

Post-Award Checklist and Certification

For Locally Procured Federal-Aid Contracts

The following checklist describes the procedures and prescribes the sequence of steps that a Local Public Agency (LPA) must follow *after* receiving Iowa Department of Transportation (Iowa DOT) Administering Office concurrence in the award and *prior* to receiving final reimbursement for a Federal-aid construction contract. These procedures may only be used for qualifying contracts, as defined in [I.M. 3.720](#), Local Letting Process – Federal-aid.

Note: This checklist is not a complete list of all project development activities, but instead focuses only on those activities that are related to contract procurement. This checklist assumes that the LPA has already completed the applicable project development steps, as outlined elsewhere in the [Federal-aid Project Development Guide](#).

The LPA shall complete and submit this checklist and certification to the Administering Office as specified in the steps below. This checklist will also be used by Administering Office staff to review and document the LPA's compliance with the various Federal and State laws, regulations and policies relating to procurement of Federal-aid construction contracts.

Items with an asterisk (*) are the responsibility of the LPA. While the LPA may use the services of a consultant to perform some of these responsibilities, the LPA is ultimately responsible for ensuring that these responsibilities are carried out.

Checklist

- * 1. After receiving Administering Office concurrence in award of the contract, the LPA takes formal action to award the contract, as required by Code of Iowa Section 26.9 and Section 26.10, and forwards an unsigned set of contract documents to the successful bidder or quoter for signature. The contract documents shall include:
- the form of contract used by the LPA (if sealed bids were used)
 - *Bidding Proposal for County / City Projects (Form 740384)* ([PDF](#)) ([Word](#)) or *Request for Quotation (Form 740386)* ([PDF](#)) ([Word](#))
 - *Proposal Notice for Locally Procured Federal-Aid Contracts* ([PDF](#))
 - *Certification of Subcontractor Payments (Form 518002)* ([Word](#))
- If the contract included a DBE goal, the following additional contract documents shall be included:
- *DBE Contract Provisions* ([PDF](#)); and
 - a completed *Statement of DBE Commitments (Form 517012)* ([PDF](#)), signed by representatives of the contractor and the LPA.
- * 2. After receipt of the signed contract documents from the contractor, the LPA signs the contract. The LPA also obtains the tax exemption certificates for the contractor and any subcontractors from the Iowa Department of Revenue. The LPA signs the tax exemption certificates and returns them to the contractor with the executed contract documents.
- * 3. Within thirty 30 calendar days of taking formal action to award the contract, the LPA provides 2 copies of the fully executed contract documents to the Administering Office. In addition to those listed in Step 1 above, the contract documents shall include the following:
- all bonds required by the contracting authority, such as the bid bond, payment bond, or performance bond;
 - all insurance certificates required by the contracting authority;
 - a copy of the tax exemption certificates issued to the contractor and subcontractors.
4. The Administering Office reviews the contract documents. If the contract documents are not acceptable, the Administering Office works with the LPA to correct any deficiencies. If the contract documents are acceptable, the Administering Office notifies the LPA and distributes copies of the contract documents to other Iowa DOT offices as appropriate.

- * 5. The LPA monitors the work progress and the contractor's compliance with the contract documents. The LPA's inspection and construction administration activities shall include, but are not limited to:
 - At least once every six months, the LPA shall perform a site inspection and wage rate interview, complete the *Project Engineer's EEO Project Site Inspection / Wage Report (Form 650170)* ([PDF](#)) ([Word](#)), and place a copy of this form in its project file.
 - If change orders are necessary, the LPA shall prepare change orders using the *Change Order (Form 830240)* ([PDF](#)) ([Word](#)) and obtain written approval from the Administering Office before authorizing the contractor to begin any change order related work.

- 6. During the last week in July, the Administering Office sends a copy of *Form FHWA-1391* ([PDF](#)) and instructions to all contractors with open locally procured Federal-aid contracts. Copies of these letters are provided to the LPAs. The contractors complete the forms and return them to the Administering Office. If a contractor fails to submit the form by mid-August, the Administering Office sends a reminder letter and provides a copy to the LPA. If the contractor fails to comply by the last working day of August, the Administering Office notifies the LPA that Federal-aid reimbursement for contract costs will be withheld until the contractor complies.

- * 7. As work progresses, the LPA makes payments to the contractor and the contractor makes payments to its subcontractors in accordance with the contract documents.

- * 8. After payments to the contractor are made, the LPA may periodically submit requests for Federal-aid reimbursement to the Administering Office. Upon receipt, the Administering Office reviews and processes the billings received from the LPA for reimbursement.

- * 9. Upon completion of the project, the LPA verifies the project was completed in accordance with the contract documents. If so, the LPA sends a request for final reimbursement to the Administering Office. This request shall include the following forms and documentation, completed as appropriate:
 - Post-Award Checklist and Certification (this document)
 - *Certification of Subcontractor Payments (Form 518002)* ([Word](#))
 - *Certification of DBE Accomplishments (Form 517013)* ([PDF](#)), even if no DBE goal was set or no DBE firms were used
 - *Certificate of Completion and Final Acceptance of Agreement Work (Form 640003)* ([PDF](#)) ([Word](#))
 - The final *Change Order (Form 830240)* ([PDF](#)) ([Word](#)), if any
 - The final construction progress voucher (including all approved change orders)
 - The *Interest Payment Information (Form 830236)* ([PDF](#)) ([Word](#)), completed in accordance with Appendix 2-38 of the [Construction Manual](#).

- 10. The Administering Office reviews the LPA's request for final reimbursement. If the Administering Office concurs, the Administering Office begins processing the final reimbursement request and requests Federal Highway Administration (FHWA) approval. If there are problems or discrepancies, the Administering Office works with the LPA to correct them.

- 11. After receiving approval of the final voucher from the FHWA, the Administering Office makes the final Federal-aid reimbursement and distributes copies of the approved final voucher to the LPA, the appropriate Metropolitan Planning Organization (MPO) or Regional Planning Affiliation (RPA), and other Iowa DOT offices as appropriate.

LPA Certification

As the duly authorized employee of the local public agency named below, having responsible charge of the project named below, I hereby certify, under penalty of perjury under the laws of the United States and the State of Iowa, that the responsibilities assigned the local public agency as noted above have been fulfilled.

Project No.: _____ City or County Name: _____

Name: _____ Title / Position: _____

Signature: _____ Date: _____

Iowa DOT Review

As the authorized representative of the Iowa Department of Transportation, I have reviewed this checklist and found the local public agency named above to be in substantial compliance with its responsibilities as assigned above. I have also verified the responsibilities assigned to the Iowa DOT have been completed.

Name: _____ Iowa DOT Office: _____

Signature: _____ Date: _____