

DOCUMENT REVIEW REPORT (DRR) SUPPORTING DOCUMENTATION: RESIDENT ENGINEER EXCEPTION EXPLANATION

Presented by

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Contract Compliance Specialist

QCCS Workshop

February 14, 15, & 16, 2023

What is a DRR RE Exception Explanation and why are they necessary?

How do we determine if a CCO or Exception is even necessary?

Construction Materials and Work fall into one of the following categories:

1. When Specified by the Contract, specified Materials and Work that are in close conformance with, or Exceed the Contract requirements, will be paid at the full price plus a premium price adjustment (bonus)
2. Materials and Work that are in close conformance with the Contract requirements are paid at the full price.
3. Materials or Work that are not in close conformance with the requirements, but are considered suitable for the intended purpose, may be approved for use with an appropriate adjustment (reduction) in price. The RE must consult with the Professional of Record (POR) for the Work when determining whether the Materials or Work is suitable for the intended purpose.
4. Materials or Work that are not in close conformance with the Contract requirements, and are not considered suitable for the intended purpose, shall be rejected and not incorporated into the finished Work unless the defects are corrected in a manner acceptable to the RE.

Reference: Construction Manual – Chapter 12C

A CCO or Exception is NOT required when...

- There are no changes to the Contract
- The Standard price adjustments listed in Section 12C-2 are being applied (These are processed as a 6000 series payment CPS)

Examples:

Concal, StatSpec, Adjustments on some failing materials (i.e. Tack, Asphalt Binder, etc.)

Lump Sum adjustments with estimated quantities found in the Special Provisions

A CCO is required when any of the following apply:

- There are changes to the requirements, specifications, or design.
- There are changes in testing requirements.
- Money is due to ODOT (not covered by a standard price adjustment listed in Section 12C-2 of the Construction Manual).
- Money is due to the Contractor (not covered by a standard price adjustment listed in Section 12C-2 of the Construction Manual).
- When there is a zero net cost and a change is made to the contract.
- Accepting a reduced quality product, also known as “Non Standard Adjustment”
- Allowing Non-Specification material to remain in place.

Examples:

- Concrete strength less than 85% - (Requires an adjustment and concurrence from the EOR allowing the material to remain in place – may have to make an adjustment for shortened life of the material over and above the adjustment for strength)
- When accepting 3000 PSI concrete in place of 4000 PSI
- Use of non-Oregon Certified Permanent seeding.

An Exception Explanation is used when...

Acceptance of the materials is done by an alternate means

❖ Examples for Quality Deficiencies

- Missing QC Tests – Requires a Standard adjustment for missed test (6000 series CPS)
- Missing Quality Compliance Certification
- Missing Lab Inspection Report
- Missing ODOT QA Verification Test (Requires concurrence from QAE)

❖ Examples for Quantity Deficiencies

- Missing Check Weights
- Missing Tare Weights
- Missing Scale Certification
- Missing Weigh Back for Tack

RE Exception Explanation Document Form 734-2704

❖ Heading Section

- Ensure the correct project information is entered
- Identify the appropriate Resident Engineer
- Exception Number
 - ✓ Sequential number based on total number of exceptions for a given project.
- Adjustment Information
 - ✓ Applicable only if the Adjustment Required Check Boxes are marked “yes”.
 - ✓ Identify the specific CPS 6000 Series Adjustment number. For Example:
 - Exception is for Bid Item 4002A
 - CPS Adjustment number = 6402A
 - ✓ Adjustment Amount
 - Enter the total adjustment amount that was calculated and entered into CPS

