

Guidelines for Using Doc Express

On ARDOT Projects

Construction Systems Administration

7/15/2020



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Changes to Guidelines for Using Doc Express (Updated 7/15/20)

Revised how ACHM Mix Designs are processed in the CON - Miscellaneous Approval drawer (pg. 18 & 22).

Introduction

The following guidelines discuss the workflow and naming conventions for documents and correspondence submitted and stored in Doc Express. This document is not a step-by-step manual to help you through every screen in Doc Express, but it does explain how ARDOT is using Doc Express. The structure is set up as follows. Every Contract in Doc Express is similar to a filing cabinet. Within a Contract, there are multiple Drawers. Some Drawers have Types which allow the user to identify or mark documents based on content. More than one type may be selected for a single document. Also, some Drawers have a designated Workflow allowing a user to review, approve/reject, and pass the document to another user for review and approval. Other Drawers are simply for document storage.

Every document pertaining to a job should be classified in one of the following areas in Doc Express: Contractor Submittals, Correspondence, and Department-Only Drawers. Each of these areas is divided into different drawers. Please follow the naming convention in this document so documents can be referred to and found later in the job.

For assistance, please e-mail SiteManager@ardot.gov. The most current version of these *Guidelines* can be found on the Department's web page at

http://arkansashighways.com/construction_division/Contractor_Guide_DocExpress.pdf

Accessing Doc Express

Users may access Doc Express at www.docexpress.com. If a Department employee needs to set up an account, please have that employee use the ARDOT Service Portal (a red Help button on the computer desktop). In the Service Portal, select "Password and Permission Change Requests" then "Doc Express – Request Access" then the "Submit" button. Construction Systems Administration will send out an invitation to create an account. This invite will be delivered by InfoTech to the user's first.last@ardot.gov email account. These invitations should not be forwarded because an account set up using a forwarded link will not be associated with ARDOT's organization in Doc Express. Once a user sets up an account, Construction Systems Administration will place the user into appropriate groups and grant the user drawer access.

If an employee with a Contractor or a Surety needs to set up an account, please refer to Appendix B at the end of these *Guidelines*. The organization's manager must send the user an invite.

If a Subcontractor wants access to a specific contract, refer to Appendix C for instructions on being granted access by the prime contractor.

Contract Workflow

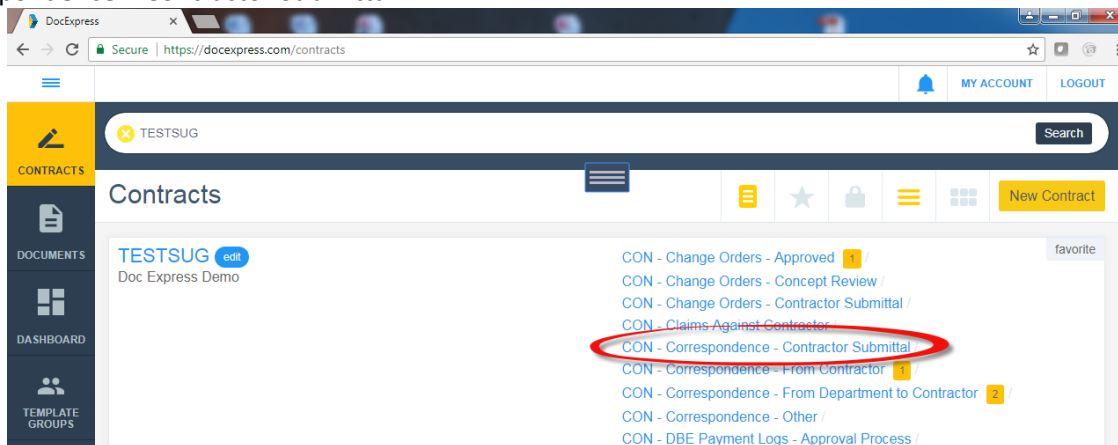
- 1) Program Management Division will setup the job for contract execution.
- 2) After the contract is awarded, Construction Division will add all Construction drawers to the job.
- 3) Construction Systems Administration will grant users/groups relevant access to the job.
- 4) Construction Systems Administration will make any necessary job specific customizations to drawers and drawer types.

Signing Doc Express Documents

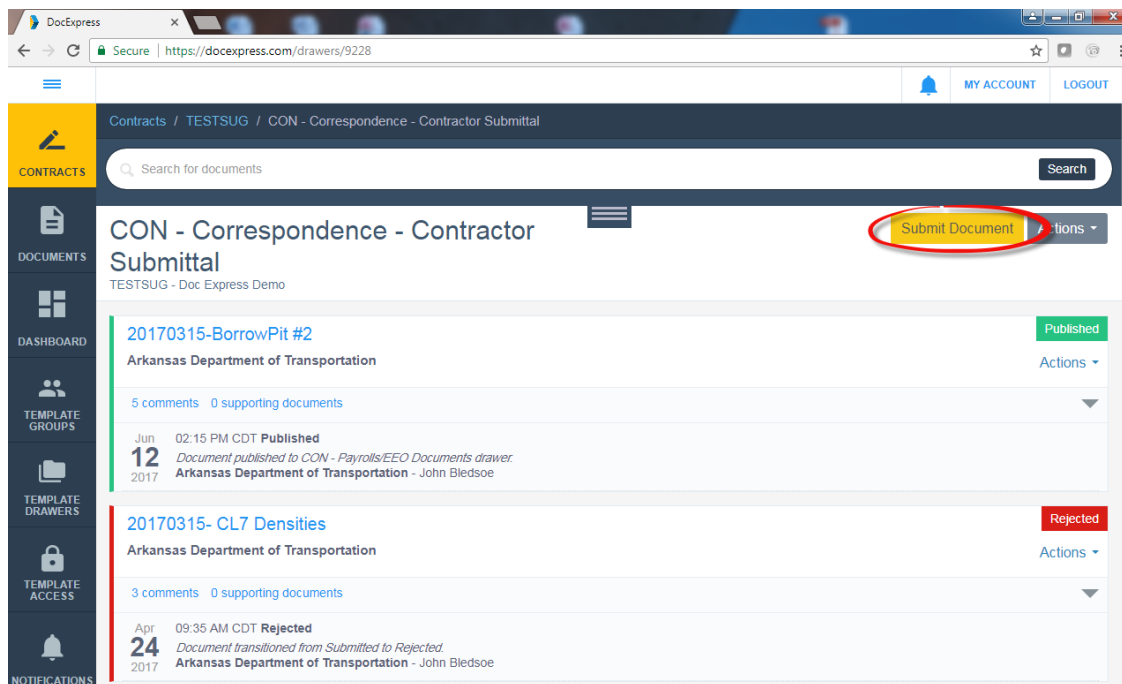
Documents can be signed electronically using the checkbox feature within Doc Express. All submittals must be submitted as a PDF. This will allow a signature page to be included at the end of the document. If another file type is to be sent, it should be uploaded as a supporting document to the PDF submittal. An example of a signature page can be found at the end of any executed contract in Doc Express.

Submitting a Document

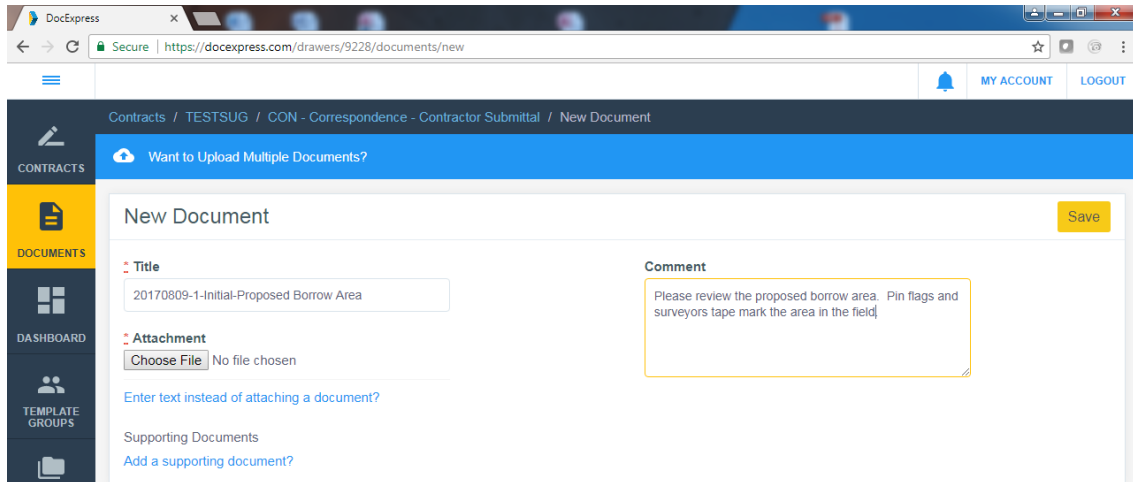
First, select a Drawer. In this example the selected drawer is on job TESTSUG and is titled CON – Correspondence – Contractor Submittal.



Next, click the Submit Document button found on the upper right of the screen.

