

# REGION ASSURANCE SPECIALISTS (RAS) 101

Contract Administration Workshop 2024

Presented by: Lajuana Kelley & Katie Miller



1

## RAS ROLE

Project reviews by the RAS are intended to be opportunities to coach and mentor construction office staff, and to provide additional incentive to keep documents up-to-date while Contract Work is ongoing.



A RAS review is a tool to ensure compliance for continued Federal funding and successful audits.

We're here to help and always available to be contacted. If you have questions, concerns, or have "hypothetical" situations, reach out to us. It's much easier to provide satisfactory documentation in the beginning than try to figure it out later.



2

# FHWA EXPECTATIONS

- Through the Federal-Aid Highway Program, FHWA provides on average 90% of the funding for State highway construction projects in the State of Oregon.
- 23 CFR 1.9 (Title 23) describes the limitation on Federal participation as follows:
  - "Federal-Aid funds shall not participate in any cost which is not incurred in conformity with applicable Federal and State law, the regulations in this title, and policies and procedures prescribed by the Administrator."
- The Federal-Aid Highway Program is a Federally-funded, State-administered program. It is ODOT's duty to administer all Federal-Aid projects in full compliance with all Federal and State laws and adhere to the ODOT Construction Manual and the Contract Plans and Specifications. Just as the RAS reviews the construction project documentation, an FHWA auditor will do the same periodically.
- The consequences of being non-compliant with our own contractual requirements could potentially lead to a project or part of a project being federally non-participating.

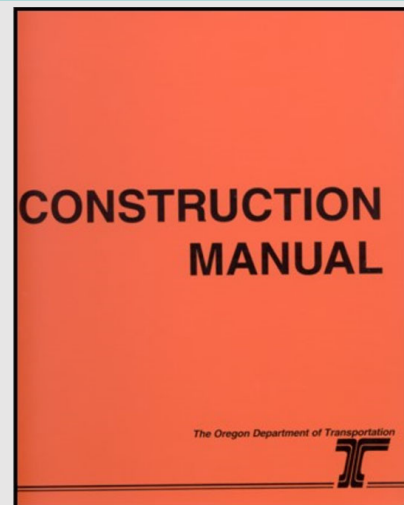


Ref: RAS Manual – Section 1

3

# CONSTRUCTION MANUAL

- The Construction Manual describes many Contract administration practices that the Agency must follow to assure construction Contracts are administered in a consistent and uniform manner statewide.
  - Internal processes RAS' check to ensure our agreement with FHWA and project reviews are being followed.
- Practices described in construction manual are the accepted policies and procedures of the Agency.
  - The Resident Engineer must adhere to these described practices unless concurrence of the Construction Section has been received to follow a different practice.



4

# RAS DUTIES

Within the CAU, the RAS performs the following major functions on each construction project:

- Provide ongoing, quarterly review of the processes and procedures used for construction project documentation using statewide standards and review procedures.
- Provide coaching and assistance to Construction Office in following best practices and guidelines identified by the Contract Administration Engineer (CAE.)
- Provide coaching and mentoring to Construction Office staff in resolving project contract administration issues and assist with consistencies regarding statewide processes and guidelines.
- Provide final project documentation review, recommend corrective actions to Resident Engineers and Project Managers, and recommend acceptance of the project documentation by the CAE.
- Work with all members of the CAU toward statewide consistency in contract administration processes, guidelines and issue resolution.



Ref: RAS Manual Section 1

5

# THE RAS REVIEW

A RAS review consists of fully reviewing:

- **Quantity documentation**, including but not limited to:
  - Pay notes and Source/Supporting Documents for all bid items.
  - Contract Change Orders (4000's)
  - Adjustments (6000's)
  - MOH pay items (7000'S)
  - Extra Work Orders/Orders for Force Work (8000's)
- **Quality documentation**, including but not limited to:
  - Field-Tested Materials
  - Non Field-Tested Materials
  - Material Source/Supporting Documents



6

# QUANTITY DOCUMENTATION



7

## QUANTITY DOCUMENTS

All pay notes must be on form 734-2605. (The only exception is Escalation/De-escalation which can use the monthly report from Contract Payment System (CPS) in place of form 734-2605.) Pay notes must include:

- Project Identification (project name and contract number.)
- Identification of bid item (bid item name and number.)
- Validation the item was installed, performed, re-measured, field-measured, furnished, completed or received.
- Location of installation (station, plan sheet number, sketch, etc.)
- Signature or electronic signature of submitter.
- Confirmation the document has been checked, signed and dated by a second person (second signature.)
- Item is measured and paid for in accordance with the contract specifications.
- Lump Sum breakdown is approved, on file, and being followed.
- Calculations are shown, accurate, and logical.
- Material receipts (tickets) have been totaled and verified by a second person, when applicable.



8

## QUANTITY DOCUMENTS (cont'd)

- If using computer generated documents for quantity calculations, formulas and equations for calculations must be clearly shown.
- Each pay note should only cover a single pay period or installation month.
- Pay quantities are determined by the RE Office (Contractors are not allowed to document or establish pay quantities.)
- The correct units (Each, Lump Sum, Ton, etc.) have been used on the pay note, in the calculations, and in payment amounts.
- If multiple funding codes are applicable on a project, ensure quantities have been applied to the appropriate group number.
- Material On Hand (MOH) pay notes must include:
  - Request letter from Prime
  - Contractor's itemized Invoice
  - Access letter granting ODOT access to the material storage location
  - Quality documents, as required based on material



9

## SOURCE DOCUMENTS

Source documents must be prepared in a clear manner. As such, a person who has never been on the project and knows nothing about the work should be able to follow on paper **what** is being paid for and **why**.

