

Issue Escalation Documentation Binder

When an issue is escalated, it is critical that the individuals at the next escalation level have all of the documentation relevant to the issue so they can make an informed decision. When an issue needs to be escalated, the Resident Engineer and Project Manager will work jointly to compile all documentation to support the description of the issue and the recommended resolution. Documentation will include the recommended resolution from each perspective. If an agreement has been reached but the parties do not have authority to sign the agreement, this documentation must still be provided. All documentation must be placed into one binder prior to escalation.

The template below includes a list of documents that have been identified as important to the decision making process; however, this list is not intended to cover every situation. The documents should be inserted into three-ring binders in the order given. At a minimum, provide a binder for each person on the next level of the Issue Escalation Ladder. The “Issue Escalation Binder” must always be completed.

Routing forms for each level of escalation can be found on the Partnering website.

<http://www.azdot.gov/business/programs-and-partnerships/partnering/forms-and-links>

Information related to the issue resolution process can be found in the Partnering 101 Manual, Chapter 6, pages 39 through 47.

<http://www.azdot.gov/docs/default-source/business/partnering-101-a-guide-to-the-basics-of-partnering-with-adot.pdf?sfvrsn=6>

Tab	Title	Description
1	Index	A list of all documents in the binder in order
2	Routing Form for Issue Resolution	The completed and signed form (or forms if the RE and PM each complete their own form). Must include a clear description of the issue and the proposed resolution (from each party if they don't agree).
3	Contract Card/Financial (ADOT document)	A print of the Contract Card and Finance pages from FAST
4	Plans, Specs, Estimates & Special Provisions that apply to the issue	Copies of the pertinent pages from the contract documents
5	Cost analysis and support documentation	Any calculations and support documentation that were used to make your decisions
6	Correspondence	Copies of emails or letters that were used to make your decision
7	Exhibits to back up your position	Other documents that were used to make your decision
8	Schedule and Impacts	Documents showing the schedule and any impacts this issue or the resolution will have to the schedule
9	Other pertinent documentation	Any documents not included in the previous tabs