

A d d e n d u m

Iowa Department of Transportation
Office of Contracts

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B.O.	Proposal ID	Proposal Work Type	County	Project Number	Addendum
201	33-1502-705	Seal Coat	Fayette	MP-150-2(705)79--76-33 MP-139-2(704)2--76-96	16dec201.a01

Make the following changes to the PROPOSAL SPECIAL PROVISIONS LIST & TEXT:

Add the attached:

DS-12040 DEVELOPMENTAL SPECIFICATIONS FOR DOC EXPRESS
(ELECTRONIC DOCUMENT STORAGE)

Effective Date February 19, 2013



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DEVELOPMENTAL SPECIFICATIONS FOR DOC EXPRESS (ELECTRONIC DOCUMENT STORAGE)

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THE STANDARD SPECIFICATIONS, SERIES 2012, ARE AMENDED BY THE FOLLOWING MODIFICATIONS AND ADDITIONS. THESE ARE DEVELOPMENTAL SPECIFICATIONS AND THEY PREVAIL OVER THOSE PUBLISHED IN THE STANDARD SPECIFICATIONS.

12040.01 GENERAL.

This specification contains requirements for the collection and management of documents through the use of Doc Express at <https://docs.infotechexpress.com>. Doc Express is a web based program which accepts electronic documents and has security in each submittal which prevents modifications to the submitted electronic document.

The Contracting Authority will perform setup of Doc Express based on the detail within this specification and in accordance with project requirements. Doc Express is the complete and officially recognized file storing material approval documentation, certified payrolls, and other contract documents required by the Contracting Authority. Full implementation of Doc Express is required.

Contractor responsibilities within this specification are designated as the prime contractor who may choose to delegate responsibilities to subcontractors and suppliers of the project.

A. Doc Express Structure.

This specification provides the framework for which Doc Express will be utilized to store project documents. Three basic file cabinet drawers will be used to store documents:

1. Materials Certifications drawer which include the following types of folders:
 - a. Defined by Contract Item – Types of information included within each Contract Item include:
 - 1) Type A, Type C, Type D Certifications.
 - 2) Material Source.
 - 3) Approved Warehouse Stock.
 - 4) Approved Shop Drawing & Approved Catalog Cut.
 - 5) Fabrication Reports.
 - 6) Visual Approval by Project Engineer.
 - 7) Plant Reports.
 - 8) Profilometer Reports.
 - 9) Smoothness Reports.
 - b. Material Test Results.
 - c. Rejected Items.
2. Contract Documents drawer which include the following types of folders:
 - a. Weekly Work Day Reports.
 - b. Daily Traffic Control Diaries.
 - c. Storm Water Inspection Reports.

3. Certified Payrolls Drawer.

Documents will be stored in the appropriate folder within each drawer of the file cabinet (Contract). The Contracting Authority will either receive the document which will acknowledge the document addresses an aspect of the project or reject the document if the document is in error.

B. Doc Express User Guide.

A Doc Express User's Guide is available at <https://docs.infotechexpress.com/html/help.html> to provide detail on how to navigate the program but a few key functionalities include:

1. The Doc Express program provides an opportunity to add comments each time a document is submitted, copied, received, or rejected.
2. A certification statement requiring an acknowledgement the information submitted is accurate. Enabling this certification statement and submitting the document places an electronic signature within Doc Express.
3. When a user performs a submittal, copies a submittal (Contracting Authority only has this option), adds a comment, receives a submittal, or rejects a submittal; those actions are tracked, logged, and are able to be viewed in an activity audit trail of the submitted document.

C. Doc Express Security.

Each user within an organization will be assigned an account within Doc Express. Access to Doc Express will be through the use of the user's email address and a unique password. This unique user ID is utilized by the tracking feature described in Article DS-12040.01, B, 3. User permissions will be defined within Doc Express for each specific contract.