DOCUMENT REVIEW REPORT SUPPORTING DOCUMENTATION: RESIDENT ENGINEER EXCEPTION EXPLANATION			
PROJECT NAME US101: Munsel Lake Rd to OR126, Curb Ramps (Florence)			
CONTRACT NO. C15242		FEDERAL AID NO. S009(519)	
RESIDENT ENGINEER Shane Prohaska, PE			
EXCEPTION NO. 02	ADJUSTMENT NO N/A	ADJUSTMENT REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	ADJUSTMENT AMOUNT N/A
Bid Item No.	Spec No.	BI Description	Missing Documentation
4002A	540	Retaining Wall, Cast in Place	QA Verification for PCC Aggregate
<small>NOTE: If bid item is for HMA/C, please indicate if exception is for aggregate production, mix production or placement. Be specific when identifying exactly what the exception applies to. If the exception applies to a missing verification test, please indicate how many tests were required, and how many tests were performed, results of any verification tests obtained, and why testing was needed.</small>			
Explain why missing documentation could not be obtained: There were scheduling conflicts between ODOT QA, Contractor QC, and Contractor construction schedule, along with the contract completion date nearing. It was a benefit to the public for the work to be completed before the contract completion date. ODOT RE Office planned on using QA/IA already performed on these same aggregates for another recent project, but was informed that separate QA/IA must be performed for every ODOT contract, regardless of timeline. (Total concrete quantity was approx. 7 CU/YD)			
QUALITY DEFICIENCIES <input type="checkbox"/> N/A What was the alternate method used to accept the material? The aggregates used for production of structural concrete for this retaining wall are of the same lot used on another ODOT project that already had proper QA verification. See the following documentation attached to this form: Mix Design, Aggregate Analysis, Verification and Independent Assurance for 3/4" Aggregate (C15177), Verification and Independent Assurance for Sand (C15177), QC for 3/4" Aggregate, QC for Sand, Statistical Analysis for 3/4" Aggregate, and Statistical Analysis for Sand.			
QUANTITY DEFICIENCIES <input checked="" type="checkbox"/> N/A How was the quantity of the material verified?			
CONSULTATIONS (attach email correspondence) <input checked="" type="checkbox"/> Specification Technical Owner Name: David Dobson, PE Date: 12/1/2022 <input checked="" type="checkbox"/> Professional of Record Name: Robert Coomes, PE Date: 12/5/2022			
Quantity of Material Incorporated		Quantity of Material Affected	Unit Price (Affected Qty x Unit Price)
1 LS (Ret Wall)		1 LS (Ret Wall)	\$47,750.00
			Affected Cost (\$47,750.00)
PROJECT RESIDENT ENGINEER (Type Name and wet sign if not processed through Doc Express)	DATE	RES SIGNATURE REVIEWED (Type Name and wet sign if not processed through Doc Express)	DATE
CONTRACT ADMINISTRATION ACTION Accepted: <input type="checkbox"/> Participating <input type="checkbox"/> Not Participating		Not Accepted (Return to RE) <input type="checkbox"/> Prepare Contract Change Order <input type="checkbox"/> Other (explain)	
Contract Administration Engineer Signature		Date	

RE Exception Explanation Document Form 734-2704

❖ Bid Item Information

- Identify the “Affected Bid Items”
- Identify the applicable specification number from the Schedule of Items or applicable CCO.
- Identify the applicable Item Description from the Schedule of Items or applicable CCO.
- Explain what specific documentation is missing.

Bid Item No.		Spec No.	BI Description	Missing Documentation
4002A		540	Retaining Wall, Cast in Place	QA Verification for PCC Aggregate

NOTE: If bid item is for HMA/C, please indicate if exception is for aggregate production, mix production or placement. Be specific when identifying exactly what the exception applies to. If the exception applies to a missing verification test, please indicate how many tests were required, and how many tests were performed, results of any verification tests obtained, and why testing was needed.

Explain why missing documentation could not be obtained:
There were scheduling conflicts between ODOT QA, Contractor QC, and Contractor construction schedule, along with the contract completion date nearing. It was a benefit to the public for the work to be completed before the contract completion date. ODOT RE Office planned on using QA/IA already performed on these same aggregates for another recent project, but was informed that separate QA/IA must be performed for every ODOT contract, regardless of timeline. (Total concrete quantity was approx. 7 CU/YD)

QUALITY DEFICIENCIES N/A
What was the alternate method used to accept the material?
The aggregates used for production of structural concrete for this retaining wall are of the same lot used on another ODOT project that already had proper QA verification.
See the following documentation attached to this form: Mix Design, Aggregate Analysis, Verification and Independent Assurance for 3/4" Aggregate (C15177), Verification and Independent Assurance for Sand (C15177), QC for 3/4" Aggregate, QC for Sand, Statistical Analysis for 3/4" Aggregate, and Statistical Analysis for Sand.

QUANTITY DEFICIENCIES N/A
How was the quantity of the material verified?

