when documents are rejected and/or also to be notified daily for either all submittals or only for submittals made to contracts marked as your favorite. These notifications are strictly your choice and can be changed as you wish. Realize these are global preferences which means you can’t opt out for 1 contract and opt in for another. To find the location for notifications, click on Preferences (directly to the far right of the Doc Express header) and then Notifications. A screen as shown below will be displayed.

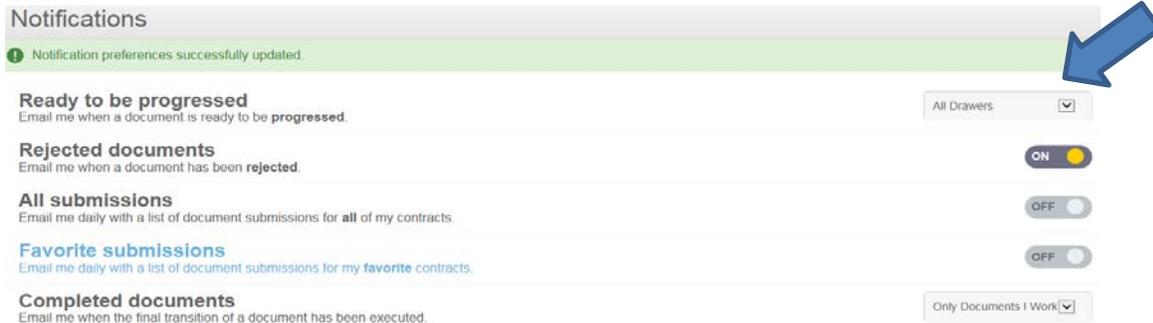
You can choose the specific drawers for which you want to be notified real time when a document within it is Ready to be progressed (top option) or when it is a Completed document (bottom option). Likewise, you can choose whether or not you want rejected notifications and/or daily notifications for all contracts or just those marked as your favorite.



The graphic above shows that the option to receive real time notifications when a submittal is ready to be progressed is turned off for every drawer and contract. It also shows the options

available for receiving notifications for the Completed documents.

The graphic below shows that the option to receive real time notifications is turned on for every drawer and also turned on for receiving rejected notifications but not for summary reports. The Completed documents option is turned on for Only Documents I Worked On which means you'll be notified only if you had an active part in the document such as submitting, signing, receiving, etc. it



Notifications

Notification preferences successfully updated.

Ready to be progressed
Email me when a document is ready to be progressed. All Drawers

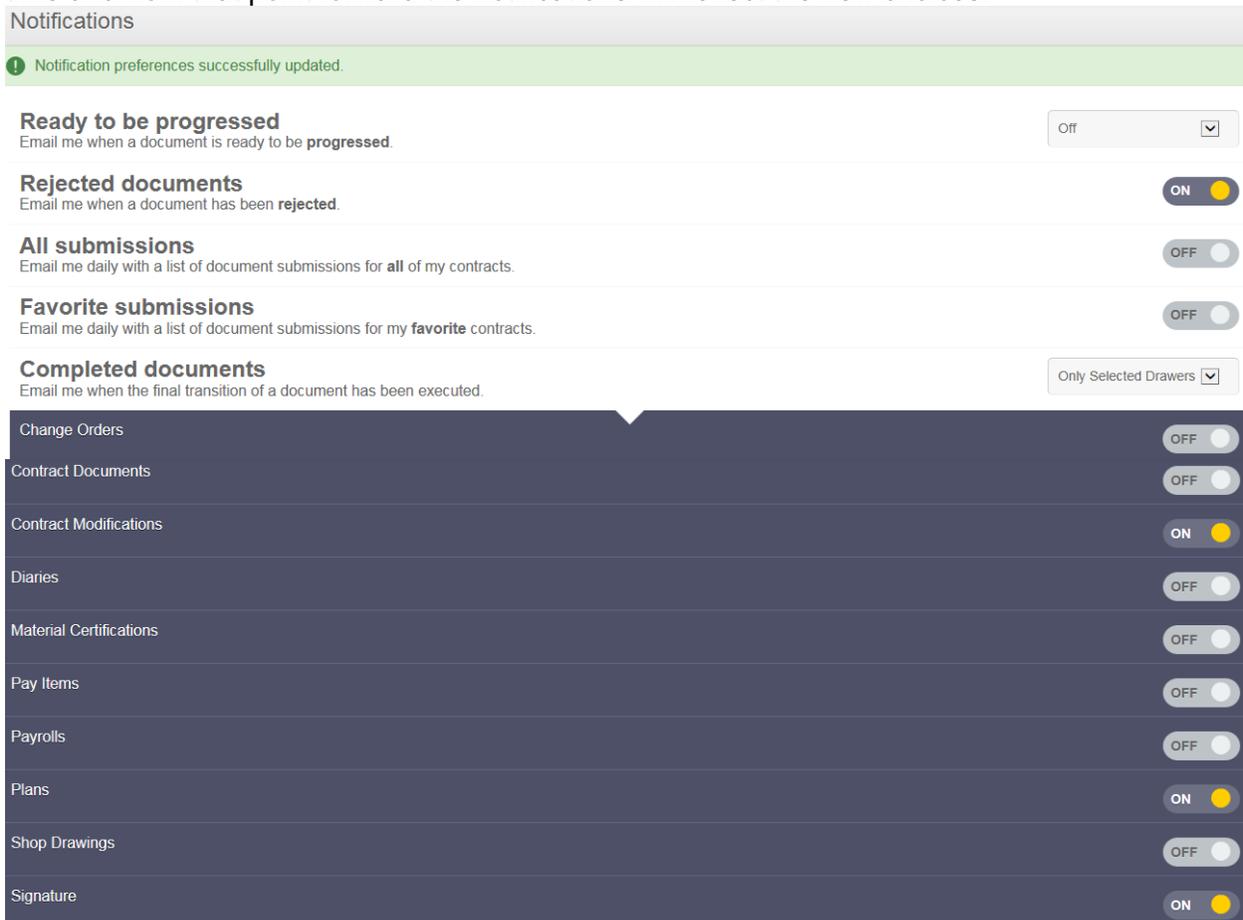
Rejected documents
Email me when a document has been rejected. ON

All submissions
Email me daily with a list of document submissions for all of my contracts. OFF

Favorite submissions
Email me daily with a list of document submissions for my favorite contracts. OFF

Completed documents
Email me when the final transition of a document has been executed. Only Documents I Worked On

The following graphic shows that the option to receive real time notifications is turned off for every drawer for the Ready to be progressed option, turned on for the Rejected documents option but turned off for all other options except Completed documents where only the selected drawers have had the notification option turned on. All these choices can be changed at any time and from that point forward the notifications will reflect the new choices.



Notifications

Notification preferences successfully updated.

Ready to be progressed
Email me when a document is ready to be progressed. Off

Rejected documents
Email me when a document has been rejected. ON

All submissions
Email me daily with a list of document submissions for all of my contracts. OFF

Favorite submissions
Email me daily with a list of document submissions for my favorite contracts. OFF

Completed documents
Email me when the final transition of a document has been executed. Only Selected Drawers

Change Orders	OFF
Contract Documents	OFF
Contract Modifications	ON
Diaries	OFF
Material Certifications	OFF
Pay Items	OFF
Payrolls	OFF
Plans	ON
Shop Drawings	OFF
Signature	ON

Once again, there is no right or wrong – these are strictly personal preference. What might be helpful to you might not be helpful to another user.

DOCUMENTS –



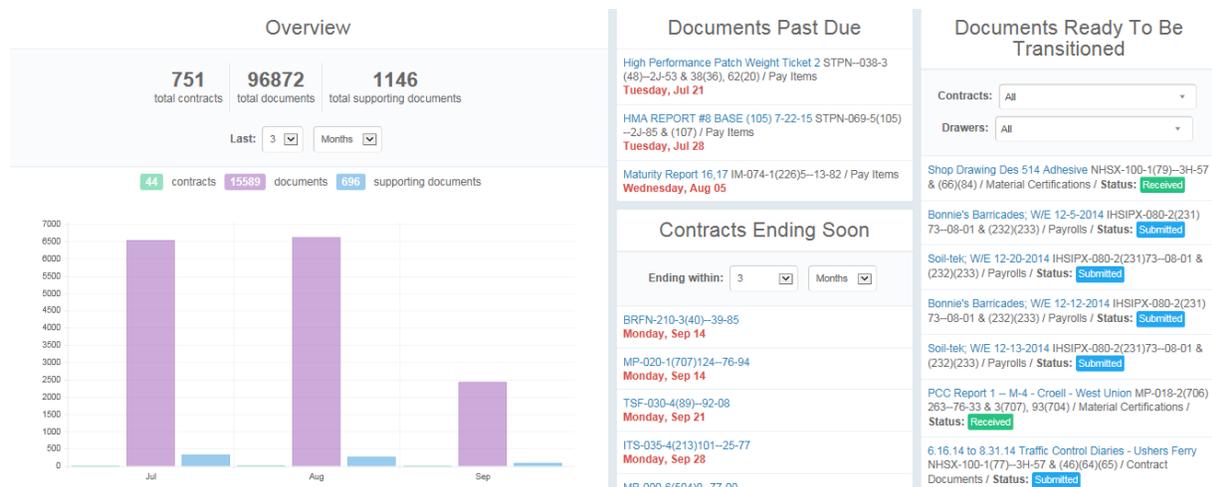
In the upper right area of the screen when viewing the list of contracts, there is an option called “Documents” (as shown in the above graphic). By clicking on this word, every document that has been submitted to every contract to which you have access will be displayed in chronological order with the most current being shown first. By opening the filter, clicking in the Document Types field, and then selecting a specific type(s), the list will be limited to only the type selected.

DASHBOARD –

In the same area (shown above) as the Documents option, there is a Dashboard option.

If you click on Dashboard, a screen similar to the following will be displayed. Besides the numbers displayed, there is an overview of contracts/documents submitted and 3 lists –

- 1 showing all documents ready to be transitioned. This, by default, includes all documents in all contracts in your list that are not completed. Displayed along with the contract information is the status of the document – color coded, no less!! You can filter this list to a specific contract and/or drawer.
- 1 showing all documents that are past due. This list includes only those contracts/drawers/documents where a due date has been entered. More on due dates starting on Page 18.
- The Contracts Ending soon option is what we’re using to display the Late Start Date instead - you can determine the number of months to include in that filter.



DRAWER STRUCTURE -

Contract Documents –

Holds all files in their appropriate type that are necessary for project files

The Submit process is typically done by a DOT user although others who have access to this drawer can also submit if appropriate.

A submittal can be linked simultaneously to 1 or more types in the drawer

The Receive process must be done by DOT personnel.

Pay Items –

Holds files pertaining to pay items in the project

There are a few routine types listed first for every contract with the rest of the types being totally dependent on the pay items in the contract. Every item in the contract is included as a type in this drawer.

A submittal(s) can be linked simultaneously to 1 or more types

The Submittal of documents can be done by any user (contractor, supplier, or DOT user) with access to the drawer

The Receive process of documents is typically done by the RCE Inspector but can be done by any DOT user.

The transition to Audited is to be done by the materials personnel in the DOT

Payrolls –

Holds payroll documentation required on Federal Aid projects

Submittals in this drawer are normally done only by the Prime Contractor

Submittals are made to the appropriate type, with the prime and each subcontractor having a type in this drawer

Prior to Receiving, the RCE Office Staff enters a remark in the Comments field that the payroll has been checked

The Receive process is done by the RCE Office Staff

Contract Modifications –

This is the location of contract modifications that were created in FieldManager and submitted to this drawer to be signed.

Document is submitted by the RCE Office Staff

When the cont mod is initially submitted, the contractor will be notified of such so they can sign if they have their real time or summary notifications turned on for this drawer

With each additional signature, a notification is automatically sent to those who can transition the document to another level

Once the last required signature (DCE) or the last optional signature (Central Construction or FHWA) is obtained, they will be asked if they would like to mark the cont mod Completed. If no more signatures need to be obtained, they should answer “yes” and the contract modification will be changed to Completed. If more signatures are required, they should NOT mark it Completed and notifications will be sent as usual.

When the status is Completed in Doc Express, the cont mod should be approved in the FieldManager program

The cont mods remain in the Contract Modification drawer along with the log of activity and signatures.

Whether viewing or printing the cont mod, a Signature History page that displays, among other things, everyone who signed and when they signed is permanently attached.

Working –

Allows documents to be submitted, reviewed, modified, and re-submitted
PDF documents should not be submitted to this drawer since they can't be edited

Anyone can submit documents and begin the review process

Changing the submittal to Completed is done only by a DOT user

The Completed document is published (moved) to a drawer and type only by a DOT user where the document will have an initial status of Submitted.

The final iteration of the "Submitted" document just published should be Received by a DOT user.

All iterations of the document and the log of activity remain in the Working drawer with a status of Published.

Shop Drawings –

Allows shop drawings to be submitted, reviewed, modified, and re-submitted

The prime or the subcontractor submits drawings to begin the review process

They should use the naming convention as shown on Page 35 of the Contractor/Supplier User Guide and also on Page 45 of this guide.

Only DOT personnel (or a user acting on behalf of the DOT) can transition the status to anything other than Submitted

If the submittal's transition requires a re-submittal, the contractor should re-submit over the original and NOT as a new submittal.

Each time the submittal's status changes or it is re-submitted, a notification is automatically sent to those with access to the drawer so they know the document is ready to be reviewed, and/or transitioned.

The final shop drawing submittal and all previous iterations of that document remain in the Shop Drawings drawer along with a log of all transitions.

Signature -

Normally a DOT user submits the document to be signed although there are a few cases where another user can also submit

Who signs is dependent on the form to be signed. Some forms will require only one signature and others will require multiple signatures

If a contractor signs a form but didn't need to, they can revert their signature or it can remain there. Either way is OK.

Unlike the contract modification drawer, there is no specific order in which signatures must be obtained.

Even though there are lines for all potential signatures displayed on the signature page, every signature is not required for every form

The signed form remains in this drawer for the life of the contract

Plans –

The RCE Office is responsible to submit the “As Advertised” set of plans to this drawer

If there are any changes in the “As Let” set of plans from the “As Advertised” set, the Office of Contracts will submit them which will result in the new set being displayed on top.

As the plans are updated/changed after the letting, the RCE Office is notified and submits those updated plans so everyone has and is using the most current set of plans available

When the contract is finished, the most current set of plans should be Published to the Project Plans type in the Contract Documents drawer by a DOT user.

Contract Signing –

The Office of Contracts will submit all documents to this drawer and will transition as needed. At the time of this writing, only the prime contractor, FHWA, as well as the ERMS and Contract-Signing groups have access to this drawer.

All signatures on the contract and verifying the performance bond is done within this drawer

DOT users will continue to know when a contract is signed by the Award Letter sent by the Office of Contracts and/or when Janet sends an e-mail stating the final setup of the contract has been done in Doc Express.

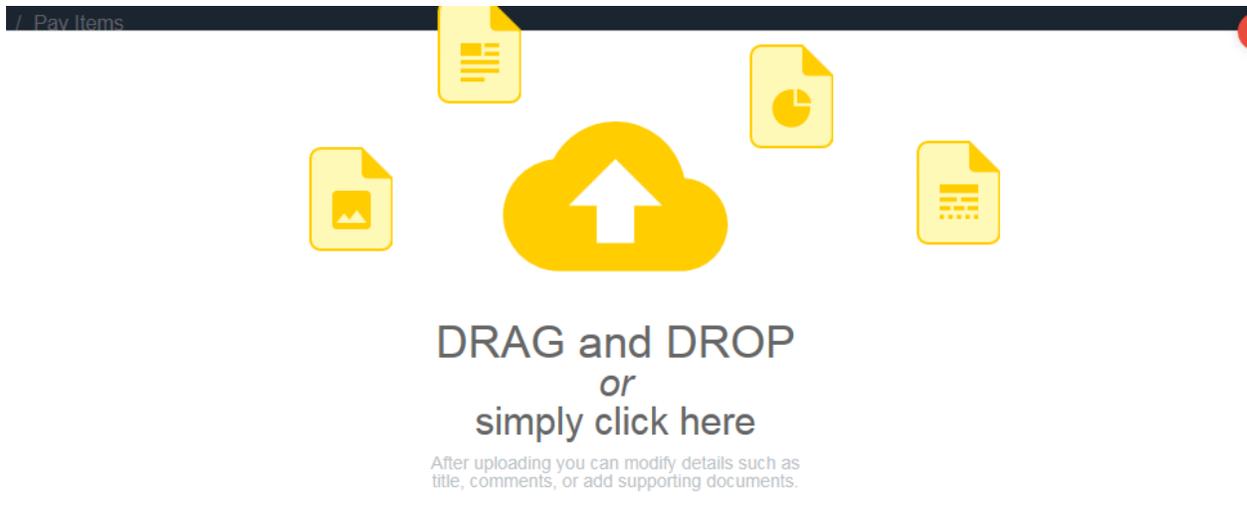
IF access to this drawer is available in the future (& that’s up to the Office of Contracts to determine) you must view only. **Do not sign or transition anything.**

SUBMITTING MULTIPLE DOCUMENTS AT THE SAME TIME –

The example below is for the Payrolls drawer but the process is the same for all drawers.

In many of the drawers, you not only have the option to submit 1 document and link it to multiple types but you can now submit multiple documents at once and link them all to one or multiple types. To do so, click on the Submit Document button and then click on the “Want to Upload Multiple Documents?” The following graphic will be displayed. Click on the arrow to choose to submit multiple documents at once.

The name of each file is the title of that respective submittal.

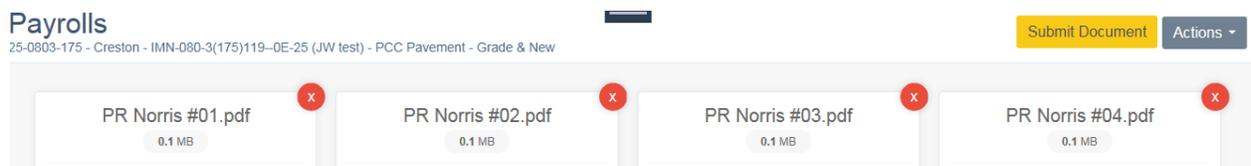


If you prefer to submit a **single file** [click here](#).

Go to and highlight the documents to submit, then click Open.

Select the type(s) and then “sign” by checking the box and click Save.

Each of the multiple documents will be shown (see below) while they are being submitted and then will disappear as they are each displayed as individual submittals in the drawer with each having a status of Submitted.



INITIAL SCREENS WHEN SUBMITTING A DOCUMENT

For the Pay Items Drawer

To submit a document, first select the contract and the Pay Items drawer and then click the Submit Document button. After you click the Submit Document button, the screen below is displayed.

Contracts / 57-1001-039 / Pay Items / New Document

Want to Upload Multiple Documents?

New Document Save

* Title Comment

* Types
Choose one or more document types

* Attachment

Enter text instead of attaching a document?

Supporting Documents
Add a supporting document?

By checking this box I am electronically signing the attached document.

Contract Documents, Payrolls, & Shop Drawing submittals –

The submittal screen for each of these drawers looks the same as above but without the signature line.

Working Drawer and Plans Drawer submittals –

As seen below, these drawers have no type or signature required when submitting a new document.

Contracts / 57-1001-039 / Working / New Document

Want to Upload Multiple Documents?

New Document Save

* Title Comment

* Attachment

Enter text instead of attaching a document?

Supporting Documents
Add a supporting document?

Contract Modification Drawer submittals –

The original submittal screen for this drawer is the same as above except it has no option for text instead of a document submittal and it requires only a pdf file to be attached. Even though the initial submittal does not require one, signatures are required for every transition following that. The signature requires the signer to type in their name as well as put a checkmark in the box. The signature must match the user logged into the program.

Contracts / 57-1001-039 / Contract Modifications / New Document

Want to Upload Multiple Documents?

