

Pre-audit Checklist

Project Number: _____ Project Name / Location: _____
Contract Number: _____ Contracting Authority: _____
Accounting Number: _____ Contractor: _____

Instructions: All of the applicable documents, steps, or reviews represented by this checklist should be complete and correct before requesting a final audit from the Iowa DOT Administering Office. Review and complete this checklist as indicated below, and as indicated by the instructions for each item:

- If the question(s) associated with an item can be answered “yes”, and the project file contains documentation to support this answer, check the box.
- If the item does not apply, write “N/A” over the box.
- If any items need additional explanation, place a note adjacent to that item, add remarks in the “comments” section below, or attach additional documents as necessary.

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

The Iowa DOT Standard Specifications, Construction Manual, and the Materials I.M.s are all available on-line as part of the Iowa DOT’s [Electronic Reference Library](#). Most of the Iowa DOT forms referenced below are also available on the [Iowa DOT Forms](#) web page. Finally, some of the forms or documents included in this checklist are also discussed as part of [I.M. 3.805](#), Construction Inspection.

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

Contract Documents

- Local Agency Funding Agreement:** Does the file include a copy of the fully-executed Iowa DOT/Local agency funding agreement including all addendums to the agreement?
- Estimating Proposal:** Does the project file include a copy of the Estimating Proposal and all attachments to the proposal?
- Addendums:** If any addendums were issued during the bid advertisement period, does the project file include copies of each addendum?
- Contract:** Does the project file include a copy of the fully-executed construction contract with FHWA Form 1273 attached?
- Plans:** Does the project file include a copy of the plans?
- Plan Revisions:** If the plans were revised after the contract award, are copies of such plan revisions, including transmittals to the Contractor, included in the project file?
- Specifications:** Is a copy (electronic or paper) of the contract specifications (Iowa DOT Standard Specifications plus the applicable General Supplemental Specifications, or other specifications as applicable) located in the project file or can they be produced when requested?
- Specification Modifications:** If the contract was let using the Iowa DOT Standard Specifications, does the project file include copies of all applicable Special Provisions, Developmental Specifications, and Supplemental Specifications? If the contract was let using other specifications, does the project file include copies of all similar special provisions or modifications to those specifications?

Contract Administration and Inspection Documents

- Final Highway Funding Sources. Final Detail Estimate Cost Summary, and Final Highway Detail Construction Estimate (if applicable):** If the contract was let by the Iowa DOT, does the project file include a copy of these documents? These documents are distributed by the Iowa DOT Office of Finance after a contract is awarded by the LPA. Together, these documents document the Contractor, awarded contract amount, the funding sources that will be used to pay for the contract costs, and if applicable, a breakdown of costs and funding by bid item categories.
- Pre-construction Meeting Minutes:** If a pre-construction meeting was held, does the project file include a copy of these notes, including a list of attendees?
- Inspector's Daily Diary:** Does the project file contain a copy of the project inspector's daily diary of construction operations, including the date and name or initials for each diary entry?
- Property Used by Contractor** (I.M. 3.805, [Att. D](#), section 2.26): If the Contractor requires the use of property, other than the existing right-of-way or easements provided by the Contracting Authority:
 - Does the project file contain copies of the Contractor's agreements for purchase, lease, or temporary easements with the property owner(s)?
- Traffic Control Documentation** ([C.M. 5.40](#), [Article 2528.01](#)): If the contract includes an item for traffic control, does the project file include:
 - A copy of the Contractor's Traffic Control Daily Diary?
 - Records to verify that the Contractor has a technician on staff that has attended and passed the exam in an American Traffic Safety Services Association (ATSSA) or International Municipal Signal Association (IMSA) Work Zone Traffic Control training class?
- Noncompliance Notice** ([Form 830245](#), [C.M. 3.21](#)): If any of the contract items, test results for incorporated materials, or work activities were not in compliance with the contract documents, was the Contractor issued a noncompliance notice for each, and does the project file include complete copies of this form?
- DBE Commitment Report** (I.M. 3.805, [Att. D](#), section 2.23): If the contract was let by the Iowa DOT and if the Contractor made a DBE commitment. Does the project file include a completed copy of this report? This report is provided to the LPA by the Office of Employee Services, Civil Rights Section, after the contract has been let. It shows a summary of the Contractor's DBE commitment(s), including the proposed DBE Contractor and/or subcontractor(s), and the committed amounts of each.
- Statement of DBE Commitments for Locally-Procured Federal-aid Contracts** ([Form 517012](#), [I.M. 3.720](#)): If the contract was let by the LPA, does the project file include a completed copy of this form?
- Certification of DBE Accomplishment** ([Form 102116](#); [Article 1102.17](#), G; I.M. 3.805, [Att. D](#), section 2.25): This form shall be submitted on all Federal-aid contracts and shall list the dollar amounts paid to all DBE firms on the contract (even if there is no commitment). Does the project file include a completed copy of this form?
- Subcontract Request and Authorization** (I.M. 3.805, [Att. D](#), section 2.25, [Article 1108.01](#)): If the Contractor used subcontractors, does the project file contain evidence that the subcontractors were authorized by the Iowa DOT Office of Contracts?
- DBE Commercially Useful Function** ([Form 517014](#); I.M. 3.805, [Att. D](#), section 2.25): Does the file include a copy of the DBE Commercially Useful Function form or documentation the DBE did a commercially useful function on the project?
- Storm Water Permit** ([I.M. 3.140](#)): If the contract work required a National Pollutant Discharge Elimination System (NPDES) General Permit No. 2 from the Iowa DNR, does the project file include completed copies of the following:
 - Iowa DNR's Notice to Proceed form and a copy of the required newspaper notice?

