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→ (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 (In accordance with Sec. 00280.62)	Any - Go To High →	Any - Go To High	Any

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.

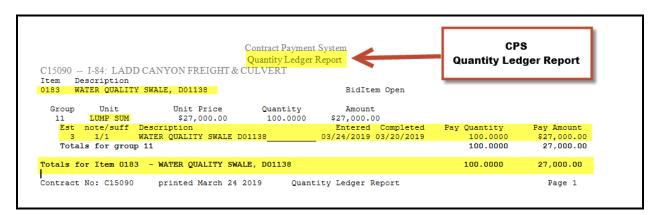
Determining Initial Priority

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

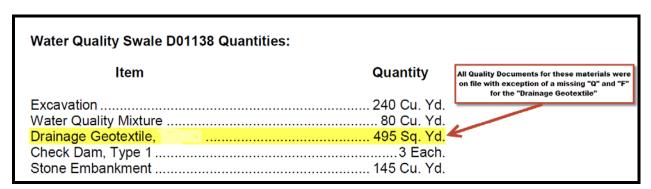
Missing Geotextile Quality Documentation (Water Quality Swale)

ĺ	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



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



Initial Priority Table Items listed on the DRR Medium Low High (Based on 90 day reviews) (Unresolved, Escalate to (Unresolved, Escalate to (Must resolve in 30 Medium) High) days or provide plan for resolution) Missing Quality Documents & 0% - 5% 5% - 20% > 20% Paynotes after Payment is made to the Contractor The Missing Quality **Documentation for the Drainage** Geotextile represents 20% of the Missing Quality Documents & Go to High→ Go to High→ Α Bid Item. The Priority for the Paynotes needed to release missing documents is a retainage for Completed Pay Items "Medium". Go to High→ Any Missing ADA Documents Go to Medium→ (unresolved after 90 days) (if not resolved in 90 days)

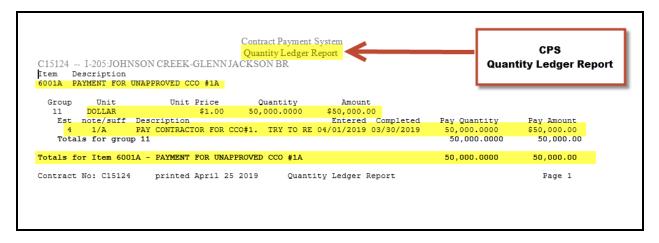
❖ Assume each of the Materials represent 1/5th of the bid item or 20%:

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



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.

Initial Priority Table			
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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 (thresolved after 90 days)
Missing QA Field Tested Documentation for each Work Type	0% - 5%	5% - 20%	> 20%
Missing Inspector or QCCs	0% - 5%	5% - 20%	> 20%
Certification	Payment for CCO #1A Incorrectly Paid \$50,000 Under 6001A Adjustment Item. The Priority for the Incorrect Payment is a "High".		
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)