New Document Save

* Title Comment

* Attachment

Only PDF files are allowed in this drawer

Supporting Documents
Add a supporting document?

Signature Drawer submittals -

This submittal screen is very similar to the Contract Documents and Shop Drawing drawers except for 2 things – (1) you cannot enter text instead of attaching a document and (2) only PDF files are allowed in the drawer.

Contracts / 57-1001-039 / Signature / New Document

Want to Upload Multiple Documents?

New Document Save

* Title Comment

* Types

Choose one or more document types

* Attachment

Only PDF files are allowed in this drawer

Supporting Documents
Add a supporting document?

Notice that in ALL submittal screens you have an option to add Supporting Documents. This is simply additional documentation for the original submittal. If there is Supporting Documents added, it will be displayed when viewing the list of documents for any given drawer.

Contract Signing –

ONLY the Office of Contracts and the prime contractor will submit documents to this drawer and at this time ONLY they will have access to this drawer.

VIEWING ALREADY SUBMITTED DOCUMENTS –

The prime contractor and DOT users can open and view every document that has been submitted to every drawer to which they have access. Subcontractors and suppliers; however, can open documents only if they have either submitted the document or have been given permission to do so for the contract at the drawer level. Even if they can't open the document, they can still see the entire list of submittals.

When viewing the list of submittals, the top line of each submittal displays the title given to the document by the submitter and just to the right of that name, the type(s) to which the submittal has been linked. And, if the final status for the document hasn't been reached, there is an Update option where you can change the name of the title and

adjust the type(s) to which the document has been linked. Just below that is the company responsible for the submittal. Below that is the due date if one was entered.

No one, including the submitter, can change the contents of the document while it is in Doc Express.

Just above the date the number of comments for the submittal and the number of supporting documents are displayed. In order to see the entire log, click the arrow on the right side of the screen under the status.

In the far left column is the date of the submittal or transition that took place. Just to the right of that date is the time and the status of the submittal. Just under that are comments that were made during that particular transition of the document. And, finally, on the bottom line is the company name followed by the user name of the person responsible for that transition.

The screenshot shows a web interface for 'Contract Documents'. At the top, there is a header with the text 'Contract Documents' and a small blue bar. Below the header, there is a navigation bar with 'Submit Document' and 'Actions' buttons. The main content area displays two document entries. The first entry is 'Schedule prime' with a status of 'Submitted'. It shows a message: 'Schedule is now overdue. The due date was Friday, Jul 08.' Below this, there is a comment log for July 11, 2016, at 12:35 PM EDT, stating 'Revised and updated schedule must be submitted' by Iowa DOT - Janet Wastoney. The second entry is 'Est 01' with a status of 'Submitted'. It shows a comment log for July 11, 2016, at 12:16 PM EDT, stating 'Version 1 (current)' by Iowa DOT - Janet Wastoney. Both entries have 'Transition' and 'Actions' dropdown menus on the right side.

To the far right, in color, is the status of the submittal – the status options vary depending on the drawer and the access of the user. Below the status is a possible transition which is dependent on the current status of the submittal as well as the access of the user who is logged in to the program. For instance, if the status is Received, that’s the “end of the road” in most drawers. The Pay Items drawer; however, also has an Audited status following the Received status after which there will be no more possible transitions shown. However, if the status is, for instance, Rejected, then there is a transition option to Resubmit Document.

If the status is anything other than Submitted, there is an arrow below the status. By clicking on that arrow, the log of all transitions on the left side of the screen will be expanded. If the status is Submitted, the submittal shown on the left side of the screen is the only one so there is no arrow displayed.

By default, the most current transition is always displayed with the rest “hidden” until the arrow expands the list. If the list is expanded, to hide all but the most current, simply click on the arrow once again.

DUE DATES –

You as a DOT user can enter a due date for a document you or anyone else submits in a drawer. **After the submittal is saved, you can enter and/or change a due date** by either clicking on Actions > Edit Due Date or by clicking on the Update button.

The screenshot shows the 'Contract Documents' interface. At the top, there is a header with 'Contract Documents' on the left, a search bar in the center, and 'Submit Document' and 'Actions' buttons on the right. Below the header, there are two document entries. The first entry is titled 'Schedule prime' and is marked as 'Submitted'. It shows a status of 'Schedule is now overdue. The due date was Friday, Jul 08.' and a comment from 'Iowa DOT - Janet Westseny' dated 'Jul 11 2016' at '12:35 PM EDT' stating 'Revised and updated schedule must be submitted'. The second entry is titled 'Est 01' and is also marked as 'Submitted'. It shows a status of 'Submitted' and a comment from 'Iowa DOT - Janet Westseny' dated 'Jul 11 2016' at '12:16 PM EDT' stating 'Version 1 (current)'.

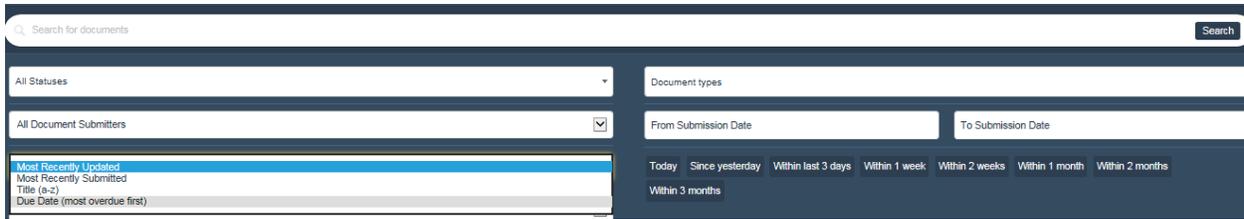
Either method will take you to the screen similar to what is shown below

The screenshot shows the 'Update' form for a document. The form has a title field with the value 'Schedule'. Below the title field is a 'Due date' field with the value '07/08/2016'. Below the due date field is a 'Types' field with a dropdown menu showing 'Project Schedule'. At the bottom of the form are 'Save' and 'Cancel' buttons.

The due date can be changed as many times as needed. Each time it is changed that activity will be included in the log for that document. The due date and other details are displayed below the title of the document when viewing the submittals for a drawer.

As shown previously on Page 10, the Dashboard contains a list of documents with past due dates for every contract to which you have access.

There is also a filter (shown below) where you can select to see the order by due date with the most overdue listed first followed by others with a due date and lastly by those with no due date.



REVERT TRANSITION –

If the status is Submitted, the submitter (& only the submitter) can remove the document by clicking on Actions > Remove. If the status is anything other than Submitted, the document cannot be removed.

However, if the document status is anything but Submitted, the person who last transitioned the document can revert the transition – similar to an un-do. This will revert the document back to the previous status. The Revert Transition option can be done multiple times if necessary but the document cannot be removed even if reverted back to Submitted status since there has been activity after it was originally submitted.

The Revert Transition option is available for any document not in the Submitted status by clicking on Actions

CONTRACT DOCUMENTS DRAWER - SUBMITTAL & TRANSITIONS

Click on the Contract Documents drawer beside or below (depending on your choice of view) the appropriate contract. A list of all previously submitted documents are displayed with, by default, the most recently updated being at the top of the list. The order of the list can be changed by opening the filter section (clicking on the horizontal lines below the search field) and changing that option.

SUBMIT -

Click the Submit Document button and enter the appropriate information in the title field and then select the appropriate type(s). **(If a number is used in the title, it should be 2 digits and if a date is in the title, it should be 6 digits. Suggested naming conventions for documents submitted to this and other drawers are in Appendix A.)** To select a type, put the cursor in that field and the list of types for that drawer will automatically be displayed (a scroll bar is on the right to see additional types). You can multi-select types so if, for instance, a submittal should be linked to 2 types, you can select both types at once during this process.

 A screenshot of the "New Document" form. At the top right, there is a "Save" button. The form contains:

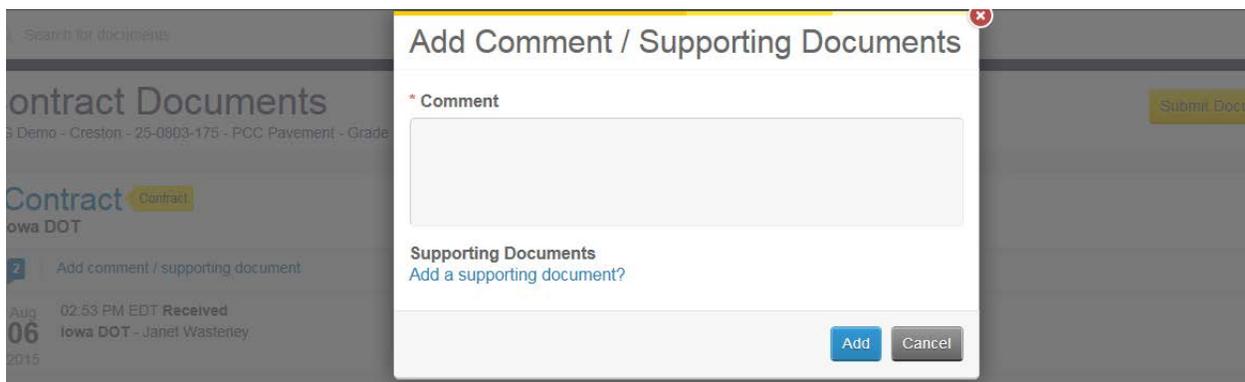
- A "Title" input field.
- A "Comment" text area.
- A "Types" dropdown menu that is open, showing a list of document types:
 - Addendum (highlighted in yellow)
 - Agreements for Private Property Used by Contractor (Construction Manual 2.26)
 - Asbestos Abatement Report
 - Clean Water Act Section 404 Permit
 - Construction Pay Estimate
 - Contract

Add Supporting Documents (additional documentation for the submittal), if desired.

Browse to the location of the attachment and select it. Remember, you can also submit multiple documents at the same time to the same type(s). Make a comment in that field if desired and then click the Save button. Saving the document will return you to the list of submittals with this new one(s) being at the top of the list.

At this point you as the submitter can remove the document if you wish. However, once any change is made such as a comment, the title changed or the submittal has been transitioned, neither you nor anyone else can delete it. However, if that does happen or it's received, etc., contact Dean or Janet and they can "archive" the document. Archiving the document doesn't delete it but actually hides it so it remains a part of the contract – but just is "out of sight, out of mind!".

If you or someone else wants to make an additional comment or add supporting documentation to this submittal, click Add a new comment and another window (shown below) will be displayed where you can enter and then add your comment.



Upon clicking the Add button, your comment becomes part of the record for this submittal and the number in front of the comments is increased by one.

You have the option until the status is Received to change some parts of documents no matter who originally submitted them. For instance - -

- ** If the document was submitted to the wrong type in the drawer and/or should be added to another, you can move and/or add it to the appropriate type **IN THE SAME DRAWER**.

- ** If the title of the document is incorrect and should be changed, you can change it

- ** If the due date should be changed, you can change it

To do so, click on the word "update" just to the right of the type.



The following screen will be displayed where you can change the title of the document, change the due date, change, add to, or remove types for the submittal and then press the Save button.

A screenshot of an 'Update' dialog box. The title is 'Update'. There is a red close button in the top right corner. The first field is labeled '* Title' and contains 'Est 01'. The second field is labeled 'Due date' and is empty. The third field is labeled 'Types' and contains 'x Construction Pay Estimate'. At the bottom right, there are two buttons: 'Save' (yellow) and 'Cancel' (grey).

As mentioned previously, no matter the status of the document, either Dean or Janet can “archive” any document. That process moves it from the normal list to a hidden list which can be viewed by opening the filter and changing from Hide Archived to Show Archived. To return to the entire list of submittals in the drawer, change the filter back to Hide Archived.

RECEIVE / REJECT

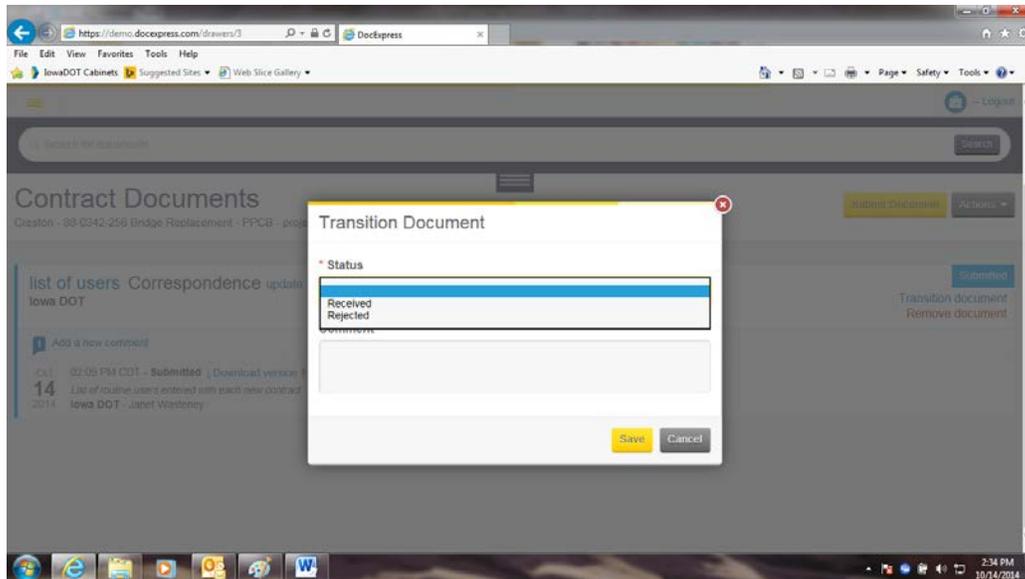
Prior to selecting the transition, you should open the document and view it to be sure it is correct. When you select Received, you are stating that you have looked at it and the submittal is correct and in the appropriate type. All is good! In some cases, you may very well be both the submitter and the receiver of the document.

If you look at the submittal and the document itself is not correct AND there has not been a comment made, you have some choices –

1. If you were NOT the submitter, reject the submittal – everyone with access to that drawer will automatically be notified of the rejection if they have that notification option on
2. Call the person who submitted the document and have them remove it and re-submit it correctly. Remember, this can only be done by the submitter if no comments or transitions have occurred.
3. If you were the submitter, remove the document and re-submit it correctly

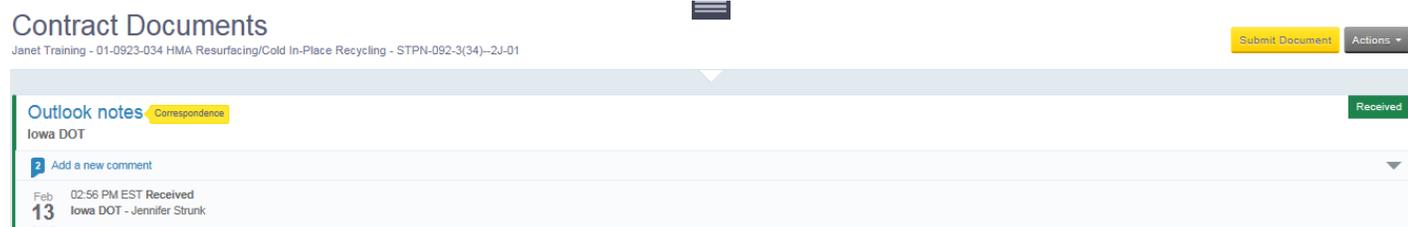
Choosing which one to do can be dependent on a number of things such as the number of times an incorrect submittal has been made by that user. Bottom line, it's up to you as to which option you choose for an incorrect submittal. Just be sure to NOT Receive it if it's incorrect!!

If you want to either Receive or Reject the submittal and possibly make a comment during that process, click "Transition" (under the status). "Remove" is an option under Actions and is available only if you were the original submitter and there has been no comment made or transition done.



Once you select either Received or Rejected in the Contract Documents drawer and then click Save, the submittal is a "done deal" – no changing it or removing it. Upon "Save", the screen reverts back to display the list of all the submittals made to date for that drawer, including this one.

LOG –



Above is an example of the submittal in a collapsed view. Notice the arrow to the far right of the submittal is pointed down. That means the submittal is being displayed in a collapsed view.

If the submittal had been linked to more than 1 type, all types would be listed following the title. In the example above, Correspondence is displayed and, if there was another type linked to this same submittal, it would be displayed beside the Correspondence type.

Below is an example of the same submittal as shown in the previous graphic but with all transitions being displayed. When all the transitions are displayed, the arrow mentioned above is pointed up.

Contract Documents

Janet Training - 01-0923-034 HMA Resurfacing/Cold In-Place Recycling - STPN-092-3(34)--2J-01

Submit Document Actions

Outlook notes Correspondence Received

Iowa DOT

2 Add a new comment

Feb 13 02:56 PM EST Received
Iowa DOT - Jennifer Strunk
2015

Feb 13 02:56 PM EST Submitted
Download version 1
Iowa DOT - Jennifer Strunk
2015

PAY ITEMS DRAWER - SUBMITTALS & TRANSITIONS

Click on the Pay Items drawer beside or below the appropriate contract. A list of all previously submitted documents to this drawer are displayed with, by default, the most recently updated being at the top of the list. The order of the list can be changed by opening the filter section (clicking on the horizontal lines below the search field) and changing the default of Most Recently Updated to a different choice.

SUBMIT -

Click the Submit Document button and enter a descriptive title that explains the document and then select the appropriate type(s). **(If a number is used in the title, it should be 2 digits and if a date is in the title, it should be 6 digits. Suggested naming conventions for documents submitted to this and other drawers are in Appendix A.)** To select a type, put the cursor in that field and the list of types will automatically be displayed (a scroll bar on the right to see additional types). You can multi-select types so if, for instance, a submittal should be linked to 2 types, you can select both types at once during this process. The top few types in the drawer are the same for every contract with the rest of the types being totally dependent on the contract. Remember, you can also submit multiple documents at the same time to the same type(s). (Page 13 for more detail)

New Document Save

* Title

Comment

* Types

- Central Materials Input
- Contract Modification Item Certs
- District Materials Input
- Materials Acceptance Report
- Materials Source Report

■ By checking this box I am electronically signing the attached document.

Following the routine types, every pay item in the contract is listed. Those items are followed by “groupings” for HMA Items, PCC Paving, PCC Structure and/or Pile Driving Information, if appropriate.

Add Supporting Documents (additional information for the submittal) if desired and also a comment if desired. Neither is required.

Before the submittal can be saved, you must electronically sign the document by checking the “box”. See below –

New Document Save

* Title

Comment

* Types

Materials Source Report x

* Attachment

C:\Doc Express DOT Tra

[Enter text instead of attaching a document?](#)

Supporting Documents

[Add a supporting document?](#)

■ By checking this box I am electronically signing the attached document.

If you click the Save button without “signing” the submittal, the following screen will be displayed. If this happens, simply check the box for the signature and then click Save again.

New Document Save

! Signature agreement must be confirmed x

* Title

* Types

* Attachment

Enter text instead of attaching a document?

Supporting Documents
[Add a supporting document?](#)

By checking this box I am electronically signing the attached document.

Even after you have submitted and signed your approval, you (and ONLY you) because you were the submitter can remove the document if you wish. However, once an additional comment is made by anyone or the submittal has been transitioned, neither you nor anyone else can delete it.

If you or someone else wants to make an additional comment to this submittal without transitioning it to Received or Rejected, click Add a new comment and another window (shown below) will be displayed where you can add your comment.

Search for documents

Pay Items

Chariton - 91-0925-051 - PCC Pavement - Grade & Rep

Prime - Materials Source Report M
Iowa DOT

1 Add a new comment

NOV 24 2014 11:12 AM EST Submitted | Download version 1
Iowa DOT - Jennifer Strunk

Add Comment

* Comment

Add Cancel

Upon clicking the Add button, your comment becomes part of the record for this submittal and the number of comments is increased by one.