- Copy of the Storm Water Permit?
- Storm Water Site Inspection Reports ([Form 830214](#)) every 7 days starting with initial ground disturbance and continuing until 70% permanent vegetative growth is established?
 - Are the site inspections signed by a representative of the Contracting Authority and the Contractor's Erosion and Sediment Control Basics trained individual?
- If the seeding or other permanent ground cover has been established, the Iowa DNR's Notice of Discontinuation (NOD) form? (If the site has not yet been stabilized, this form may be submitted later.)
- Iowa DNR Notification of Completion of Construction** ([DNR Form 37](#), [I.M. 3.410](#)): If the project required an Iowa Department of Natural Resources (Iowa DNR) Flood Plain Permit, was this form completed and sent to the Iowa DNR and does the project file include a copy of this form?
- Contractor's Erosion Control Implementation Plan** (ECIP) ([Article 2602.03](#)):
 - Does the Contractor's ECIP include stages for erosion control work to address the Contractor's time table and sequence of major activities or stages on the contract?
 - For projects with a NPDES permit:
 - Does the file contain the name of the Erosion and Sediment Control Basics (ESC Basics) and Erosion Control Technician (ECT) trained individuals on the Contractor's staff?
 - Was the ECIP submitted by the Contractor's ESC Basics trained individual?
 - If Erosion Control Mobilizations apply to the contract, did the ECIP include the anticipated number of erosion control mobilizations for the project?
 - Did the contracting authority approve the ECIP?
 - Does the project file include a copy of the Contractor's certification statement for storm water discharge associated with industrial activity for construction activities?
 - Does the project file include signed affidavits from affected subcontractors identifying them as co-permittees?
- Weekly Report of Working Days** ([Form 830238](#) ([Word](#)) or [Form 830241](#) ([Word](#)); I.M. 3.805, [Att. D](#), section 2.33): Does the project file include these reports for each week that the Contractor or subcontractors performed or should have performed work?
- Notice of Suspension or Resumption of Work** ([Form 810036](#), [C.M. 3.06](#)): If the Contractor was directed to stop work by the Project Engineer at any time during the project, does the project file include a completed copy of this form?
- Davis-Bacon Compliance** (I.M. 3.805, [Att. D](#), section 2.24): If Davis-Bacon wage requirements apply to the contract, does the project file contain the following:

Note: Federal-aid routes include all Federal Functional Classifications, except Local Roads and Rural Minor Collectors. This item also generally applies to contracts for construction of bicycle or pedestrian trails, if at least 50% of the trail is located within the right-of-way of a Federal-aid route. Projects including Safe Routes to School (SRTS) or Transportation Alternatives Program (TAP) funds require compliance with Davis-Bacon regardless of project location. For contracts let by the Iowa DOT, applicability of the Davis-Bacon requirements is indicated on the bid proposal and contract.

 - Completed Wage Rate Reports ([Form 650170](#)) for the Contractor and all subcontractors with contracts greater than \$10,000 to document the wage rate interviews? The wage rate interviews should be completed at least once, and if the contract extends more than 6 months, approximately once every 6 months for the duration of the contract. Note: Wage rate interviews do not need to be completed for Contractor or subcontractors if they participate in the Association of General Contractors (AGC) Prevailing Wage Notification Program.

