

## CHAPTER 37 – SUBMITTAL OF FINAL PROJECT DOCUMENTATION

Throughout the life of each Project, the Region Assurance Specialist (RAS) will periodically review Project documentation at the Project Manager's (PM's) office.

At the completion of the Project, the PM must submit all **original** records and correspondence that are part of the supporting data for the final quality and quantities, to the Contract Administration Unit (CAU) in the Construction Section.

Since the PM must assure that Project documentation is performed as Project work progresses, and the RAS has also performed the required periodic reviews, this phase should only involve compilation and submittal of that documentation.

Subsection 00195.50(d) requires the Agency to release the retainage for a Subcontractor's work when that Work is complete, upon proper request of the Contractor. If requested by the Contractor, the PM must compile and verify all final Project documentation for that Subcontractor's Work and submit it before the rest of the Project is complete. This process is described further in Section 37-8

In an effort to reduce the storage space required for the Project documentation, compile and submit documentation only in pads. Secure the pads with metal or similar fasteners that do not add bulk to the pad. Do not submit documentation in 3-ring binders.

The CAU is responsible for storage of the submitted Project documentation. Submit the quality and quantity documentation in separate pads, but as a complete package. This package will consist of the following:

- Transmittal letter listing the documentation being submitted ([Semi-final Documentation Checklist, form 734-2706](#))
- Local Agency letter of acceptance (*required on Local Agency Projects only*)
- Quantity documentation
- Quality documentation
- Price adjustments for all 6000 series payments
- Original General Daily Progress Reports & Project Manager's Diaries
- Original Erosion Control Monitoring Reports
- Original TP & DT Daily Reports
- Original Turbidity Monitoring and Reports [*Refer to Chapter 12A – Daily Reports / Diaries*]
- [Documentation Review Report, form 734-1903](#), that also includes the recommendation for acceptance of Project documentation

- [Documentation Review Report Supporting Documentation: PM Exception Explanation, form 734-2704](#). Only required if acceptance of a material installed on the project uses an exception instead of normal acceptance methods.

### **37-1 QUANTITY DOCUMENTATION**

Quantity Documentation includes:

- Quantity Ledger Report. Include the latest report from the Contract Payment System (CPS). The RAS must verify that all final quantities match the quantities from the accepted quantity calculations and sign and date the document. Clearly mark, in a conspicuous manner, any changes of quantity or funding codes (Participation Indicator/sub-job), Pay Items that have been deleted by a CCO and Pay Items for which final quantities have been accepted under a Request for Release of Retainage for Subcontracted Work ([See](#) Section 37-8).
- Preliminary Progress Payment Report from the CPS. The RAS must verify that the quantities match the Quantity Ledger and sign and date the document.
- All bid item and CCO quantity documentation and source documents. Include all supporting and source documentation used to determine the final quantities, including but not limited to:
  - Earthwork Computation Summary and supporting source documentation (*field notes or validation information if a Digital Terrain Model was used*)
  - Scale Diary - include scale certifications and check weights
  - Weigh Memos - Material Receipts (form 734-3082 or similar format)
  - A copy of all Pile Record Books (*if Project included furnishing and driving piles using form 734-3485 or similar format*). Submit the original Pile Record Book, or similar format, to the ODOT Bridge Section and note the distribution on the submittal letter.
  - A copy of all Drilled Shaft Reports (*if Project included furnishing and driving piles using form 734-2598 or similar format*). Submit the original Pile Record Book, or similar format, to the ODOT Bridge Section and note the distribution on the submittal letter.

List the following on the DRR:

- Each quantity calculation that is done in a manner different from that specified in the Contract or from that normally accepted by the Agency.
- Each quantity calculation for which the PM and RAS are unable to agree on the acceptability of the calculation or method.

### **37-2            QUALITY DOCUMENTATION**

Quality Documentation includes:

- [Final Materials Certification, form 734-1979](#) (See Exhibit 12B(l) in *Chapter 12B - Quality*).
- [Foreign Steel Summary, form 734-1968](#) (*required on Federal-Aid Projects only*) (See Exhibit 12B(k) in *Chapter 12B – Quality*).
- Completed Test Summary. Include final quantities, signatures of reviewers, and dates reviewed (See *Chapter 12B - Quality* for instructions on completing the Test Summary forms).
- Supporting information for bid items and CCOs. [ *Refer to Chapter 12B – Quality*]

List the following on the DRR:

- Each quality document or documentation that is missing or that differs from that required in the Contract or by ODOT policy.
- Each quality document or documentation for which the PM and the RAS are unable to agree on the acceptability of the document, documentation, or Materials.