- 'Source documents' are the field notes, calculations, invoices and reports used to determine project pay quantities. Use accurate, easy-to-follow measurements and calculation methods.
- Source documents should:
  - Clearly document which project the work or material was supplied for.
  - Identify the pay item number and name which the document covers.
  - If tickets, they should include station(s), location(s) or a sketch of the installation.
  - Include the signature page indicating acceptance by the construction office prior to being attached to pay notes or as supporting documents.



It is the construction offices responsibility to ensure all proper quality documentation, source documentation, and quantity calculations are received and accurate prior to issuing payment.

10

# QUALITY DOCUMENTATION




11

## QUALITY DOCUMENTATION TYPES

NONFIELD-TESTED  
and  
FIELD-TESTED (Including QA)

There is a Test Summary for each type of documentation



12

# QUALITY SPECIFICATIONS

**00165.20 Materials Specifications and Test Method References** - References to materials specifications and test methods of ODOT, WAQTC, AASHTO, ASTM, other governmental agencies, or other recognized organizations mean those officially adopted and in current use by the agency or organization on the date of Advertisement.

If there are conflicting references, or if no reference is made to materials specifications, sampling and testing frequencies, or test method, the Engineer will resolve any discrepancies between these documents in the following orders of precedence:

- **Field-Tested Materials:**
  1. Contract Change Orders;
  2. Special Provisions;
  3. ODOT *Laboratory Manual of Test Procedures*;
  4. MFTP; and
  5. Standard Specifications.
- **Non Field-Tested Materials:**
  1. Contract Change Orders;
  2. Special Provisions;
  3. ODOT *Laboratory Manual of Test Procedures*; and
  4. Standard Specifications.



13

# NONFIELD-TESTED MATERIALS

- **00165.10(b)** – Non Field-Tested Materials will be accepted according to the ODOT *Non Field-Tested Materials Acceptance Guide* (NTMAG), unless otherwise specified in the Contract. The NTMAG is available on the ODOT Construction Section website (see 00110.05(e)). The most current version of the NTMAG on the date of Advertisement is the version in effect for the Project.
- **00165.35 Non Field-Tested Materials** - The Contractor shall furnish Materials meeting Specifications, along with all Materials Conformance and Quality Compliance Documents.



14

# NTMAG

NTMAG documentation includes:

Record documentation for non field-tested materials on a Test Summary "A".



- E – Equipment Lists and Drawings / Procedures
  - L – ODOT Central Materials Laboratory Report
  - I – ODOT Structure Services Inspection Report
  - W – Warranty (Manufacture or Workmanship)
  - P – Proof of License/Certification or Apprentice Application
  - M – Manufacturer's Field Representative Report
  - F – Field Inspection Report (FIR)
    - More information in form 734-2605 processing instructions.
  - O – Certificate of Materials Origin (CMO for Iron or Steel - refer to 00160.20(a))
  - BG – Blue and Green Sheets (see Sec. 00960, 00970 or 00990)
  - R – Field Report
  - P/R – DEQ Permit or Compost Producer Registration
- C – Construction Materials Certificate of Materials Origin (C-CMO) Form 734-5378b - Build America Buy America (BABA) – Refer to 00165.35(e). Specification Sections that have been identified as containing Construction Materials that may require a C-CMO have been added throughout this guide. Refer to the following for additional resources pertaining to BABA Materials:
- Qualified Products List (QPL) - [https://www.oregon.gov/odot/Construction/Pages/Qualified\\_Products.aspx](https://www.oregon.gov/odot/Construction/Pages/Qualified_Products.aspx)
  - BABA Material Classification Guide - <https://www.oregon.gov/odot/Construction/Pages/Contract-Administration-Services.aspx>
  - BABA Blue Sheet List - <https://www.oregon.gov/odot/Construction/Pages/Contract-Administration-Services.aspx>
- Q - Quality Compliance Certificate – The certificate or equivalent document meeting specification shall be from the manufacturer and shall:
- Verify the Material meets the Specifications, and identify by number any applicable specified test methods used, (ODOT, AASHTO, ASTM, UL, others)
  - Permit positive determination that Material delivered to the Project is the same Material covered by the certificate.
    - Be delivered to the Engineer with the shipment of the Material,
    - Or be an identification plate or mark, decal, sticker, label, or tag attached to the container or Material.
- T – Test Results Certificate – The certificate shall:
- Be from the manufacturer, verifying the Material furnished has been sampled and tested and the test results meet the Specifications.
  - Include, or be accompanied by, a copy of the specified test results (ODOT, AASHTO, ASTM, UL or other)
  - Identify the testing agency and the representative responsible for the test results.
  - Permit positive determination that Material delivered to the Project is the same Material covered by the test results.
  - Be delivered to the Engineer with the shipment of the Material.
- Small Quantity - A method for accepting relatively small quantities of Materials as noted in this guide without normal sampling and testing. Normal acceptance of Materials may be waived by the Engineer when requested in writing by the Contractor. Small quantity acceptance requirements are listed in this guide along with the maximum amount of Material that can be accepted as small quantity.
- QPL – For some Materials, this guide will refer to the Qualified Products List (QPL). For QPL Materials, the QPL number must be entered into the Contractor Payment System regardless of the method of documentation.
- When using an "A" listed product, document with an FIR/Pay Note citing the QPL product number.
  - When using a "Q" listed product, document with an FIR/Pay Note citing the QPL product number, and attach additional documentation required by this guide
  - When using a product approved after the QPL in effect for the Project, document with an FIR/Pay Note and attach a copy of the product approval letter or page from the later edition of the QPL.
- For products submitted by the Contractor that are not listed on the QPL, follow section 00160.05 of the Standard Specifications or Special Provisions.