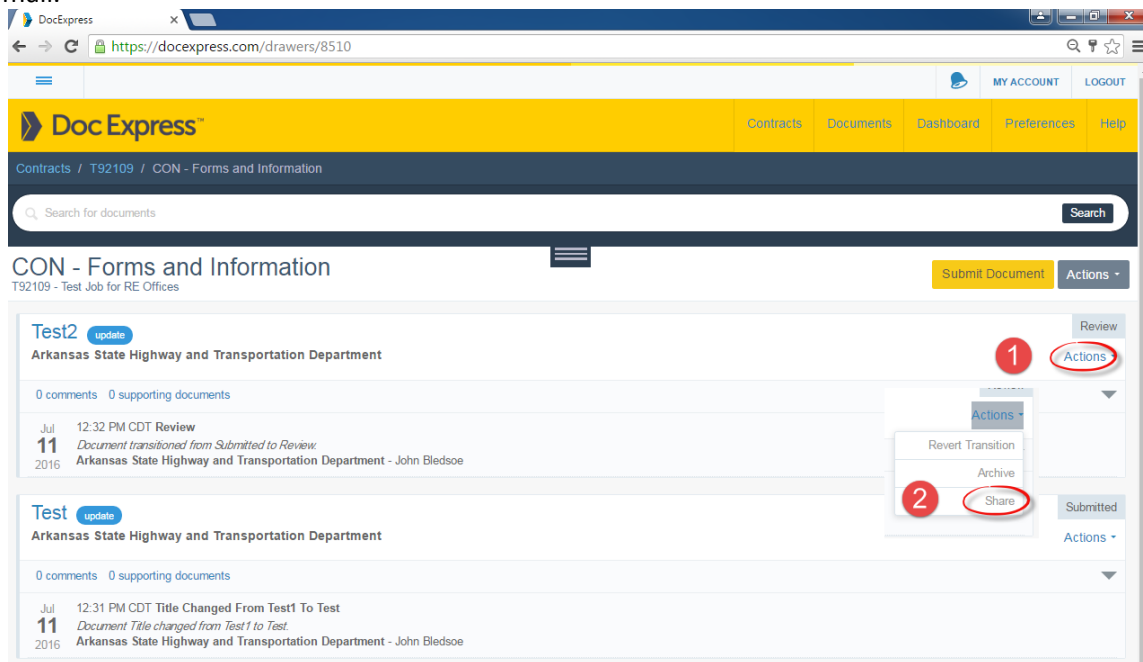


Title the document and choose the file to attach. Adding a comment is optional. Click Save.

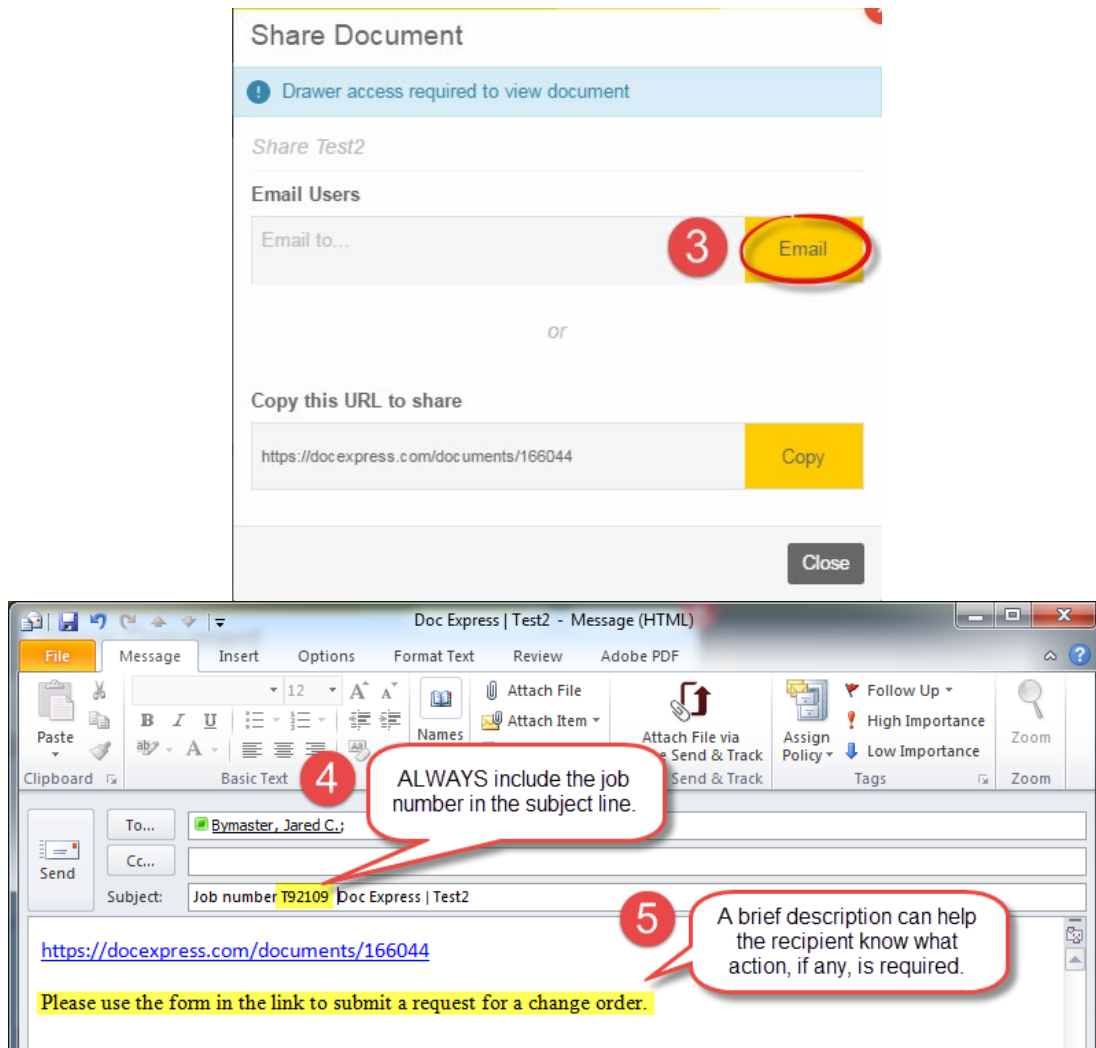


Share Feature

When a document is added to a drawer, and a Doc Express user needs to be made aware of the document, use the “Share” feature built into Doc Express. The share feature allows a URL to be sent via email so the recipient can easily find the document. Always ensure the job number is in the subject line of the e-mail. It should be there by default. A brief description of the document should be included in the e-mail.



When the box containing “Email to...” is clicked, a list containing all users with Doc Express access to that drawer is populated. If your intended recipients are not in this list, they will not be able to view the uploaded document. In that case, you will need to mail or email the document as an attachment to those recipients without Doc Express access (county judges, mayors, etc.). If the recipient needs access to Doc Express, direct them to sitemanager@ardot.gov or the “Accessing Doc Express” portion of these *Guidelines*.



Contact List

Bridge Division – bridgedivision@ardot.gov
 Construction Staff Engineers – firstname.lastname@ardot.gov
 Construction Subcontracts – Subcontracts@ardot.gov
 Construction Contract Estimates – ContractEstimates@ardot.gov
 Environmental Division – Environmental.Clearance@ardot.gov
 Materials Division – firstname.lastname@ardot.gov
 Roadway Design – firstname.lastname@ardot.gov
 Utilities – Utilities@ardot.gov

SUBCONTRACTOR SUBMITTAL DRAWERS

a. Sub to Prime Correspondence

Beginning with jobs let in July 2017, the CON - Sub to Prime Correspondence Drawer has been added in Doc Express to allow the subcontractor to upload documents for the Prime Contractor's use.

This drawer is not to be used by Department personnel. The CON - Sub to Prime Correspondence is a working drawer for the subcontractors and prime contractors. Correspondence to the Department must still come from the Prime Contractor in another drawer.

The subcontractor will be unable to view the Sub to Prime Correspondence drawer without creating a Doc Express organization account (described in Appendix B) and being granted access by the prime contractor (described in Appendix C). Any documents uploaded by the subcontractor must be retrieved and published by the Contractor within Doc Express for further action by the Engineer. The Engineer will not review or take any actions on any documents submitted by the subcontractor until the document has been appropriately submitted by the Contractor. The

DISCLAIMER The Department's System Administration team has no authority to take action on any documents submitted to the system. Access for this team is for management of the application only. Knowledge of any document submitted is not imputed to the Department by the knowledge of Systems Administration.

b. Payrolls

This drawer is used to manage Payroll submittals. Subcontractors and Prime Contractors shall submit their payrolls to this drawer. **The prime contractor shall not submit a subcontractor payroll to this drawer.** The contractor submitting the payroll will need to type his or her name exactly as it is in the Doc Express system. When the payroll is submitted to this drawer, the status will be *Contractor Submitted*. After submitting the payroll, the contractor or subcontractor shall use the share feature to notify the Resident Engineer's office that the payroll is ready for ARDOT review. The RE office shall then review the payroll. Part of the review process will include looking at the signature page to ensure that the payroll was electronically signed by a representative of the correct company. The RE office can revise the type(s) associated with the payroll if necessary. Once the signatures have been confirmed and the payrolls reviewed, the RE office shall transition the payroll to *Reviewed by Department*.

Naming Convention for Payrolls

i. When the contractor submits a document to the Payrolls drawer, they should pick the appropriate file type(s) and then use the following naming convention:

1. [Date Received/Submitted] [Contractor Name] Week Ending [Last Date of Submitted Payroll]
The dates should be in YYYYMMDD format.