### **37-3            QUALITY PRICE ADJUSTMENTS**

Submit price adjustments in a separate pad. [ *Refer to Chapter 12C - Quality Price Adjustments*]

- Submit all price adjustment calculations along with copies of the appropriate correspondence, test reports, and summaries that support the adjustment.
- Statistical Asphalt Bonus (StatSpec). Do not include the test results, which should remain with the quality documentation. Include only the following StatSpec printouts in the price adjustment book:
  - Price Adjustment Computations Sheet
  - Statistical Testing Input Data Sheet
  - Statistical Computation Sheet
- Send a copy of the StatSpec printouts to the Senior Mix Design Technician in the Pavements Unit (note on the transmittal letter).
- Smoothness Bonus. Include all rolls from testing with the smoothness worksheets. Send a copy of the Smoothness printouts to the Senior Mix Design Technician in the Pavements Unit (note on the transmittal letter).

**(a) Documentation Review Report (DRR), form 734-1903**

See Exhibit 12B(m) in *Chapter 12B - Quality* for an example of this form.

The RAS will complete this form listing:

- Quantity calculations done differently from the required manner or for which the PM and RAS are unable to agree on their acceptability.
- Quality documents or documentation that are missing, that differ from those that are required, or that the PM and RAS are unable to agree on the acceptability of the documentation or the Materials.
- Recommendation of the PM that the Agency accept the Project documentation. The RAS must either agree with that recommendation or must list differences and recommended resolution.

**37-4            DISTRIBUTION OF PROJECT DOCUMENTATION**

The PM is responsible for distribution of the following Project documentation:

**(a) Labor Compliance**

Submit the following, in separate pads, to the Labor Compliance Officer in the Office of Civil Rights (OCR):

- Contractor and Subcontractor Payrolls and Wage Certification Statements
- Employee Interview Reports
- Project Manager's Labor Compliance Certification

These documents are discussed in *Chapter 19 - Labor Compliance*.

The OCR Labor Compliance Officer will review the labor compliance documents. If they are acceptable, the OCR Compliance Officer will forward them to the CAU who will combine them with the rest of the Project documentation.

**(b) As Constructed Plans**

Prepare and distribute As Constructed Plans as specified in *Chapter 12H – As-Constructed Plans*.

**(c) Project Managers Narrative Form**

Upon expiration of the time for submission of a claim (15 Calendar Days after issuance of Second Notification), after completion of the Post-Construction Review meeting, and after receipt of the Contractor's Construction Process Feedback, but prior to issuance of

Third Notification, the [Project Managers Narrative Form, form 734-2756](#) shall be completed and distributed according to the distribution list on the last page of the form. The Narrative shall include the following information:

1. Key Project data
2. Key Project dates
3. Construction costs
4. Anticipated Items breakdown
5. Project scope
6. Project progress. This includes a general discussion regarding the progress of Work on the Project, and any design and/or construction issues, solutions used, and suggested improvements for future projects.
7. Description of and general discussion regarding significant Contract Change Orders issued.
8. Change Order, State Force Order and Extra Work Order reports.
9. Bid item overruns/underruns. Description of significant ( $\pm 25\%$  of original bid item quantity) bid item overruns/underruns, including the reason and total value for each affected bid item. Also identifies any bid items which were noted as having potentially unbalanced bids in the bid evaluation report, along with any perceived impact to the Project and the efforts made to manage these items.
10. Escalation/De-escalation costs for fuel, asphalt and steel.
11. Adjustments. Identification and discussion of all adjustments, both standard and non-standard, issued on the Project.
12. Contract Time. Discussion of any modifications or amendments made to the original Contract Time identified in the Special Provisions.
13. Innovation. Addresses new and innovative means, methods, or Materials that were used and the results achieved. Also share the results of those methods that failed in order to prevent the same experiment on other projects.
14. Post-Project Critique Results. Discuss the results from any post-project critique received as part of the Post-Construction Review (See 00150.91) and the Prime Contractors Performance Evaluation Form.
15. Specific feedback for Project designers and/or Project delivery team. Provides constructive feedback to the designers or Project delivery team identifying Project components or aspects which worked well, and could/should be used on other projects. Also identifies Project components or aspects which were problematic along with suggested solutions to avoid repeating on future projects.

The purpose of the Project Managers Narrative is to provide constructive feedback to both internal (ODOT) and external (Consultant) designers and Project delivery teams, so that needed improvements can be considered and incorporated on future projects.