15

# NTMAG ORGANIZATION

Acceptance Documents  
And who furnishes them.

SECTION	TYPE OF CONSTRUCTION	MATERIALS	SUBSECTION	ACCEPTANCE DOCUMENTS				REMARKS
				FURNISHED BY CONTRACTOR TO		FURNISHED BY AGENCY		
				LAB	ENGR.	MATERIALS LAB	FIELD PERSONNEL	
00582	Bridge Bearings	Fabrication Submittals	00582.30		E			"E" is submittal(s) according to 00582.30 and 00150.35.
		Composite Bearings	00582.20 02570	T, Q, O		I	F, QPL	"T" is from pad manufacturer. "Q" is by independent lab. "I" is inspection report by Structure Services.



16



# QUALIFIED PRODUCTS LIST (QPL)

OREGON DEPARTMENT OF TRANSPORTATION  
CONSTRUCTION SECTION

## QUALIFIED PRODUCTS LIST

PUBLISHING DATE:  
JANUARY 2024



The Qualified Products List is updated every six months or amended as needed.



When using a product approved after the QPL in effect for the Project, document FIR/Pay Note and attach a copy of the product approval letter or page from the later edition of the QPL.

Contact Dean Chess with specific questions regarding QPL and conditional lists @ 503-986-3059

The QPL is a comprehensive list of all finished product which have been evaluated and/or used by the Oregon DOT.

- Approved QPL (QPL-A): Commercially available products having a low consequence of failure. These products are only usable for appropriate applications, may require a Field Inspection Report (FIR), and no additional sampling or testing is needed.
- Qualified QPL (QPL-Q): Products that have been reviewed and found to be suitable for use in a specific category. Job control testing may still be necessary. Consult the NTMAG, Field-Tested Materials Acceptance Guide, and the project specifications. Additional documentation may also be required.

QPL numbers must be listed on the associated pay note(s), entered into the Contract Payment System (CPS), and recorded on Test Summary A.

# TEST RESULTS CERTIFICATE (T)

Manufacturer's Name and, in this case, Testing Agency

Material Name/Type and Material IDs

Testing Methods and Test Results

Property	Method	Test Results	Required
Tensile Strength, psi	D 412	2223	2000 min.
Elongation at Break, %	D 412	307	200 min.
Hardness, Shore D	D 2240	56	60 +/- 5
Compression Set, 70 hrs. @ 212°F	D 573		
Tensile Strength, % change		4	-20 min.
Elongation at Break, % change		3	-20 min.
Hardness, point change		8	0 to +10
OD Swell, ASTM D4149, 70 hrs. @ 212°F	D 471	34	45 max.
% Weight Change, %			
Ozone resistance, 20% min.	D 1149		
300 psi min. air, 70 days @ 104°F			
Low temperature resistance, 7 days @ 14°F	D 2340	7	+15 min.
Compression Set, 70 hrs at 212°F	D 395	25	35% max.

00165.35 (a) Test Results Certificate - The Certificate shall:

- Be from the manufacturer, verifying that the Material furnished has been sampled and tested and the test results meet the Specifications.
- Identify the testing agency and the representative responsible for the test results.
- Permit positive determination that Material delivered to the Project is the same Material covered by the test results.
- Include, or be accompanied by, a copy of the specified test results (ODOT, AASHTO, ASTM, UL or other).
- Be delivered to the Engineer with the shipment of the material.



# QUALITY COMPLIANCE CERTIFICATE (Q)

List Material and Spec

**AZZ**  
Quality Compliance  
MUNCIE

Thickness Gauge and Calibration Equipment Used:  
Defelco - Plastator Model 8000-3 Serial Number: 23042.21  
Defelco - Ferrous Coating Thickness Standard Serial Number: 23042.21  
Calibration Verified By: DMK

We hereby certify that the hot dip galvanizing performed for the company named below will conform to ASTM A-123/A-123M specifications.

THIS GALVANIZING WAS CONDUCTED IN THE U.S.A.

Company Name: DS Brown Date: 11/13/2018  
PO#: 140877

Description	MI Readings							
GRID PLATES	4.4	6.2	6.6	6.3	7.1	6.7		
T-BOLT PLATES, TEES	9.4	6.9	9.5	5.7	3.9	6.1		
4" X 6" BEAM	12.3	11.8	9.8	9.7	9.7	9.0		
BE STRIP GAL. BEAM	3.9	5.1	4.2	3.8	5.2	4.0		

I, Mike Kern, certify that the galvanizing/coating process/es, as specified in the purchase order, for manufacturing or fabricating the material ship(s) provided to the project are in full compliance with the Federal Highway Administration (FHWA) Buy America requirements as specified in Title 23 of the Federal Code of Regulations (CFR) Section 635.416.