CONTRACTOR SUBMITTAL DRAWERS

The prime contractor shall place submittals into Doc Express drawers as outlined in this section. All contractor submittals must be submitted as a PDF. This will allow a signature page to be included at the end of the document. If another file type is to be sent, it should be uploaded as a supporting document to the PDF submittal. An example of a signature page can be found at the end of any executed contract in Doc Express.

a. Correspondence – Contractor Submittal

Submittals for items that do not have another specified contractor submittal drawer need to be submitted by the contractor to the “Correspondence – Contractor Submittal” Drawer. Beginning with jobs let in August 2017, this includes requests for change orders.

i. The Resident Engineer’s Document Manager will publish the Contractor’s submittal to the appropriate drawer for internal processing.

Naming Convention for Correspondence Drawers

The following guidelines should be used when naming correspondence:

i. The initial correspondence should be titled with [Optional: Date in YYYYMMDD format] - [Appropriate Description] of the document. Example: The prime contractor submits a letter requesting that the time charges during the previous estimate period be reviewed and a day given back due to poor weather conditions on April 21, 2017. The RE could title this document Contractor Request for time review 04/21/2017. Titling this document “Contractor Request for time review” is too generic without another identifier (date on the letter, date letter was submitted to Doc Express, date of time review, estimate number for the time review, etc.) If the extra identifier is not included the next request for time review will end up having the same name. This is unacceptable, and it will be the responsibility of the RE office to ensure that different documents do not share the same name.

ii. Any correspondence that is in response to the initial correspondence shall be titled “Response to [Optional: Date in YYYYMMDD format (if used in initial correspondence)] - [Appropriate Description]” of the initial correspondence. The initial correspondence and the response to that correspondence must be linked together. Using the “response to” is the method for creating that link. Example: The RE response to the contractor’s letter in the example above should be titled Response to Contractor Request for time review 04/21/2017.

iii. Make sure the proper type is assigned to the correspondence.

b. CON – CPM Schedule Contractor Submittal

i. The prime contractor shall submit CPM Schedules to this drawer.

ii. The Department’s CPM Database Manager [Garver] will upload the Contractor’s submittal to the CPM database for internal processing. The CPM Database Manager shall then transition the document to *Uploaded to Database*.

iii. The RE or Assistant RE will review the submittal and transition the document to *RE Reviewed*.

Naming Convention for CPM Schedule Contractor Submittal

The following guidelines should be used when naming CPM Schedules:

i. The submittal should be titled with [Date in YYYYMMDD format] – [Description of Schedule] – [Month]

ii. Example: For a January update schedule submittal, the file name should be 20190115 – Update-January.

iii. Select the appropriate type: Baseline, Bi-Weekly, Monthly

c. DBE Payment Logs – Contractor Submittal & Dept. Approval

All DBE Payment logs will be uploaded by the contractor to the DBE Payment Logs – Contractor Submittal & Dept. Approval drawer.

i. The Resident Engineer office staff shall review the submittal. If changes are required, the RE office staff should reject the document, and have the Contractor resubmit the payment logs. There will be a “Resubmit” button available after a document is rejected.

ii. Once the RE office staff is satisfied with the accuracy of the submittal, the RE office staff shall transition the submittal to *Verified*. This transition will require an electronic check box signature.

iii. After publishing the document, the Resident Engineer shall transition the document to the *Approved* phase which will require clicking the check box for an electronic signature.

Naming Convention for DBE Payment Logs

i. DBE payment logs submitted by the Contractor shall be named with the following naming convention: [SiteManager Estimate Number]-[Sequential Number for that estimate period]-[Name of Contractor or subcontractor listed on the Payment log]

ii. Example: For the second DBE payment log submittal of the first estimate period, the file name should be 0001-2-Fred’s Paving.

d. CON-Forms and Information

This drawer is used to distribute blank forms and general information. Contractor and Department personnel may submit to this drawer.

Naming Convention for Forms and Information

No specific naming convention is employed in this drawer.

e. Material Estimate – Contractor Submittal & Dept. Approval

All paperwork related to Materials Estimates submittals shall be uploaded by the contractor to the Material Estimate – Contractor Submittal & Dept. Approval drawer.

i. The Resident Engineer office staff shall transition to *RE Office – Under Review* and review the submittal. If a resubmittal needs to be made, the RE office staff should reject the first submittal and notify the contractor to resubmit the document. There will be a “Resubmit” button available after a document is rejected. The RE office staff can append the Cover Letter at this time.

ii. Once the contractor submittal is determined to be acceptable by the Resident Engineer, the Resident Engineer shall transition the document to *RE – Reviewed*. This step requires the RE to select the signature box. The RE shall attach as a supporting document any form(s) required to accompany the Contractor’s submittal. After attaching all required forms, someone in the RE office shall share the document with contractestimates@ardot.gov that the materials estimate is ready for review.

iii. Once Contract Estimates review is complete, the Contract Estimates should transition the document to *Under Review – Others* (If necessary to obtain another division’s approval).

iv. Once the other reviews are complete (These are typically done by Materials Division), the document should be transitioned to *Reviewed – Others* and the document should be shared with Contract Estimates.

v. Once the Construction office is finished with the final review, the document shall be transitioned to the *Approved For Payment* status. This requires a check box signature.

vi. Once Construction Division Systems Administration enters the materials estimate into SiteManager, the document shall be transitioned to Entered in SiteManager. This requires a check box signature and is the final status in the drawer.

Naming Convention for Materials Estimate

Materials Estimates shall be named with the following naming convention: [Description of Stockpile as noted below]-[Supplier Name]- [Sequence Number of Supplier Submittal]

i. Description of Stockpile

Aggregate
Bridge-Raw
Bridge-Fabricated
Bridge-Other
Signal
Other

- ii. Example: For the second materials estimate request from AFCO steel for raw steel, the file name should be Bridge-Raw-AFCO-2.

f. CON-Payrolls – Contractor Submittal

i. This drawer is used to manage Payroll submittals. Subcontractors and Prime Contractors shall submit their payrolls to this drawer. **The prime contractor shall not submit a subcontractor payroll to this drawer.** The contractor submitting the payroll will need to type his or her name exactly as it is in the Doc Express system. When the payroll is submitted to this drawer, the status will be *Contractor Submitted*. After submitting the payroll, the contractor or subcontractor shall use the share feature to notify the Resident Engineer's office that the payroll is ready for ARDOT review. The RE office shall then review the payroll. Part of the review process will include looking at the signature page to ensure that the payroll was electronically signed by a representative of the correct company. The RE office can revise the type(s) associated with the payroll if necessary. Once the signatures have been confirmed and the payrolls reviewed, the RE office shall transition the payroll to *Reviewed by Department*.

Naming Convention for Payrolls

- i. When the contractor submits a document to the Payrolls drawer, they should pick the appropriate file type(s) and then use the following naming convention:
 1. [Date Received/Submitted] [Contractor Name] Week Ending [Last Date of Submitted Payroll]
The dates should be in YYYYMMDD format.

g. Subcontracts – Contractor Submittal & Dept. Review

The Prime Contractor shall submit a signed copy of each subcontract to the Subcontracts – Contractor Submittal & Dept. Review drawer. The contractor shall then use the Share feature to notify subcontracts@ardot.gov.

- i. The Subcontracts Administrator will review the submitted subcontract. If any modifications to the document are necessary, the document will be rejected and the Contractor will be notified to resubmit the subcontract.
- ii. Once the subcontract has been sufficiently modified, the Subcontracts Administrator will transition the subcontract to the *Construction – Under Review Status*.
- iii. Once the subcontract information has been entered into SiteManager, the document should be transitioned to the status of *Entered into SiteManager*.
- iv. Subcontract Letters shall be uploaded to the Correspondence – From Department to Contractor drawer and given the proper naming convention for this drawer.

Naming Convention for Subcontracts

- i. Subcontracts submitted to the Subcontracts – Contractor Submittal & Dept. Review drawer should be given the following naming convention: [Subcontractor Name]-[Sequential Number for subcontractor]
- ii. Example: An amended subcontract for Fred's Paving would be named Fred's Paving-2

h. Traffic Control Device Inspection Reports – Contractor Submittal

Traffic Control Device Inspection Reports are to be completed daily by the Contractor and submitted weekly. All Traffic Control Device Inspection reports shall be uploaded by the Contractor directly to the

Traffic Control Device Inspection Report – Contractor Submittal drawer. After reviewing the document, the RE office will transition the submittal to *Received*.