1. **Principal** - The Contractor will be assigned Principal permission which will authorize any person associated with the Contractor to submit documents and view all documents submitted into Doc Express - including those submitted by the Contracting Authority and users with an Associate level permission.
2. **Associate** - Subcontractors and suppliers will be assigned Associate permission which will authorize any user associated with the respective subcontractor or supplier to submit documents but can view only those documents submitted by that respective entity. An Associate user is not able to view documents submitted by a Principal, Contracting Authority, or other Associate users.
3. **Reviewer** - A Reviewer permission will allow the user to only view all documents and will typically be assigned to those that will oversee the specific contract but are not responsible for daily tasks.
4. **Contracting Authority** – A formal permission level is not assigned. Contracting Authority staff has the ability to submit documents, receive submitted documents, or reject a submitted document which does not address a specific requirement of the contract.

Documents submitted into Doc Express are secure. Security of the program will not allow modifications to a submitted document by any user. The user, or another user within the organization, who submitted the document may delete the submittal from Doc Express as long as the document has not been received, rejected, or had a comment attached.

The Payroll drawer has a more restrictive security setting. Only the user who submits a payroll document or a Contracting Authority user specifically assigned to access payroll information for the specific contract can view the payroll document. Other Principal users will not be able to view the submitted payroll document nor will other Contracting Authority users have access to the Payroll drawer.

D. Doc Express Document Types.

Doc Express will accept all types of electronic documents including but not limited to Microsoft Excel files, Microsoft Word documents, Adobe Portable Document File (PDF), Tagged Image File (TIFF), and Joint Photographic Experts Group (JPEG). Doc Express has a 2 GB size limitation on a document, but uploading and opening of the document will take longer as the file size increases. Preference should be given to smaller file sizes anytime they can be used.

E. Doc Express Email Preferences.

Doc Express will provide email notifications but is not designed to operate as a communication tool. Each individual user has the option of an email notification when a document has been rejected or when documents are submitted. When the rejected email notification option is enabled, an email will be sent to the user every time a submitted document is rejected. When the document submittal option is enabled, the user will be provided a summary of the number of documents submitted the previous day. These notifications will only occur for instances when document(s) can be accessed as per the defined permission level of the user.

F. Doc Express Archive.

Contracting Authority users only have the option to electronically archive all documents submitted and processed during the project and at project completion.

12040.02 EQUIPMENT.

Doc Express requires access to the internet. The preferred web browser is Internet Explorer 8 or newer. Other web browsers such as Mozilla Firefox and Google Chrome may be used but the functionality of Doc Express may be compromised. The use of air cards and laptop computers may be desired to allow field users access to documents.

12040.03 CONSTRUCTION.**A. Contracting Authority Responsibilities.**

1. Engineer will create the drawers and document folders within a file cabinet (Contract) in Doc Express. The name of the file cabinet will include: project number, reference to administering office, brief description of work, and the Contractor.
2. Define document drawers within the contract file cabinet in Doc Express based on the requirements of the project. At a minimum, the Materials Certification and Contract Documents drawers will be included. The Payroll drawer will be included when Certified Payrolls are specified in the contract documents.
3. Assign Principal, Associate, and Reviewer Permissions for the contract file cabinet within Doc Express.
4. Assign folders under the document drawer within the contract file cabinet in Doc Express to categorize information to be submitted. The drawer/folder organization will include:
 - a. **Material Certifications.**
 - 1) By Contract Item.
 - 2) Items added by Contract Modification.
 - 3) Material Test Reports.
 - b. **Contract Documents.**
 - 1) Weekly Work Day Reports.
 - 2) Daily Traffic Control Diaries.
 - 3) Storm Water Inspection Reports.
 - c. **Certified Payrolls.**
 - 1) Contractor.
 - 2) Each subcontractor.