Azz Galvanizing Services  
Muncie Plant  
Signature: Mike Kern  
Plant Manager

00165.35 (b) Quality Compliance Certificate - The Certificate shall be from the manufacturer and shall:

- Verify that the Material meets the Specifications, and identify by number the specified test methods used (ODOT, AASHTO, ASTM, UL, or other)
- Permit positive determination that Material delivered to the Project is the same Material covered by the certificate.
- Be delivered to the Engineer with the shipment of the Material, or be included on an identification plate or mark, decal, sticker, label, or tag attached to the container or Material.

19

# CERTIFICATE OF MATERIALS ORIGIN (CMO or O)

Every CMO must include:

- The project name;
- ODOT contract number, ODOT bid item number and bid item description;
- Material manufacturing source (complete either domestic or foreign material source);
- Material description (complete either domestic or foreign material source, and if foreign include the value of the materials);
- Name and title of authorized representative, and company name and address for who completes the CMO; and
- Signature and date signed for authorized representative.

**CERTIFICATE OF MATERIALS ORIGIN**

PROJECT NAME (SECTION): HWY SOMEWHERE IN OREGON PROJECT SEC CONTRACT NO: 12345

BID ITEM NO: 1240 BID ITEM NAME: PERFORATED STEEL SQUARE TUBE ANCHOR SIGN SUPPORTS

DOMESTIC MATERIALS SOURCE (INCLUDES COMPANY NAME AND ADDRESS):  
ALLIED TUBE AND CONDUIT  
16100 S LATHROP AVE  
HARVEY, IL 60426

DOMESTIC MATERIALS DESCRIPTION:  
PERFORATED STEEL SQUARE TUBE SIGN SUPPORTS

FOREIGN MATERIALS SOURCE INCLUDING MATERIAL OF UNKNOWN ORIGIN (NAME AND ADDRESS):

FOREIGN MATERIALS (OR OF UNKNOWN ORIGIN) DESCRIPTION AND VALUE OF IRON OR STEEL PRODUCT AS IT IS DELIVERED TO THE PROJECT:

This certification is made for the purpose of establishing materials acceptance under the Contract Special Provisions Item 8160.20(a) Buy America. All iron or steel manufacturing processes, including protective coatings, for the domestic materials described above occurred within the United States of America. Manufacturer's certificates verifying the origin of the above described domestic materials will be kept on file for three years following final payment. Copies will be furnished to the Engineer upon request.

I declare under penalty of perjury under Oregon and Federal laws that the foregoing is true and correct.

AUTHORIZED REPRESENTATIVE\* COMPANY NAME AND ADDRESS  
NAME: JACOB KERN KNIFE RIVER CORP  
TITLE: FIELD OPERATIONS MANAGER 21305 SW KOEHLER RD  
BEAVERTON OR 97007

SIGNATURE: Jacob Kern  
DATE: 2/20/23

\*Must be CONTRACTOR, SUB-CRATOR or supplier

20

# CONSTRUCTION MATERIALS CMO (C)

**Construction Material Certificate of Materials Origin**

This form is for projects with federal construction authorization between 11/10/2022 and 8/10/2023 and does not allow the use of previous domestic construction material.

Project Name/Number: \_\_\_\_\_

Contract No.: \_\_\_\_\_

Domestic Materials Source

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Description (Maximum 1000 characters): \_\_\_\_\_

This certification is made for the purpose of establishing materials acceptable under the Contract Specifications titled 01060.20(4) Build America Buy America. All manufacturing processes for the domestic materials described above occurred within the United States of America.

Manufacturers' certificates verifying the origin of the above described domestic materials will be kept on file for three years following final payment. Copies will be furnished to the Engineer upon request.

I declare under penalty of perjury or falsification under Oregon and Federal laws that the foregoing is true and correct.

Authorized Representative\* \_\_\_\_\_ Company\* Name and Address \_\_\_\_\_

Name \_\_\_\_\_ Company \_\_\_\_\_

Title \_\_\_\_\_ Address 1 \_\_\_\_\_

Sign \_\_\_\_\_ Address 2 \_\_\_\_\_

Date \_\_\_\_\_ City/State/Zip \_\_\_\_\_

\*May be Contractor, Subcontractor or Supplier

Submit a new certificate for subsequent shipments if any of the above information changes.

734-5276-1110-0002

- Two form types; use the form appropriate for your project.
  - Check specification language in special provisions.
- Form must be completed in full.
  - Project and bid item specific;
  - Ensure signature is included; if electronically signed, make sure the digital signature is visible.

**\*\*BABA presentation will go into more detail regarding requirements.**

**Construction Material Certificate of Materials Origin**

This form is for projects with federal construction authorization between 11/10/2022 and 8/10/2023 and does not allow the use of previous domestic construction material.

Project Name/Number: \_\_\_\_\_

Contract No.: \_\_\_\_\_

Domestic Materials Source

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Description (Maximum 1000 characters): \_\_\_\_\_

Foreign Materials Source (including material of unknown origin)

Name and Address: \_\_\_\_\_ Description and Value of Construction Materials as defined in the project: \_\_\_\_\_

This certification is made for the purpose of establishing materials acceptable under the Contract Specifications titled 01060.20(4) Build America Buy America. All manufacturing processes for the domestic materials described above occurred within the United States of America. Manufacturers' certificates verifying the origin of the above described domestic materials will be kept on file for three years following final payment. Copies will be furnished to the Engineer upon request.