Naming Convention for Traffic Control Device Inspection Reports

The Contractor may submit each day as a separate file or a full week as a single file. When the contractor submits a Traffic Control Device Inspection Report, the following naming convention shall be applied to the Report:

- i. If the submitted document contains only one day's report it should be named as follows [Date of inspection in YYYYMMDD format].
- ii. If the submitted document contains more than one day it should be named as follows [Earliest date of inspection in YYYYMMDD format] – [Latest date of inspection in YYYYMMDD format]

CORRESPONDENCE DRAWERS

When correspondence requires approval by another division, the correspondence should be published to the CON-Miscellaneous Approval drawer and transitioned to *Construction – Under Review*. The RE should notify the Construction Staff Engineer via the share feature for further handling.

a. Correspondence – Contractor Submittal

The Prime Contractor shall submit all correspondence to the Correspondence – Contractor Submittal drawer. It may be helpful to think of this drawer as an Inbox. The Resident Engineer shall appoint a document manager in his or her office to check this drawer and publish contractor correspondence to other appropriate drawers (if applicable) and assign the correspondence the appropriate file type(s). If the document needs approval from users outside the RE office, the document will need to be transitioned to the CON-Miscellaneous Approval drawer.

b. Correspondence – From Department to Contractor

Correspondence to the Contractor shall be published to the Correspondence – From Department to Contractor drawer. The appropriate document type(s) should be selected when submitting to this drawer.

c. Correspondence – Other

Correspondence internal to the Department shall be uploaded to the Correspondence – Other drawer. Correspondence outside of the department, but not to the contractor can also be added to this drawer for storage purposes. (Example: letters to county judges or city officials. These recipients will not have access to Doc Express, so the Doc Express share feature will not work for them.) The workflow for the Correspondence - Other drawer is *Submitted*, *Published* (optional step), and *Received*.

Naming Convention for Correspondence Drawers

The following guidelines should be used when naming correspondence:

- i. The initial correspondence should be titled with [Optional: Date in YYYYMMDD format] - [Appropriate Description] of the document. Example: The prime contractor submits a letter requesting that the time charges during the previous estimate period be reviewed and a day given back due to poor weather conditions on April 21, 2017. The RE could title this document Contractor Request for time review 04/21/2017. Titling this document "Contractor Request for time review" is too generic without another identifier (date on the letter, date letter was submitted to Doc Express, date of time review, estimate number for the time review, etc.) If the extra identifier is not included the next request for time review will end up having the same name. This is unacceptable, and it will be the responsibility of the RE office to ensure that different documents do not share the same name.

ii. Any correspondence that is in response to the initial correspondence shall be titled “Response to [Optional: Date in YYYYMMDD format (if used in initial correspondence)] - [Appropriate Description]” of the initial correspondence. The initial correspondence and the response to that correspondence must be linked together. Using the “response to” is the method for creating that link. Example: The RE response to the contractor’s letter in the example above should be titled Response to Contractor Request for time review 04/21/2017.

iii. Make sure the proper type is assigned to the correspondence.

d. STAA/SWPPP

This drawer is used to store STAA and SWPPP documents. Submittals to this drawer will be uploaded by Department personnel. Users should assign the appropriate document type. Other environmental related documents, including but not limited to, Notice of Intent, Notice of Coverage, and Notice of Termination can be placed here, but any document needing approval outside of the RE office will need to be routed through the Miscellaneous Approval drawer. Within the Miscellaneous Approval drawer, the RE office should transition Environmental Clearance requests to *Environmental Division – Under Review*.

Naming Convention for STAA/SWPPP

SWPPP reports must include the Report #__ in the title. No specific naming convention is employed for other documents in this drawer.

e. Supplemental Agreement Execution

This drawer is used to transmit and sign Supplemental Agreements beginning with jobs let in February 2019. The Department, Prime Contractors, and Sureties will use this drawer. The signing process is as follows:

i. After the cover letter and supplemental agreement have been uploaded to Doc Express and signed by the State Construction Engineer, the prime contractor will be notified via the Doc Express share feature email.

ii. The prime contractor shall review the supplemental agreement and then transition the document to the *Signed by Contractor* status. This transition and accompanying signature must be performed by an officer of the company who is listed as an authorized signer on the ARDOT Program Management Division’s registry. The prime contractor shall then notify the surety via the Doc Express share feature email.

iii. The surety shall transition the supplemental agreement to the *Signed by Surety Agent* status. This transition and accompanying signature must be performed by an authorized signee for the surety. The surety shall then notify the Department via the Doc Express share feature email, with the email being sent to SupplementalAgreements@ardot.gov.

iv. The supplemental agreement shall be reviewed by the ARDOT Construction Division and signed by the Assistant Chief Engineer of Operations.

v. The supplemental agreement shall be reviewed and signed by the Chief Engineer.

Naming Convention for Supplemental Agreement Execution

Supplemental Agreements must include the Paper Change Order #__ in the title.

DEPARTMENT WORKING DRAWERS

These drawers are for intra-Department processing and do not allow submittals by the Contractor, though most of these drawers will be visible to the contractor beginning with jobs let in August 2017.

a. CON-Change Order Approval-Assistant Chief Engineer

*** Note: Refer to the COGS user guide (page 17) for instructions on how to prepare a change order to upload to Doc Express. The user guide can be found here:**

[\\csd4\construc\SiteMan>manuals\Change Order Generation System \(COGS\).pdf](\\csd4\construc\SiteMan>manuals\Change Order Generation System (COGS).pdf)

This drawer is used by the Department to approve Assistant Chief Engineer change orders. The signing process is as follows:

i. After the change order has been completed in COGS, the Resident Engineer office shall upload the change order and any supporting documents as a single document to this drawer. The RE will then transition the document to *RE Requested*.

ii. The RE shall then share the document with District.

iii. District shall review the change order and then transition the document to *District Recommended*.

iv. District shall then share the document with the Staff Engineer.

v. Construction shall review the change order and then transition the document to *Construction Approved*.

vi. The Assistant Chief Engineer shall review the change order and transition the document to its final status of *Assistant Chief Engineer Authorized*.

Naming Convention for CON-Change Order Approval-Assistant Chief Engineer

i. Change Orders uploaded to this drawer need to have the following naming convention: [Paper Change Order Number] – [Change Order Title]

ii. Example: CO 4 - ACHM Patching for MOT

b. CON-Change Order Approval-District Engineer

*** Note: Refer to the COGS user guide (page 17) for instructions on how to prepare a change order to upload to Doc Express. The user guide can be found here:**

[\\csd4\construc\SiteMan>manuals\Change Order Generation System \(COGS\).pdf](\\csd4\construc\SiteMan>manuals\Change Order Generation System (COGS).pdf)

This drawer is used by the Department to approve District Engineer change orders. The signing process is as follows:

i. After the change order has been completed in COGS, the Resident Engineer office shall upload the change order and any supporting documents as a single document to this drawer. After reviewing the change order, the RE will then transition the document to *RE Requested*.

ii. The RE shall then share the document with District.

iii. District shall review the change order and then transition the document to *District Authorized*.

iv. District shall then share the document with the Staff Engineer.

Naming Convention for CON-Change Order Approval-District Engineer

i. Change Orders uploaded to this drawer need to have the following naming convention: [Paper Change Order Number] – [Change Order Title]

ii. Example: CO 4 - ACHM Patching for MOT

c. Change Orders – Concept Review

This drawer may be used when the Resident Engineer wants to consult with the District, the Construction Division, or other ARDOT divisions within Doc Express. **The rest of the change order process has not been changed.**

d. CON-Construction Working Drawer

This drawer is used by the Construction Division to handle Work Orders, Subcontract Acknowledgement Agreements, and other related documents.

e. CON-Correspondence - Other

This drawer is used to distribute and handle correspondence within the Department and to non-department users without access to Doc Express (memos, letters not to the Contractor, etc.).

f. CON-EEO Documents

This drawer is used to manage EEO Documents. Once the document is uploaded or published to this drawer, transition the document to *EEO Under Review* and share with EEO or, if the document does not need to be reviewed by EEO, mark the document as *Received*.

Naming Convention for EEO Documents

i. When publishing a document to the EEO Documents drawer, pick the appropriate file type(s) and then use the following naming convention:

1. Training Documents – [Contractor Name]-[Trainee Name]-[Form Number]-[Sequential Number]
2. Interview Forms – [Contractor Name]-[Date in YYYYMMDD format]-[Sequential Number]
3. Quarterly Reports – [Year of report in YYYY format]-[Quarter of the year being reported in Q# format].
 - a. Example: The first quarterly report submitted in 2016 would be titled 2016-Q1.

g. CON-Final Document Submittal

This drawer is used by the RE office to submit final documentation to Contract Estimates. The signature page should be turned on for this drawer. If your project does not have this option and you need to use it, please contact Construction Systems Administration at sitemanager@ardot.gov. Please refer to the RE Manual to see which documents are required to be submitted. When submitting the “Explanation of Overruns and Underruns,” upload the main document as a PDF and attach the Word document as a supporting document. The reasons for this are 1) the signature page in Doc Express can only be attached to a PDF and 2) Contract Estimates needs this as a Word Document because it often requires edits. The RE should transition the document(s) to *RE - Reviewed*, and then *District – Under Review* and share the document(s) with the District. The District should transition the document to *District – Reviewed* and share with contractestimates@ardot.gov. Contract Estimates will transition to EEO and/or the State Construction Engineer as applicable.

h. CON-Material Certifications & Test Results

This drawer is used for storing material certifications submitted by the Contractor. When published to this drawer, the material certification should be given the appropriate file type(s) and the document should be progressed through the workflow. The workflow is *Submitted*, *Reviewed*, and *Documented*.