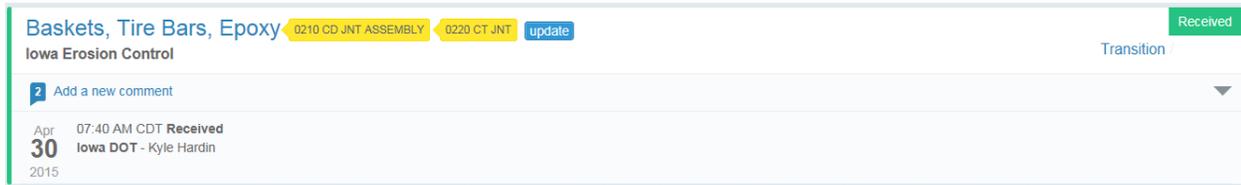
Until the status is Audited, you have the option to change some parts of documents no matter who originally submitted them. For instance - -

** If the document was submitted to the wrong type in the drawer and/or should be added to another, you can move and/or add it to the appropriate type IN THE SAME DRAWER.

** If the title of the document is incorrect and should be changed, you can change it

** If the due date should be changed, you can change it

To do so, click on the word “update” just to the right of the type.



The following screen will be displayed where you can change the title of the document, change or add a due date, change, add to, or remove types for the submittal and then press the Save button. So, in the example following, changes can be made before clicking Save which result in the submittal displaying the update.

A screenshot of an "Update" dialog box. The title "Update" is at the top. Below it is a section for "Title" with a text input field containing "PCC Plant Monitor sign off". Below that is a section for "Due date" with an empty text input field. Below that is a section for "Types" with a text input field containing "PCC Paving – PCC Plant Report" and a small "x" icon to the right. At the bottom right of the dialog box are two buttons: a yellow "Save" button and a grey "Cancel" button.

As mentioned previously, no matter the status of the document, either Dean or Janet can “archive” any document. That process moves it from the normal list to a hidden list which can be viewed by opening the filter and changing from Hide Archived to Show Archived. To return to the entire list of submittals in the drawer, change the filter back to Hide Archived.

RECEIVE / REJECT -

Prior to selecting the transition, you should open the document and view it to be sure it is correct. When you select Received, you are stating that you have looked at it and the

submittal is correct and in the appropriate type. All is good! In some cases, you may very well be both the submitter and the receiver of the document but only materials personnel should transition the document to the Audited status.

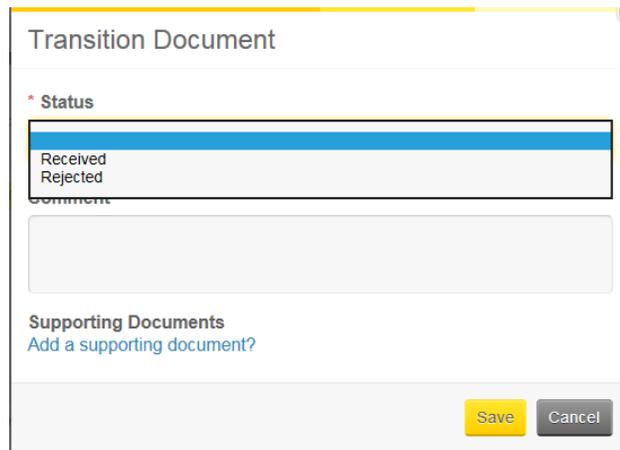
If you look at the submittal and it is not correct AND there has not been a comment made, you have some choices –

1. If you were not the submitter, reject the submittal – everyone with access to that drawer will be automatically notified of the rejection if they have that notification on
2. Call the person who submitted the document and have them remove it and re-submit it correctly. Remember, this can only be done if no comments or transitions have occurred.
3. If you were the submitter, remove the document and re-submit it correctly

Choosing which one to do can be dependent on a number of things such as the number of times an incorrect submittal has been made by that user. Bottom line, it's up to you as to which option you choose for an incorrect submittal. Just be sure to NOT Receive it if it's incorrect!!

If you want to either Receive or Reject the submittal and possibly make a comment during that process, click "Transition" (under the status). "Remove" is an option available only if you were the original submitter and there has been no comment made or transition done.

If you want to attach a file when you transition this document, browse to that location in the field under Supporting Documents before clicking the Save button.



The image shows a 'Transition Document' dialog box. At the top, the title is 'Transition Document'. Below the title, there is a section for '* Status' with a dropdown menu. The dropdown menu is open, showing two options: 'Received' (which is highlighted in blue) and 'Rejected'. Below the dropdown menu, there is a 'Comment' text area. At the bottom of the dialog box, there is a 'Supporting Documents' section with a link that says 'Add a supporting document?'. At the very bottom right, there are two buttons: 'Save' (in yellow) and 'Cancel' (in grey).

As soon as you select Received, the screen changes to the following –

where you can still enter a comment and add a supporting document but also where it gives you the option to transition the submittal to the final Audited status. You should NOT click that box because ONLY the materials personnel are to transition to Audited.

Submittals can be but aren't required to be transitioned to the Audited status.

Transitioning to Audited status is to be done ONLY by materials personnel.

LOG -

See below a graphic with the submittals in the collapsed view (showing only the most current action) -

Pay Items		Submit Document	Actions
25-0803-175 - Creston - IMN-080-3(175)119-0E-25 (JW test) - PCC Pavement - Grade & New			
TC Jasper w/e 07/09/16 @100 TRAFFIC CONTROL @135 TEMP TRAFFIC SIGNAL prime		Submitted	Actions
0 comments 0 supporting documents			
Jul 11 03:30 PM EDT Submitted ↓ Version 1 (current) 2016 prime - prime 2014			
Jasper Source Report Materials Source Report prime		Submitted	Actions
0 comments 0 supporting documents			
Jul 11 03:21 PM EDT Submitted ↓ Version 1 (current) 2016 prime - prime 2014			

To see all activity for a given submittal, click the down arrow (under the status button) and every transition will be displayed for that specific submittal.

If the submittal is linked to more than 1 type, all types are listed following the title. In the example above, Materials Source Report is displayed in one submittal and the Traffic Control Diary is displayed in the other. Notice that the Traffic Control Diary submittal is linked to 2 different items. One of those linked to the traffic control diary submittal

shouldn't be included so it can easily be removed by clicking on the Update button and a screen as shown below will be displayed.

Update

* Title
TC Jasper w/e 07/09/16

Due date

Types
x 0100 TRAFFIC CONTROL x 0185 TEMP TRAFFIC SIGNAL

Save Cancel

Simply click the “x” beside the incorrect link. That link will disappear and then click the Save button. When you see the list of submittals, only the one you want will be shown – as seen below.

TC Jasper w/e 07/09/16 0100 TRAFFIC CONTROL update Submitted

prime Transition Actions

0 comments 0 supporting documents

Jul 11 02:36 PM CDT Types Revised
Document Types changed from 0100 TRAFFIC CONTROL, 0185 TEMP TRAFFIC SIGNAL to 0100 TRAFFIC CONTROL
Iowa DOT - Janet Westoney

AUDITED STATUS –

The Audited status is for the use of materials personnel only. The intent is so they can know which submittals they have already reviewed and approved (audited) throughout the life of the contract rather than waiting until the end of the work and checking all items at that time. Using the Audit button is optional, not required.

The Audited status is available only in the Pay Items drawer if the submittal has a status of Received. Notice that there is still a Transition document option in the graphic below even though the submittal has been Received.

TC Jasper w/e 07/09/16 0100 TRAFFIC CONTROL update Received

prime Transition Actions

0 comments 0 supporting documents

Jul 11 02:59 PM CDT Received
Document transitioned from Submitted to Received.
Iowa DOT - Janet Westoney

By clicking the Transition document under the Received status, the following screen will be displayed.

Transition Document

*** Status**

Audited

Rejected

Comment

Supporting Documents
[Add a supporting document?](#)

Save
Cancel

Notice there is also a Rejected status option. The materials people can mark the item as being rejected even though someone prior to them Received it. If the Rejected status is used at this point, there definitely needs to be a comment made and there also needs to be communication between the person who originally Received it and the person who is now rejecting it.

If you want to attach a file when making a transition, click on “Add a supporting document?” and browse to the location of the file.

If you want to transition several submittals to Audited at the same time, click on the Actions button and select “Transition to Audited” which will limit the list to only those documents with a Received status.

Pay Items

MP-163-5(701)34-76-63& 63(706) - Chariton - 63-1635-701 - PCC Patching

Transition to Audited
Cancel

! You can transition many documents at once:

- From the list below select each document you would like to transition
- Click **Transition to Audited**

Baskets, Tire Bars, Epoxy 0210 CD JNT ASSEMBLY 0220 CT JNT Received

Iowa Erosion Control

2 comments

Apr 30 07:40 AM CDT **Received**
 Iowa DOT - Kyle Hardin
 2015

Cure 0230 PATCH, FULL-DEPTH FINISH, BY AREA 0240 PATCH, FULL-DEPTH FINISH, BY AREA(⇒50 FT) Received

Iowa Erosion Control

0 comments

Click in the circle just to the left of the document for each submittal you want to transition to Audited and then click Transition to Audited. All selected will be transitioned to Audited.

Pay Items Transition to Audited Cancel
 MP-163-5(701)34--76-63& 63(706) - Chariton - 63-1635-701 - PCC Patching

1 You can transition many documents at once:
 1. From the list below select each document you would like to transition
 2. Click **Transition to Audited**

Baskets, Tire Bars, Epoxy 0210 CD JNT ASSEMBLY 0220 CT JNT Received

Iowa Erosion Control

2 comments

Apr 07:40 AM CDT Received
30 Iowa DOT - Kyle Hardin
 2015

Cure 0230 PATCH, FULL-DEPTH FINISH, BY AREA 0240 PATCH, FULL-DEPTH FINISH, BY AREA(=>50 FT) Received

Iowa Erosion Control

If the Audited transition is selected, the status will reflect that when viewing the list of submittals in the Material Certifications drawer – as seen below – and no other transitions can be made. It’s a done deal!! Notice also that the Update button is no longer available.

Poles and Fixtures.pdf 0210 LIGHTING POLE Audited

Wicks Construction

3 Add a new comment

Nov 11:47 AM EST Audited
24 Iowa DOT - Jennifer Strunk
 2014

CONTRACT MODIFICATIONS DRAWER - SUBMITTALS & TRANSITIONS

Contract modifications are created in the FieldManager program but instead of printing a hard copy and sending to the contractor for signature, they are printed to a pdf file and submitted by the RCE Staff to the Contract Modification drawer in Doc Express where the required signatures will be obtained.

SUBMIT -

ONLY PDF files can be submitted to the Contract Modifications drawer. If any other type of file is submitted, you will receive an error message stating such. **(If a number is used in the title, it should be 2 digits and if a date is in the title, it should be 6 digits. Suggested naming conventions for documents submitted to this and other drawers are in Appendix A.)**

You can add Supporting Documents (additional information for the submittal) if desired and/or a comment either at the time of the submittal or at any transition. Neither is required.

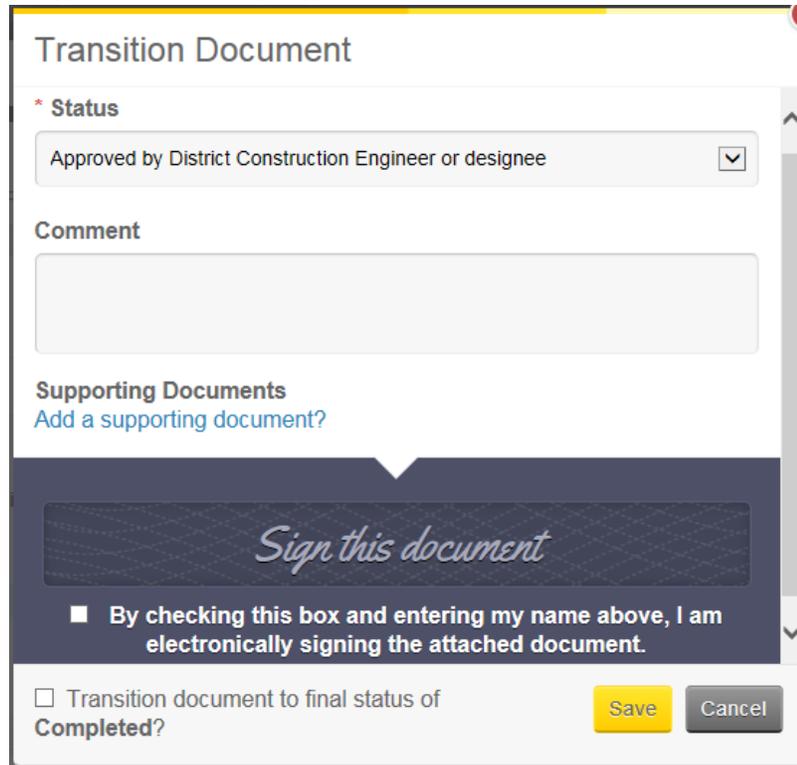
No signature is required when the cont mod is initially submitted to the drawer. Only the contractor will receive a notification when a cont mod is initially submitted since the first required signature is the prime contractor. After the prime signs, others with access to the drawer will receive the notifications that signatures are needed or have been obtained.

All screens following the initial submittal (shown above) are different from most of the other drawers due to both the required written signature and the checkmark when the user signs the document during each transition after the initial submittal. All signatures become part of the document when both viewed and printed.

Shown below is the screen displayed after the initial submittal and prior to the last required signature. The status option (shown below as “Recommended by Resident Engineer”) is dependent on who is next to sign the cont mod.

In all transitions, the name that is typed in as the signature MUST match EXACTLY the name of the user logged into the program at that time. In the case above, if I had

entered, for example, Jan Wastenev or janet wastenev, neither would have been accepted since neither matched exactly the name of the user as per my log in name. The login and signature are case sensitive.



Transition Document

* Status
Approved by District Construction Engineer or designee

Comment

Supporting Documents
[Add a supporting document?](#)

Sign this document

By checking this box and entering my name above, I am electronically signing the attached document.

Transition document to final status of Completed?

Save Cancel

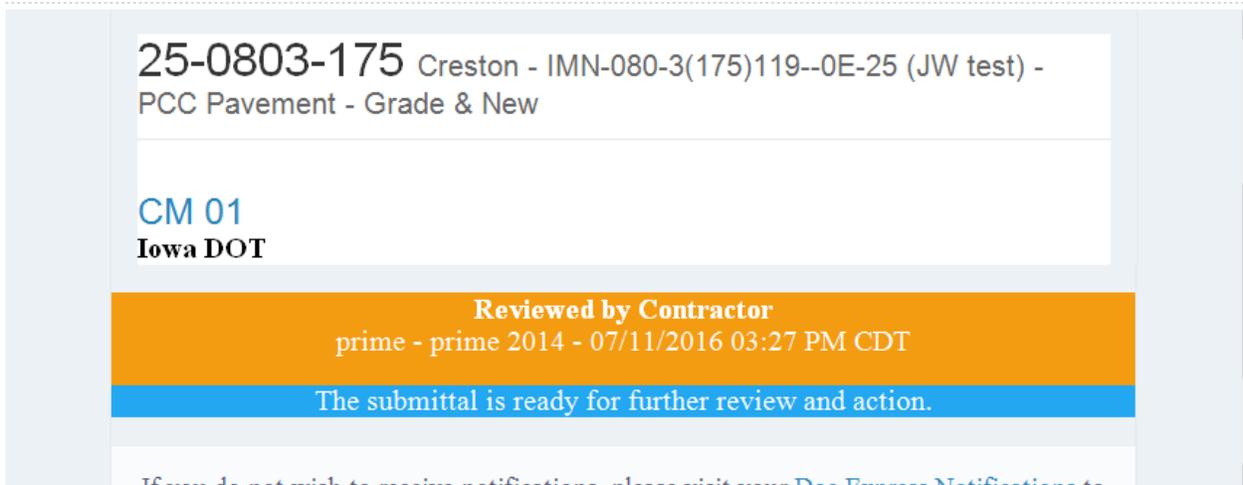
When the last required signature is obtained, the user is asked if the contract modification should be marked Completed. If it should be transitioned to Completed, they should put a checkmark in that box and the status will automatically change to Completed. When the document is marked Completed, no more signatures are allowed and a notification is sent stating the submittal has been completed. If it should not be marked Completed, the notifications are sent as usual and transitions (signatures) should continue.

After each optional signature is obtained, the user is asked if the status should be changed to Completed. If “yes” (they put a checkmark in the box), the status will automatically change to Completed and no more signatures are allowed. In either case, notifications are sent.

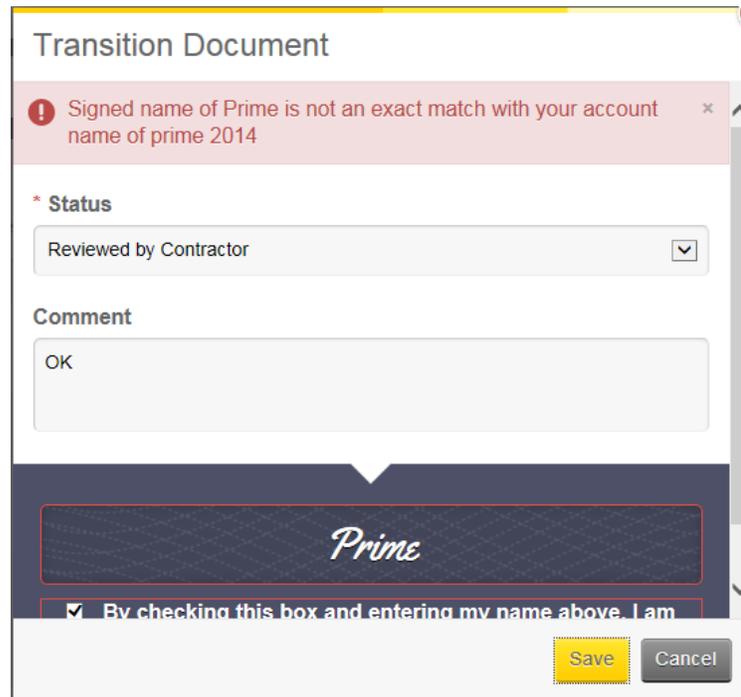
When the cont mod is marked Completed, it is considered approved and should be marked as such in the FieldManager program.

Notifications are sent unless the user has opted out of receiving them. Below is a sample notification alerting the user that a signature is needed.

v



In the notification sample above, the prime contractor signed the cont mod and it is now the RCE's responsibility to look over the cont mod and then enter their signature. Once they do so, a notification is sent to others needing to sign the cont mod. Remember, if a name is entered incorrectly in the signature field as displayed below, a message similar to the following will be displayed. To correct, in the signature field simply enter the correct name as shown in the message.



The transition options are totally dependent on who (what level) is signing the document. The following graphic shows the transition options available for the contractor.

The screenshot shows a web form titled "Transition Document". At the top, there is a section labeled "* Status" with a dropdown menu. The dropdown menu is open, showing two options: "Reviewed by Contractor" (highlighted in blue) and "Rejected". Below the dropdown is a large, empty text input field. Underneath that is a section titled "Supporting Documents" with a link that says "Add a supporting document?". At the bottom right of the form are two buttons: "Save" (yellow) and "Cancel" (grey).

Notice the Supporting Documents field. A file can be “attached” to the contract modification at any time. This file will remain in Doc Express as a permanent part of the contract modification.

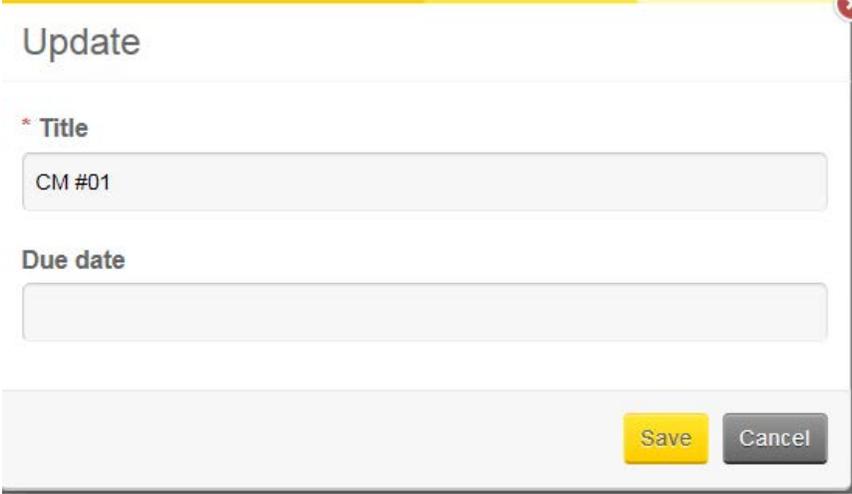
If the contractor selects Rejected, everyone, unless they have opted out of the notification, will receive notice that the cont mod has been rejected. Even though comments are optional, they are highly recommended when the Rejected option is selected.