- Copies of the Certified Transcript of Labor Payroll ([Form 830176 \(Excel\)](#)) that are:
 - Signed and dated by the Contractor, for each week that the Contractor or subcontractors performed work?
 - Dated by the Project Engineer upon receipt?
 - Checked and initialed by the Project Engineer for compliance? (This is only required for the first few submitted; if no compliance problems are noted, subsequent submittals will only require spot checking.)
- A copy of the applicable Predetermined Wage Rate?
- Equal Employment Opportunity (EEO) Site Inspections** ([Form 650170](#), I.M. 3.805, [Att. D](#), section 2.22): Does the project file contain completed copies of this form to document the EEO site inspections? These inspections shall be completed at least once, and if the contract extends more than 6 months, approximately once every 6 months for the duration of the contract. **Note:** If Davis-Bacon wage rates do not apply for the contract, only the top portion and sections 1 and 2 must be completed for each site inspection.
- Log of Piling Driven** (if by formula, [Form 830210 \(Excel\)](#), if by wave equation, [Form 830209 \(Excel\)](#); [C.M. 11.25](#), [C.M. Appendix 11-22](#)): If the contract included an item of work for driving piles, such as on a bridge project, does the project file include a completed copy of this form? This form should be completed as piles are driven and forwarded to the Administering Office.
- Change Order for Local Public Agency Projects** ([Form 831240](#)); I.M. 3.805, [Att. D](#), section 2.36): If the contract had any Change Orders, has the following been completed for each Change Order:
 - Marked as either "Substantial" or "Non-substantial"?
 - Completed quantities recorded in the appropriate field book?
 - Does the Change Order include a Justification of Cost? Refer to the "Checklist for Change Orders" included in I.M. 3.805, [Att. D](#), section 2.36 for additional guidance related to supporting documentation. **Note:** Supporting documentation is not required for changes in cost based on existing contract prices.
 - Is the Change Order's effect on contract time noted on the document?
 - If any work was performed on a force account basis, does the project file contain a Statement of Force Account with supporting documentation attached? ([Form 181213](#); I.M. 3.805, [Att. D](#), section 2.35; [Article 1109.03](#), B)
- Materials Review:** For all materials incorporated into projects let using the Iowa DOT Standard Specifications:
 - Have all materials been reviewed for compliance with the materials testing, sampling, and acceptance requirements of the Iowa DOT Standard Specifications and Materials I.M.s [101](#), [204](#), and [205](#)?
 - Have the applicable materials review sheets been completed or reviewed by the Project Engineer? ([Materials I.M. 101](#))
 - Has a summary statement of non-compliant tests or measurements of material incorporated into the project been completed by the Project Engineer? ([C.M. Appendix 2-33](#))
 - If the contract included HMA and / or PCC from a plant, does the project file include copies of the HMA and / or PCC Plant Reports?
- ADA (Materials I.M. 363):** If project contains any construction or reconstruction of sidewalk or recreational trails, has the work been documented as required by Materials I.M.363?
- As-built Plans** (I.M. 3.805, [Att. D](#), section 2.72): If the contract involves work on an Interstate or Primary Highway, has the Project Engineer prepared 3 sets of as-built plans and forwarded a copy to the appropriate Administering Office?

- Statement of Completion and Final Acceptance of Work** (Form 830435; [I.M. 3.910](#)): If the contract was let using Iowa DOT Specifications, is a copy of this form included in the project file, signed and dated by the Project Engineer?
- Certificate of Completion and Final Acceptance of Agreement Work** ([Form 640003 \(Word\)](#), [I.M. 3.720](#)): If the contract was let using non-DOT specifications, is a copy of this form included in the project file, signed and dated by the Project Engineer?