Naming Convention for CON- Material Certifications & Test Results

i. Department Test Results do not need to be uploaded into Doc Express as the data in the database is considered the official source. Exception to this rule is:

1. Department Verification Reports
- ii. Material Certifications are to be first saved into the relevant file type(s). After this they are to be given the following naming convention:
 1. [Material Description (this should be as concise as possible and consistent with other uploads of same material)]-[Sequential Number]-[SiteManager Sample ID] Example: The first Aggregate Base

Course (Class 7) gradation for the project would be given the file type Gradations and named: Aggregate Base Course (Class 7)-1-BCBC432163U090358

iii. Any material submission submitted to the RE Office that requires no additional transmission/approval will be uploaded into the Material Certifications & Test Results drawer. Material submissions requiring further transmission/approval will be published to the Miscellaneous Approval drawer.

iv. Any report whose data is stored in an official database should not be uploaded into Doc Express. The database will be the official repository for this information.

i. CON-Miscellaneous Approval

This drawer is used to process Contractor submittals that require approvals outside the RE Office. When published to this drawer, the submittal should be given the appropriate file type(s) and transitioned through the workflow using the steps deemed appropriate for that submittal by the RE. Due to time constraints, the Resident Engineer office should transition Environmental Clearance documents to the *Environmental Division – Under Review* status, and ACHM Mix Design transfer documents to *Materials Division – Under Review* status. The RE office should transition all other new document submissions, including shop drawings, within the CON-Miscellaneous Approval drawer to the *Construction Division – Under Review* status. The Construction Staff Engineers will change the status as needed and notify other divisions as appropriate for their review. Once Construction Division approval is given, the RE office will be notified by the Construction Staff Engineers. The RE will then need to transition the document to *Final Approval*. An example workflow is included in the section of these guidelines titled “FLOWCHARTS.” Official responses to the Contractor regarding submittals should be processed through the CON – Correspondence – Department to Contractor drawer.

Naming Convention for Miscellaneous Approval

When publishing a submittal to the Miscellaneous Approval Drawer, first select the appropriate file type(s) and then use the following naming convention: [Appropriate description of submittal]. If a submittal has already been renamed in another drawer and then published to the Miscellaneous Approval drawer, it should not need to be renamed again.

j. CON-Pay Items

This drawer is used to manage SiteManager supporting documents. Supporting documents for pay items should have the appropriate file type(s) selected when uploading the document. At this time, OTTRS reports are also being included in this drawer. Please attach the scale certification as a supporting document to the first OTTRS report and anytime the scale certification changes. The workflow steps for this drawer are *Submitted*, *Reviewed by RE Office* (Optional), and *Reviewed by Contract Estimates*.

Naming Convention for Pay Items

SiteManager Supporting Documents - When uploading a SiteManager supporting document, assign it a file type and then use the following naming convention: [Line Item Number]- [DWR date in YYYYMMDD format]- [User ID of user who made the pay entry]-[Location Sequence Number].

i. Example: For a supporting document uploaded for line item number 0100 paid for by user BCBC432 on January 5th, 2016 in location sequence number 2, the file name should be 0100-20160105-BCBC432-2.

k. CON-RE Office Working Drawer

This drawer is used within the RE office to prepare documents. The Office Tech or Field Clerk may prepare documents and submit them to this drawer for the RE or Assistant RE to review, sign, and

publish to another drawer. It is up to each RE office to determine if and how they want to use this drawer.

FLOWCHARTS

The process for any submittal going through the CON-Miscellaneous Approval drawer will generally follow that shown below, which was specifically made for Bridge submittals.