The total value of the non-compliant products (foreign or unknown origin) is no more than the lesser of \$1,000,000 or 5% of total applicable costs for the project.

I declare under penalty of perjury or falsification under Oregon and Federal laws that the foregoing is true and correct.

Authorized Representative\* \_\_\_\_\_ Company\* Name and Address \_\_\_\_\_

Name \_\_\_\_\_ Company \_\_\_\_\_

Title \_\_\_\_\_ Address 1 \_\_\_\_\_

Sign \_\_\_\_\_ Address 2 \_\_\_\_\_

Date \_\_\_\_\_ City/State/Zip \_\_\_\_\_

\*May be Contractor, Subcontractor or Supplier

Submit a new certificate for subsequent shipments if any of the above information changes.

734-5276-1110-0002

21

# BLUE & GREEN SHEETS (BG)

**BLUE SHEETS**  
**PREQUALIFIED PRODUCTS AND SUBMITTALS FOR QUALIFICATION OF ELECTRICAL EQUIPMENT AND MATERIALS**

**GREEN SHEETS**  
**SUBMITTALS FOR QUALIFICATION OF CONTROLLER EQUIPMENT**

Both documentation processes are broken into two parts:

- Initial -
    - **NOT** reviewed by a RAS.
  - Installed
    - **ARE** reviewed by a RAS;
    - CMO's and Cut Sheets must be attached.
- Initial
    - **ARE** reviewed by a RAS.
    - CMO's and Cut Sheets must be attached.
  - Installed
    - **ARE** reviewed by a RAS.
    - CMO's and Cut Sheets must be attached.



Read the instruction page of the document and the process per the DEDD.

22

# FIELD INSPECTION REPORT (FIR or F)

The FIR:

- Is project and bid item/pay item specific (no cross-referencing bid items.)
- Identifies type of material and manufacturer or fabricator.
- Identifies quantities accepted and rejected (quantity units should match the bid item units and the accepted quantity must be enough to cover the quantity paid to date.)
- Notes supporting data to the item; documents should be included.
- Lists the basis of acceptance and confirms the material meets a specific specification.
- Must be prepared and submitted by the Inspector.
- Connects all source and supporting documentation to the project and specific material installation.

Materials Delivered for this Project			
TEMPORARY BARRICADES, TYPE III		20230709	KNIFE RIVER CORPORATION
Type of Material		Date Delivered	Delivered to (Name of Contractor/Subcontractor)
PEXCO, LLC		0.00	N/A
Source of Material (Manufacturer or Fabricator)		Quantity Rejected	Rejection explanation/reason
Quantity Delivered	4.00	EA	Quantity Received
			4.00
Total Accepted to Date	18.00	Estimated Total Required	18.00
Remarks			
QPL#2303. APPEARS TO MEET SPECIFICATION 00224.15.			
ON SITE		50641	
Where Inspected		Cert. #	
KIMBERLEY FRENCH			
Inspector Name			



23

# FIELD-TESTED MATERIALS

00165.10(a) - Field-tested Materials will be accepted according to the MFTP. The MFTP is published once per year and is available from the ODOT Construction Section; 800 Airport Road SE; Salem, OR 97301-4798; phone 503-986-3000. The MFTP is also available on the ODOT Construction Section website (see 00110.05(e)). The most current version of the MFTP on the date of Advertisement is the version in effect for the Project.

Field tested acceptance can be found under specification 00165.30 and consists of:

- Contractor's Duties
- Types of Tests
- Acceptance of Field-Tested Materials



24

# MFTP & TESTING FREQUENCY

FIELD TESTED MATERIALS ACCEPTANCE GUIDE				Same Frequency for all Tests (Minimums)											
MATERIAL AND OPERATION	DESCRIPTION OF TEST	TEST METHOD			FORM 734	QUALITY ASSURANCE									
		ODOT	WAQTC	AASHTO		Contractor Quality Control	Project Manager Independent Assurance	Region Quality Assurance	Materials Laboratory Verification						
<b>SECTION 00330 - EARTHWORK</b>															
Establishing Maximum Density (for Compaction)	Density Curve			T 99	3468										
	Bulk Specific Gravity			T 85	3468	1/Soil type				1/Project					
Compaction	Family of Curves			R 75	3468FC										
	Deflection Testing	TM 158			17933	1 test per 3 ft. in depth				1 test per 10 QC Tests per Table 00330-1					
	Nuclear Gauge			T 310	17935										
	Coarse Particle Correction			T 99	17935	See Table 00330-1									
	Deflection Testing	TM 158			17933	Back									
<b>TABLE 00330-1 Frequency of Quality Control Testing (English)</b>															
		Individual Areas				Under 3500 yd <sup>3</sup> or yd <sup>2</sup>				Over 3500 yd <sup>3</sup> or yd <sup>2</sup>					
		Existing Ground Surface				1 test per 1000 yd <sup>3</sup>				1 test per 3000 yd <sup>3</sup>					
		Embankments				1 test per 500 yd <sup>3</sup>				1 test per 3000 yd <sup>3</sup>					
		Excavations and Finished Subgrade				1 test per 1000 yd <sup>3</sup>				1 test per 3000 yd <sup>3</sup>					
Stone Embankment Material (See Sec. 330.16(a))	Gradation							Visual	See Section 00330.16(b)						
Compaction	Deflection Testing	TM 158			17933	1 per Layer									
Contractor must demonstrate, by compaction testing or acceptable visual means, that the material, equipment, and process used for compaction achieves the specification requirements. If the material, equipment, or process changes, or if other conditions indicate a non-specification product, the Contractor must re-demonstrate that specification requirements are being achieved.															
Imported Topsoil (See Section 01040.14(b))	Compliance				4000	See Section 4C 1/Source & 1/Type of Soil		Submit to Lab							



