

SECTION 3A– DOCUMENTATION REVIEW REPORT ESCALATION PROCESS

The RAS typically reviews project documentation in the Resident Engineer’s office on a 3-month cycle (90 days). The review timeline is in accordance with 00195.50(d) – Release of Retainage.

During the “Initial” RAS review of the documents, any Quality and/or Quantity issues, or missing documents listed on the DRR will be assigned a priority of either Low, Medium, or High according to the priority ratings described below (See Initial Priority Table below). The RAS will need to estimate the value or percentage the documentation deficiencies represented for each bid item. The deficiencies will then be assigned a priority of either Low, Medium or High based on the estimated value or percentage of the work affected for that item.

The RAS will review the items listed on the DRR with the Resident Engineer’s staff and answer any questions about the items that have been placed on the DRR. Once the review is complete the DRR will be distributed based on the Low, Medium and High distribution lists.

Initial Priority Table			
Items listed on the DRR (Based on 90 day reviews)	Low (Unresolved, Escalate to Medium)	Medium (Unresolved, Escalate to High)	High (Must resolve in 30 days or provide plan for resolution)
Missing Quality Documents & Paynotes after Payment is made to the Contractor	0% - 5%	5% - 20%	> 20%
Missing Quality Documents & Paynotes needed to release retainage for Completed Pay Items	Go to High➔	Go to High➔	Any
Missing ADA Documents	Go to Medium➔	Go to High➔ <small>(if not resolved in 90 days)</small>	Any <small>(unresolved after 90 days)</small>
Missing QA Field Tested Documentation for each Work Type	0% - 5%	5% - 20%	> 20%
Missing Inspector or QCCs Certification	0% - 5%	5% - 20%	> 20%
Erosion Control Reports <small>(In accordance with Sec. 00280.62)</small>	Any - Go To High➔	Any - Go To High	Any

ODOT REGION ASSURANCE SPECIALIST GUIDELINES

Documentation Errors resulting in Incorrect Payment, paying for Change Order work under Bid items, or overpayment to the Contractor.	\$0 - \$30,000	Go To High →	>\$30,000or (Unresolved Low Priority)
No Assessment of LDs (no approved CCO granting time)	Any - Go To High →	Any - Go To High →	Any
Buy America Requirement on Federal Aid Projects	Missing CMO	Missing Multiple CMOs	Exceeds 0.1% or > \$2,500
Missing Adjustments (FE, AE, SE, StatSpec, Quality) {absolute value of +/- adjustments}	< \$25,000	\$25,000 - \$50,000	> \$50,000

***Note:** The Resident Engineer (RE) includes the ODOT Resident Engineer or Local Agency Liaison (LAL) assigned to the project when a project is being administered by a Consultant or Local Agency. The RAS will also provide them with a copy of the DRR and the ODOT RE or LAL will be responsible for working with the Consultant or Local Agency RE to address or resolve the issue.

Priority for Issues

Low – When an issue is entered on the DRR it will be identified as “Low Priority” (See the “Initial Priority Table” for exceptions). The RAS will distribute a copy of the DRR to the Resident Engineer (RE)*, other appropriate RE Staff, the Documentation Compliance Specialist (DCS), the Contract Services Coordinator (CSC) and the ODOT Contract Services mailbox. The expectation is that the issue will be addressed and resolved prior to the next scheduled DRR review by the RAS, or a plan has been developed to address the deficiency if it cannot be immediately corrected. If the issue is not addressed by the next review, the issue will automatically escalate to a Medium priority.

Medium – When an issue on the DRR is identified as “Medium Priority” the RAS will provide a copy of the DRR to the Low Priority distribution plus the Area Manager (AM). The expectation is that the issue will be addressed and resolved prior to the next scheduled DRR review by the RAS, or a plan will have been developed to address the deficiency if it cannot be immediately corrected. The DCS will work with the RE and the AM as required to resolve the issue or develop a plan to resolve the issue. Any Medium priority issue not addressed by the next review will automatically escalate to a High priority.

High – When an issue is identified as “High Priority” the RAS will provide a copy of the DRR to the Medium Priority distribution plus the Contract Administration Engineer (CAE). The expectation is that the issue will be addressed and resolved prior to the next scheduled DRR review by the RAS (30 days), or a plan will have been developed to address the deficiency if it cannot be immediately corrected. The RE, AM and CAE will work together, and with other technical experts (e.g., Professional of Record (POR), Quality Assurance Engineer (QAE), Quality Control Compliance Specialist (QCCS), Inspector) if needed, to expedite the resolution of the issue. The group will develop a plan to address the deficiency if it cannot be immediately corrected.