CONSULTATIONS (attach email correspondence)
 Specification Technical Owner Name: David Dobson, PE Date: 12/1/2022
 Professional of Record Name: Robert Coomes, PE Date: 12/5/2022

Quantity of Material Incorporated	Quantity of Material Affected	Unit Price	Affected Cost (Affected Qty x Unit Price)
1 LS (Ret Wall)	1 LS (Ret Wall)	\$47,750.00	\$47,750.00

PROJECT RESIDENT ENGINEER (Type Name and wet sign if not processed through Doc Express) DATE
RES SIGNATURE REVIEWED (Type Name and wet sign if not processed through Doc Express) DATE


CONTRACT ADMINISTRATION ACTION
Accepted: Participating Not Participating
Not Accepted (Return to RE): Prepare Contract Change Order Other (explain)

Contract Administration Engineer Signature _____ Date _____

RE Exception Explanation Document Form 734-2704

❖ The RE Explanation


- Describe why the documentation could not be obtained
- Be as detailed as possible
- Try to paint a picture as to the circumstances that surround the deficiency.
- Include any efforts made in attempting to obtain the documentation

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RESIDENT ENGINEER Shane Prohaska, PE											
EXCEPTION NO. 02	ADJUSTMENT NO <input type="checkbox"/> N/A <input checked="" type="checkbox"/>	ADJUSTMENT REQUIRED <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	ADJUSTMENT AMOUNT N/A								
Bid Item No.	Spec No.	BI Description	Missing Documentation								
4002A	540	Retaining Wall, Cast in Place	QA Verification for PCC Aggregate								
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<table border="1"> <thead> <tr> <th>Quantity of Material Incorporated</th> <th>Quantity of Material Affected</th> <th>Unit Price</th> <th>Affected Cost (Affected Qty x Unit Price)</th> </tr> </thead> <tbody> <tr> <td>1 LS (Ret Wall)</td> <td>1 LS (Ret Wall)</td> <td>\$47,750.00</td> <td>\$47,750.00</td> </tr> </tbody> </table>		Quantity of Material Incorporated	Quantity of Material Affected	Unit Price	Affected Cost (Affected Qty x Unit Price)	1 LS (Ret Wall)	1 LS (Ret Wall)	\$47,750.00	\$47,750.00	<small>*% calculate, reprints and used loose paper</small>	
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Contract Administration Engineer Signature		Date									

RE Exception Explanation Document Form 734-2704

❖ Specific Deficiency

- Typically will be Quality or Quantity, not both.
- Use the N/A box for the non-applicable scenario.
- For Quality, this section describes the alternate means of Acceptance.
- For Quantity, this section describes how the quantity of material was verified.
- Be specific and detailed. Show how the RE is accepting the material or verifying the measured quantities in lieu of the missing documentation.
- Attach as much supporting data to justify the decision as possible.

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Contract Administration Engineer Signature		Date	

Consultations – Specification Technical Owner

- Need to include email concurrence
 - Required for all Exceptions
- Technical Resource List
 - Organized numerically by Section number.
- ODOT Specification Web Page
 - Found under the “Discipline Specific Contact” section.
 - https://www.oregon.gov/odot/Business/Pages/Standard_Specifications.aspx