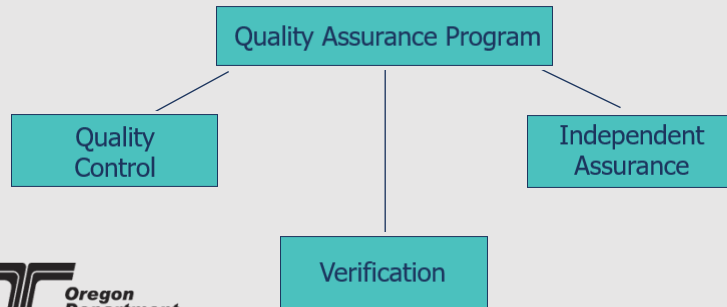
Section 4(D) of the Manual of Field Test Procedures

25

# QUALITY ASSURANCE PROGRAM

ODOT's QA Program includes three separate and distinct sub-programs.

ODOT's Construction Quality Assurance program ensures quality materials and workmanship are used in the construction of all transportation projects administered by ODOT or its consultants.



26

# QUALITY ASSURANCE PROGRAM (CONT'D)

- Quality Control (QC) is defined as: All Contractor/vendor operational techniques and activities that are performed or conducted to fulfill the contract requirements.
- Verification is defined as: Sampling and testing performed to validate the quality of the product.
- Independent Assurance (IA) is defined as: Activities that are an unbiased and independent evaluation of all the sampling and testing procedures used in the acceptance program.

More information about the QA Program can be found in the MFTP Section 2



27

# FAILING/MISSING TESTS & SMALL QUANTITY

- Materials with failing and/or missing test results must be entered on the Test Summary along with the quantity they represent.
  - Copies of the adjustments should be placed with the documentation under the appropriate bid item.
  - An adjustment pay item should be created to appropriately charge the contractor.
    - (i.e. Three cylinders need to be broken at 28-days, not just 2. If only two cylinders are broken, an adjustment needs to be created for the missing tests.)
    - Use the [Construction Material Testing Services](#) cost sheet, Form 734-2283, Form 734-3965, and/or [Low Strength Non-Statistical Concrete Price Reduction Computation](#) to calculate adjustments.

Ref: Construction Manual Chapter 12c

- Materials accepted on the small quantity basis needs to specify the method of acceptance:
  - Test results or quality compliance certifications
  - Prior use and acceptance on a previous project, or
  - Verification of workmanship and method used (primarily earthwork)



See the MFTP Section 2 Small Quantity Guideline additional for requirements.

28

# TEST SUMMARY PURPOSE

---

The purpose of the Test Summary is to verify that the proper and adequate quality documentation has been furnished

- The Engineer must assure that all project documentation is continuously maintained throughout the project.
- The Test Summary is the formal record of the documentation submitted and accepted by the Engineer and verifies quality documentation is on file and up to date.
  - For every entry in a test summary there needs to be a matching document in the project file.
  - For every document in the project file there needs to be a matching entry in a test summary.

\*Completing a Q & Q prior to work commencing is a best practice to help ensure all required quality documents are received throughout the life of the project. The RAS is available to review and provide feedback on this document for the construction office.\*



29

# DOCUMENTING REVIEW FINDINGS

---



30

# THE DRR

When the RAS reviews the project documentation, they will list quantity and quality deficiencies, note any anomalies (like RE Exceptions), and provide guidance for any eConstruction process issues on the Documentation Review Report (DRR) and provide a copy to the construction office staff.



Oregon Department of Transportation		DOCUMENTATION REVIEW REPORT (DRR)										
CONTRACT	PROJECT NAME (SECTION)	COMPLETION DATE	TRAFFIC REPORTS	<input type="checkbox"/> Yes <input type="checkbox"/> No	Last on File	PLANT ESTABLISHMENT	<input type="checkbox"/> Yes <input type="checkbox"/> No					
KEY	PROJECT MANAGER	25% NOTE DATE	EROSION REPORTS	<input type="checkbox"/> Yes <input type="checkbox"/> No	Last on File	ESTABLISHMENT	END DATE					
EA	LOCAL AGENCY/CONSULTANT	DAYS PAST 25% NOTE	FUEL ESCALATION	<input type="checkbox"/> Yes <input type="checkbox"/> No	TRAINING	BI QUANTITY	HRS to DATE	% USED	% Print Complete			
			ASPHALT ESCALATION	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	PREPARED BY (RAS)						
			STEEL ESCALATION	<input type="checkbox"/> Yes <input type="checkbox"/> No	Contractor Option	<input type="checkbox"/> Yes <input type="checkbox"/> No						
I RECOMMEND ACCEPTANCE OF THE DOCUMENTATION												
PROJECT MANAGER DATE		REGIONAL/PROJECT SIGNATURE		DATE								
DATE NOTED BY RAS	PRIORITY (High/Medium/Low)	BID ITEM NUMBER	Item name, comments, unresolved quantity/quality details, exceptions to the Final Materials Certification, form 734-1070 and method of resolution. This document replaces all prior DRRs or Completion Strategy and Action Plans.				C or A	ASSIGNED TO (initials) After 25% Note	PM Resolved (initials)	RAS CONCUR		
									<input type="checkbox"/>	<input type="checkbox"/>		
									<input type="checkbox"/>	<input type="checkbox"/>		
									<input type="checkbox"/>	<input type="checkbox"/>		
									<input type="checkbox"/>	<input type="checkbox"/>		
									<input type="checkbox"/>	<input type="checkbox"/>		