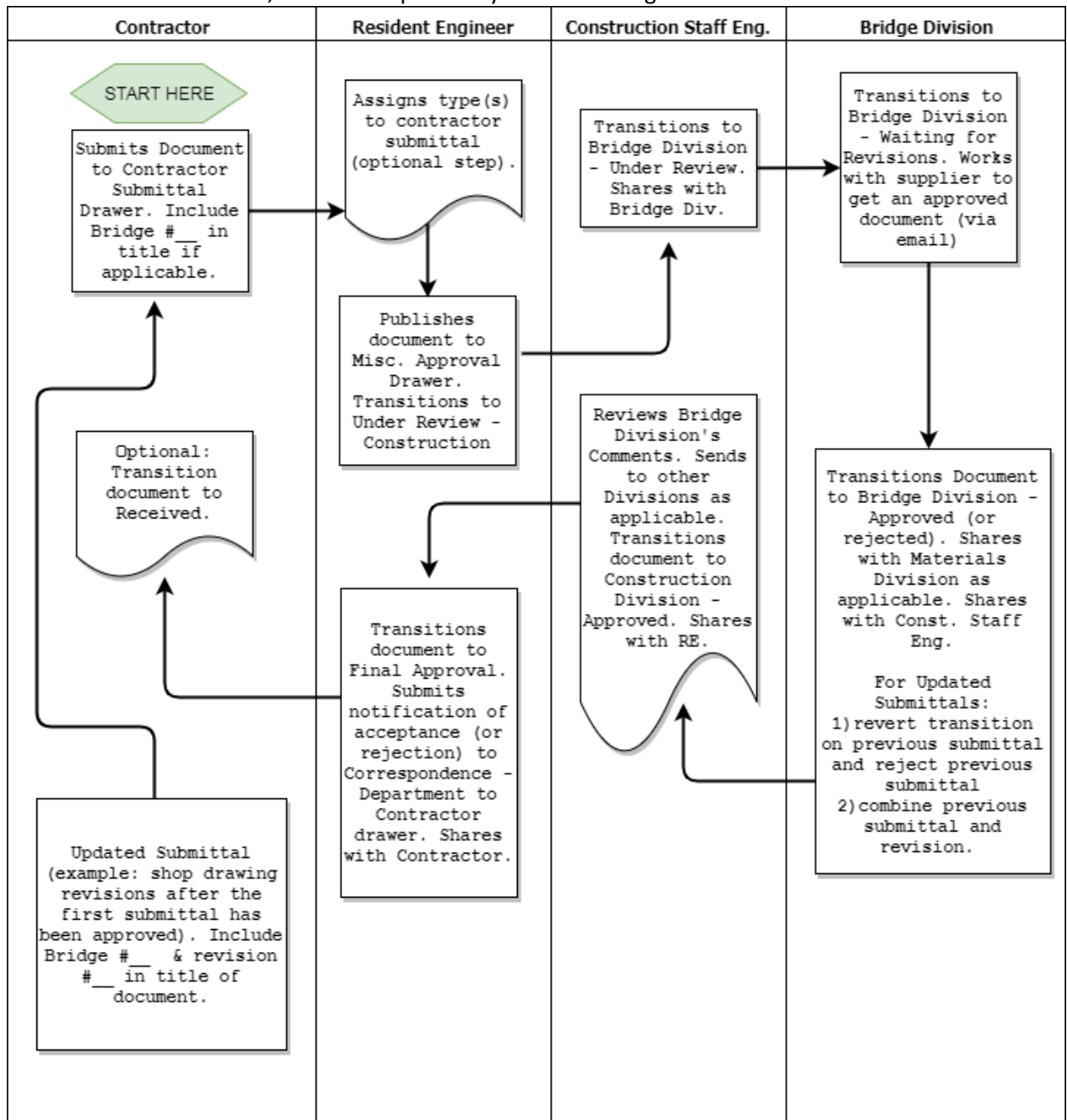


Figure: Submittals Needing Bridge Division Approval

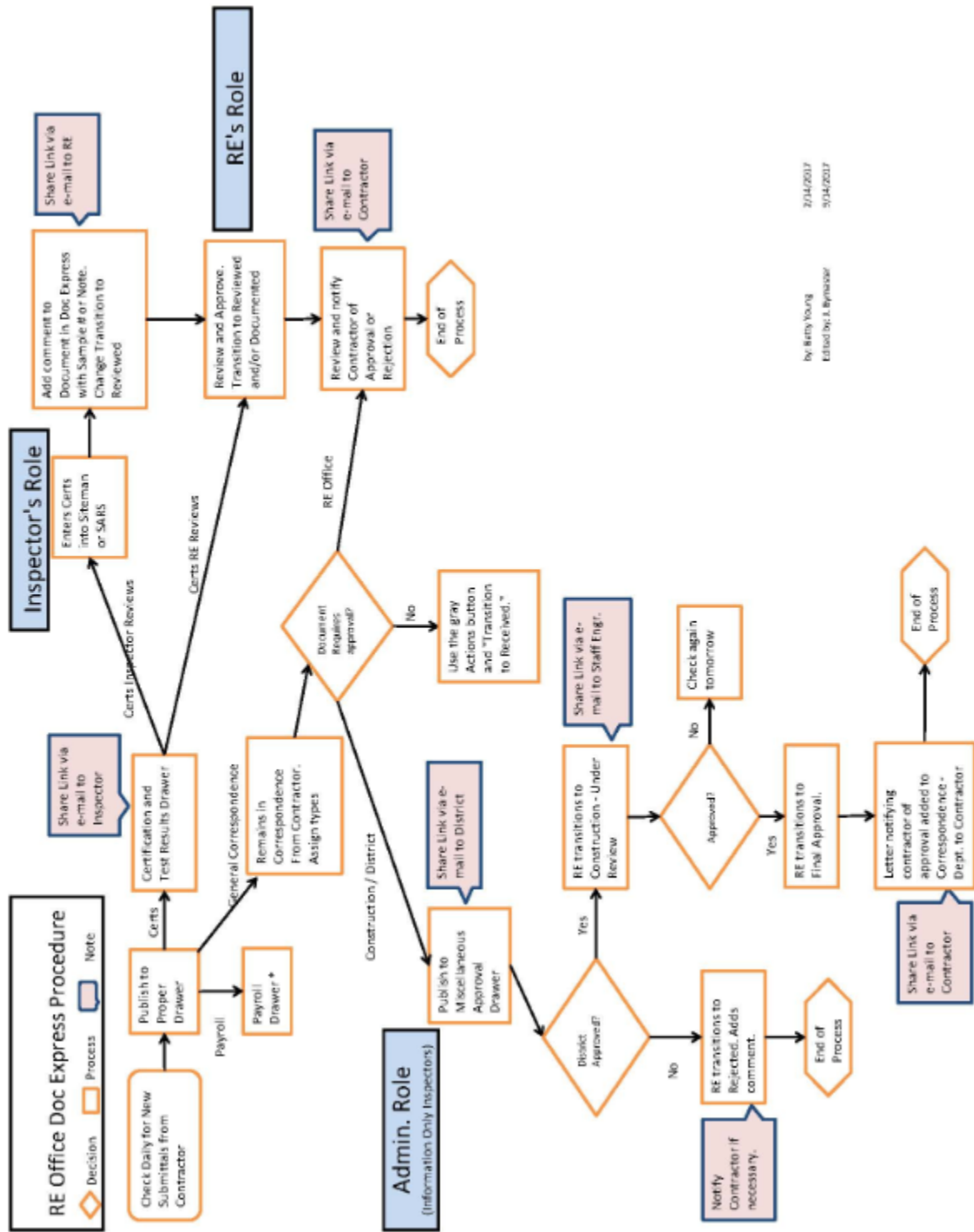


Figure: Generalized RE Office Workflow

SPECIFIC DOCUMENTS & WHAT TO DO WITH THEM

Questions have been asked about where these documents should go within Doc Express. If you would like more documents to be listed, please contact sitemanager@ardot.gov.

ACHM Mix Design transfer requests should be submitted by the contractor to the Correspondence-Contractor Submittal Drawer, then published by the RE to the Miscellaneous Approval Drawer, transitioned to *Materials Division – Under Review*, and shared with Mark.Greenwood@ardot.gov and materials@ardot.gov. Materials Division will review the mix design transfer, contact the RE and/or Materials Inspector as necessary using comments/share, then transition to *Materials Division – Reviewed* with a comment noting any additional information that should be shared. Materials Division will prepare the transfer letter, upload it into Miscellaneous Approval Drawer and share with RE. The RE should transition to *Final Approval* and notify the contractor through the CON-Correspondence-Department to Contractor Drawer.

ACHM Mix Design Transfer Approval Process

Status	Transitioned By:	Share:
Submitted	RE	N/A
Materials Division – Under Review	RE	RE Shares with Materials
Materials Division – Reviewed	Materials (Mark Greenwood or designee)	Materials shares with RE
Final Approval	RE	RE submits letter to Contractor in Correspondence – Dept to Contractor and shares with Contractor

Invitation to the Preconstruction Conference should be uploaded by the Resident Engineer to the CON-Correspondence- Department to Contractor Drawer. Share the document with all divisions that need to be invited. Please use the group emails listed in the CONTACT LIST portion of this document, if applicable.

Summary of Preconstruction Conference Letter should be uploaded by the Resident Engineer to the CON-Correspondence- Department to Contractor Drawer. Share the document with all appropriate parties, especially your District.

Documents approved within the RE office (without needing further approval). Within the Correspondence – Contractor Submittal drawer, in order to clear the yellow boxes for documents that do not need to be published elsewhere, select the gray “Actions” button and then select Transition to Received. You may then select the documents that you wish to transition and click Transition to Received. The RE response to the contractor should be submitted in the Correspondence – Department to Contractor Drawer.

Liability Insurance updates should be submitted by the contractor to the Correspondence – Contractor Submittal drawer and published to the Correspondence-Other drawer by the RE office staff. It needs to be shared with ContractEstimates@ardot.gov.

US Department of Labor Wage Rates and Labor Classifications. If a request is made to the Dept. of Labor for additional wage rates on a job, the response letter (from the DOL) should be uploaded to Doc Express by someone in the RE office according to the following steps. File the DOL letter in Miscellaneous approval. In the Miscellaneous Approval drawer, please make sure the DOL letter is uploaded as a revision to the existing request, not as a new submittal. You can submit revisions by going to the original submittal, “Transitioning” to “Final Approval”. The Revision option is available there and will replace the original request with the new document. (It will keep the original request in the audit trail under a different name). The RE’s notification letter to the Contractor should be placed in the “Correspondence – from Department to Contractor” drawer. Share the notification letter with the Contractor.

LIST OF DOC EXPRESS DRAWERS

Not every user will have access to all the drawers listed. If you feel like you should have access to a drawer, please submit an e-mail request to sitemanager@ardot.gov, and your request will be reviewed. The Program Management drawers, designated with the PM prefix, should be used as read-only by all ARDOT users outside the Program Management Division. No document should be added to the PM drawers by a member of the Construction Division. If additional types are needed for any drawer, please contact sitemanager@ardot.gov.

CON – Change Orders – Approved

***Note: This drawer only applies to jobs let prior to Nov. 6, 2019.**

Types: Resident Engineer; District Engineer; Assistant Chief Engineer

CON – Change Order Approval – Assistant Chief Engineer

Types: Assistant Chief Engineer

CON – Change Order Approval – District Engineer

Types: District Engineer

CON – Change Orders – Concept Review

Types: Value Engineering; General; Stage Construction

CON – Construction Working Drawer

Types: Work Order, Subcontract Acknowledgement, etc.

CON – Correspondence – Contractor Submittal

Types: Change Order Request; No Response Required; Response Required - Resident Engineer; Response Required - District Engineer; Response Required - Construction Engineer; Response Required - Chief Engineer; Response Required – Other

CON – Correspondence – From Department to Contractor

Types: Department Initiated; For Information Only; Response From - Resident Engineer; Response From - District Engineer; Response From - Construction Engineer; Response From - Chief Engineer; Response From - Materials Division; Response From – Other; Subcontracts; Time Charge Letter; Mix Design

CON – Correspondence – Other

Types: Memorandum; FHWA; Do Not Adjudicate - M File; Do Not Resolve - M File; Begin of Work Letter; Other; Miscellaneous; For Information; Utilities

CON – CPM Schedule Contractor Submittal

Types: Baseline; Bi-Weekly; Monthly

CON – DBE Payment Logs – Contractor Submittal & Dept. Approval

CON – EEO Documents

Types: Labor Interview Forms; Quarterly Field Reports; Initial On-Site Inspection Forms; Bulletin Board Checklist; OFCCP Subcontract Letter of Notification, Employment Reporting, Bulletin

Board Posters/Forms; OJT Commitment; OJT Enrollment; OJT Monthly Updates; OJT Training Record; OJT Termination; OJT Interview; OJT Payment

CON – Final Document Submittal

CON – Forms and Information

CON – Materials Estimate – Contractor Submittal & Dept. Approval
Types: Paid; Unpaid

CON – Materials – Certifications & Test Results
Types: Acceptance; Verification; Quality Control; Concrete Tests; Concrete Certifications; Pipe Certifications; Gradations; Densities; Asphalt Reports; IAS Test Results; Materials Division Approval; Miscellaneous Test Results; Miscellaneous Certifications; QPL/QMUD; Sign Certifications; Asphalt Mix Designs; Concrete Mix Designs; Striping Certifications; Aggregate Base Course; Emulsified Asphalt; Scale/Distributor Certs; Compacted Embankment; Depth/Sounding

CON – Miscellaneous Approval
Types: Shop Drawings; Traffic Signal Brochures; Structural Steel; Environmental Clearance; Miscellaneous; Traffic Signal Submittals; Lighting Submittals; ITS Submittals; Signing Submittals; Asphalt Mix Design

CON – Pay Items
Types: SiteManager Supporting Documents; OTTRS Reports; Aggregate Base Course; ACHM Surface; ACHM Binder; ACHM Base; Distributor Calibration

CON – Payrolls – Contractor Submittal
Types: Prime Contractor Payrolls; Subcontractor Payrolls; Training Documents; Labor Interview Forms; OFCCP Subcontract Letter of Notification; Employment Reporting; Noncompliant – Late; Noncompliant - Inadequate pay; Noncompliant - Other

CON – RE Office Working Drawer

CON – STAA / SWPPP
Types: STAA; SWPPP; Notice of Coverage; Notice of Intent; Notice of Termination; Miscellaneous

CON – Subcontracts – Contractor Submittal & Dept. Review

CON – Supplemental Agreement Execution

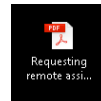
CON – Traffic Control Device Inspection Report – Contractor Submittal

PM – Bid Schedule & Bid Schedule Narrative
PM – Contract Execution
PM – DBE Participation and/or NPDES Certification
PM – Insurance, Performance & Payment Bonds
PM – Landslide Repair Qualification