**OREGON DEPARTMENT OF TRANSPORTATION  
CONSTRUCTION MANUAL**

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Distribute copies of the Narrative Form as follows:

<b>HARD COPY DISTRIBUTION</b>	
Original, Narrative	Signed Construction Section, Attn: Contract Services Unit
<b>ELECTRONIC (E-Mail) COPY DISTRIBUTION</b>	
1 E-Copy	ODOT Contract Administration Engineer
1 E-Copy	ODOT Region Tech Center Manager
1 E-Copy	ODOT Area Manager
1 E-Copy	Each Applicable ODOT Technical Services Branch Section ( <i>Bridge, Traffic, Roadway, Geo-Environmental</i> )

The appropriate email addresses for the electronic copies are shown on the [Project Managers Narrative Form](#), which is available on the Construction Section website.

**(d) Order for Force Work Notification of Completion**

Notify the CAU when all Work under Orders for Force Work is complete. This may be done by:

- Submitting an e-mail message to CAU stating that all Force Account Work on the Project is complete, or
- Submit a signed and dated written statement along with the final Project documentation stating that all Force Account Work on the Project is complete.

**(e) Recommendation of Project Acceptance**

The PM must submit the original [Recommendation of Project Acceptance, form 734-1384](#), signed by the Area Manager, as described in *Chapter 36 - Project Acceptance*. This form may be submitted separate from the other Project documentation.

**(f) Warranties and Guarantees**

Forward all original warranties and guarantees required by the Contract, to the Office of Maintenance. Copies should be distributed to the appropriate District Manager, or other Unit responsible for maintenance of the Project, as specified on the Semi-Final Transmittal form 734-2706, at the completion of the Project. [*Refer to Chapter 41 – Warranties*]

When warranties are required, note in the test summary that they have been forwarded to the District Manager or other appropriate Unit. Include a copy of the warranty along with a copy of the transmittal letter in the quality documentation.

### **(g) Right of Way (ROW) Monumentation Completion Notice**

Notify the CAU when all Right of Way (ROW) Monumentation is complete or when it is estimated to be completed so that the project EA is not closed prior to the work being performed. This may be done by:

- Submitting an e-mail message to CAU stating that all ROW on the Project is complete, or
- Submit a signed and dated written statement along with the final Project documentation stating that all ROW on the Project is complete

The ROW completion notification is required even if there is no ROW required on the project.

### **37-5 REVIEW BY REGION ASSURANCE SPECIALIST (RAS)**

During their review of the Project documentation at the Project office, the RAS will:

- Verify that the quality of Materials and Work on the Project is in close conformance with Contract requirements and that the Materials and Work are acceptable to remain on the Project.
- Assure that documentation fulfills the requirements of the Contract.
- Assure that price adjustments have been properly applied.
- Verify that methods, calculations, and quantities are appropriate and correct.
- Add appropriate remarks and forward the PM's recommendation of documentation acceptance to the Contract Administration Engineer (CAE).

The RAS may also provide other recommendations and advice as requested by the CAE.

### **37-6 ACTIONS OF THE CONTRACT ADMINISTRATION UNIT (CAU)**

The CAU will:

- Accept the final Project documentation and store it for the required retention period.
- Accept the Project, within their delegated authority.
- Make required changes to final Project quantities and process final payment to the Contractor.

Additionally, the CAU may perform a cursory review of the Project documentation to assure that:

- Documentation and review have been adequately performed, and
- Documentation practices are being performed uniformly statewide.

### **37-7 RELEASE OF SUBCONTRACTOR RETAINAGE**

Subsection 00195.50(d) allows a subcontractor, when it has satisfactorily completed all of its Work under a Contract, to request that its retainage be released. The Contractor, upon receipt of such a request, if the Subcontractor's Work is actually complete, must complete a [Request for Release of Retainage for Subcontracted Work, form 734-2510](#) (See Exhibit 37(A)), and submit it to the PM.

Upon receipt of the Request for Release of Retainage, the PM will review the Work of the Subcontractor, involving the LAL or ODOT PM, if appropriate. The PM should return the request to the Contractor, with adequate explanation, if:

- The request includes Pay Items for which the Work has not yet been completed;
- The Work of the Subcontractor is not completed;
- The request includes Pay Items that were not included in the original subcontract;
- The request is incomplete;
- All certified payrolls for the affected Subcontractor have not been received or corrections requested by the PM have not been made;
- The Contractor has not yet submitted needed documentation for the requested Pay Items; or
- The Quality and Quantity documentation has already been accepted for the Project.