TECHNICAL RESOURCE LIST								
UPDATED 01-30-23		TECHNICAL RESOURCES					STAKEHOLDER <small>(Include in correspondence with Technical Resource)</small>	
Section	Section Title	Primary Responsible Unit	Resource Position	Resource Name	Phone Number	Measurement and Payment Resource	Stakeholder Position	Stakeholder Name
00520	Driven Piles	Geotechnical Engineering	Senior Bridge Geotechnical Engineer	Susan Ortiz	(503) 986-3377	Measurement Payment		
00530	Steel Reinforcement for Concrete	Bridge Engineering	Prestressed Concrete Standards Engineer	Tanarat Potisuk	(503) 986-3342	Measurement Payment	Structure Services Engineer	David Dobson
00532	Rebar Continuity	Bridge Engineering	Senior Bridge Preservation Engineer	Fred Gomez	(503) 856-6449	Measurement Payment	BDM Standards Engineer	Rebecca Burrow
00535	Post-Installed Anchor System	Bridge Engineering	Prestressed Concrete Standards Engineer	Tanarat Potisuk	(503) 986-3342	Measurement Payment	Structure Services Engineer	David Dobson
00536	Internal Shear Anchors	Bridge Engineering	Prestressed Concrete Standards Engineer	Tanarat Potisuk	(503) 986-3342	Measurement Payment		
00538	Crack Injecting Existing Bridges	Bridge Engineering	Prestressed Concrete Standards Engineer	Tanarat Potisuk	(503) 986-3342	Measurement Payment		
00539	Concrete and Crack Sealing	Structure Services	Structural Materials Engineer	David Dobson	(503) 986-6628	Measurement Payment		
00540	Structural Concrete	Bridge Engineering	BDM Standards Engineer	Rebecca Burrow	(503) 951-9333	Measurement Payment	Structure Services Engineer Quality Assurance Engineer	David Dobson Larry Iig
00541	Ultra High Performance Concrete	Bridge Engineering	Prestressed Concrete Standards Engineer	Tanarat Potisuk	(503) 986-3342	Measurement Payment		
00542	Concrete Repair	Bridge Engineering	Structural Design Engineer	Mats Halvardson	(503) 986-3325	Measurement Payment		
00543	Architectural Treatment	Bridge Engineering	BDM Standards Engineer	Rebecca Burrow	(503) 951-9333	Measurement Payment		
00545	Reinforced Concrete Bridge End Panels	Bridge Engineering	BDM Standards Engineer	Rebecca Burrow	(503) 951-9333	Measurement Payment		
00550	Precast Prestressed Concrete Members	Bridge Engineering	Prestressed Concrete Standards Engineer	Tanarat Potisuk	(503) 986-3342	Measurement Payment	Structure Services Engineer	David Dobson
00555	Post-Tensioning	Structure Services	Structural Materials Engineer	David Dobson	(503) 986-6628	Measurement Payment	Prestressed Concrete Standards Engineer	Tanarat Potisuk
00556	Multi-Layer Polymer Concrete Overlays	Structure Services	Structural Materials Engineer	David Dobson	(503) 986-6628	Measurement Payment	Quality Assurance Engineer	Larry Iig
00557	Pre Mixed Polymer Concrete Overlays	Structure Services	Structural Materials Engineer	David Dobson	(503) 986-6628	Measurement Payment	BDM Standards Engineer	Rebecca Burrow
00559	Structural Concrete Overlays	Structure Services	Structure Quality Engineer	David Dobson	(503) 986-6628	Measurement Payment	Quality Assurance Engineer BDM Standards Engineer	Larry Iig Rebecca Burrow

Consultations – Professional of Record

- Need to include email concurrence
 - Required for all Exceptions except the following:
 - Exceptions for Measurement only need concurrence from the CAU Technical Resource
 - Section 00190 of the General Specifications
 - 0.80 Subsections of the Technical Specifications (00205 - 03020).
 - Exceptions for Payment only need concurrence from the CAU Technical Resource
 - 0.90 Subsections of the Technical Specifications (00205 - 03020)

OREGON DEPARTMENT OF TRANSPORTATION
SPECIAL PROVISIONS
FOR
Grading, Drainage, Structures, Paving, Signing,
Illumination, Signals & Roadside Development
OR99E: Clackamas River Bridge –
Dunes (Oregon City)
Pacific Highway East
Clackamas County

PROFESSIONAL OF RECORD CERTIFICATION(s):

Seal with signature (Danny Y. Hon)	I certify the Special Provision Section(s) listed below are applicable to the design for the subject project for Roadway Items. Modified Special Provisions were prepared by me or under my supervision.
	Section 00305, 00310, 00320, 00330, 00331, 00350, 00440, 00620, 00641, 00730, 00745, 00749, 00759, 02320 and 02630.
EXPIRES 6-30-15	
Date Signed: 9/4/13	

129/321

RE Exception Explanation Document Form 734-2704

❖ Affected Cost

- Not to be confused with the “Adjustment Amount” previously covered in the Heading Section
- The Intent is to show the “Potential” Affected Cost if it is determined that the work or materials represented by the Exception will be designated as “Not Participating” for Federal Funding.
- Quantity of Material Incorporated
 - Generally the entire bid item(s) the Exception pertains to.
- Quantity of Material Affected
 - Represents only the portion of work or materials the missing documentation pertains to.

Bid Item No.		Spec No.	BI Description	Missing Documentation
4002A		540	Retaining Wall, Cast in Place	QA Verification for PCC Aggregate

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QUALITY DEFICIENCIES N/A
How was the quantity of the material verified?

CONSULTATIONS (attach email correspondence)
 Specification Technical Owner Name: David Dobson, PE Date: 12/1/2022
 Professional of Record Name: Robert Coomes, PE Date: 12/5/2022

Quantity of Material Incorporated	Quantity of Material Affected	Unit Price	Affected Cost (Affected Qty x Unit Price)
1 LS (Ret Wall)	1 LS (Ret Wall)	\$47,750.00	\$47,750.00

PROJECT RESIDENT ENGINEER (Type Name and wet sign if not processed through Doc Express) DATE
RESIDENT ENGINEER REVIEWED (Type Name and wet sign if not processed through Doc Express) DATE

CONTRACT ADMINISTRATION ACTION
Accepted: Participating Not Participating
Not Accepted (Return to RE): Prepare Contract Change Order Other (explain)

Contract Administration Engineer Signature _____ Date _____

RE Exception Explanation Document Form 734-2704

❖ Affected Cost – Cont.