If the contractor selects Reviewed by Contractor, they must sign and check the box (shown below) before clicking the Save button since they are giving their approval to have the cont mod advance to the next signature. They also have the option to add Supporting Documents of they wish. **All users with access to the drawer can see all Supporting Documents.** Comments are optional.

The screenshot shows the same "Transition Document" form, but with the "Reviewed by Contractor" dropdown menu selected. Below the dropdown is a "Comment" text input field. Underneath that is an "Annotations" section with a "Browse..." button. At the bottom of the form is a dark blue box with the text "Sign this document" in a cursive font. Below this text is a checkbox and the text: "By checking this box and entering my name above, I am electronically signing this document." At the bottom right of the form are two buttons: "Save" (yellow) and "Cancel" (grey).

Once the contractor has signed and saved the cont mod, a notification is automatically sent to others with access to that drawer. The RCE will be the next required to sign the cont mod.

Similar to other drawers, you do have the option to change the title of the submittal if it's incorrect or to add/change the due date. To do so, click on the word "update" just to the right of the type and make the appropriate title change in the update screen (shown below).



The image shows a screenshot of a web-based form titled "Update". The form has a white background with a thin grey border. At the top left, the word "Update" is displayed in a grey font. Below this, there are two main sections. The first section is labeled "* Title" in a small grey font, followed by a text input field containing the text "CM #01". The second section is labeled "Due date" in a small grey font, followed by an empty text input field. At the bottom right of the form, there are two buttons: a yellow "Save" button and a grey "Cancel" button.

As stated previously, the options when clicking the Transition button are totally dependent on the person's role that is making that transition.

The DCE is the last required person to sign. If no other signatures are needed for the cont mod, they should put a checkmark in the "Transition document to final status of Completed?" when they sign.

If you are the last optional signature (Central Construction or FHWA) to sign the cont mod, be sure you put a checkmark in the "Transition document to final status of Completed?" when you sign.

The above step is very important so users will receive notification that the cont mod has a status of Completed which means it can and should be marked as Approved in the FieldManager program.

The expanded log of activity for the cont mod is easily accessible by clicking the down arrow on the right side of the screen, directly across from the submittal. Every transition, including the date, time, person responsibility, and more will be listed. To see only the most recent transition, click the arrow again and the list will be collapsed. Following is an expanded list. .

Nov 24 2014	12:19 PM EST Reviewed By Fhwa reviewer1 - Reviewer1 2014
Nov 24 2014	12:18 PM EST Reviewed By Central Office Iowa DOT - Test Central
Nov 24 2014	12:15 PM EST Reviewed By District Construction Engineer Iowa DOT - Test dce
Nov 24 2014	12:05 PM EST Reviewed By Resident Engineer Iowa DOT - Tester RCE
Nov 24 2014	12:01 PM EST Reviewed By Contractor prime - prime 2014
Nov 24 2014	11:53 AM EST Submitted ↓ Download version 1 Iowa DOT - Jennifer Strunk

When viewing and/or printing the document, the signature history page is included. The Doc Express Document Signing History page automatically becomes part of the cont mod once the first signature has been obtained in Doc Express. As signatures are obtained, the names and dates are added to the appropriate level. A sample of a signature page is on the following page.

When the cont mod is marked Completed in Doc Express, the status of that same cont mod should be changed to Approved in the FieldManager program.

Doc Express Document Signing History

Contract: August Letting Document: CO #01

Date	Electronically Signed By
12/02/2014	prime 2014 prime (Reviewed by Contractor)
12/02/2014	Tester RCE Iowa DOT (Reviewed by Resident Engineer)
12/02/2014	Test dce Iowa DOT (Reviewed by District Construction Engineer)
12/02/2014	Test Central Iowa DOT (Reviewed by Central Office)
12/02/2014	Reviewer1 2014 reviewer1 (Reviewed by FHWA)

PAYROLLS DRAWER – SUBMITTALS & TRANSITIONS

Subcontractors send their payrolls to the prime contractors as they have always done. The prime checks them, signs them, and then submits them to Doc Express. Only the prime contractor is to submit payrolls to the Payrolls drawer. Payrolls are submitted to the appropriate type – with each type being the name of a subcontractor or supplier. It is the responsibility of the assigned DOT users to spot check and receive the payrolls submitted to this drawer.

If a payroll is incorrect for whatever reason, you should reject it so the submitter can re-submit it correctly as a revised submittal. If you reject, everyone, unless they have opted out of the notification option, with access to this drawer will be notified by e-mail that it was rejected.

As per the Construction Manual, “It’s important to review the first 3-4 payrolls received from contractors and subcontractors carefully to be sure information is complete and

accurate. Once it is apparent that wage rates used are appropriate, it is not necessary to check each line of each payroll. However, occasional spot checks should continue to be made, paying particular attention to new crafts listed.”

Since not every payroll needs to be checked, in the Comment field there should be a comment made stating they were checked and by whom for each payroll checked. This can be done at the time the status is changed to Received. It can also be done by either clicking on the word “comment” and adding a comment or by clicking on Update and adding a comment there. Any method will give the same result.

It must be obvious when looking at the submittals which payrolls were checked and which were not. Notice in the first payroll submission below – the “cked by Janet” comment is just below the time and status of the submittal so it’s easy to see that it has been checked . No such comment was made in the other payroll displayed so it is assumed that it was not checked.

The screenshot shows a 'Payrolls' section with two entries. The first entry, 'PR 01 w/e 06/25/16', is in 'Received' status and has a comment 'cked by Janet' dated July 12, 2016. The second entry, 'PR 02 w/e 07/02/16', is in 'Submitted' status and has no comment.

Even though the prime contractor submits all the payrolls to this drawer, you do have some options to change some parts of documents until they have a Received status. For instance - -

- ** If the document was submitted to the wrong type in the drawer, you can move it to the appropriate type IN THE SAME DRAWER.
- ** If the title of the document is incorrect and should be changed, you can change it
- ** If the due date should be changed, you can change it

To do any of the above, click on the word “update” just to the right of the type and make the appropriate changes.

Receive/Reject -

Prior to selecting the transition, you should open the document and view it to be sure it is correct. When you select Received, you are stating that you have looked at it and the submittal is correct and in the appropriate type. All is good!

If you look at the submittal and it is not correct, you should reject it and have the submitter re-submit it correctly, “overwriting” the original submittal. The week ending date and/or payroll number will be the same since they will simply be overwriting the original. They (or you) should enter “revised” or “corrected” in the comments. As stated previously, if you reject, everyone, unless they have opted out of the notification option, with access to this drawer will be notified by e-mail that it was rejected.

If you accidentally Receive a submittal that was wrong, you have the option to Revert Transition which can be found under the word Actions. Then contact the contractor to resubmit it correctly over the original submittal.

The image shows a software interface for a 'Transition Document'. It features a title bar with the text 'Transition Document' and a close button. Below the title bar, there is a section labeled '* Status' with a dropdown menu. The dropdown menu is open, showing two options: 'Received' (which is highlighted in blue) and 'Rejected'. Below the status dropdown is a text area labeled 'Comment'. At the bottom of the form, there is a section labeled 'Supporting Documents' with a link that says 'Add a supporting document?'. At the very bottom of the form, there are two buttons: a yellow 'Save' button and a grey 'Cancel' button.

You may also attach Supporting Documents to the payroll by using the Browse button and going to its location prior to clicking the Save button.

Once you select either Received or Rejected and then click Save, the screen reverts to a screen where this payroll is included with a list of all the other submittals made to date in the Payrolls drawer.

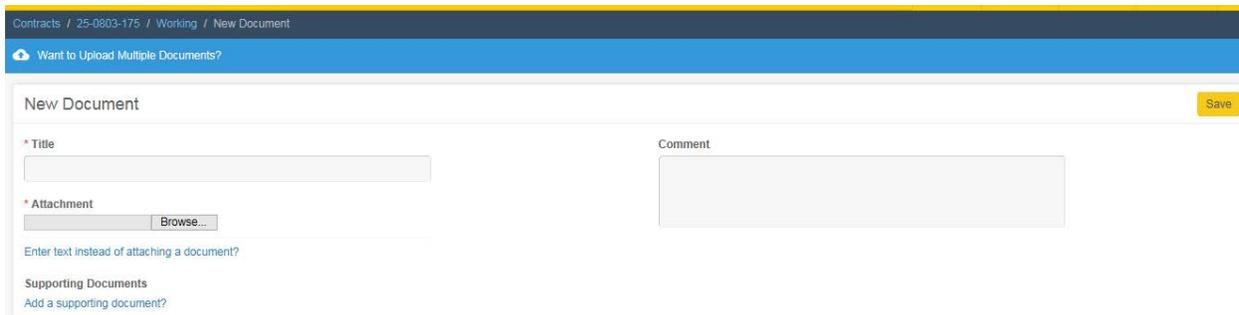
WORKING DRAWER – SUBMITTALS & TRANSITIONS

The intent of this drawer is for documents that may be submitted, updated, re-submitted, changed again, re-submitted, etc. until the final iteration is obtained. At that point, the final document is published by a DOT user to a specific drawer and type where it will initially have a status of Submitted. The same or a different DOT user will change the status in the new location to Received and the submittal will remain in that location for the life of the contract. All iterations of the document remain in the Working drawer.

SUBMIT -

Anyone can submit a document to this drawer and any user can update the document and re-submit it. A log of every transition is maintained along with the date/time/user name, etc

The original submittal screen (shown below) is similar to others but there is no type field since there are no types for this drawer. **(If a number is used in the title, it should be 2 digits and if a date is in the title, it should be 6 digits. Suggested naming conventions for documents submitted to this and other drawers are in Appendix A.)** Notice there is an option to add Supporting Documents (additional notes, documents, etc.) for the submittal.



The screenshot shows a web interface for submitting a new document. At the top, there is a breadcrumb trail: "Contracts / 25-0803-175 / Working / New Document". Below this is a blue banner with the text "Want to Upload Multiple Documents?". The main form is titled "New Document" and includes a "Save" button in the top right corner. The form has two main sections: "Title" and "Attachment". The "Title" section has a text input field and a "Comment" section with a larger text area. The "Attachment" section has a "Browse..." button and a text input field with the placeholder "Enter text instead of attaching a document?". Below the attachment section is a "Supporting Documents" section with a link "Add a supporting document?".

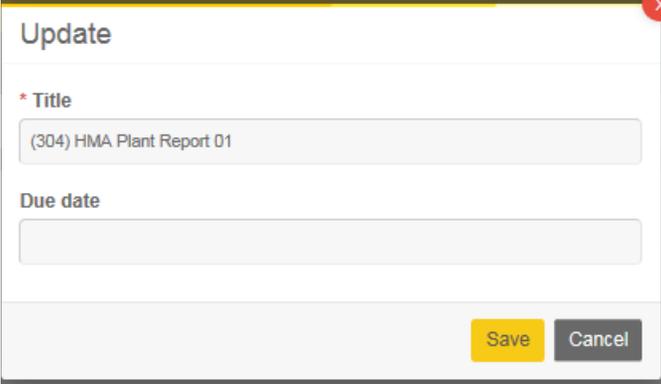
The document shown below was submitted by the prime then changed a bit and resubmitted by Janet. Notice it still has a status of Draft. Janet or anyone else can still make additional changes to the document and then Resubmit it or, if the final iteration has been determined, a DOT user can publish the document (meaning to save it to a final location – drawer and folder).



The screenshot shows a document version history log for a document titled "(304) HMA Plant Report 01". The document is currently in "Draft" status. The log shows two versions: a current version (Version 2) submitted by Janet Wastoney on June 23, 2016, at 11:14 AM CDT, and an older version (Version 1) submitted by prime on June 23, 2016, at 08:03 AM CDT. The interface includes an "update" button and a "Draft" status indicator. At the bottom, there are links for "Publish", "Transition", "Resubmit", and "Actions".

Assuming they haven't opted out of receiving the notifications, others with access to this drawer will receive notification when a submittal has been made. Anyone with access to the drawer can copy the submittal to their hard drive, make changes, and re-submit it to this same location in Doc Express. Even though the document itself may be changed, the title of the submittal should remain the same unless it's changed through the update process.

Unlike several of the other drawers, if you click Update (just to the right of the document's title) the only option you have is to change the title of the submittal and due date.



Update

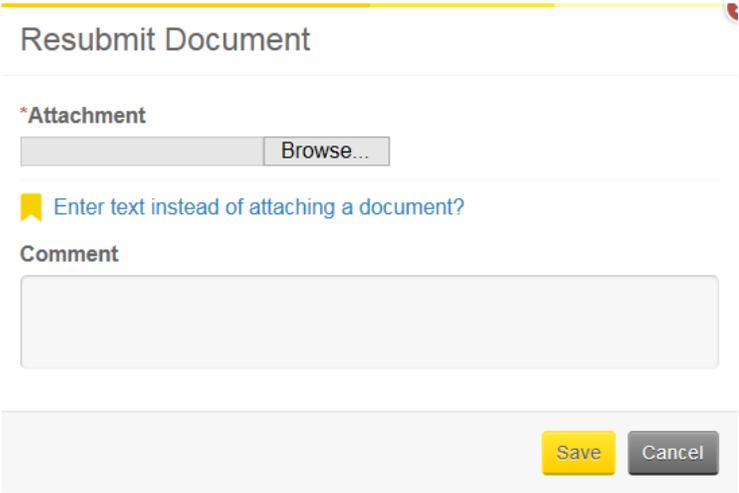
* Title
(304) HMA Plant Report 01

Due date

Save Cancel

That title should remain for all iterations of the submittals and also when the document is published to its final location in the appropriate drawer and type.

To look at and potentially change the document itself, open it by either clicking on the title or the most current Download version number and saving to a location of your choice. (If you click on the title, it will display the most current Download version.) Copy the document to a location of your choice, perhaps on your hard drive. After making the changes/updates as needed to that copy, save it, and then click the Resubmit document option for that submittal in Doc Express. Browse to the appropriate location of the updated document and enter a comment if you wish.



Resubmit Document

* Attachment
Browse...

[Enter text instead of attaching a document?](#)

Comment

Save Cancel

Click the Save button and this updated document will become the top submittal shown in the log. The log will include all documents submitted as well as the date/time/user details.

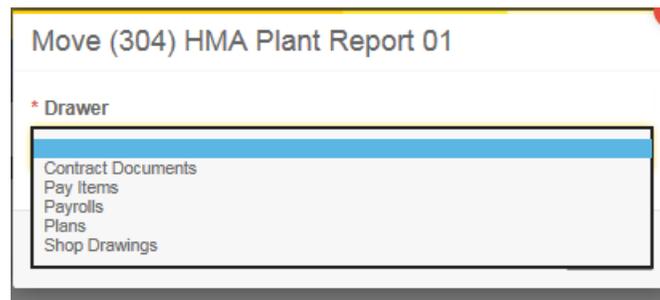
Notice in the following graphic that the document shown was submitted and revised multiple times.

The screenshot shows a document titled "STRUC FM RPT 01 STANDARD RM" with a status of "Standard Ready Mix". In the top right corner, there are two buttons: "Published" (in a green box) and "Archive". Below the title, there is a comment section with the following entries:

- May 14 2015, 02:11 PM CDT **Published**
Iowa DOT - Jeff Marienau
- May 14 2015, 02:10 PM CDT **Draft**
↓ STRUC FM RPT 01 STANDARD RM (current version)
Iowa DOT - Jeff Marienau
- May 14 2015, 02:08 PM CDT **Title Changed From Report #1 Struct (Fm) Standard (Sioux City) To Struc Fm Rpt 01 Standard Rm**
Iowa DOT - Jeff Marienau
- May 11 2015, 01:35 PM CDT **Draft**
↓ STRUC FM RPT 01 STANDARD RM (version 1)
Please let me know if anything is wrong. Thank you.
Standard Ready Mix - Gene Muston

Once the document's final iteration has been determined, a DOT user should Publish the document to the chosen drawer and type where it will automatically have a status of Submitted. A DOT user should then transition the status in that new location to Received. The final iteration of the submittal will remain in this drawer/type for the life of the contract. All iterations as well as the log of activity will remain in the Working drawer.

Only DOT users are allowed to Publish the document. To do so, click Publish document and then select the drawer



Once the drawer has been selected, then select the appropriate type (see below) within the drawer and make a comment if desired before signing by putting a checkmark in the signature line and then clicking the Save button.

Move (304) HMA Plant Report 01

*** Drawer**
 Pay Items ▾

Types
 Choose one or more document types

Comment
 [Text Area]

By checking this box I am electronically signing the attached document.

Save Cancel

Upon saving to the new location, the document's status in the Working drawer automatically changes from Draft to Published (see example below).

Working Submit Document Actions ▾

25-0803-175 - Creston - IMN-080-3(175)119-0E-25 (JW test) - PCC Pavement - Grade & New

(304) HMA Plant Report 01 Published

prime Actions ▾

0 comments 0 supporting documents

Jul 12 10:07 AM CDT Published
 Document published to Pay Items drawer.
 Iowa DOT - Janet Wastenev

Also upon saving, the document is located in the new drawer and the type selected (see below) where it now has a status of Submitted. As stated previously, a DOT user should Receive the submittal in the new drawer/type.

Pay Items Submit Document Actions ▾

25-0803-175 - Creston - IMN-080-3(175)119-0E-25 (JW test) - PCC Pavement - Grade & New

(304) HMA Plant Report 01 Submitted

Iowa DOT Transition Actions ▾

0 comments 0 supporting documents

Jul 12 10:07 AM CDT Submitted
 1 Version 1 (current)
 Iowa DOT - Janet Wastenev

SHOP DRAWINGS DRAWER – SUBMITTALS & TRANSITIONS SUBMIT –

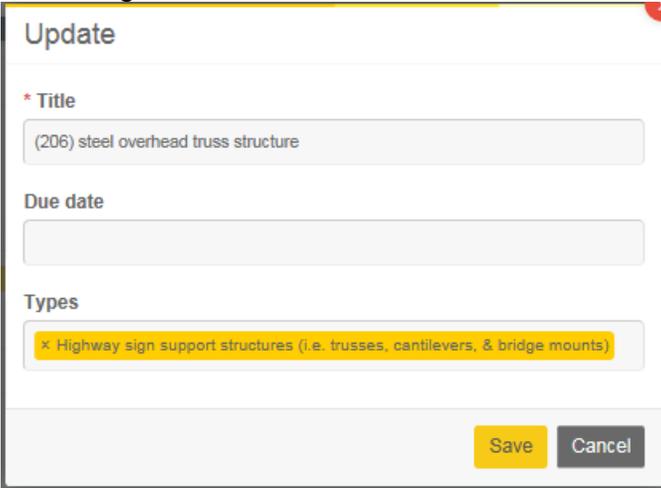
The Shop Drawings drawer workflow immediately follows this section

SUBMIT -

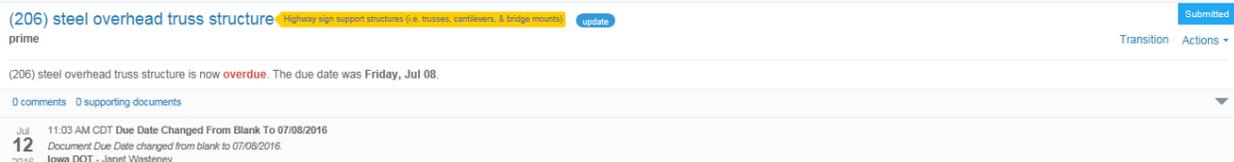
DOT users do not normally submit the initial shop drawing. Either the prime or the subcontractor can submit drawings to this drawer. **The naming convention to be used by the contractor for a submittal to the Shop Drawings drawer is as follows – paren number of the PROJECT (not necessarily the contract in case of tied projects) followed by the county name and design number (if applicable) followed by a description of the submittal.**

A DOT user or a user acting on behalf of the DOT transitions the document, including making corrections and submitting a marked up submittal, if desired, during the transition process.