31

# DOCXPRESS DOCUMENT DIRECTORY (DEDD)

Document Title	Document Title Example	Type			
DRR YYYYMMDD	DRR 20180218	Document Review Report			
Submitted by	Submitted to Drawer:	Form Number			
RAS	Z00A - Agency Submittal	734-1903			
		Last Updated			
		03-May-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	Received by RE Office (New Document Option)	RE Office	Ready to Publish		
4	Ready to Publish	RE Office	Publish*		
5	Publish*	RE Office			2008 - Agency Internal
General Comments	Can add Preliminary Progress Payment Report (PPPR) and/or Retainage Report from CPS at the end of the DRR PDF or as supporting documents.		Supporting Documents	Preliminary Progress Payment Report (PPPR) Retainage Report	
	DRR = Documentation Review Report				



- The DEDD is a listing of mandatory naming conventions to be used and followed for document titles in DocExpress.
- It provides consistent process flow.
- Use the version of the DEDD that applies to the project you are working in.
- Bottom line: Be consistent throughout your project.
- If you have questions or can't locate a listing for a document, communicate with your RAS and/or CAU..
- Keep it open while you're working daily. Use CTL+F to find listings you might need by keyword search.

32



# DRR ESCALATION AND RESOLUTION

The RAS typically reviews project documentation on a 3-month cycle between 1<sup>st</sup> and 2<sup>nd</sup> Notes (every 30 days once 2<sup>nd</sup> Note has been issued.) During the review, the RAS documents any unresolved quantity and quality items on the DRR assigning a priority of low, medium, or high to each item according to the priority rating on the next page.

- The RAS will review the DRR with the construction office to answer questions about all items that have been placed on the DRR. Once the review is complete and the DRR edited for clarity the RAS will distribute the DRR according to priority levels assigned (we're about to go over these) and upload to DocExpress.
- The expectation is, deficiencies 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 RE, AM and CAE will work together, with other technical experts if needed, to expedite the resolution of the issue.



33

# DRR PRIORITY

- **Low Priority** - When an issue is first entered on the DRR it will be identified as "Low Priority" and is expected to be addressed prior to the RAS's next review. A copy is provided to the Contract Compliance Specialist (CCS), Contract Services Coordinator (CSC) and the Contract Services mailbox.
- **Medium Priority** - If an issue is not resolved by the next review, it will automatically escalate to a Medium priority. A copy of the DRR is sent to all low priority contacts and the Area Manager (AM).
- **High Priority** - Medium Priority issues not resolved by the next review will automatically escalate to a High Priority. A copy of the DRR is sent to all low and medium priority contacts and the Contract Administration Engineer (CAE).
  - Exceptions to the above:
    - Missing ADA documents automatically escalate to medium.
    - Erosion Control Report issues or missing reports automatically escalate to high.
    - No assessment of LD's with no approved CCO granting time automatically escalate to high.
    - Documentation errors resulting in incorrect payment, paying for CCO work under bid items, or overpayment to the contractor will be transitioned from low directly to high.



Ref: RAS Manual: Section 3A

34

# COMPLETION STRATEGY AND ACTION PLAN (CSAP)

- When the RAS is notified 2<sup>nd</sup> Note has been issued, the RAS will perform a full review called Completion Strategy and Action Plan. Any items identified as deficient will be marked at high priority and should be quickly addressed. This will be issued monthly and in coordination with the construction office. A CSAP identifies:
  - Any remaining/outstanding documentation deficiencies.
  - Recommended resolution for each item.
  - The person responsible for resolving each issue.
- The RAS will check back at 30, 60, and 90 days.
  - AM and CAE will contact the RE and offer assistance for items not resolved after 90 days.
  - Region Manager and State Construction Manager (SCME) will get involved for items not resolved after 120 days.
    - The CAU's goal is for all projects to be closed out in under 120 days.



Oregon Department of Transportation		COMPLETION STRATEGY AND ACTION PLAN						PAGE		
CONTRACT	PROJECT NAME (SECTION)	COMPLETION DATE	TRAFFIC REPORTS	<input type="checkbox"/> Yes <input type="checkbox"/> No	LIST ON FILE	EROSION REPORTS	<input type="checkbox"/> Yes <input type="checkbox"/> No	LIST ON FILE	PLANT ESTABLISHMENT	<input type="checkbox"/> Yes <input type="checkbox"/> No
KEY	PROJECT MANAGER	2 <sup>ND</sup> NOTE DATE	FUEL ESCALATION	<input type="checkbox"/> Yes <input type="checkbox"/> No	TRAINING	BI QUANTITY	HRS to DATE	% USED	% Project Complete	

35

# FINAL DRR

Once all issues from the CSAP are resolved the RAS will issue a Final DRR noting no outstanding quality or quantity issues on the project.