Review of Quantities and Payments

- Field Book(s)**: Are the quantities for all items documented in a field book, loose leaf binder, or if recorded electronically, available as a computer print-out or report? Does the item quantity documentation include:
 - Added Change Order items (8000 “Change Number” series)?
 - Dates and initials of the person who entered the quantity?
 - Initials of the person who checked the quantity?
 - Locations specified where each quantity was placed?
- Method of Measurement and Basis of Payment**: Do all items have a method of measurement and basis of payment specified? This information is usually contained in the specifications (including any applicable Special Provisions, Developmental Specifications, Supplemental Specifications, etc.) but may also be located on the plans. Note: If the bid item number indicates the Standard Specification Section where this information can be found, the bid item number is a sufficient reference for this information.
- Items Paid by Length**: Do all items paid on the basis of length show the actual measured quantity, including the date and initials of the person that performed the measurement?
- Items Paid by Count**: Do all items paid on the basis of count (per each) show the actual count, including the date and initials of the person that performed the count?
- Items Paid by Weight** ([Article 2001.07](#)): Do all items paid on the basis of weight include:
 - Scale tickets that are certified by the producer?
 - Scale tickets that are signed by the originator and the receiver?
 - Ticket totals that are supported by adding machine tapes, computer print-outs, or other documentation?
 - Dates and locations where the material was placed?
 - Documentation of scale checks (verification and/or check weights)?
 - Documentation that tare weights were newly determined (if applicable)?
- Ready Mix Tickets**: If ready mix concrete is used, are copies of all ready mix tickets meeting the requirements of [C.M. 9.03](#) available in the project file?
- Items Paid as Lump Sum**: Do all items paid as a lump sum include the date the work was started, dates of intermittent progress (if applicable), the date the work was completed, and initials of the person who verified the work was completed?
- Items Paid by Volume**: Do all items paid by volume include supporting calculations, such as original and final cross sections, or other methods that indicate how the volume was calculated?
- Items Paid by Area**: Do all items paid by area include supporting calculations, such as sketches with dimensions, or other methods that indicate how the area was calculated?
- Items Paid by Plan / Contract Quantity** (I.M. 3.805, [Att. D](#), section 2.27, [Article 1109.01](#)): For each item paid for on the basis of plan / contract quantities:

- Does each quantity entry include the date and location of the work performed and an estimated quantity of work performed at that location?
- If the item is not plan / contract quantity by specification, does the item have a completed and approved Contract Quantity Agreement ([Form 830230](#))?
- Price Adjustments:** Have all appropriate price adjustments been documented by a completed Change Order ([Form 831240](#)), including those related to:
 - Non-compliance with the contract documents? (I.M. 3.805, [Att. D](#), section 2.53)
 - Incentive / disincentive specifications, including, but not limited to:
 - Pavement smoothness, if required by the contract documents? ([C.M. 3.60](#))
 - PCC Pavement thickness? ([C.M. 9.65](#), [Materials I.M. 346](#))
 - HMA Lab Voids, Field Voids? ([Section 2303](#))
 - Early completion? ([Section 1111](#))
 - Liquidated damages? (I.M. 3.805, [Att. D](#), section 2.34)
- Progress Vouchers / Pay Estimates:** Does the project file contain copies of all progress vouchers or pay estimates prepared by the Project Engineer and approved by the LPA?
- Reimbursements:** If the Contractor was paid directly by the LPA, does the project file contain the following:
 - Copies of all checks or warrants issued to the Contractor or copy of a check register showing all payments that have been made to-date?
 - Copy(s) of the one of the following:
 - Claim for Reimbursement of Project Costs ([Form 517050](#) or equivalent)?
 - Claim for Reimbursement of Federal Grant Program Project Costs ([Form 240007](#))?
 - Claim for Reimbursement of Safe Routes to School Project Costs ([Form 240009](#))?
 - Claim for Reimbursement of State Grant Program (RISE, RT) Project Costs ([Form 240011](#))?
- Proposed Semi-final Voucher / Pay Estimate:** Does the project file contain a copy of the semi-final voucher or pay estimate, including the final quantities and price adjustments proposed by the Project Engineer?

Project Engineer's Comments

Project Engineer's Certification: I have reviewed and verified each of the applicable items shown above. The supporting documentation associated with each applicable item is in the project file. The project file is organized and ready for Iowa DOT and / or FHWA inspection.

Printed Name: _____ Date: _____

Signature: _____

Iowa DOT Review: As the authorized representative of the Iowa DOT:

- I have reviewed this checklist and performed a final audit of this contract. For the Davis-Bacon Compliance and EEO Site Inspection items, and for all other items indicated by my initials above, I have reviewed a sample of the supporting documentation and found it to be in substantial conformance with the contract documents and / or project requirements, except as noted on the Audit of Final Pay Estimate (Form 830301).
- I have reviewed this checklist only. This contract was not selected for a final audit.

Printed Name: _____ Date: _____

Signature: _____ Initials: _____