5. Review and receive submitted electronic documents in Material Certifications drawer.
 - a. Verify electronic material certification document for specific material corresponds to the material delivered to project site.
 - b. After field verification, receive the submitted electronic document in Doc Express prior to material being incorporated into the project or processing payment for work completed.
 - c. A list of electronic certification which the Contracting Authority is responsible for submitting to Doc Express as defined in Materials I.M. 204 includes:
 - 1) Test reports – Includes job control tests, verification tests, and independent assurance tests.
 - 2) Approved Warehouse Stock.
 - 3) Material Approved by Visual Inspection.
6. Submit and receive Erosion Control Seeds Type A certification tags from the material bag.
7. Submit and receive on a weekly basis the Weekly Report of Working Days to the Weekly Work Day Reports folder in the Contract Documents drawer of Doc Express.
8. Review the electronic submittal and take action on the Contractor submitted Daily Traffic Control Diaries.
9. Submit and receive on a weekly basis the Storm Water Inspection Reports to the Storm Water Inspection Reports folder in the Contract Documents drawer of Doc Express.
10. Review and take action on Contractor submitted Certified Payrolls. Comments section will be utilized to note which payrolls have a detailed check performed.

B. Contractor Responsibilities.

1. Contractor shall ensure materials used in the project meet quality requirements of the contract. This responsibility includes providing the Engineer a certification document stating the material meets the requirements of the Contract Documents.
2. Submit electronic material certifications per contract item to Doc Express as defined in the Materials Acceptance Report and Materials I.M. 204.
 - a. Each electronic submittal may contain multiple pages and/or types of certification documentation but shall provide certification covering one contract item only. Electronic submittals which include certification for multiple contract items will not be accepted. For example, a project with the following six contract items: 24 inch Concrete Roadway Pipe, 30 inch Concrete Roadway Pipe, 36 inch Concrete Roadway Pipe, 24 inch Concrete Apron, 30 inch Concrete Apron, and 36 inch Concrete Apron, shall not have all six contract items grouped into one certification document. Six individual documents, one per contract item, is required so each document is submitted to the respective contract item and contains specific certification required for that specific contract item only.
 - b. Material certifications which are components of multiple contract items may be submitted and copied to multiple contract item folders, i.e. Liquid Curing Compound may be applicable for multiple contract items.
3. Include a cover sheet showing contract item specific information for all electronic material certifications submitted to Doc Express. Cover sheet shall include, but is not limited to the following information:
 - a. Project number.
 - b. Contract item number.
 - c. Date the material is delivered to project site.
 - d. Description of the material certified.
 - e. Itemized delivery quantity which this specific submitted certification covers.
 - f. Log of all material shipments with total certified project quantity delivered. When multiple shipments will be used, then the initial cover sheet is to be updated with subsequent

shipments to show each delivery, quantity included, and total certified on one cover sheet.

4. Notify Contracting Authority if an item which requires submittal is not available within Doc Express. This notification will prompt the Contracting Authority to add the requested item.
5. A list of electronic certification which the Contractor is responsible as defined in Materials I.M. 204 includes:
 - a. Type A Certification – lab report with test results and a certification statement (e.g. Steel Mill Certifications).
 - b. Type C Certification – a document prepared by manufacturer or producer with certification statement with applicable specification number or Material IM number identified.
 - c. Type D Certification – a document prepared by an approved manufacturer with certification statement.
 - d. Approved Source – also referred to as Approved Brand, Approved Producer, Approved Supplier, and Approved Fabricator.
 - e. Fabrication Reports.
6. Contractor shall electronically submit Daily Traffic Control Diaries to the Traffic Control Diaries folder in the Contract Documents drawer of Doc Express. Diaries shall be grouped together per week and submitted within one week after the end of the week which work is performed.
7. Contractor shall electronically submit certified payrolls for each contractor/subcontractor working during the week to the Certified Payrolls drawer of Doc Express. This submittal is due within 2 weeks after the end of the week which work was performed on the project.

C. Shared Contracting Authority and Contractor/Supplier Responsibilities.

Doc Express will store final versions of documentation required for the contract. Some of the documents require involvement and coordination between the Contracting Authority and the Contractor to reach a final version. This shared responsibility will be coordinated to prevent incomplete or redundant data from being electronically stored.