# CONGRATULATIONS!!!!

The project can now move on to Semi-Final.



36

# SEMI-FINAL REVIEW

The CCS (Scott Aker) will perform a semi-final review, communicating with the construction office and RAS of any issues which require resolution. When complete, the project will be forwarded to the CAE for final acceptance, and then to the Contract Payments Specialist for final payment.

- Refer to Chapter 37 of the Construction Manual and form 734-2706a, the Semi-Final Documentation Submittal (contains a checklist) for a complete listing of all required semi-final documentation.
- A step-by-step walkthrough of the semi-final process can be found as a supporting document to form 734-2706a in the Forms drawer in the Standard Documents contract in DocExpress.



(Chapter 37 and project closeout will be covered in another presentation)

37

# REFERENCE MATERIALS

- Boilerplate Special Provisions
  - [Oregon Department of Transportation : 2018 Boilerplate Special Provisions : Doing Business : State of Oregon](#)
- RAS Manual
  - [https://www.oregon.gov/odot/Construction/Documents/RAS\\_manual.pdf](https://www.oregon.gov/odot/Construction/Documents/RAS_manual.pdf)
- ODOT Standard Specifications
  - [Oregon Department of Transportation : Standard Specifications : Doing Business : State of Oregon](#)
- ODOT Construction Manual
  - [Oregon Department of Transportation : Construction Manual : Construction : State of Oregon](#)
- Nonfield-Tested Materials Acceptance Guide (NTMAG)
  - [Oregon Department of Transportation : Structure Services : Construction : State of Oregon](#)
- Field Tested Materials Acceptance Guide (MFTP)
  - [Oregon Department of Transportation : Manual of Field Test Procedures : Construction : State of Oregon](#)
- Qualified Products List (QPL)
  - [Oregon Department of Transportation : Qualified Products : Construction : State of Oregon](#)
- Quality Control Compliance Specialists Handbook
  - [Oregon Department of Transportation : Quality Control Compliance Specialist Handbook : Construction : State of Oregon](#)
- Construction Material Testing Services Fees
  - [https://www.oregon.gov/odot/Construction/Documents/construction\\_materials\\_testing\\_fees.pdf](https://www.oregon.gov/odot/Construction/Documents/construction_materials_testing_fees.pdf)
- CON-CAL (Reduction Computation) for low strength concrete
  - <https://www.oregon.gov/odot/Construction/Documents/concal.xls>
- Document Review Report Escalation Process Guide
  - [https://www.oregon.gov/odot/Construction/Documents/drr\\_resolution.pdf](https://www.oregon.gov/odot/Construction/Documents/drr_resolution.pdf)



38

# RAS CONTACTS

<p>DJ Smith  <a href="mailto:Donnie.J.Smith@odot.Oregon.gov">Donnie.J.Smith@odot.Oregon.gov</a>            (541) 823-4027            Region 5 (La Grande, Ontario)</p>	<p>Mary Saba  <a href="mailto:Mary.G.Saba@odot.Oregon.gov">Mary.G.Saba@odot.Oregon.gov</a>            (503) 621-2047            Region 1 (Barlow-Miller, Mult Co., City Gresham/Beaverton, Clackamas Co.)</p>	<p>Tony Nguyen  <a href="mailto:Tony.V.Nguyen@odot.Oregon.gov">Tony.V.Nguyen@odot.Oregon.gov</a>            (503) 731-3265            Regions 1 &amp; 4 (Barlow-Aguon, The Dalles, City Portland, PBOT)</p>
<p>Katie Miller  <a href="mailto:Katie.Miller@odot.Oregon.gov">Katie.Miller@odot.Oregon.gov</a>            (541) 430-2386            Region 2 (Salem, Astoria, City Salem, Marion Co.)</p>	<p>Lajuana Kelley  <a href="mailto:Lajuana.Kelley@odot.Oregon.gov">Lajuana.Kelley@odot.Oregon.gov</a>            (503) 428-4510            Region 3 (Roseburg, Coquille)</p>	<p>Gene Thomey  <a href="mailto:Farrell.Thomey@odot.Oregon.gov">Farrell.Thomey@odot.Oregon.gov</a>            (503) 428-3218            Regions 3 &amp; 4 (Klamath Falls, White City)</p>
<p>Merry Sylvia  <a href="mailto:Merry.L.Sylvia@odot.Oregon.gov">Merry.L.Sylvia@odot.Oregon.gov</a>            (503) 781-9317            Region 1 (Beaverton, Troutdale)</p>	<p>Art Nunez  <a href="mailto:Arthur.Nunez@odot.Oregon.gov">Arthur.Nunez@odot.Oregon.gov</a>            (503) 983-6471            Region 2 Consultant Projects and Region 4 (Bend)</p>	<p>Justin Cary  <a href="mailto:Justin.Cary@odot.Oregon.gov">Justin.Cary@odot.Oregon.gov</a>            (541) 246-0379            Regions 2 &amp; 3 (Corvallis, Springfield, Lane Co., City Eugene/Corvallis)</p>
	<p>Rob Peters  <a href="mailto:Robert.W.Peters@odot.Oregon.gov">Robert.W.Peters@odot.Oregon.gov</a>            (541) 890-6199            Reg 3 &amp; 4 (Ret. Temp)</p>	