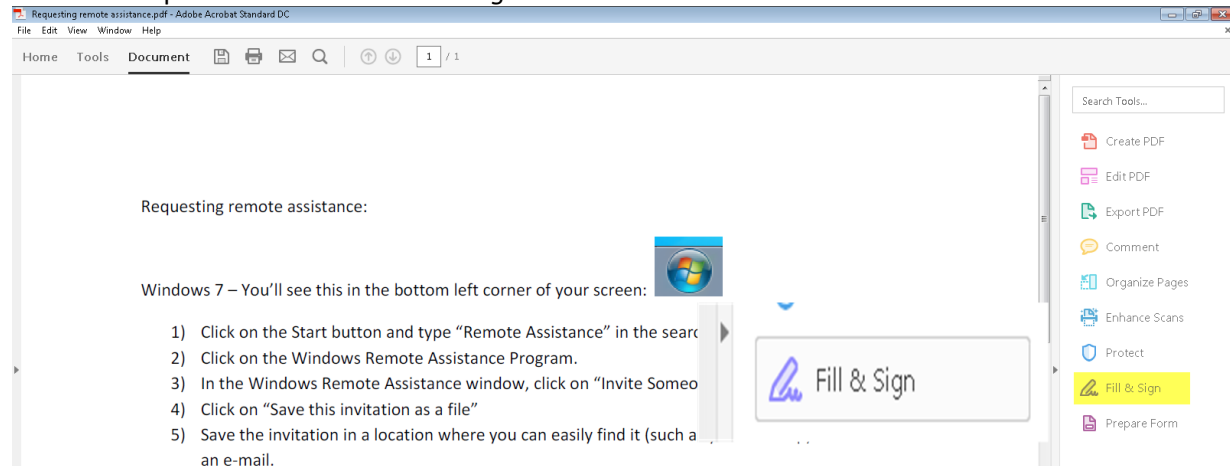
APPENDIX A: SIGNING DOCUMENTS WITH ADOBE

These screenshots were taken using Adobe Standard, but Adobe Reader also allows signing. The location of the buttons may be different, but the functionality is the same.

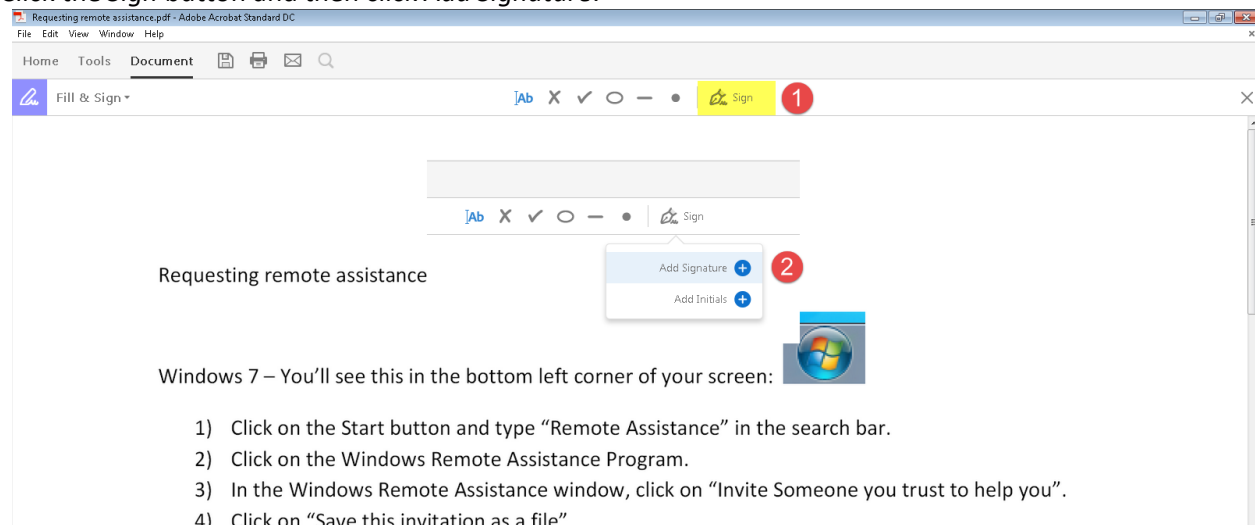
First, open the pdf file that you would like to sign.



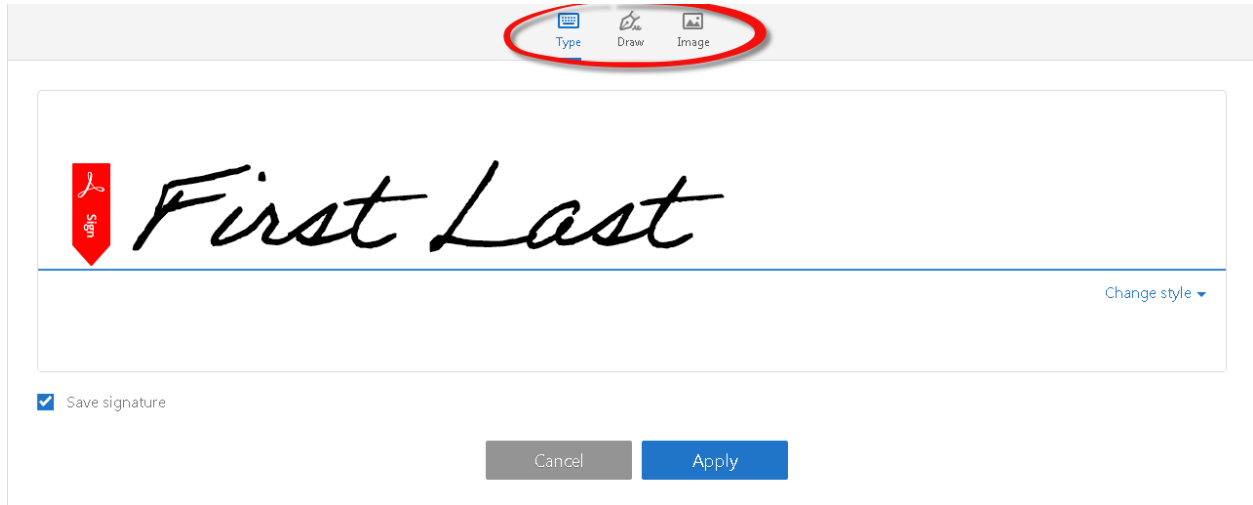
Here is the opened file. Click the *Fill & Sign* button.



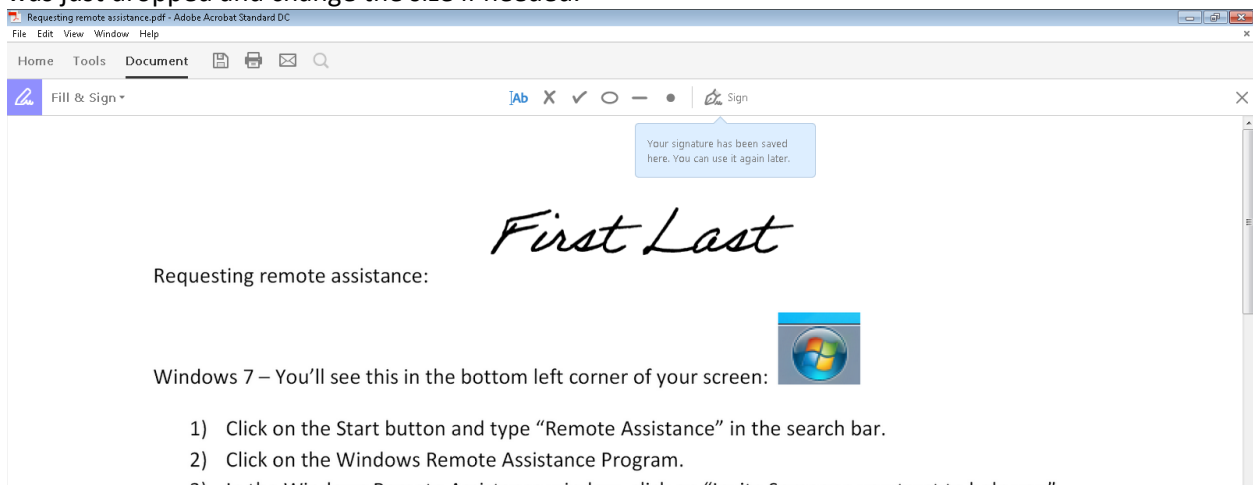
Click the *Sign* button and then click *Add Signature*.



There are options for signing: *Type*, *Draw*, and input *Image* of your scanned signature. To create an image of your wet ink signature, sign a piece of paper, scan it to your computer, crop the image, and save the image in a convenient location on your computer. In this example, *Type* was selected. Type your name and click Apply.



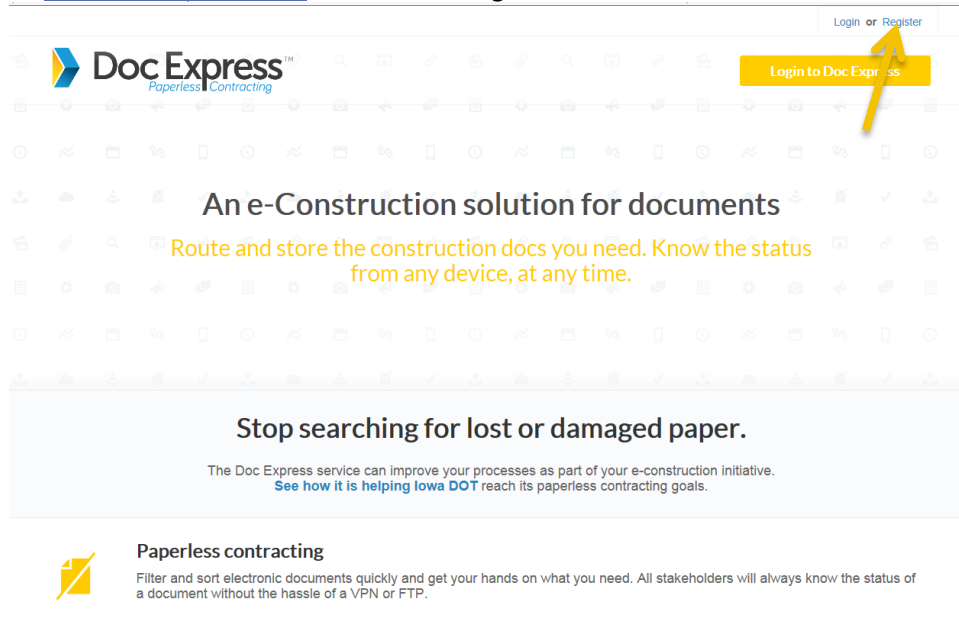
Drop the signature where you need it on the pdf document. You may then select the signature that was just dropped and change the size if needed.