If a submittal needs to be corrected and resubmitted, a DOT user or user acting on behalf of the DOT can enter a due date when the corrected drawing is to be resubmitted if they desire. To do so, click on Update and the following screen will be displayed where you can enter or change the due date.



The due date reminder is displayed on the left side of the screen below the submittal's title. (see below)



The document's log includes every due date entered and/or revised as well as every transition that occurred.

Multi-selecting from the list of types in this drawer is an option just the same as it is in all the other drawers. Whether the shop drawing is linked to 1 or many types, the process is the same.

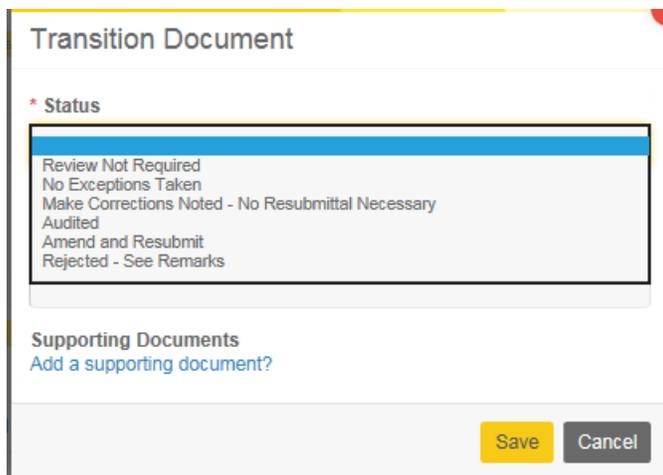
As in all other drawers, only the original submitter has the option to Remove the document.

Unless they have opted out of receiving them, a notification is sent to those who have access to the Shop Drawing drawer as soon as a submittal has been saved. Whoever should review the drawing submitted by the contractor can open it for review by clicking on the title or the (current version).

Transitioning the Shop Drawing -

To transition (approve, reject, etc), click the word Transition and select the appropriate status. If changes should be made, the reviewer has the option to click on the title, save the document to a location of their choice, “mark up” the submittal and then click on “Add a supporting document” (which would be the marked up copy created in the preceding step). Enter a comment if desired and then click Save. There is no limit as to the number of submittals and transitions that can be done for any given drawing.

Clicking on the title displays the latest version The title does NOT display any Supporting Document(s) that have been submitted.



If the original submittal was correct, that submittal could simply be transitioned to No Exceptions Taken or Review Not Required. If the original was not correct and it was re-submitted once or many times, when the final iteration of the shop drawing is determined, the submittal should be transitioned to a status of either No Exceptions Taken or Make Correction noted – No Resubmittal Necessary.

All iterations of the drawing will remain in the Shop Drawings drawer for the life of the contract and all should be displayed in the same log **which is why each re-submittal should not be added as a new one but rather resubmitted “over” the original.**

After the final iteration of the document has been determined, a materials user will transition the document to Audited. They are the only ones who should transition to that status.

Show Drawings Workflow

Set up:

Janet - Once the Doc Express initial contract setup is done for a letting and access has been given to DOT users, send a note to the **users** so they are aware that they can go into Doc Express and set their favorites, if desired. *(Please note: Beginning with the October, 2015 letting, a shop drawing drawer will be added to all contracts and all shop drawings are to be submitted using the Doc Express program.)*

Users – For real time e-mail notifications, turn “On” the Shop Drawings drawer in the Ready to be Progressed (Preferences > Notifications). Also, if desired, turn on the summary notification so you receive an e-mail for all contracts to which you have access that had activity the preceding day.

If you have several contracts with only certain ones marked as your “Favorite” so you want to know only about them, turn on the summary notification for favorites rather than the summary for all contracts. (shown below)

Notifications

Notification preferences successfully updated.

Ready to be progressed
Email me when a document is ready to be progressed.

Change Orders

Contract Documents

Contract Modifications

Contract Signing

Diaries

Material Certifications

Pay Items

Payrolls

Plans

Shop Drawings

Signature

Working

Rejected documents
Email me when a document has been rejected.

All submissions
Email me daily with a list of document submissions for all of my contracts.

Favorite submissions
Email me daily with a list of document submissions for my favorite contracts.

Completed documents
Email me when the final transition of a document has been executed.

You will receive 1 email per day from Doc Express for either all or just your favorite contracts that had activity the preceding day. The summary e-mail will include what has been submitted and what the submittal was (see following examples)

How-to -

Set a contract as a favorite:

Explained in more detail on Page 6. If desired to choose favorites, click the “Favorite” button to the right of the contract of your choice. Design personnel have only been given access to the Shop Drawings drawer, so your emails should only contain notifications about those submittals.

Know when to look in Doc Express:

When you receive an automatic email from Doc Express based on the notifications you set. – either real time or a summary the following morning. The email will look like the sample shown below. Each submittal will have a type, with that type matching directly from the updated Table 1105.03-1 of the spec book. The key to knowing what to review is for reviewers to know the contract and the types for which they have responsibility.

A sample of a partial Doc Express daily summary email for contracts marked as favorites is shown below and on the following page –

Document Submission Daily Report for Favorite Contracts - 07/11/2016

Doc Express <notifications@docexpress.com>

If there are problems with how this message is displayed, click here to view it in a web browser.

Click here to download pictures. To help protect your privacy, Outlook prevented automatic download of some pictures in this message.

Sent: Tue 7/12/2016 3:00 AM

To: Wasteney, Janet [DOT]

Yesterday, 07/11/2016, the following 5 new documents were created:

25-0803-175	Contract ID
Contract Documents	Drawer Name
• Est 01 - Janet Wasteney of Iowa DOT - 11:16 AM CDT	
Construction Pay Estimate	Title of Submittal

Type

Title of Submittal

• **Schedule - prime 2014 of prime - 11:33 AM CDT**
 Project Schedule
 Due date: 07/08/2016
 Contract Modifications 1
 • **CM 01 - Janet Wastoney of Iowa DOT - 03:25 PM CDT**
 Pay Items 2

In the previous graphic, only 1 contract was displayed because I had only 1 marked as my favorite. If more than 1 contract was marked as a favorite, each contract would be listed in this same e-mail, one following the other.

View the Shop Drawings drawer - (notice the types and titles)

(96) Linn 1215 Diaphragms & Drains Bridge components Misc. Bridge Submitted
 Hi-way Products, Inc. Transition Actions
 1 comment 1 supporting document
 Jul 13 03:55 PM CDT Submitted
 Version 2 (current)
 2016 Hi-way Products, Inc. - Paul Cates
 (95) Linn 1115 Diaphragms & Pier Bearings Bridge components Misc. Bridge update Submitted
 Hi-way Products, Inc. Transition Actions
 1 comment 1 supporting document
 Jul 13 01:17 PM CDT Submitted
 Version 2 (current)
 2016 Hi-way Products, Inc. - Paul Cates

Submit a drawing:

The initial submittal is normally done by the prime or sub, not a DOT user

The submitter should -

Click on the Shop Drawings drawer and then click on the Submit Document button.

Title the submittal using the following naming convention –

Title is the PROJECT paren number followed by the county name and Design Number, if applicable, followed by the description of the submittal

Select the appropriate submittal type from the drop down list and enter Comments if desired. Press Save. For more DOT specific detail, see Pages 45-47.

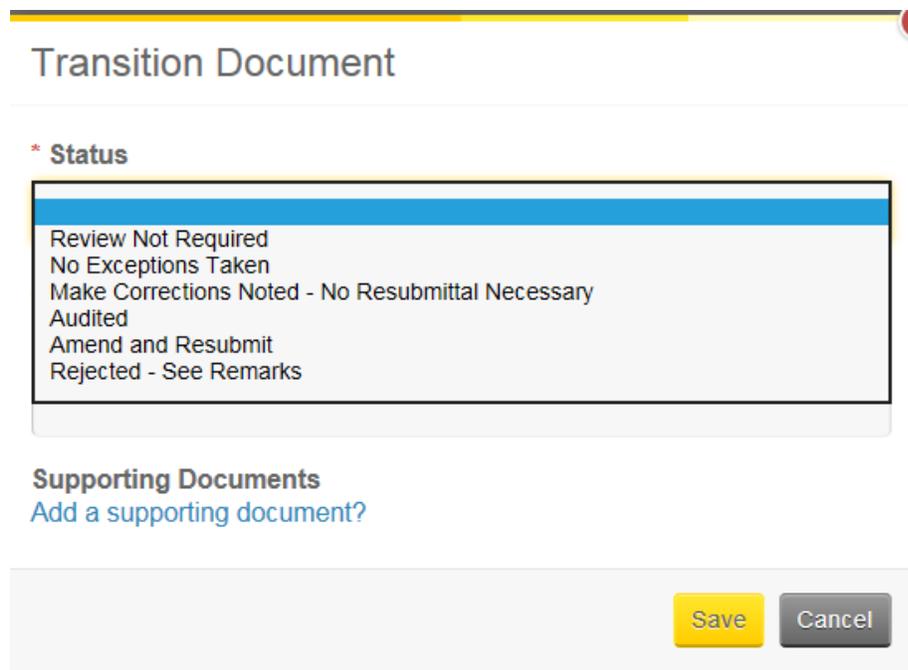
Review a submittal:

When notified, navigate to the submittal you are responsible for. Click on the title of the submittal to get the option to save or open the file. Open or save as you see fit. Review and, if desired, mark up the most current (in case there have been multiple submittals for the same document) submittal as needed.

Respond to a submittal -

Click the word “Transition” which is to the right of the submittal.

If you select either “**Review Not Required**” or “**No Exceptions Taken**” and click the Save button, you have nothing else required to do for this submittal. The Materials people will also check the drawings and when they are OK with them, they will transition them to an Audited status which, in effect, completes the submittal.



If you select either “**Make Corrections Noted – No Resubmittal Necessary**” or “**Amend and Resubmit**”, you may also want to click “Add a supporting document?” then browse to your updated/corrected drawing so the other users know and can see specifically what should be changed. However, if you can enter the needed information in the Comments field instead of marking up a copy of the drawing, that’s OK too. Either way, whichever way explains it best as to what changes are needed is fine.

If you select “**Amend and Resubmit**”, the submittal process begins again with the original submitter downloading the marked up document or reviewing the comments, making the corrections on their drawing, and then resubmitting. **It should NOT be submitted as a new document but should “overwrite” the previous version by clicking the resubmittal option.** The person responsible for approving the drawing opens the corrected submittal and determines the status just as they did with the original submittal.

If you select “**Rejected**”, you should explain in the Comment field before saving so other users with access to this drawer will know why the document was rejected. Each user with access to the contract and drawer and who has the Rejected Notification turned “on” will receive an e-mail.

SIGNATURE DRAWER – SUBMITTALS & TRANSITIONS -

The Signature drawer contains several types with each type listed in the drawer being a form that may require 1 or multiple signatures. These forms should no longer be printed and signed by a wet signature. The electronic signature in Doc Express is accepted when the completed form is saved as a pdf file and submitted to the Signature drawer in Doc Express. If you wish to see all the types, click the Submit Documents button and put your cursor in the Types field and scroll down. The types are also listed in Appendix B of this guide.

Click on the Signatures drawer beside or below the appropriate contract. A list of all previously submitted documents are displayed with, by default, the most recently updated being at the top of the list. The order of the list can be changed by opening the filter section (clicking the horizontal lines below the search field) and changing that field.

SUBMIT –

Click the Submit Document button and enter the appropriate information in the title field. **(If a number is used in the title, it should be 2 digits and if a date is in the title, it should be 6 digits. Suggested naming conventions for documents submitted to this and other drawers are in Appendix A.)** Select the appropriate type by putting the cursor in that field and scrolling down until you find the correct one and then clicking on it.

Contracts / NHSX-020-9(203)-3H-28 & (52)(204)(205) / Signature / New Document

Want to Upload Multiple Documents?

New Document Save

* Title

Comment

* Types

- Final Paperwork - Audit of Final Pay Estimate (Form 830301)
- Final Paperwork - Certification of DBE Accomplishment (Form 102116)
- Final Paperwork - Certification of Subcontractor Payment (Form 518002)
- Final Paperwork - Final Construction Pay Estimate
- Final Paperwork - Final Payment (Form 830436)
- Final Paperwork - Measurement of Materials

Browse to the form requiring the signature and enter a comment in that field, if desired, then Save. You as the submitter have the option to Remove the submittal up until someone comments or signs.

If you are the first who should sign the document, click Transition and select the appropriate status and then sign your name, check the signature box, then Save. If a contractor signs a document that doesn't require their signature, no worries. Their signature can remain or you can contact them to Revert Transition which will remove their signature. Their signature and removal of it will become part of the log. **It is definitely NOT necessary or recommended to reject the document simply because it has an extra signature that is not required on that form.**

If additional documentation should be attached to this document, click on "Add a supporting document?," browse to that location and then Save.

The screenshot shows a web form titled "Transition Document". It features a dropdown menu for "Status" with the selected option "Signed by Resident Engineer or designee". Below this is a "Comment" text area. A section titled "Supporting Documents" includes a link "Add a supporting document?". A dark blue banner with the text "Sign this document" is present. Below the banner is a checkbox with the text "By checking this box and entering my name above, I am electronically signing the attached document." At the bottom, there is another checkbox labeled "Transition document to final status of Completed?" and two buttons: "Save" (yellow) and "Cancel" (grey).

Since the required number of signatures is dependent on the form, the transition displays every signature possible needed for the forms in the drawer. **ONLY the individuals who would sign the form if it were in hard copy should sign the form in Doc Express.**

Since the required number of signatures varies, the signature history page will not have every signature line populated when the form has been fully signed. The last user to sign should mark the document Completed. That Completed transition will be displayed in the log but not in the signing history.

Doc Express Document Signing History

Contract: NHSN-000-S(673)--2E-00 Document: Weekly Report #4

This document is in the process of being electronically signed by all required signatories using the Doc Express service. Following are the signatures that have occurred so far.

Date	Electronically Signed By
02/03/2015	Scott Nixon Iowa DOT (Signed by Resident Engineer or designee)
	(Signed by Contractor)
	(Signed by District Construction Engineer or designee)
	(Signed by District Materials Engineer or designee)

Even after all required signatures are obtained, the form remains in the Signatures drawer throughout the life of the contract. Although it is very nice and helpful to have each document transitioned to Completed when all signatures are obtained, it is not a requirement in this drawer.

The screenshot displays a list of documents in a system interface. Each document card shows the title, a date, a status (e.g., 'Signed by Resident Engineer or designee'), and a log of actions. The first document is 'WDR 18 w/e 07/02/16' with a log entry for July 12, 2016, at 10:35 AM CDT, signed by Danielle Mulholland. The second document is 'Concrete Placement for Pier Columns' with a log entry for July 12, 2016, at 08:04 AM CDT, signed by Jared Laermans. The third document is 'WDR 17 w/e 06/25/16'. Each card also includes '0 comments' and '0 supporting documents'.

PLANS DRAWER – SUBMITTALS & TRANSITIONS

The work flow for the Plans drawer immediately follows this section.

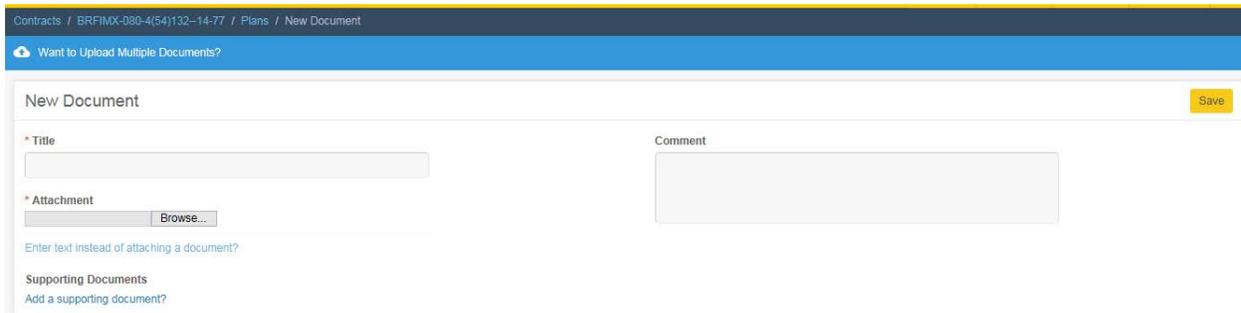
This drawer is a staging drawer (similar to the Working drawer) intended for documents (project plans) to be submitted, updated, etc. until the project work is done. At that time the final set of plans should be Published to the Contract Documents > Project Plans type. Although only DOT users submit to and update this drawer, the intent of this drawer is that all users have access to it resulting in everyone working from the same and most current set of plans for the project.

Once the project work is complete, the final set of plans should be Published to the Contract Documents drawer, Project Plans type. All iterations of the plans remain in the Plans drawer.

SUBMIT –

Only DOT organization users can submit to the Plans drawer. It is also the only organization that can transition a submittal. A log of every transition, including date/time/user name, etc. is maintained. Every user and organization should have access to this drawer.

The original submittal screen (shown below) is similar to the Working drawer in that there is no type field since there are no types for this drawer. Notice there is an option to add Supporting Documents (additional notes, documents, etc.) for the submittal.



The screenshot shows a web interface for creating a new document. At the top, there is a breadcrumb trail: "Contracts / BRPIMX-080-4(54)132-14-77 / Plans / New Document". Below this is a blue banner with a cloud icon and the text "Want to Upload Multiple Documents?". The main form area is titled "New Document" and includes a "Save" button in the top right corner. The form contains the following fields and sections:

- Title:** A text input field with an asterisk indicating it is required.
- Comment:** A larger text area for providing details.
- Attachment:** A text input field with a "Browse..." button next to it.
- Supporting Documents:** A section with the text "Supporting Documents" and a link "Add a supporting document?".

The “**As Advertised**” set of plans is to be **submitted** to the Plans drawer as soon as possible **by the RCE Office** but at a minimum 2 weeks prior to the letting date. Enter the project number in the title and then **in the comments, enter “As Advertised”** but do NOT put that in the title. (Other pre-contract details such as proposal, etc. should also be submitted by the RCE Office but to the appropriate type in the Contract Documents drawer instead of the Plans drawer.)

If there are changes to the original plans, after the letting **the Office of Contracts will click the Re-Submit** option and **submit** an “**As Let**” set of plans which includes any addendums and in the **comments field enter “As Let”** to distinguish it from the initial set of plans. **This updated set of plans will replace the previous set at the top of the list of submittals so the most current is always seen when opening this drawer.**

The RCE Office is to be notified of any additional revisions **following** the submittal of the “**As Let**” set of plans. Once notified, the **RCE Office** is to resubmit the updated set of plans which will “overwrite” the previous set so everyone has access to and is working from the same and most current set of plans. They should enter a comment to describe the new submittal. If everyone has the notification option turned “on” for the Plans drawer, each time the plans are updated, they will be notified.

When the contract work is finished, the most current set of plans is to be Published by a DOT user to the Contract Documents > Project Plans type where the plans will remain permanently as part of the contract records.

Plans Drawer Workflow

Users - Turn “ON” the notification for the Plans drawer so you are alerted when any revision to a plan has been made and submitted

Janet - Once the Doc Express initial contract setup is done for a letting and access has been given to DOT users, send a note to the residencies so they are aware that documents can be submitted.