1. Non-Proportioned Aggregates.

- a. Aggregates are defined in Materials I.M. 204 Appendix A, B, C, and D. The Method of Acceptance is by Approved Source and will include tickets with each delivery to the project site.
- b. Contracting Authority will collect delivery tickets as the material is delivered to the project site.
- c. Contractor shall provide to the Contracting Authority a daily or weekly summary of loads delivered to the project for each material certified.
- d. Contracting Authority will verify delivery tickets are accurately reflected on the summary. Contracting Authority will submit and receive the summary in Doc Express once accurate information is collected. A copy of one of the tickets per source showing Iowa DOT gradation number, project number, quantity, source name, and Materials I.M. T-203 A number will also be submitted and received in Doc Express.
- e. Contractor shall submit to Doc Express Form 821278 for non-proportion aggregate processed from recycled products that are accepted by bulk volume.

2. Proportioned Aggregates.

- a. Aggregates are defined in Materials I.M. 204 Appendix E and F. The Method of Acceptance is by Approved Source and will include tickets with each delivery to the HMA or PCC Plant.
- b. Certified Plant Inspector shall collect delivery tickets and summarize the quantity of each aggregate in the plant book for review by the Contracting Authority Plant Monitor.

- c. Certified Plant Inspector shall provide proportioned aggregate information with plant information described in Article DS-12040.03, C, 3 and Article DS-12040.03, C, 4.

3. HMA Plant.

- a. Certified Plant Inspector shall perform plant inspection responsibilities as defined in Materials I.M. 511 including obtaining electronic certifications specified in Materials I.M. 204 Appendix F and submit the HMA Plant Book by email to the Contracting Authority.
- b. Plant Book and Plant Reports shall be per contract item with required component material certifications itemized for each contract item.
- c. Contracting Authority will review the electronic plant book received by email and add information as required. The Contracting Authority will submit and receive the plant report and plant book in Doc Express once accurate information is reflected in the plant book/report.
- d. Electronic document certifications for individual HMA mix components shall be submitted by the Certified Plant Inspector to the appropriate item in Doc Express when the contract item is completed. These components consist of:
 - 1) Proportioned Aggregates – Detailed in Article DS-12040.03, C, 2.
 - 2) Asphalt Binder.
 - 3) Hydrated Lime.
 - 4) Emulsions & Cutbacks.
 - 5) Recycled Asphalt Material.

4. PCC Plant.

- a. Certified Plant Inspector shall perform plant inspection responsibilities as defined in Materials I.M. 527 including obtaining electronic certifications specified in Materials I.M. 204 Appendix E and submit the PCC Plant Book by email to the Contracting Authority.
- b. Plant Book and Plant Reports shall be per contract item with required component material certifications itemized for each contract item.
- c. Contracting Authority will review the electronic plant book received by email and add information as required. Contracting Authority will submit and receive the plant report and plant book in Doc Express once accurate information is reflected in the plant book/report.
- d. Electronic document certifications for individual PCC mix components shall be submitted by the Certified Plant Inspector to the appropriate item in Doc Express when the contract item is completed. These components consist of:
 - 1) Proportioned Aggregates – Detailed in Article DS-12040.03, C, 2.
 - 2) Portland Cement.
 - 3) Fly Ash.
 - 4) GGBFS (Ground Granulated Blast Furnace Slag).
 - 5) Chemical Admixtures (Examples: Air Entrainment, Water Reducer, Retarder).

5. Shop Drawings and Catalog Cuts.

- a. Contractor shall submit electronic documents of shop drawings and catalog cuts as per Article 1105.03 of the Standard Specifications.
- b. The information shall be submitted per contract item.
- c. Contracting Authority will review and if required return to the Contractor with comments until the submitted information is approved. Contracting Authority will submit and receive electronic approved shop drawings and catalog cuts per contract item to Doc Express.

12040.04 METHOD OF MEASUREMENT.
None.

12040.05 BASIS OF PAYMENT.

Costs associated with the use of Doc Express are incidental to Mobilization. Contract item progress payments will be withheld until documentation is provided as defined within this specification.