

Submittal of Final Project Documentation

During each project, the Region Assurance Specialist will periodically review project documentation at the Project Manager's office.

At the end of each project, the Project Manager must submit all original records and correspondence, that are part of the supporting data for the final quality and quantities, to the Contract Services Group in the Construction Section.

Since the Project Manager must assure that project documentation is performed as project work progresses and the Region Assurance Specialist has also performed the periodic reviews, this phase should only involve compilation and submittal of that documentation.

Section 00195.50(d) requires ODOT to release the retainage for a subcontractor's work when that work is complete, upon proper request of the Contractor. In that case, the Project Manager must compile and verify all final project documentation for that subcontractor's work and submit it before the rest of the project is complete. This process is described at the end of this section of this Manual.

In an effort to reduce the storage space required for the project documentation, compile and submit documentation only in pads. Secure the pads with metal or similar fasteners that do not add bulk to the pad. Do not submit documentation in 3 ring binders.

Contract Services is responsible for storage of the project documentation submitted as discussed below. Because the storage requirements are different for quality and quantity documentation, submit the quality and quantity documentation in separate pads, but as a complete package. This package will consist of the following:

Documents

- Transmittal letter listing the documentation being submitted
- Local Agency letter of acceptance (required on local agency projects only)
- Quantity documentation (see discussion below)
- Quality documentation (see discussion below)
- Price adjustments for non-specification material (see discussion below)
- Original General Daily Progress Reports & Project Manager's Diaries
- Original Erosion Control Monitoring reports
- Original TP & DT Daily Reports
- Documentation Review Report, that also includes the recommendation for acceptance of project documentation

Quantity Documentation

This includes:

- Quantity Ledger Report. Include the latest report from the Contract Payment System at the Project Manager's office.
- The most recent Progress Estimate and Cost Report (CPPROEST) from the ODOT Mainframe. The Region Assurance Specialist must verify that all final quantities match the quantities from the accepted quantity calculations and sign the document. Clearly mark, in a conspicuous manner, any changes of quantity or funding codes (Participation Indicator/sub-job).
- All bid item and CCO quantity documentation and source documents*. Include all supporting and source documentation used to determine the final quantities.
 - Earthwork Computation Summary and supporting source documentation (field notes or validation information if a Digital Terrain Model was used)
 - Scale Diary - include Scale Certifications and Check Weights
 - Weigh Memos - Material Receipts (form 734-3082 or similar format)*
 - A copy of all Pile Record Books (if project included furnishing and driving piles) (form 734-3485 or similar format)*. Submit the original Pile Record Book, or similar format, to the Bridge Section (note on the submittal letter).

List the following on the Documentation Review Report:

- Each quantity calculation that is done in a manner different from that specified in the contract or from that normally accepted by ODOT
- Each quantity calculation for which the Project Manager and Region Assurance Specialist are unable to agree on the acceptability of the calculation or method

Quality Documentation

This includes:

- Final Materials Certification, form 734-1979 (see Exhibit K in Quality section (12-B) of this Manual)
- Foreign Steel Summary, form 734-1968 (required on Federal-Aid projects only) (see Exhibit I in the Quality section (12-B) of this Manual)
- Completed Test Summary. Include final quantities, signatures of reviewers, and dates reviewed (see Quality section (12-B) of this Manual).
- Supporting information for bid items and CCOs (see the Quality section (12-B) of this Manual)

List the following on the Documentation Review Report:

- Each quality document or documentation that is missing or that differs from that required in the contract or by ODOT policy
- Each quality document or documentation for which the Project Manager and the Region Assurance Specialist are unable to agree on the acceptability of the document, documentation, or materials

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Quality Price Adjustments

Submit quality price adjustments in a separate pad. Also refer to the Quality Price Adjustments section (12-C) of this Manual.

- Submit all price adjustment calculations along with copies of the appropriate correspondence, test reports, and summaries that support the adjustment.
- Statistical Asphalt Bonus (StatSpec). Do not include the test results, which should remain with the quality documentation. Include only the StatSpec printouts in the price adjustment book:
 - Price Adjustment Computations Sheet
 - Statistical Testing Input Data Sheet
 - Statistical Computation Sheet
 - 3½" Floppy disk with all the StatSpec calculations for the projectSend a copy of the printouts to the Senior Mix Design Technician in the Pavements Unit (note on the transmittal letter).

Documentation Review Report, form 734-1903

Refer to Exhibit L in the Quality section (12-B) of this Manual.

Complete this form listing (some items are also discussed above):

- Quantity calculations done differently from the required manner or for which the Project Manager and Region Assurance Specialist are unable to agree on their acceptability
- Quality documents or documentation that are missing, that differ from those that are required, or that the Project Manager and Region Assurance Specialist are unable to agree on the acceptability of the documentation or the materials
- Recommendation of the Project Manager that ODOT accept the project documentation. The Region Assurance Specialist must either agree with that recommendation or must list differences and recommended resolution.