If the information on the request is complete and acceptable and the Subcontractor's Work is complete, the PM must send a copy of the request form to the RAS.

Within 30 Calendar Day after receipt of an acceptable request, the PM office will review all certified payrolls and Employee Interview Report forms relating to the affected Subcontractor. Once any deficiencies identified during either the PM review or the OCR Field Representative Quarterly Reviews have been corrected, the PM will check the box on the Request for Release of Retainage form indicating that the payrolls are correct. The PM will retain the payrolls in the Project office with the remaining Project labor compliance documentation. At the completion of the Project all certified payrolls and related labor compliance documents for the project will be submitted to OCR as a complete package.

Within the same 30 Calendar Days time period, the PM will compile, check, and provide the following to the RAS for review:

1. [Request for Release of Retainage of Subcontracted Work Checklist, form 734-2707](#), listing all documentation being submitted.
2. A copy of the portion of the subcontract that lists each Pay Item and Change Order item, including whether the Subcontractor's Work is the complete item or an accurate description of the portion of the Pay Item Work completed by the Subcontractor.
3. The original Request for Release of Retainage, form 734-2510, showing the final verified quantities for the affected Pay Items. Clearly mark any changes to funding codes (Participation Indicators/sub-jobs). Include a summary of quantities if appropriate.
4. Quantity documentation for the affected Pay Items. Include all quantity documentation, including all supporting and source documents used to determine the final quantities. [*Refer to Chapter 12D – Quantities*]
5. Quality documentation for the affected Pay Items, including:
  - Copy of the [Final Materials Certification, form 734-1979](#).
  - Copy of the [Foreign Steel Summary, form 734-1968](#), for all Projects involving federal funds.
  - [Test Result Summary, form 734-1902A](#), [734-1902B](#), and [734-1902BQA](#) as appropriate.
  - Other supporting quality data, including any price adjustments for non-specification Material.

[*Refer to Section and Chapter 12B – Quality*]

6. Documentation Review Report, form 734-1903, showing the following for the submitted documentation:
  - For quality documentation:
    - Agreement or resolution of documentation or documents that do not comply with Contract requirements.
    - Documents or documentation for which the PM and RAS are unable to agree on the acceptability of the documents, documentation, or Materials.
  - For quantity calculations:
    - Agreement to resolution of calculations that are done in a manner different from that specified by the Contract, or from that normally accepted by the Agency.

- Calculations for which the PM and RAS are unable to agree on the acceptability of the calculation or method.
  - Recommendation by the PM that the Agency accept the submitted documentation. The RAS must either agree with that recommendation or must list differences and recommend resolution.
  - Documentation Review Report Supporting Documentation: PM Exception Explanation (form 734-2704). Only required if acceptance of a material installed on the project uses an Exception instead of normal acceptance methods.
7. Price Adjustments for non-specification Material or premium (bonus) Materials. [*Refer to Chapter 12C - Quality Price Adjustments*].
- Price adjustment calculations for the affected items, including copies of appropriate correspondence, test reports, and summaries to support the adjustment.
  - Statspec calculations.
  - Calculations to support payment of bonus for premium Materials, other than those included in the Statspec calculations.
8. Warranties. If warranties are required, include a copy. Send the original warranty to the Office of Maintenance, with copies as directed at the bottom of the Semi-Final Submittal form 734-2706, at the completion of the Project, as discussed in Section 37-5(f).

The RAS will review the above documentation and, if it is acceptable, will sign and date the request form. The RAS will then submit the original Request for Release of Retainage, form 734-2510 to CAU no later than 50 Calendar Days after the PM received the acceptable Request for Release of Retainage and return all documentation to the PM to be stored as a separate “packet”, which will be submitted with the final Project documentation at the completion of the Project.

Upon receipt of the Request for Release of Retainage, CAU will:

- Make any changes to the final quantities, in the CPS, for the Pay Items completed by the Subcontractor. This will be done no later than 60 Calendar Days after the PM received the acceptable Request of Release of Retainage from the Contractor.
- Return retainage for the accepted subcontracted Work on the next scheduled progress estimate payment. If Second Notification has been issued on the Project, and there are no more scheduled progress payments to be made, a separate payment will be made as soon as the Request for Release of Retainage is processed.

- Calculate retainage on other Contract Work based on the original Contract Amount, less the value of the subcontract Work that has been accepted.

If, at any point during the process of reviewing and accepting the required documentation, the Agency discovers that the Contractor or Subcontractor has not submitted acceptable documentation, the PM will:

- Be notified about the missing or unacceptable documentation by the appropriate reviewer. No more time will elapse on the Calendar Day timeline specified above until acceptable documentation is provided to the appropriate reviewer.
- Notify the Contractor about the missing or unacceptable documentation and also notify the RAS.

