

Documentation Review Escalation Process

The purpose of this document is to address recommendations from ODOT Internal Audits regarding the Construction Quality Assurance Audit. The Construction Leadership Team has tasked the Contract Administration Unit with developing a process for recommendation #2 of the audit.

2. The Construction Section should develop a formal process for Region Assurance Specialists (RAS) to escalate issues discovered during their reviews. This should include a system for prioritizing issues, with high priority issues to be automatically reviewed by the Contract Administration Engineer to ensure prompt resolution, and timelines for resolving issues according to their priority.

The Region Assurance Specialists work for the Contract Administration Engineer in the Construction Section. The RAS typically review project documentation in the Project Managers offices on a 90 day cycle such that each project receives a review approximately every 90 days. During the review the RAS documents any unresolved items or comments on the Documentation Review Report (734-1903), following a documentation review by the RAS, the RAS will distribute the Documentation Review Report (DRR) and the distribution may vary depending on the priority of any issues identified as follows:

Priority for Issues

Low – When an issue on the DRR is identified as “Low Priority” the RAS will provide a copy of the DRR to the Project Manager (PM)* and other appropriate PM Staff. 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 can not be immediately corrected. The PM office will typically have 90 days to address or resolve the issue. If the issue is not addressed by the next review, the issue will automatically escalate to a Medium priority.

***Note:** The Project Manager (PM) includes the ODOT Project Manager 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 PM or LAL will be responsible for working with the Consultant or Local Agency PM to address or resolve the issue.

Medium – When an issue on the DRR is identified as “Medium Priority” the RAS will provide a copy of the DRR to the PM*, the Area Manager (AM), and the Contract Administration, Contract Services Leadworker. 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 can not be immediately corrected. The AM office will typically have 90 days to address or resolve the issue. If the issue is not addressed by the next review, the issue 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 PM*, the AM and 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, or a plan has been developed to address the deficiency if it can not be immediately corrected. The PM, 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 can not be immediately corrected.

<u>Items listed on the DRR</u>	<u>Priority</u>		
	<u>Low</u>	<u>Medium</u>	<u>High</u>
Missing quality documents & Paynotes	< 5%	5% -20%	> 20%
Missing QA Field Tested Documentation (Each Work Type)	< 5%	5% -20%	> 20%
Missing Inspector or QCCs Certification	< 5%	5% -20%	> 20%
Documentation Errors resulting in Incorrect Payment, paying for Change Order work under Bid items, or overpayment to the Contractor.	<\$50,000	\$50,000 - \$125,000	> \$125,000
No Assessment of LDs (no approved CCO granting time)	<15 Days	15 -30 Days	>30 Days
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 or +/- adjustments)	< \$25,000	\$25,000 - \$50,000	> \$50,000