THE PROJECT MANAGER MUST DISTRIBUTE THE FOLLOWING:

Labor Compliance

Submit the following, in separate pads, to the Office of Civil Rights field coordinator^{**}:

- Contractor and subcontractor Payrolls and Wage Certification Statements
- Employee Interview Reports
- Project Manager's Labor Compliance Certification

These are discussed in the Labor Compliance section (19) of this Manual.

The OCR field representative will review the documents. If they are acceptable, the OCR field representative will send them to the Contract Services Group.

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As Constructed Plans

Prepare and distribute As Constructed plans as described in the As Constructed Plans section (12-H) of this Manual.

Project Manager's Narrative Report

Prepare a project narrative report that:

- Generally discusses the progress of the project
- Discusses problems that occurred and solutions that were implemented
- Discusses design issues, solutions, and suggested improvements for future projects
- Addresses significant overruns or underruns of bid items
- Addresses each of the significant change orders on the project
- Addresses new and innovative methods that were used and the results achieved. Also share the results of those methods that failed, in order to prevent the same experiment on other projects.
- Addresses any issues that may be modified in order to improve future designs and projects
- Shares the results from any post-project critique
- Provides positive feedback to the designers or Project Team for a project, or aspects of a project, that worked well

As indicated, the purpose of the Narrative Report is to provide feedback so that needed improvements can be considered and incorporated on future work, as well as provide commendations for designs and processes that were well done or worked well.

Narrative Reports can be written in many formats, but the preferred format addresses work types, such as traffic control, bridges, traffic signals, etc.

Include specific information about problems or solutions. Provide honest, constructive criticism. Express appreciation for items that worked well. Include suggestions for items that could be considered on future projects.

Distribute copies of the Narrative Report as follows:

- 1 copy to Roadway Engineering Section, Attention Engineering Document Specialist
- 1 copy to Bridge Section (if project has structure work)
- 1 copy to Area Manager (who should route to the Project Leader for review)*
- 1 copy to the Technical Services Resource Manager (who should assure that involved Technical Services units review)*
- 2 copies to Contract Services
- 1 copy to other appropriate ODOT Sections as determined by the Project Manager.

Project Photography

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Do not submit project photographs unless the photographs are of special interest. Photographs of special interest will be circulated among the appropriate Sections in Salem and then returned to the Project Manager for storage.

Order for Force Work Notification of Completion

Notify Contract Services when all work under Orders for Force Work is complete. This may be done by:

1. The Project Manager may send an electronic mail message to Contract Services stating that work on all Orders for Force Work is complete.
2. The Project Manager may send a signed and dated statement with the Final Project Documentation stating that work on all Orders for Force Work is complete.

Form FHWA-47

This form must be completed and submitted for each Federal-aid project, except for projects::

- For which the total final construction cost of the roadway and bridge is less than \$1,000,000, or
- Consisting primarily of:^{**}
 1. The installation of protective devices at railroad grade crossings, or
 2. Highway beautification

Prime Contractor must complete Part B of the form and the Project Manager must complete Part A. The Prime Contractor must incorporate FHWA-47 information that also includes the resources utilized by all subcontractors on the project.

Submit, to Contract Services, one complete FHWA-47 that represents the entire project. Include the project name and contract number for identification.

Also refer to the Project Funding/Contract Administration Responsibility section (2) of this Manual.

Recommendation of Project Acceptance

Submit the original copy of the recommendation from the Project Manager, amended by the Area Manager, as described in the Acceptance of Project section (36) of this Manual. This may be submitted separate from the other project documentation.

Warranties and Guarantees

Forward all warranties and guarantees, required as part of the project documentation and identified in the contract, to the appropriate District Manager, or other group responsible for maintenance of the project,^{*} at the end of the project. Also refer to the Warranties, Guarantees, Responsibility for Materials and Workmanship section (41) of this Manual.

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When warranties are required, note in the test summary that they have been forwarded to the District Manager or other appropriate group*. Include a copy of the warranty or transmittal letter in the quality documentation.

Review by Region Assurance Specialist (RAS)

During review of project documentation at the project office, the RAS will:

- Verify that the quality of materials and work on the project is in close conformance to contract requirements and the materials and work are acceptable to remain on the project
- Assure that documentation fulfills the requirements of the contract
- Assure that price adjustments have been properly applied
- Verify that methods, calculations, and quantities are appropriate and correct
- Add appropriate remarks and forward Project Manager's recommendation of documentation acceptance to Contract Administration Engineer

The RAS may also provide other recommendations and advice as requested by the Contract Administration Engineer.

Actions of the Contract Administration Unit

The Contract Administration Unit will:

- Accept final project documentation and store it for the required timeframes
- Accept the project, within their delegated authority
- Make required changes to final project quantities and process final payment to the Contractor

Additionally, the Contract Administration unit may perform a cursory review of project documentation to assure that:

- Documentation and review have been adequately performed
- Documentation practices are being done uniformly statewide

RELEASE OF SUBCONTRACTOR RETAINAGE

Section 00195.50(d) allows a subcontractor, when it has satisfactorily completed all of its work under a contract, to request that its retainage be released. The Contractor, upon receipt of such a request if the subcontractor's work is actually complete, must complete a Request for Release of Retainage for Subcontracted Work, form 734-2510 (see example in Exhibit A), and submit it to the Project Manager.