RCE Office - As soon as the note above has been sent but a minimum of 2 weeks prior to the letting, submit a copy of the “as advertised” set of plans to the Plans drawer and other contract details to the Contract Documents drawer. The plans should have a comment stating they are the As Advertised set. (Explained below) **(Please note: it is important for this workflow for the RCE office to upload the “as-advertised” plans to the Plan room as described. If not completed in order, the next step of Contracts office submitting updated “as let” plans will be compromised.)**

If there are any plan addendums, the Designers will work with the Office of Contracts to **resubmit** an “As-Let” plan set as an update to these plans. This PLANS drawer will become a virtual PLAN ROOM for the always current set of plans, along with being able to see any changes made as the project progressed from advertising to letting and any plan revisions made during construction. The most current set of plans will be on top but all previous iterations of the plans are kept in the log.

Office of Contracts – Re-submit any revisions/addendums, etc. in a full set of updated plans to the Plans drawer so they are displayed “on top” of the “As Advertised” set. Enter a comment stating they are the As Let set of plans.

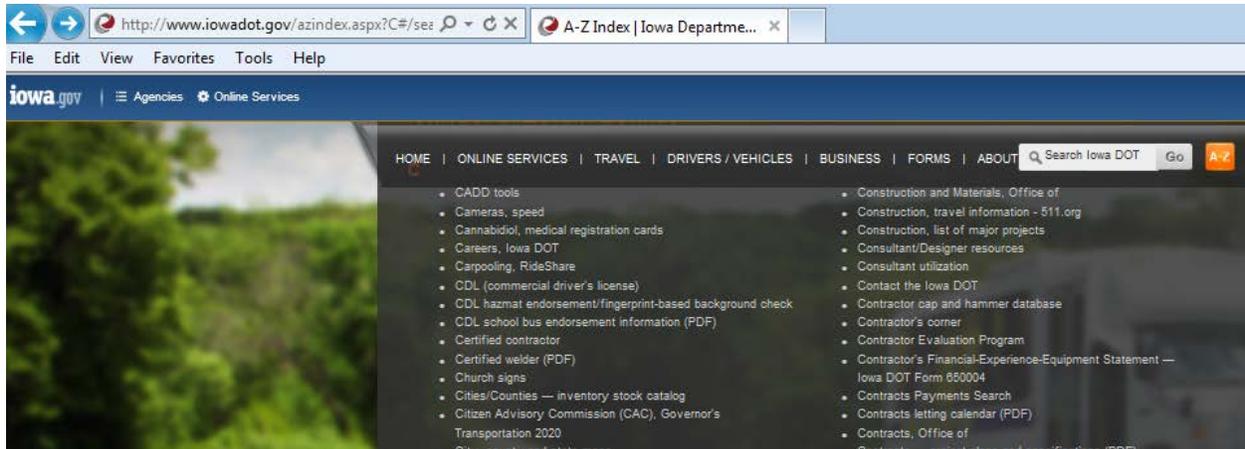
RCE Office/Office of Contracts - Plan revisions made post letting will be conveyed to the appropriate administering office for that office to update (resubmit) the PLAN ROOM set of plans

How to:

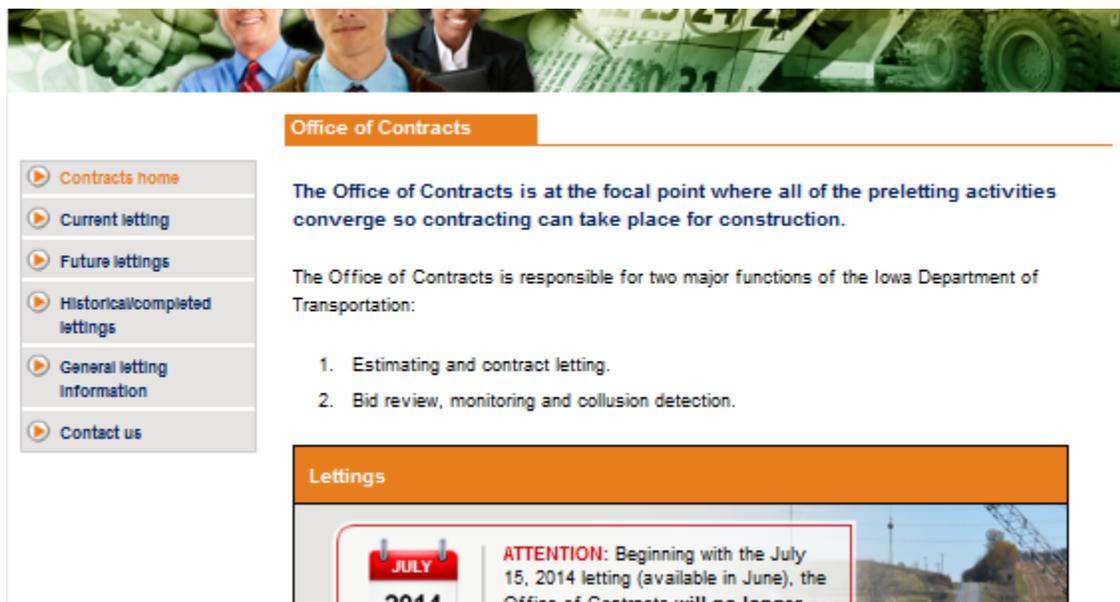
Find the set of plans –

Go to <http://www.iowadot.gov/contracts/lettings.html>

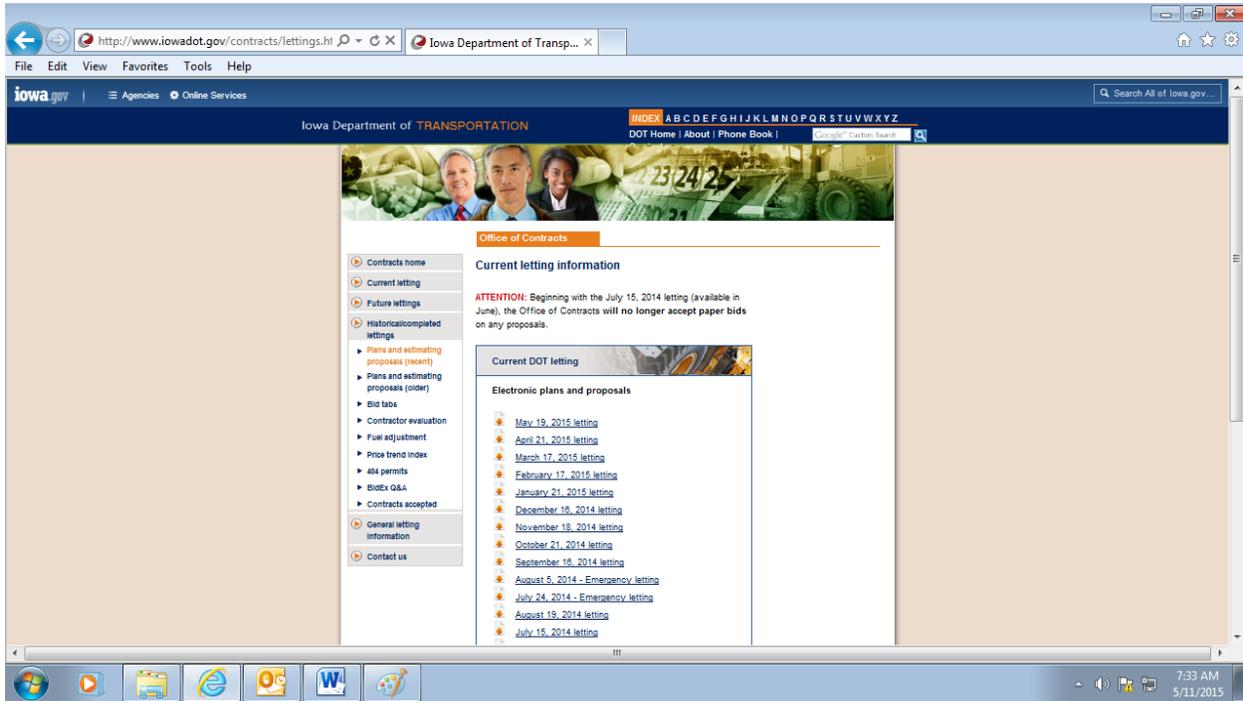
If you don't have the above full link, go to <http://www.iowadot.gov>, click on the A-Z button and select the letter "C" to have the following screen displayed.



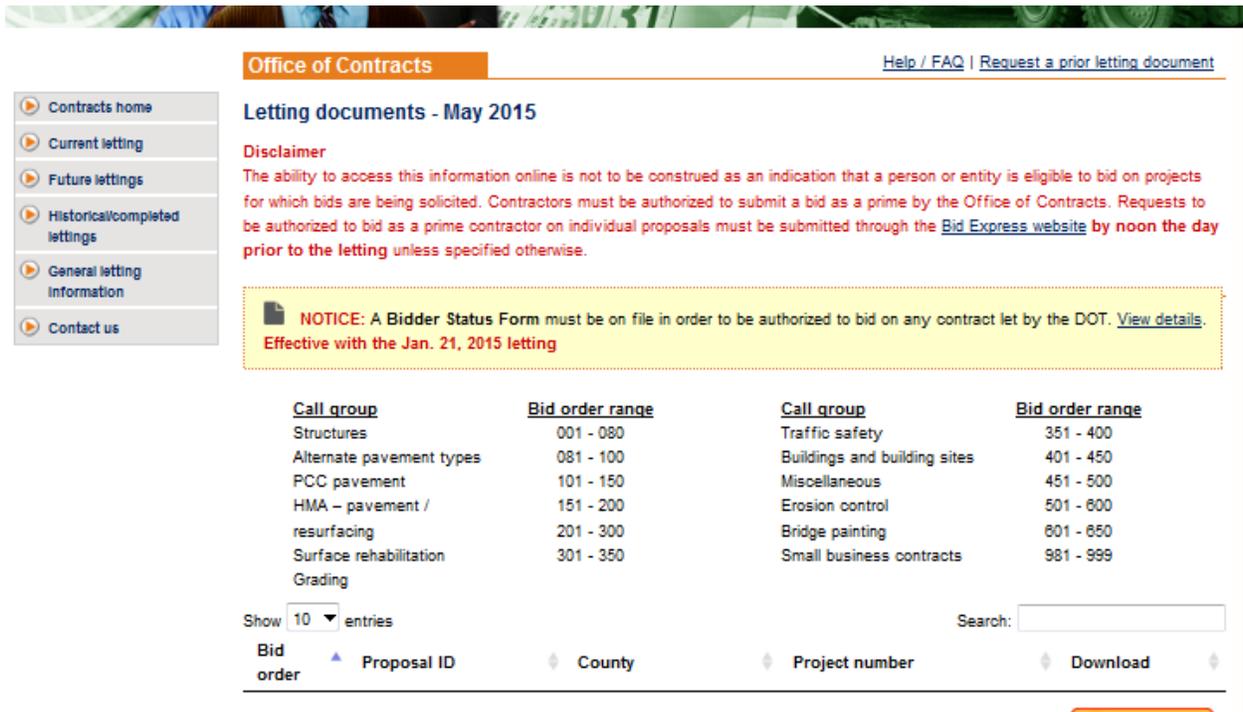
Select Contracts, Office of and the following screen will be displayed where you should select Historical/completed lettings



Then select Plans and estimating proposals (recent) to have the following screen displayed where you highlight the appropriate letting.



Following a disclaimer, all contracts (listed in bid order number) in that letting will be displayed



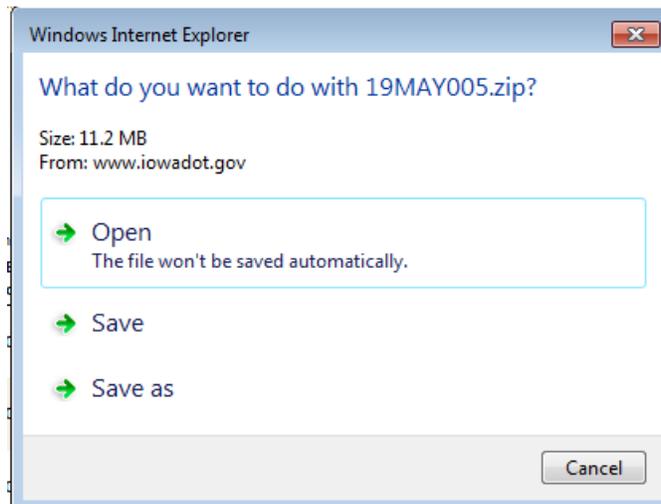
Scroll down until you locate the appropriate contract. For this example, we're selecting Bid Order Number 005.

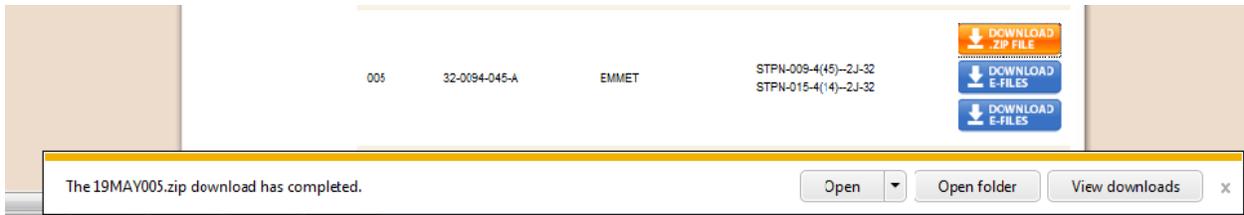
<u>Call group</u>	<u>Bid order range</u>	<u>Call group</u>	<u>Bid order range</u>
Structures	001 - 080	Traffic safety	351 - 400
Alternate pavement types	081 - 100	Buildings and building sites	401 - 450
PCC pavement	101 - 150	Miscellaneous	451 - 500
HMA – pavement / resurfacing	151 - 200 201 - 300	Erosion control	501 - 600
Surface rehabilitation	301 - 350	Bridge painting	601 - 650
Grading		Small business contracts	981 - 999

Show entries Search:

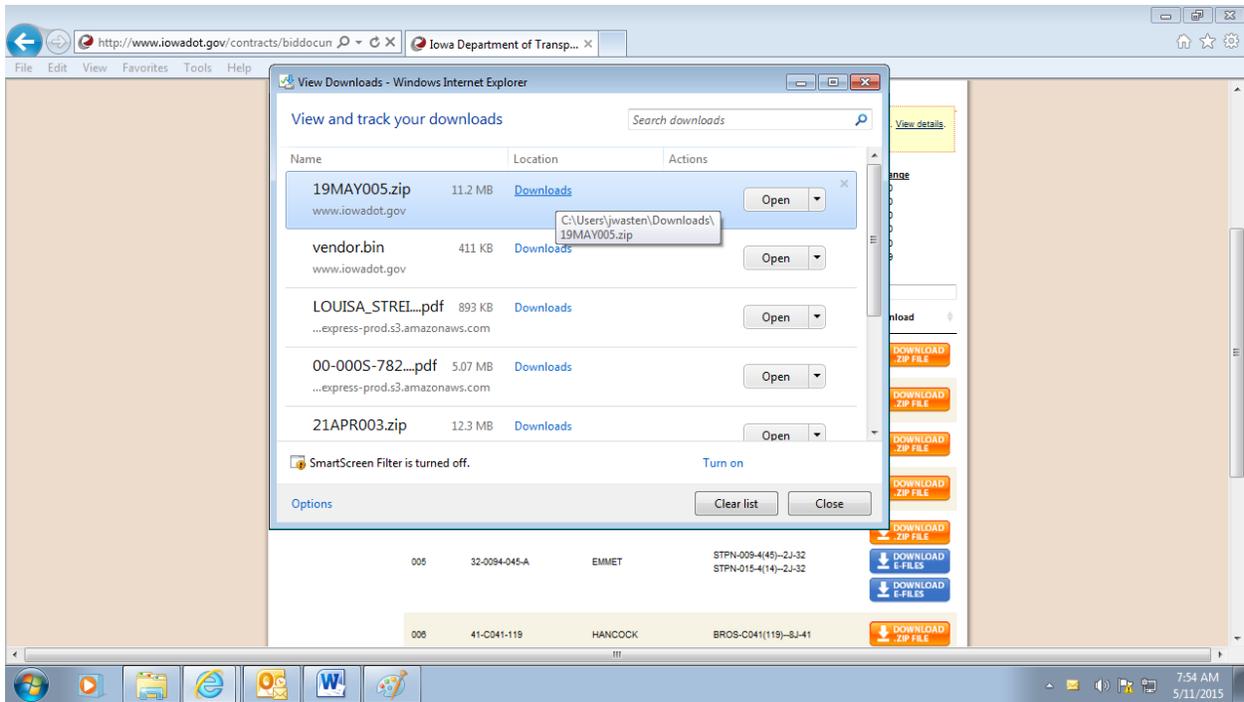
Bid order	Proposal ID	County	Project number	Download
001	01-0022-803	ADAIR	BHM-0022(803)--8K-01	
002	09-C009-052	BREMER	BROS-C009(52)--8J-09	
003	28-C028-088	DAVIS	BROS-C028(88)--8J-28	
004	31-0818-132	DUBUQUE	BRFN-081-8(132)--39-31	
005	32-0094-045-A	EMMET	STPN-009-4(45)--2J-32 STPN-015-4(14)--2J-32	

Click on the “orange” Download Zip File button to the right of the contract and you will immediately see the screen below where you should choose the Save option.