Determining Initial Priority

Example 1: Estimating the Percentage (%) Value for Missing Quality Documentation

❖ **Missing Geotextile Quality Documentation (Water Quality Swale)**

Bid Item	Description	Unit	Unit Price	Paynote
01830	Water Quality Swale D01138	Lump Sum	\$27,000.00	183-01

❖ **Quantity Ledger Report - Paid 100% on Progress Estimate 3**

Contract Payment System
Quantity Ledger Report

C15090 -- I-84: LADD CANYON FREIGHT & CULVERT

Item	Description	BidItem	Open
0183	WATER QUALITY SWALE, D01138		

Group	Unit	Unit Price	Quantity	Amount
11	LUMP SUM	\$27,000.00	100.0000	\$27,000.00

Est	note/suff	Description	Entered	Completed	Pay Quantity	Pay Amount
3	1/1	WATER QUALITY SWALE D01138	03/24/2019	03/20/2019	100.0000	\$27,000.00
Totals for group 11					100.0000	27,000.00

Totals for Item 0183 - WATER QUALITY SWALE, D01138 100.0000 27,000.00

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❖ **Estimated material quantities for this lump sum item in the Contract Special Provisions:**

Water Quality Swale D01138 Quantities:

Item	Quantity
Excavation	240 Cu. Yd.
Water Quality Mixture	80 Cu. Yd.
Drainage Geotextile,	495 Sq. Yd.
Check Dam, Type 1	3 Each.
Stone Embankment	145 Cu. Yd.

All Quality Documents for these materials were on file with exception of a missing "Q" and "F" for the "Drainage Geotextile"

ODOT REGION ASSURANCE SPECIALIST GUIDELINES

❖ Assume each of the Materials represent 1/5th of the bid item or 20%:

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Missing Quality Documents & Paynotes needed to release retainage for Completed Pay Items	Go to High→	Go to High→	A
Missing ADA Documents	Go to Medium→	Go to High→ <small>(if not resolved in 90 days)</small>	Any <small>(unresolved after 90 days)</small>

The Missing Quality Documentation for the Drainage Geotextile represents 20% of the Bid Item. **The Priority for the missing documents is a "Medium"**.

Example 2: Estimating the Dollar (\$) Value for Missing Documentation

❖ Incorrect Payment for Unapproved CCO (CPS 4000 series) under a price adjustment (CPS 6000 series).

Bid Item	Description	Unit	Unit Price	Paid to Date
6001A	Payment For Unapproved CCO #1A	Dollar	\$1.00	\$50,000.00

❖ Quantity Ledger Report – Paid \$50,000.00 on Progress Estimate #4

**CPS
Quantity Ledger Report**

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Contract Payment System
Quantity Ledger Report

C15124 -- I-205-JOHNSON CREEK-GLENN JACKSON BR

Item Description
6001A PAYMENT FOR UNAPPROVED CCO #1A

Group	Unit	Unit Price	Quantity	Amount
11	DOLLAR	\$1.00	50,000.0000	\$50,000.00

Est note/suff	Description	Entered	Completed	Pay Quantity	Pay Amount
4	1/A PAY CONTRACTOR FOR CCO#1. TRY TO RE	04/01/2019	03/30/2019	50,000.0000	\$50,000.00
Totals for group 11				50,000.0000	50,000.00

Totals for Item 6001A - PAYMENT FOR UNAPPROVED CCO #1A 50,000.0000 50,000.00

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❖ It is inappropriate to pay for work performed under a CCO as a price adjustment. A Contract Change Order can only be entered in the Contract Payment System by the Contract Administration Unit once the CAE has reviewed and signed it.

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Missing Quality Documents & Paynotes needed to release retainage for Completed Pay Items	Go to High →	Go to High →	Any
Missing ADA Documents	Go to Medium →	Go to High → (if not resolved in 90 days)	Any (Unresolved after 90 days)
Missing QA Field Tested Documentation for each Work Type	0% - 5%	5% - 20%	> 20%
Missing Inspector or QCCs Certification	0% - 5%	5% - 20%	> 20%
Erosion Control Reports			
Documentation Errors resulting in Incorrect Payment, paying for Change Order work under Bid items, or overpayment to the Contractor.	\$0 - \$30,000	Go To High →	>\$30,000or (Unresolved Low Priority)

Payment for CCO #1A Incorrectly Paid \$50,000 Under 6001A Adjustment Item.
The Priority for the Incorrect Payment is a "High".