When the Contractor provides the needed documentation, review the submitted documentation and provide it to the next review level as appropriate. Be sure to note on the Request for Release of Retainage, form 734-2510 when the needed documentation was received and accepted.



# OREGON DEPARTMENT OF TRANSPORTATION CONSTRUCTION MANUAL



## INTEROFFICE MEMO

DATE:

TO: Region Assurance

FROM: Contract Administration Coordinator

SUBJECT: **Semi-Final Documentation**  
Project:  
Contract No.:

Data has been submitted according to the following codes:

<input type="checkbox"/> S Submitted this date	<input checked="" type="checkbox"/> X Previously submitted	<input type="checkbox"/> T To be submitted
<input type="checkbox"/> -- None this project	<input type="checkbox"/> D Distributed	

Items denoted with an asterisk (\*) are required for every project. Items denoted with a plus sign (+) should be placed after Test Summary if padded separately.

**Folder or Pad or Pad Number 1**

- \*  Documentation Review Report (734-1903)
- \*  Exception Explanation (734-2704)
- \*  Final Material Certification (734-1979) Attach CMO's for foreign steel items to the Foreign Steel Summary
- \*  Foreign Steel Summary (734-1968)
- \*  Quantity Ledger Report
- \*  Preliminary Progress Payment Report
- \*  Status of Force Order Work Submit 1 copy to Contract Services
- \*  ROW Monument Status Submit 1 copy to Contract Services
- \*  Narrative Report See Distribution below
- \*  Form Letter of Acceptance from ODOT or Local Agency

**Price Adjustment Folder**

- Price Adjustments Include validation for adjustment
- Statistical Testing Input Data
- Statistical Computation Sheet

**Test Summary Folder**

- \*  Test Summary

**Project Quality Control Folder**

- Contractor's QC Plan
- Quality Control Technician's Certifications
- Random Numbers

**Quality Documentation**

- \*  Field Tested Documentation
- \*  Non-Field Tested Documentation
- +  Warranties (signs, striping, signal) See distribution below, submit copy with Semi-Final documentation
- +  Blue and Green Sheets Original with Semi-Final Documentation, copy to Scott Cramer (TSSU)

**Quantity Documentation**

- Earthwork Computation Summary Including confidence points
- \*  Installation Notes
- +  Pile Record Books (734-3485) Original to Jan Six, Bridge; submit copy with Semi-Final documentation
- +  Drilled Shaft Reports Original to Jan Six, Bridge; submit copy with Semi-Final documentation
- Tally Sheets and Material Tickets

**Miscellaneous Documentation (in separate pads)**

- \*  Daily Progress Reports (734-3474)
- \*  Project Diary
- TP&DT Daily Reports
- Erosion Control Reports (734-2361) Required whenever there is Erosion Control on the project.
- TV Pipe Inspection Reports
- Material Daily Progress Reports (734-2599)

**Scale Diary Folder**

- Scale Certification
- Daily Tare Weights and Check Weights

**Labor Compliance: (submitted to Civil Rights Compliance Officer)**

- Employee Interview Reports (734-3475)
- Labor Compliance Certification (734-1734)
- Payrolls (Contractor/Subcontractor)

**Distribution of "As-Constructed Plans"**

(Maps & Plans will post to FileNet)  
Original Region Tech Center

**Distribution of Narrative Report**

(distribute e-copies as required)  
Original Construction Section, Contract Administration

**Distribution of Striping Warranties**

Original Office of Maintenance  
1 Copy District Manager  
1 Copy Striping Manager  
1 Copy Semi-Final Documentation

**Distribution of Sign Warranties**

Original Office of Maintenance  
1 Copy District Manager  
1 Copy Sign Manager  
1 Copy Semi-Final Documentation

**Distribution of Coating Warranty**

Original Office of Maintenance  
1 Copy Structure Coatings Engineer  
1 Copy District Manager  
1 Copy Semi-Final Documentation

**Distribution of All other Warranties (Expansion Joints, Elastomeric Concrete, Warranted Waterproofing Membrane)**

Original Office of Maintenance  
1 Copy District Manager  
1 Copy Semi-Final Documentation

\*\*\* To expedite processing, provide all required documentation on pending CCO's whenever the Work has already been performed.  
734-2706 (4-2009)

} Pronged pads or folders. No 3-ring binders. Tab by Bid Item