➤ Quantity of Material Affected

- For Bid Items measured on the Unit, Length, Area, Weight, Volume, or Time Basis the affected material should be limited to only what the missing documentation represents.
- For Lump Sum Basis items, it may be the entire Bid Item.

➤ Unit Price

- Based on the Schedule of Items in the Special Provisions or the Pay Item in the CCO for the applicable Bid Item the Exception represents.

➤ Affected Cost

- The “Quantity of Material Affected” multiplied by the “Unit Price”

Assurance for 3/4" Aggregate (C15177), Verification and Independent Assurance for Sand (C15177), QC for 3/4" Aggregate, QC for Sand, Statistical Analysis for 3/4" Aggregate, and Statistical Analysis for Sand.


QUANTITY DEFICIENCIES N/A
How was the quantity of the material verified?

CONSULTATIONS (attach email correspondence)
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To calculate, right-click and select Update Field

PROJECT RESIDENT ENGINEER (Type Name and wet sign if not processed through Doc Express)	DATE	RAS SIGNATURE/REVIEWED (Type Name and wet sign if not processed through Doc Express)	DATE

 **CONTRACT CHANGE ORDER** (Page 2)

PROJECT NAME (SECTION)				CONTRACT NO.	CCO NO.	
US101: Munsel Lake Rd to OR126, Curb Ramps (Florence)				C15242	2	
PAY ITEM	SUB JOB	DESCRIPTION	UNIT	UNIT PRICE	EST. QTY.	AMOUNT
4002A	011	Retaining Wall, Cast in Place	LS	\$47,750.00	1.00	\$47,750.00
4002B	011	Delete R0250 Ret Wall, Mod Grav	LS	-\$8,400.00	1.00	-\$8,400.00

RE Exception Explanation Document Form 734-2704

❖ Required Signatures

➤ Project Resident Engineer

- Typically captured with “Approved by Project RE” transition step in Doc Express
- If Wet signed the “Approved by Project RE” transition should be skipped to avoid conflicting signature dates.

➤ RAS (Region Assurance Specialist)

- Doc Express requires “Accepted by RAS” transition to capture RAS Signature.

➤ Contract Administration Engineer

- Doc Express requires “Approved by

To calculate, right-click and select Update Field

PROJECT RESIDENT ENGINEER <small>(Type Name and wet sign if not processed through Doc Express)</small>	DATE	RAS SIGNATURE/REVIEWED <small>(Type Name and wet sign if not processed through Doc Express)</small>	DATE
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CONTRACT ADMINISTRATION ACTION	
Accepted <input type="checkbox"/> Participating <input type="checkbox"/> Not Participating	Not Accepted (Return to RE) <input type="checkbox"/> Prepare Contract Change Order <input type="checkbox"/> Other (explain)

Contract Administration Engineer Signature _____ Date _____

Z00A - Agency Submittal

Document Title B##### Exception##	Document Title Example BI0580 Exception01	Type Exception
Submitted by RE Office	Submitted to Drawer: Z00A - Agency Submittal	Form Number 734-2704 Last Updated 19-Mar-21

Order	Document Transition Step	Transition By	Transition To	Publish To
1	Submitted*	RE Office	In Review (Markup)	
2	In Review (Markup)	RE Office	Reviewed by RE Office (New Document Option)	
3	Reviewed by RE Office (New Document Option)	Project RE	Approved by Project RE*	
4	Approved by Project RE*	RAS	Accepted by RAS*	
5	Accepted by RAS*	Contract Admin (Reviewed/Accepted by CAU (Markup and New Document Opti	
6	Reviewed/Accepted by CAU (Markup and New Document	CAE/SCME	Approved by CAE/SCME*	
7	Approved by CAE/SCME*	Contract Admin (Ready to Publish	
8	Ready to Publish	Contract Admin (Publish*	
9	Publish*	Contract Admin (Z00B - Agency Internal

General Comments: CAU to publish for data entry purposes. Supporting Documents: Technical Resource correspondence
Professional of Record correspondence