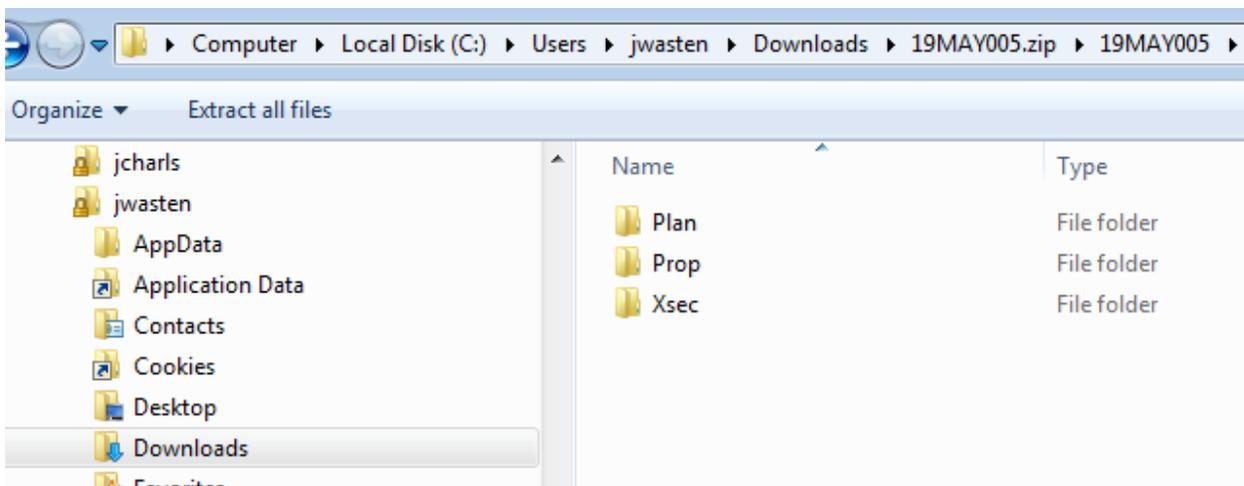




Go to the location of the download zip file (can find this location by clicking on View downloads)

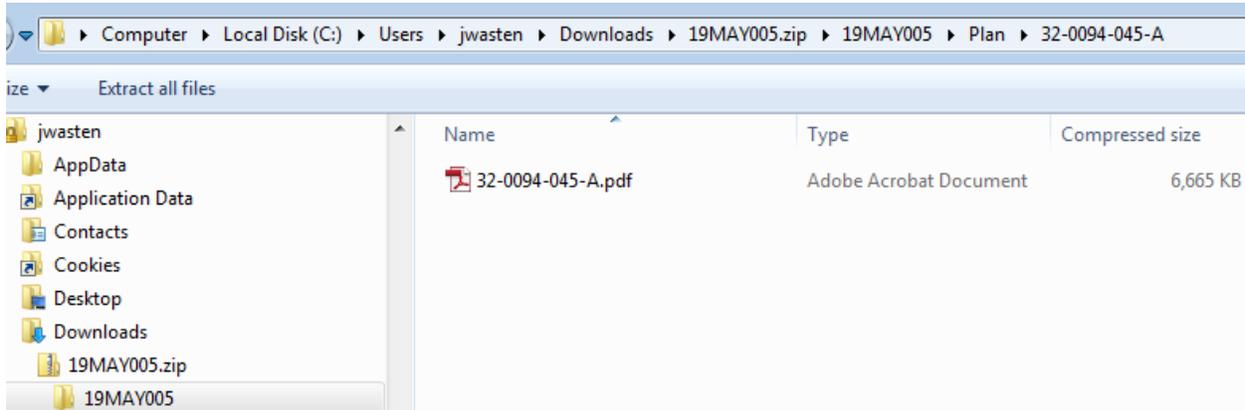


Double click on the zip file to see the folder(s) within it OR click the Open button to get the same result (shown below)

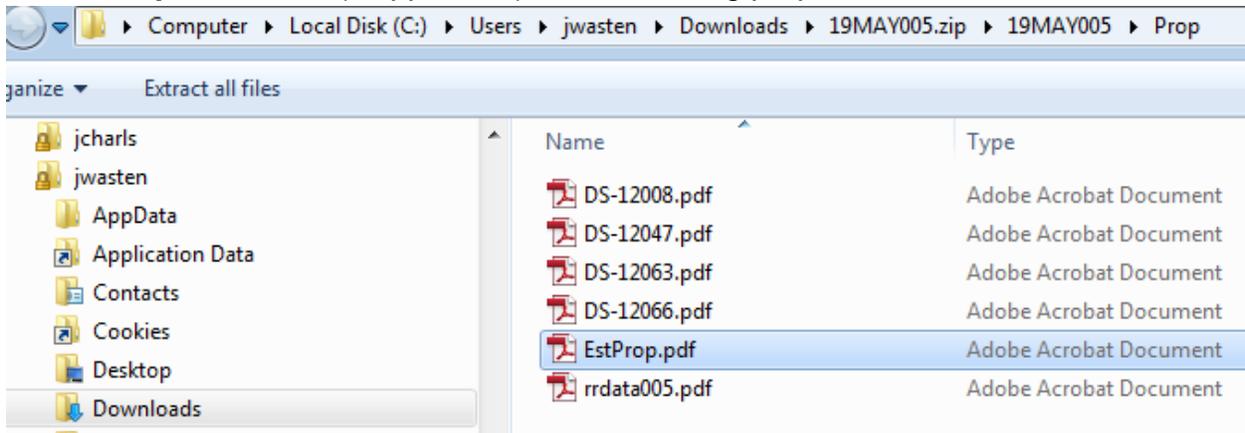


The subfolders displayed above will be for

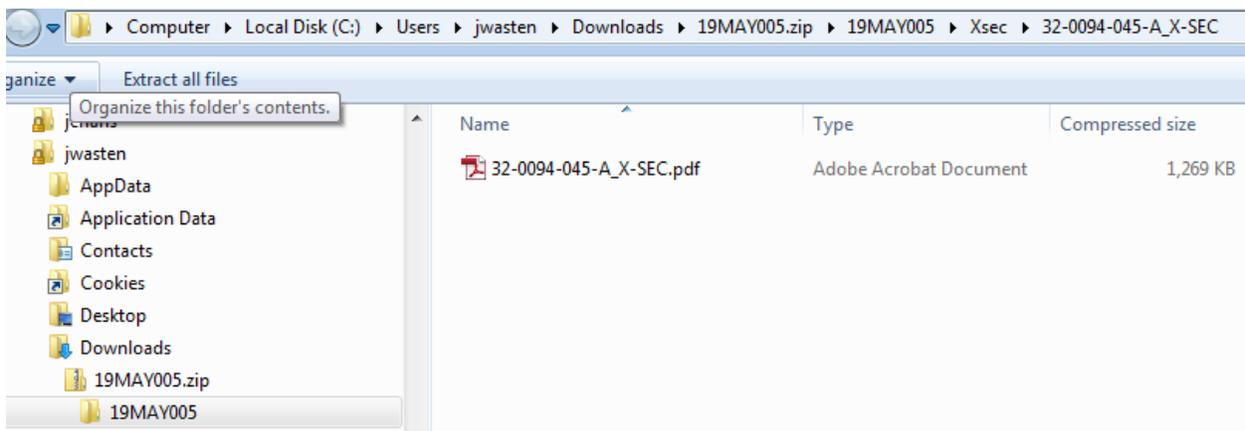
Plan – contains the plans for each project in the contract. Double click on the folder until the pdf file containing the plans is displayed. The .PDF file should be saved to the Plans drawer in Doc Express.



Prop – contains (if applicable) DS, estimating proposal, railroad data sheet.



Xsec – contains cross section legend & symbol info sheet for each project. Will need to double click on the folder to get to the pdf file



Putting the documents in Doc Express –

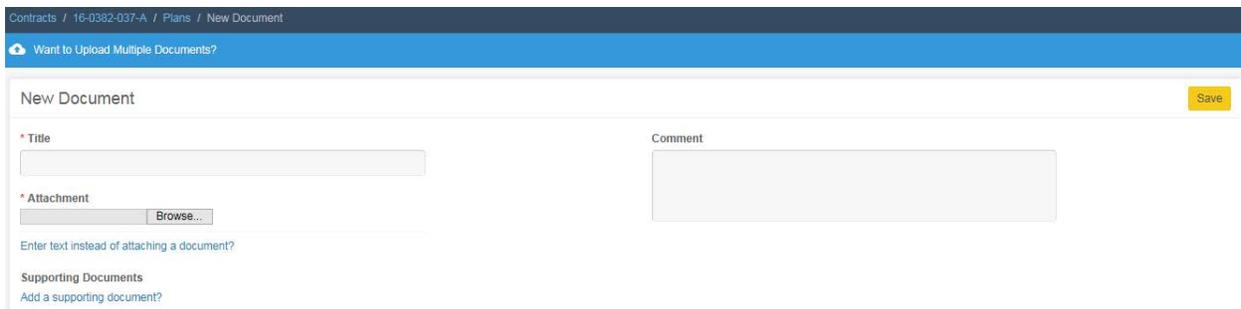
The **files in the Xsec and Plans folder should be submitted to the Plans drawer.**

To do so for any of the files in the 2 above folders -
Start the Doc Express program
Search for the appropriate contract

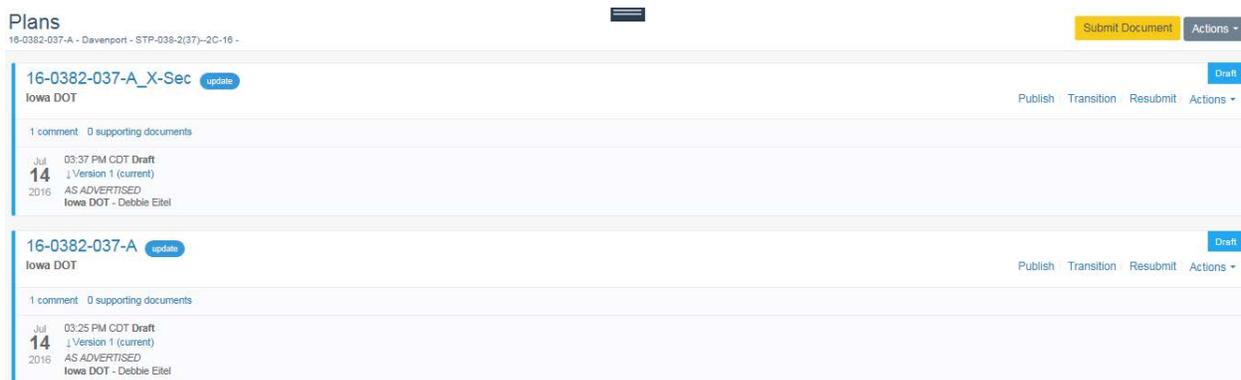


Open the Plans drawer and click the Submit document button.

Give the submittal a title that is the project number. There are no types in the Plans drawer. Shown below is the screen when submitting to the Plans drawer.



Once saved, the document will be displayed in the list of submittals for that drawer.



If you want to enter a due date (not at all sure why you'd want to but you can!!!), click on Edit due date located under the status on the right side of the screen. You can also enter and/or change a due date by clicking the Update button.

Update

* **Title**

Plans (388) with addenda

Due date

Save Cancel

If you submitted to the wrong drawer, you (as the submitter) can Remove the document and start over.

If you submitted to the correct drawer but the title is wrong, click the Update button and make the change then Save. The change will be reflected in the list of documents and be included in the log.

When the project work is finished and before the contract is locked, the documents in the Plans drawer should be published to their final location where they will remain for the life of the contract.

To publish -

Open the Plans drawer and click Publish

Select the appropriate drawer and type for the document being published

Click Save

Move 16-0382-037-A_X-Sec

* **Drawer**

Contract Documents

Types

Choose one or more document types

3.06)

Preconstruction Agreements

Preconstruction Meeting Information

Project Cross Sections - FINAL SET

Project Plans - FINAL SET

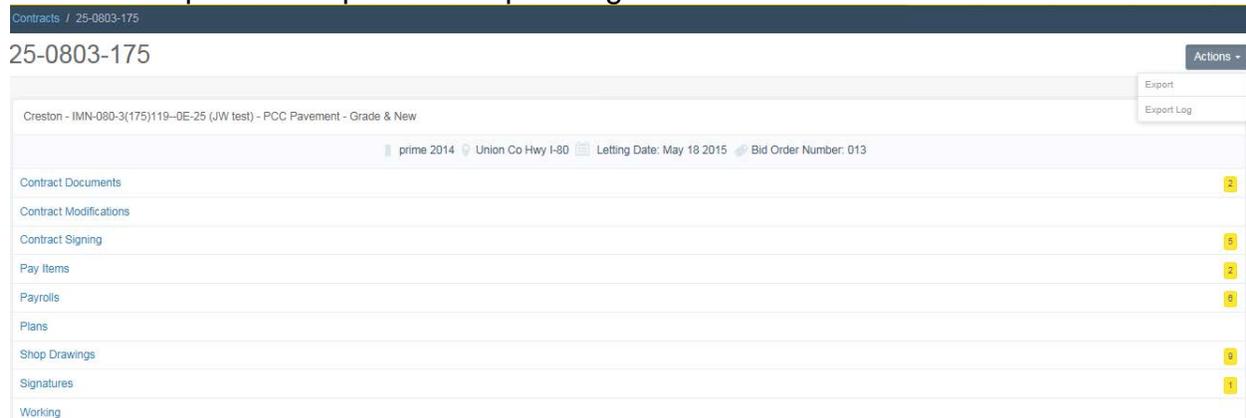
Project Schedule

The most current set of plans should be published by the RCE Office to the Contract Documents drawer > Project Plans – FINAL SET type. The Xsections should be published by the RCE Office to the Contract Documents drawer > Project Cross Sections – FINAL SET

The files in the Prop folder should be submitted to the Contract Documents drawer to the appropriate type. For example, the Developmental Specs should be submitted to the Developmental Specifications type and the Special Provisions should be submitted to the Special Provisions type. They will not be published as are the documents in the Plans drawer since they are already in their final location.

EXPORTING DATA –

After opening the contract (as seen below), click on the Actions button and you will have 2 options – Export and Export Log.



The screenshot shows a web interface for contract management. At the top, there is a breadcrumb trail: "Contracts / 25-0803-175". Below this, the contract ID "25-0803-175" is displayed. A dark blue "Actions" button is visible in the top right corner. Below the actions button, there are two options: "Export" and "Export Log". The main content area shows the contract details: "Creston - IMN-090-3(175)119-0E-25 (JW test) - PCC Pavement - Grade & New". Below this, there are several filters: "prime 2014", "Union Co Hwy I-80", "Letting Date: May 18 2015", and "Bid Order Number: 013". A table lists various document types with their respective counts:

Document Type	Count
Contract Documents	2
Contract Modifications	0
Contract Signing	5
Pay Items	2
Payrolls	8
Plans	0
Shop Drawings	9
Signatures	1
Working	0

Each option is different and each takes a different amount of time to complete. Export can take several minutes but Export – Log happens very quickly. We'll look at each –

Click on Export

Immediately a note (similar to the one following) will be displayed stating that you will receive an e-mail with a link to download when the export is done. The e-mail will have a link to the location of the download of data – similar to the one shown below.

Link to Download Export for Contract IMN-080-2(240)73--0E-01

Doc Express <notifications@docexpress.com>

If there are problems with how this message is displayed, click here to view it in a web browser.
Click here to download pictures. To help protect your privacy, Outlook prevented automatic download of some pictures in this message.

Sent: Mon 9/14/2015 11:02 AM

To: Wasteney, Janet [DOT]

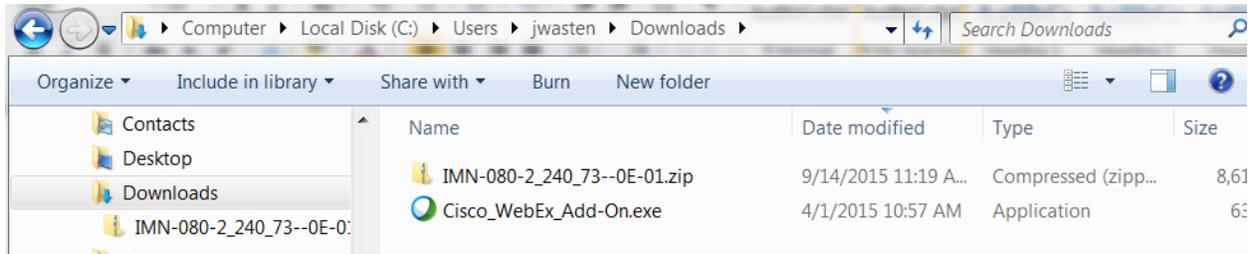
Janet Wasteney,

The export requested at 09/14/2015 11:01 AM CDT has completed.

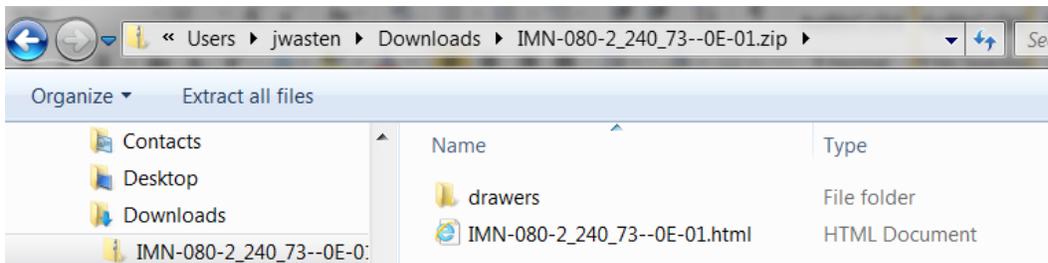
[Download Export of IMN-080-2\(240\)73--0E-01](#)

Click on the link and choose the Save option.

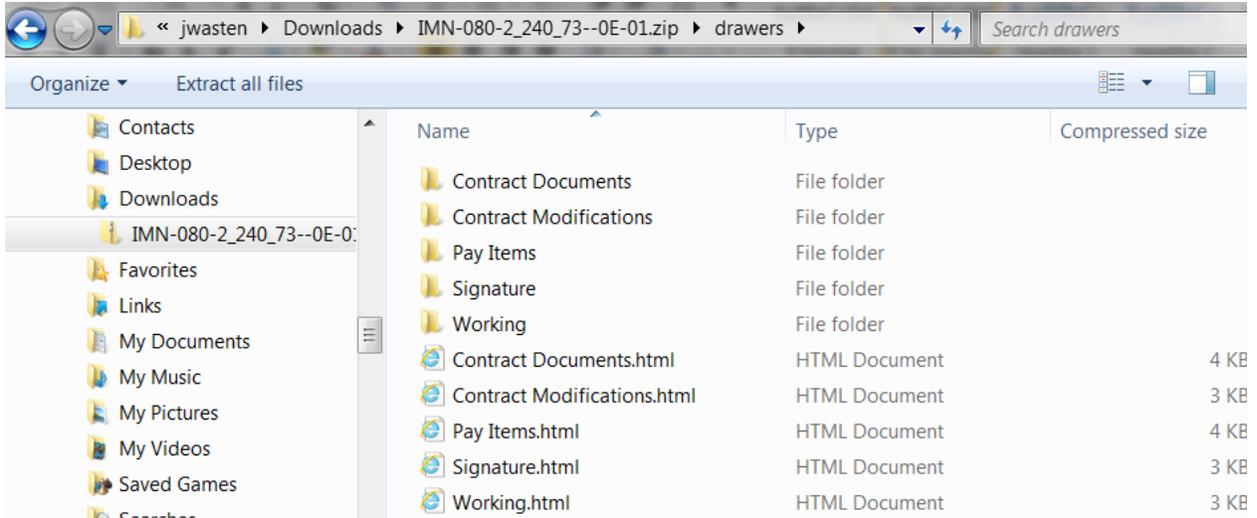
Go to the location where the download file was saved and find the zip file. (The contract ID will be in the title of the file)



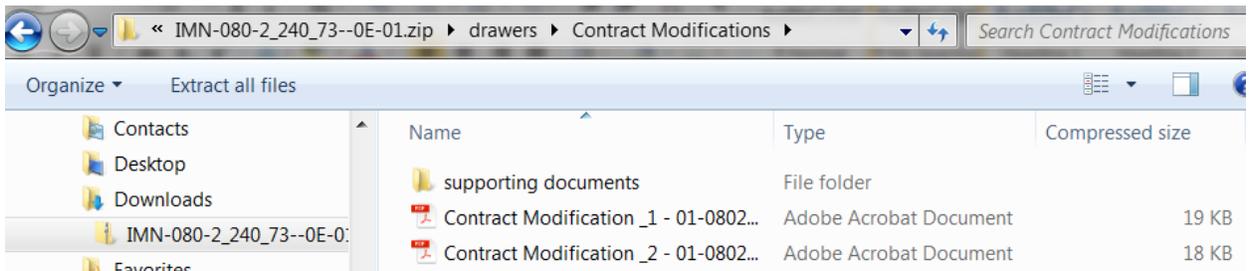
Double click on the zip file to see the contents.



Double click on the drawers folder. All drawers associated to this contract are included in this export and are displayed as a file folder. (see the following graphic)



By double clicking on one of the file folder drawers, that drawer's contents, if any, are displayed exactly as in the program. For instance, when I double clicked on the Contract Modifications file folder, a list of all cont mods that had been submitted are displayed as well as a file folder that contains all supporting documents that had been submitted. To see the actual cont mod, double click on that file name.



By clicking on an .html file, that drawer or contract's submittals are displayed just as they would be if you were in the actual program. See below for an example of the contract modification drawer html file -

Contract Modifications



ODDS & ENDS –

To return to a contract and/or previous drawer, follow the breadcrumbs . In the sample below, you are in the Payrolls drawer. You could click on the word Contracts to return to the list of contracts or you could click on 25-0803-175 to return to the contract itself where you could continue to choose to work in other drawers on that contract.

The screenshot shows the Doc Express web application interface. At the top, there is a yellow navigation bar with the Doc Express logo and menu items: Contracts, Documents, Dashboard, Preferences, and Help. Below this is a breadcrumb trail: Contracts / 25-0803-175 / Payrolls. A search bar is located below the breadcrumbs. The main content area is titled 'Payrolls' and shows a list of items. The first item is 'PR 01 w/e 06/25/16' with a yellow tag 'NORRIS ASPHALT' and a green 'Received' status. Below the item title, it says 'prime'. There is a '1 comment' and '0 supporting documents' section. A date stamp 'Jul 12 2016' is visible, along with the text '10:00 AM EDT Received cited by Janet' and 'Document transitioned from Submitted to Received. Iowa DOT - Janet Wastoney'. On the right side of the item, there are 'Submit Document' and 'Actions' buttons.