APPENDIX B: CREATING AN ORGANIZATION ACCOUNT IN DOC EXPRESS (For use by Contractors and Subcontractors.)

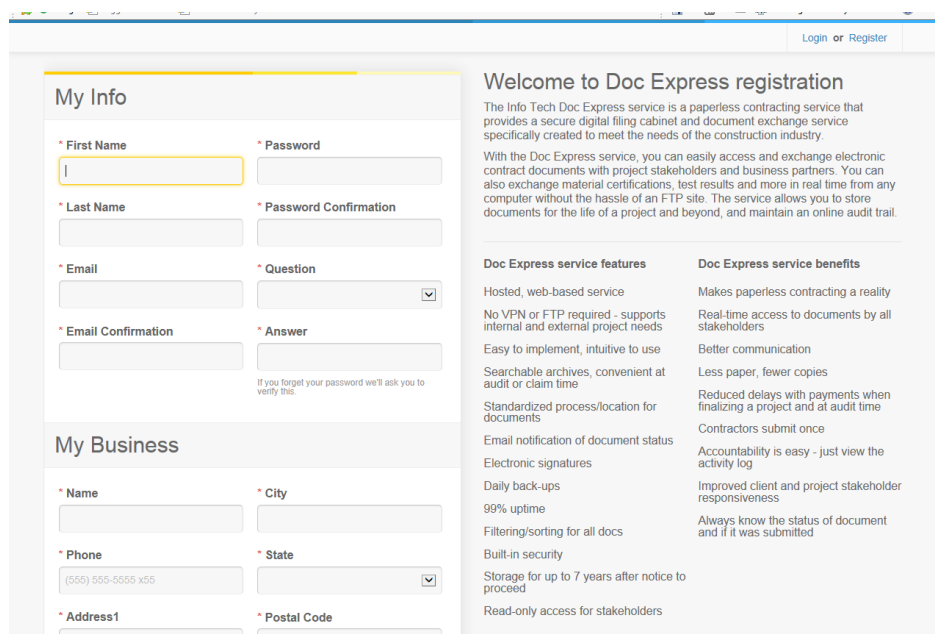
For a company to sign up for Doc Express please follow the instructions below.

1. Go to www.docexpress.com and click on Register



2. Complete all the required fields in the My Info and My Business section. (See example below)

IMPORTANT: The first person that signs up your company is the administrator of the account. This person will be responsible for inviting the other employees of your company. Only ONE person within your company should register with Doc Express. If the company only has one e-mail address, the name on the account must be an officer of the company.



My Info

* First Name

* Last Name

* Email

* Email Confirmation

* Password

* Password Confirmation

* Question

* Answer

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

My Business

* Name

* City

* Phone

* State

* Address1

* Postal Code

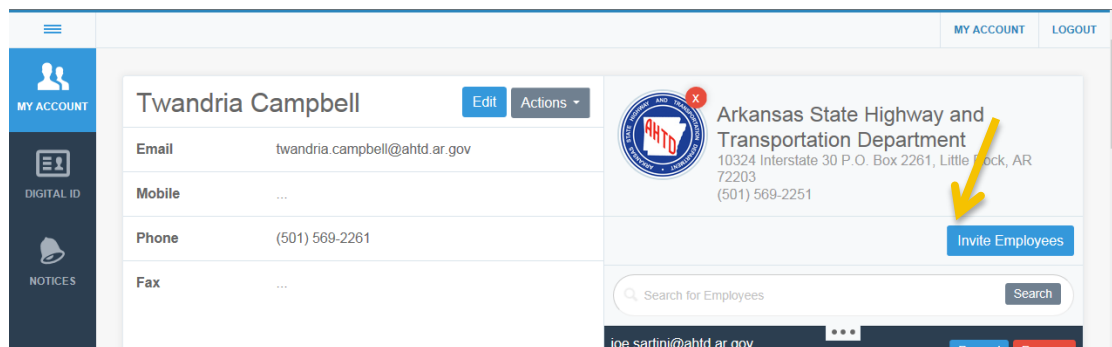
Welcome to Doc Express registration

The Info Tech Doc Express service is a paperless contracting service that provides a secure digital filing cabinet and document exchange service specifically created to meet the needs of the construction industry.

With the Doc Express service, you can easily access and exchange electronic contract documents with project stakeholders and business partners. You can also exchange material certifications, test results and more in real time from any computer without the hassle of an FTP site. The service allows you to store documents for the life of a project and beyond, and maintain an online audit trail.

Doc Express service features	Doc Express service benefits
Hosted, web-based service	Makes paperless contracting a reality
No VPN or FTP required - supports internal and external project needs	Real-time access to documents by all stakeholders
Easy to implement, intuitive to use	Better communication
Searchable archives, convenient at audit or claim time	Less paper, fewer copies
Standardized process/location for documents	Reduced delays with payments when finalizing a project and at audit time
Email notification of document status	Contractors submit once
Electronic signatures	Accountability is easy - just view the activity log
Daily back-ups	Improved client and project stakeholder responsiveness
99% uptime	Always know the status of document and if it was submitted
Filtering/sorting for all docs	
Built-in security	
Storage for up to 7 years after notice to proceed	
Read-only access for stakeholders	

3. In order to invite the other employees of your company, click on Invite Employees. (See example below)
They will receive an e-mail from Doc Express inviting them to accept the invitation. They should then complete the My Info section.




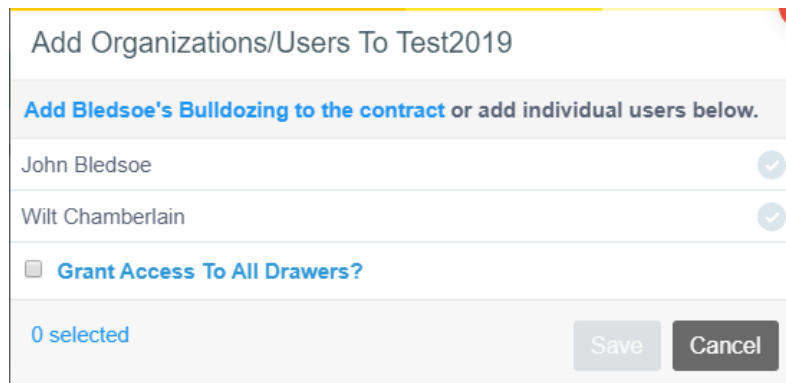
4. Please note if any notices are sent to your account regarding a Digital ID, please disregard. A Digital ID is not required at this time.
5. If you have any questions, please feel free to contact Doc Express at 888-352-2439 or support@docexpress.com or ARDOT Construction Division Systems Administration at sitemanager@ardot.gov.

APPENDIX C: ADDING USER ACCESS TO A PROJECT (For use by Contractors and Subcontractors)

A contractor may add employees to a project by following steps 1 through 11.

The prime contractor may add subcontractors to a project by following steps 8 through 11. The prime contractor will not be able to select the subcontractor's organization until the subcontractor has created his/her account in Doc Express as described in Appendix A.

1. Log into Doc Express
2. In top right, click "My Account".
3. Click "Invite Employees"
4. Enter employees' email addresses
5. Click "Invite Employees"
6. Wait for employees to activate account
 - a. Employee will receive an email from InfoTech Express – this email contains a link to set up a Doc Express account. Each employee will get a unique link that must be used by the employee it's addressed to.
 - b. Manager will be notified by InfoTech Express when the employee accounts are activated.
7. Return to Doc Express. While in the "My Account" screen, click the button in the top left with 3 bars () and select "Doc Express".
8. Select the Contract you want to grant employees access to. You can select a contract by clicking on the job number.
9. Click the "Actions" button in the top right and select "Manage Access".
10. Click "Add Organizations/Users".
 - a. Type in the company's name you want to add, click "Search". Select the company's name from the list, then click "Next".
 - b. Select "Grant Access to All Drawers" if you want to apply this option. Either way, you'll be given the option later to grant/revoke access to individual drawers later.
 - c. Either click on the "Add Company Name to the contract" or select the employee name(s) you want to add.
 - d. Click "Save". The selected employee(s) will be granted access to the contract.



Add Organizations/Users To Test2019

Add Bledsoe's Bulldozing to the contract or add individual users below.

John Bledsoe	<input checked="" type="checkbox"/>
Wilt Chamberlain	<input checked="" type="checkbox"/>

☐ Grant Access To All Drawers?

0 selected

Save Cancel