Upon receipt of form 734-2510, the Project Manager will review the work of the subcontractor, involving the Local Agency if appropriate. The Project Manager should return the request to the Contractor, with adequate explanation, if:

- The request includes pay items for which the work has not yet been completed
- The work of the subcontractor is not completed
- • The request is incomplete
- The Contractor has not yet submitted needed documentation for the requested pay items.

If the information on the request is complete and acceptable and the subcontract work is complete, the Project Manager must distribute copies as indicated on the form.

Within 30 calendar days after receipt of an acceptable request, the Project Manager will submit the following to the Office of Civil Rights field representative** :

- The subcontractor's payrolls and Statement of Compliance
- Employee Interview Reports, form 734-3475, involving the subcontractor
- Copy of completed Project Manager's Labor Compliance Certification, form 734-1734, for the subcontracted work. Submit the original with the final documentation at the end of the project.

The OCR field representative will review the documentation and, if appropriate, approve form 734-1734 and send it and the accepted documentation to the Contract Services Group no later than 50 calendar days after the Project Manager received the acceptable form 734-2510.

Within 30 calendar days after receipt of an acceptable request, the Project Manager will compile, check, and provide the following for review by the Region Assurance Specialist:

1. Transmittal letter listing items in the submittal
2. A copy of the portion of the subcontract that lists each pay item and change order item, including whether the subcontractor's work is the complete item or an accurate description of the portion of the item done by the subcontractor.**
3. The original copy of form 734-2510, showing the final verified quantities for the affected items. Clearly mark any changes to funding codes (Participation Indicators/sub-jobs). Include a summary of quantities if appropriate.
4. Quantity documentation for the affected pay items. Include all quantity documentation, including all supporting and source documents used to determine the final quantities. Refer to an earlier portion of this section and the Quantities section (12-D) of this Manual.

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5. Quality documentation for the affected pay items, including:
 - Copy of Final Materials Certification, form 734-1979
 - Copy of Foreign Steel Summary, form 734-1968, for projects involving Federal funds
 - Test Result Summary, form 734-1902A, 734-1902B, and 734-1902BQA as appropriate
 - Other supporting quality data, including any price adjustments for non-specification material as discussed belowRefer to an earlier portion of this section and the Quality section (12-B) of this Manual.
6. Copy of Documentation Review Report, form 734-1903, showing the following for the submitted documentation:
 - For quality documentation:
 - Agreement or resolution of documentation or documents that do not comply with ODOT requirements
 - Documents or documentation for which the Project Manager and Region Assurance Specialist are unable to agree on the acceptability of the documents, documentation, or materials
 - For quantity calculations:
 - Agreement to resolution of calculations that are done in a manner different from that specified by contract or from that normally accepted by ODOT
 - Calculations for which the Project Manager and Region Assurance Specialist are unable to agree on the acceptability of the calculation or method
 - Recommendation of the Project Manager that ODOT accept the submitted documentation. The Region Assurance Specialist must either agree with that recommendation or must list differences and recommend resolution.
7. Price Adjustments for non-specification material or premium (bonus) materials (also refer to the Quality Price Adjustments section (12-C) of this Manual). Submit:
 - Price adjustment calculations for the affected items, including copies of appropriate correspondence, test reports, and summaries to support the adjustment
 - Statspec calculations
 - Calculations to support payment of bonus for premium materials, other than those included in the Statspec calculations
8. Warranties. If warranties are required, include a copy. Send the original warranty to the District Manager or appropriate other party at the end of the project, as discussed earlier in this section of this Manual.

The Region Assurance Specialist will review the above documentation and, if it is acceptable, will submit the documentation to the Contract Services Group no later than 50 calendar days after the Project Manager received the acceptable form 734-2510.

The Contract Services Group will:

- Perform a cursory review of the submitted documentation
- Make any changes to the final quantities, in the Contract Payments System, for the pay items done by the subcontractor. This will be done no later than 60 calendar days after the Project Manager received the acceptable form 734-2510.
- Return retainage for the accepted subcontracted work on the next scheduled progress estimate payment
- Calculate retainage on other contract work based on the original contract amount less the value of the subcontract work that has been accepted
- Store the documentation for the accepted subcontract work and combine it with the remaining documentation at or before the time of final payment

If, at any point during the process to review and accept the required documentation, ODOT discovers that the Contractor or subcontractor has not submitted acceptable documentation, the Project Manager will:

- Be notified about the missing or unacceptable documentation by the appropriate reviewer. No more time will elapse on the appropriate 30 or 50 day timeline specified above until acceptable documentation is provided to the appropriate reviewer.
- Notify the Contractor about the missing or unacceptable documentation and also notify the Region Assurance Specialist, Labor Compliance Officer, and the Contract Services Group
- When the Contractor provides the needed documentation, review the submitted documentation and provide it to the next review level as appropriate**

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