If a subcontractor is added after the contract was let, advise Janet or Dean so a type can be added for them in the Payrolls drawer if that drawer is required for the contract. The prime contractor can give subcontractors access to the contract and drawers but they can't add a type for them in the Payrolls drawer.

When new items are added by contract modification, notify Dean or Janet so a type for each of them can be added in the Pay Items drawer.

If you don't see a contract and/or drawer for which you need to submit a document, contact either Dean or Janet so they can give you access.

APPENDIX A – SUGGESTED NAMING CONVENTIONS

After the drawer has been filtered for a specific type, consistent naming conventions help users sort documents in a certain order if they are entered consistently. The letters in front of some of the titles are so when receiving a real time notification, you know what type (folder) that number or that week ending date is for. Without the letters, you can't determine from the real time notification whether it's, for instance, a cont mod or an estimate or whatever.

The reasoning for using the titles as suggested (very highly suggested!!) are in red below each.

In General for All Drawers -

Title – if entering a date, use 6 digits e.g. 02/10/16 Saturday should be the ending date

Title – if entering a number, use 2 digits e.g. 01

BE CONSISTENT in the title names

Contract Documents Drawer – (are normally submitted by a DOT user)

Title for Estimates

EST 01 - use EST followed by the number of the estimate

Estimates don't skip numbers but do skip weeks so using the estimate number makes it safer to determine if all estimates are there.

Pay Items Drawer – (submitted by either DOT or contractor or supplier)

Title for Traffic Control Diaries –

TC Jasper w/e 01/30/16 use TC for traffic control followed by the contractor's name followed by the week ending date (Saturday)

All of these submittals will be linked to the same type. This will sort first by contractor then by week ending date

Title for Materials Source Report –

Jasper Mtls Source Report - contractor's name followed by Mtls Source Report

All of these submittals will be linked to the same type. This will sort first by contractor

Contract Modifications Drawer – (are submitted by a DOT user only)

Title for Cont Mods

CM 01 - use CM for cont mod followed by the 2 digit number of the cont mod

Since only cont mods are in this drawer, the sort should be correct by the cont mod number as long as 2 digits are used in the title and the title was consistent using CM preceding the number

Seems kinda' silly to put CM in front when all submittals in this drawer are cont mods – but when receiving a real time notification, the CM will alert the user that it's a cont mod, otherwise they wouldn't know if it's a cont mod or an estimate

Payrolls Drawer – (are submitted by the prime contractor only)

Title for Payrolls

PR 01 w/e 01/09/16 - use PR followed by the report number followed by the week ending date (Saturday)

No need to enter the contractor's name in the title since it's in the link

Signature Drawer – (usually submitted by a DOT user)

Title for Working Day Reports

WDR 00 w/e 01/09/16 - use WDR followed by the Site Number followed by the week ending date (Saturday) If there is only one site, can eliminate that in the title.

The Site Number is used because of so many contracts having multiple sites. The weekly report number is not used because if a weekly report had to be deleted due to a time adjustment, unless the user remembered to change the report number back (& many times I've seen that it was forgotten) to what it was originally, the reports will be sorted completely out of order.

Plans Drawer – (are submitted by a DOT user only)

Title is the Project Number

Do NOT put As Advertised in the title but rather put it in the Comments

If Miriam submits As Let plans, the title remains the same and she puts As Let in the Comments

As Advertised shouldn't be in the title because the plans may have changes during the letting process so they are no longer "As Advertised"

Shop Drawings Drawer – (are normally submitted by the prime or sub)

Title is the PROJECT paren number followed by the county name and Design Number, if applicable, followed by the description of the submittal

This is what our design people requested – so the contractors should just do it!!!! We want to keep our people happy!

Working Drawer –title for plant reports

Title = PROJECT paren number (if a tied contract) followed by the contractor's name doing the work followed by the report number (using 2 digits) followed by date of report (use 6 digits) followed by the plant location

FOR PCC PLANT REPORTS -

Example if a tied contract – (304) PCI 03 02/25/16 Atlantic

Project paren number followed by contractor's name followed by report number followed by report date followed by plant location

Example if only 1 project in the contract - PCI 03 02/25/16 Atlantic

Contractor's name followed by report number followed by report date followed by plant location

FOR HMA PLANT REPORTS -

Example - (304) HMA Plant Report 01

Project paren number followed by HMA Plant Report followed by report Number

Contract Signing – (are submitted by a DOT user only)

Contract = BON followed by contract ID

APPENDIX B - As of July, 2016

Contract Documents Drawer Types

Addendum
Agreements for Private Property Used by Contractor (Construction Manual 2.26)
Asbestos Abatement Report
Clean Water Act Section 404 Permit
Construction Pay Estimate
Contract
Correspondence
DBE Commercially Useful Function Checklist (Form 517014)
DBE Commitment Report
Developmental Specifications
EEO/Wage Site Inspection
Environmental Clearances
Final Highway Funding Sources
Final Paperwork - Cost Sharing Memorandum
Final Paperwork - Interest Payment Information (Form 830235)
Haul Road Designation
Iowa DNR Abandoned Water Well Plugging Form
Iowa DNR Floodplain Permit
Iowa DNR Notification of Completion of Construction (DNR Form 37)
Night Work Plan and Approval
Notice to Proceed (Form 830237, CM 2.32)
Notice of Suspension or Resumption of Work (Form 810036, CM 3.06)
Preconstruction Agreements
Preconstruction Meeting Information
Project Cross Sections – FINAL SET
Project Plans – FINAL SET
Project Schedule
Proposal
Registration of Minor, Nonrecurring Use of Water (DNR Form 20, CM 2.14)
Right of Way Certificate
RR Agreement
RR Data Sheet
Special Provisions
Storm Water Co-Permittee Certification Statement
Storm Water Notice of Discontinuation
Storm Water Permit
Subcontract Request and Authorization
Supplemental Specifications
Utility Bid Attachments

APPENDIX B - As of July, 2016

Signature Drawer Types

Final Paperwork - Audit of Final Pay Estimate (Form 830301)
Final Paperwork - Certification of DBE Accomplishment (Form 102116)
Final Paperwork - Certification of Subcontractor Payment (Form 518002)
Final Paperwork – Contractor Evaluations
Final Paperwork – Engineer’s Material Cert
Final Paperwork - Final Construction Pay Estimate
Final Paperwork - Final Payment (Form 830436)
Final Paperwork - Noncomplying Test or Measurements of Materials
Incorporated into the Project
Final Paperwork - Statement of Salvaged Materials
Items Paid by Plan Quantity (Form 830230)
Noncompliance Notice (Form 830245)
Pre-Audit Agreement
Request for Early Release of Retained Funds
Statement of Completion and Final Acceptance of Work (Form 830435)
Storm Water Inspection Reports
Weekly Report of Working Days

APPENDIX B - As of July, 2016

Shop Drawing Drawer Types

Architectural mock-ups
Architectural paving
Architectural paint color samples and manufacturer data
Architectural concrete texture form liner samples and drawings
Architectural concrete sealer samples and manufacturer data
Architectural ornamental brick
Bridge components
Cofferdam design (when required)
Detail plans for falsework or centering support of steel structures (i.e. erection plans)
Falsework for slab bridges
Highway lighting
Highway sign support structures (i.e. bridge type trusses, cantilever trusses, & bridge mounts)
Highway signing steel breakaway posts
Highway signing - Type A & B signs
Intermediate foundation improvement (IFI)(i.e. stone columns, geopiers, etc.)
MSE, segmental, & modular block retaining walls (Prelim & final submittals)
Precast concrete (i.e. deck panels, RCB culverts, noise wall panels, arch

sections, etc.)
Pre-engineered steel truss recreational trail bridge
Reconstruction of substructure (detailed plans for supporting the superstructure)
Removal of box girder bridges
Safety grates for RCB culverts
Soil nail & tie-back retaining walls
Steel and aluminum pedestrian hand rails
Steel Structures
Weld Procedures
Structural erection manual
Temporary sheet pile retaining wall
Temporary shoring
Tower lighting
Traffic signalization
Contractor Borrow
Misc. Bridge
Misc. Soil Design

APPENDIX B - As of July, 2016

Payrolls Drawer Types

Predetermined Wage Rate

APPENDIX B - As of July, 2016

Pay Items Drawer Types

Central Materials Input
Contract Modification Item Certs
District Materials Input
Materials Acceptance Report
Materials Source Report

Groupings in the Pay Items Drawer - used as needed

PCC Paving – Mix Design
PCC Paving – Contractor Quality Control Plan
PCC Paving – Maturity (Curves & Verification)
PCC Paving – PCC Plant Report
PCC Paving – Plant Monitor Gradations
PCC Paving – (Form 115) Air & Slump Test Results
PCC Paving – (Form 114) Beam Break Results
PCC Structure - Mix Design
PCC Structure – PCC Plant Report
PCC Structure – Plant Monitor Gradations
PCC Structure – (Form 145) Air & Slump Test Results
HMA Items – Mix Design

HMA Items – HMA Base Plant Report
HMA Items - HMA Charts
HMA Items – HMA Intermediate Report
HMA Items – HMA Surface Report
HMA Items - Mix Temps (Small Quantities)
HMA Items – Verification Aggregate Gradations

APPENDIX B - As of July, 2016

Contract Signing Drawer Types -

Contract
Instructional Letter
Other Required Documents
READ ME FIRST
Storm Water Co-Permittee Form

APPENDIX F - -DRAFT MATERIAL DOCUMENTATION CLARIFICATION

Single Document Basis of Acceptance			
Acceptance Method, IM 204 appendix Z or Mtls Acceptance Report	Document	Comments	Examples
Visual Approval by RCE	Document by an entry in Doc Express	The project inspector is to submit using a Comment and then the Project Inspector is to Transition to Received.	Burlap, Plastic film, Steel Posts for Silt Fence
As Per Plan	Compliance with the plans will be documented by an entry in Doc Express	The project inspector is to submit using a Comment and then the Project Inspector is to Transition to Received.	Guardrail Attenuators
Approved Source (Easily Identified)	Source of the material should be identified by the Project Inspector. Document by an entry in Doc Express.	The project inspector is to submit using a Comment and then the Project Inspector is to Transition to Received.	Engineering Fabric, Poured Joint Sealer, Wood Excelsior Mat, Silt Fence
Approved Source (Not Easily Identified)	Source of the material should be identified by the Project Inspector. This will require a document to be in Doc Express.	Products which cannot be easily identified in the field, such as traffic paint, will require a document in Doc Express. This should be entered by the Contractor or supplier.	Anti-strip Agent, Concrete Anchors, Concrete Sealer, Traffic Paint
Approved Source, Batch (Lot)	Verify that the material is from an approved source. Verify the Batch (lot) number. The information can be documented by an entry in Doc Express.	Check list maintained by Central Mtls, if the Batch (lot) has been previously tested a sample is not needed. District Mtls will sample if necessary & the report will be entered on Doc Express by the DME Batch numbers for admixtures will also be documented on plant report.	PCC Concrete admixtures
Batch (Lot) Acceptance	Record the batch or lot number by an entry in Doc Express. If sampled a test report will be entered as well.	Verify that batch or lot has been tested, a list is maintained by Ctl Mtls. Dist Mtls will secure a sample when required & report results to Doc	White Pigmented Curing compound.

		Express.	
Certification Statement	A copy of the certification will be in Doc Express	The documentation with the certification statement will be entered by the Contractor or supplier.	Lead Bearings
Test Report	A copy of the test report will be in Doc Express	The IM 204 will specify who is responsible for the testing. They will sample, test and report the results to Doc Express.	Cable Guardrail, Electric circuit test, Torque wrench
Approved Catalog Cut	A copy of the reviewed Catalog cut will be in Doc Express.	The Catalog cut will be submitted for review by the contractor or supplier and entered in Doc Express according to the specification.	Lighting Materials, connectors and photoelectric controls
Fabrication Report	A copy of the fabrication report will be in Doc Express	The fabrication report is generated by District Materials and will be entered into Doc Express by the DME.	Structural Aluminum Fastners
Mill Test Report	A copy of the Mill test report will be in Doc Express.	The mill test report should be entered by the contractor or supplier. This may also be referred to as a mill certification. Be sure to verify that any product of steel or iron meets the Buy America requirements.	Steel Guardrail posts

Multiple Document Basis of Acceptance			
Acceptance Method, IM 204 appendix Z or Materials Acceptance Report	Document	Comments	Examples
Approved Source, Certification Statement	Verify that the material is from an approved source. A copy of certification will be in Doc Express.	The documentation with the certification statement will be entered by the Contractor or supplier. The Approved Source portion is included with the certification.	Concrete modular and segmental blocks
Approved Source, Fabrication Report	Verify that the material is from an approved source. A copy of fabrication report will be in Doc Express.	The fabrication report is generated by District Materials and will be entered into Doc Express by the DME. The Approved Source portion is included with the Fabrication Report.	Neoprene Bearings
Approved Source, Mill Certifications	Verify that the material is from an approved source. A copy of the mill certifications will be in Doc Express.	The mill certification should be entered by the contractor or supplier. Be sure to verify that any product of steel or iron meets the Buy America requirements.	Steel piling, uncoated rebar
Approved source, Catalog Cut	Verify that the material is from an approved source. A copy of the catalog cut will be in Doc Express.	A copy of the catalog cut should be entered on Doc Express by the contractor or supplier.	Steel castings
Approved Source, Certification Statement, Test Report	Verify that the material is from an approved source. A copy of the Certification Statement and the Test Report will be in Doc Express.	The documentation with the certification statement should be entered by the Contractor or supplier. The test report should be entered by the testing agency, either a third party Lab or the DME.	Asphalt binder and emulsion
Approved Shop Drawing, Catalog Cut	A copy of the approved shop drawing and catalog cut will be in Doc Express.	The shop drawing and catalog cut should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications.	Structural Aluminum

Approved Catalog Cut, Certification Statement	A copy of the approved catalog cut and a copy of the certification will be in Doc Express.	The catalog cut should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications. A copy of the certification should be entered by the contractor or supplier.	Lighting materials wire and cable
Approved Shop Drawing, Fabrication report	A copy of the Approved shop drawing will be in Doc Express along with the Fabrication report.	The shop drawing should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications. The fabrication report will be entered by the DME.	Floor drains and steel expansion devices
Approved Source, Certified Truck Ticket or Form # 821278	Verify that the material is from an approved source. For aggregate paid by the ton collect certified truck tickets on the grade. A summary of aggregate shipments to the project should be submitted to Doc Express by the aggregate producer for non-proportioned aggregate .	It is not necessary to have a copy of a truck ticket in Doc Express. For proportioned aggregates verify the tickets at the plant site. Form #821278 may be used to certify aggregate that is not weighed over a scale.	Proportioned and Non-proportioned aggregate

Multiple Document Basis of Acceptance			
Acceptance Method, IM 204 appendix Z or Materials Acceptance Report	Document	Comments	Examples
Approved Shop Drawing, Approved Source, Certification Statement	Verify that the material is from an approved source. A copy of the Approved shop drawing and the certification statement will be in Doc Express.	The shop drawing should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications. The documentation with the certification statement will be entered by the Contractor or supplier.	Aluminum lighting poles
Approved Source, Approved Shop Drawings, Fabrication Report, Mill Certifications	Verify that the material is from an approved source. A copy of the approved shop drawings, fabrication report, and mill certifications will be in Doc Express	The shop drawing should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications. The mill certifications should be entered in Doc Express by the contractor or fabricator. The fabrication report will be entered into Doc Express by the DME.	Structural Steel
Approved Source, Approved Shop Drawings, Fabrication Report	Verify that the material is from an approved source. A copy of the Approved shop drawing and the fabrication report will be in Doc Express.	The shop drawing should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications. The fabrication report will be entered by the DME.	Bridge railing
Approved Source, Fabricator's trademark, Date of Manufacture, Certified Stamp, Certification Statement	Verify that the material is from an approved source. Check for the trademark and certified stamp. A copy of the certification statement will be in Doc Express	For precast concrete pipe a certified summary of items delivered to the project site will be entered into Doc Express by the contractor or supplier.	Handholes and concrete pipe
Approved Source, Fabricator's trademark, Date of Manufacture, DOT Inspection Stamp, Fabrication Report	Verify that the material is from an approved source. Check for the trademark and DOT inspection stamp.	The Fabrication report is generated by District Materials and will be entered into Doc Express	Prestressed Concrete Beams, Concrete piling

	A copy of the fabrication report will be in Doc Express	by the DME.	
Approved Source, DOT Inspection Stamp, Fabrication Report	Verify that the material is from an approved source. Check for the DOT inspection stamp. A copy of the fabrication report will be in Doc Express	The Fabrication report is generated by District Materials and will be entered into Doc Express by the DME.	Precast permanent barrier rail.
Approved Source, Certification of Grade, and Treatment Test Report	Verify that the material is from an approved source. The certification of grade and treatment report will be in Doc Express.	The certification of grade and treatment report will be entered by the contractor or supplier.	Treated wood products
Approved Source, Test Report, Steel Mill Certification	Verify that the material is from an approved source. The test report and mill certification will be in Doc Express.	The mill certification should be entered by the contractor or supplier. Be sure to verify that any product of steel or iron meets the Buy America requirements. Samples are normally taken by District Materials and the test report will be entered in Doc Express by the DME.	Anchor Bolts

Multiple Document Basis of Acceptance			
Acceptance Method, IM 204 appendix Z or Materials Acceptance Report	Document	Comments	Examples
Mill Certification, Rotational Capacity Test, Test Report	The mill certification, rotational capacity test and test report will be in Doc Express	The mill certification and rotational capacity test should be entered by the contractor or supplier. Be sure to verify that any product of steel or iron meets the Buy America requirements. Bolts, nuts and washers will be sampled by District Materials and the report will be entered on Doc Express by the DME. Check the IM's and specifications for field rotation capacity testing. If required this test report will also need to be filed in Doc Express by the RCE or DME.	Structural bolts nuts and washers
Approved Shop Drawing, Shipping Report	A copy of the approved shop drawing and shipping report will be in Doc Express.	The shop drawing should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications. The shipping report is generated by the supplier and should be entered into Doc Express by the contractor or supplier.	Sign Panels
Approved Source, Shipping Report, Certification Statement	Verify that the material is from an approved source. A copy of the shipping report and Certification Statement will be in Doc Express.	The shipping report and Certification statement is generated by the supplier and should be entered into Doc Express by the contractor or supplier.	Finished signs

<p>Mill Certifications, Test Report for Galvanizing</p>	<p>Mill Certifications and galvanizing test report will be in Doc Express.</p>	<p>Mill certifications should be entered in Doc Express by the contractor or supplier. Be sure to verify that any product of steel or iron or the coating there of meets the Buy America requirements. Be sure to verify that any product of steel or iron meets the Buy America requirements.</p>	<p>Galvanized rebar</p>
<p>Approved Source, Mill Certifications, Epoxy Certifications, Test Report</p>	<p>Verify that the material is from an approved source. Mill certifications, epoxy certifications and a test report will be in Doc Express.</p>	<p>The mill certifications and epoxy certifications should be filed by the contractor or supplier. Be sure to verify that any product of steel or iron or the coating there of meets the Buy America requirements. Samples will be taken by District Materials and reported by the DME.</p>	<p>Epoxy coated rebar</p>
<p>Approved Source, Approved Shop Drawings</p>	<p>Verify that the material is from an approved source. A copy of the approved shop drawing will be in Doc Express</p>	<p>The shop drawing should be submitted for review by the supplier or contractor and entered in Doc Express according to the specifications.</p>	<p>Pre-engineered pedestrian bridge</p>