



Certification Acceptance Assessment Packet

ADOT Local Public Agency Section

October 19, 2018

Table of Contents

Certification Acceptance Assessment Packet.....	3
Purpose	3
Objective	3
Goal.....	3
Schedule.....	3
Instructions	3
LPA Commonly Used Acronyms	4
Procurement of Materials and/or Install.....	5
Agency Documents Approved By ADOT Procurement Group	5
Submit to ADOT LPA Section before December 7, 2018	5
Assessment Questions	5
Procurement of a Consultant.....	6
Agency Documents Approved By ADOT ECS Section	6
Submit to ADOT LPA Section before December 31, 2018	6
Assessment Questions	6
Roadway: Pavement Design	8
Agency Document Reviewed By ADOT LPA Section	8
Submit to ADOT LPA Section before January 31, 2019	8
Assessment Questions	8
Roadway: Design Guidelines	9
Agency Document Reviewed By ADOT LPA Section	9
Submit to ADOT LPA Section before January 31, 2019	9
Assessment Questions	9
Roadway: Design Exceptions	10
Agency Document Reviewed By ADOT Roadway Engineering Group.....	10
Submit to ADOT LPA Section before January 31, 2019	10
Assessment Questions	10
Materials QA Program.....	11
Agency Document Reviewed By ADOT Construction-Materials Group	11
Submit to ADOT LPA Section before January 31, 2019	11
Assessment Questions	11
ROW Procedures.....	12
Agency Document Reviewed By ADOT ROW Section	12
Submit to ADOT LPA Section before January 31, 2019	12
Assessment Questions	12
DBE Procedures	14
Agency Documents Reviewed By ADOT BECO	14
Submit to ADOT LPA Section before February 28, 2019	14
Assessment Questions	14
Project Delivery Manual.....	16
Agency Documents Reviewed By ADOT LPA Section.....	16
Submit to ADOT LPA Section before March 29, 2019	16
Assessment Questions	16
Staffing Plan	18
Agency Documents Reviewed By ADOT LPA Section.....	18

Submit to ADOT LPA Section before March 29, 2019	18
Assessment Questions	18
Bid Analysis & Award Procedures	19
Agency Documents Reviewed By ADOT LPA Section.....	19
Submit to ADOT LPA Section before March 29, 2019	19
Assessment Questions	19
Subcontract Approval Procedures	20
Agency Documents Reviewed By ADOT LPA Section.....	20
Submit to ADOT LPA Section before April 30, 2019.....	20
Assessment Questions	20
Financial Management Procedures.....	21
Agency Documents Reviewed By ADOT LPA Section.....	21
Submit to ADOT LPA Section before April 30, 2019.....	21
Assessment Questions	21

Certification Acceptance Assessment Packet

Purpose

Through the CA Agreement, ADOT and the CA Agency will adhere to the responsibilities and requirements set forth by Federal Highway Administration (FHWA) when implementing the Federal Aid Highway Program (FAHP) in Arizona.

Objective

Define requirements of delegated authority from ADOT to the CA Agency for delivery of the FAHP under ADOT's CA Program.

Goal

Provide ADOT's expectations for the CA Agency project development program in delivering the FAHP, including the necessary project delivery processes and procedures.

Schedule

Submittals	Submit to ADOT LPA Section by
Procurement (Materials and/or Install)	December 7, 2018
Procurement (Consultant)	December 31, 2018
Roadway (Pavement Design, Design Guidelines and Design Exceptions)	January 31, 2019
Materials (Quality Assurance)	January 31, 2019
Right-of-Way	January 31, 2019
Disadvantaged Business Enterprises (DBE)	February 28, 2019
Project Delivery Manual	March 29, 2019
Staffing	March 29, 2019
Bid Analysis and Award	March 29, 2019
Subcontractor Approval	April 30, 2019
Performance Measures (Finance and Reporting)	April 30, 2019

Instructions

The Certification Acceptance Assessment Packet provides guidance for the Agency to evaluate and/or develop procedures in the administrative areas identified in the CA Agreement for compliance in delivering the FAHP.

The packet contains a list of essential documents and assessment questions related to each administrative area requiring ADOT review and approval. It is not mandatory for the Agency to have a single procedural document or manual for delivering the FAHP; however, it is highly recommended.

For each section of the packet:

- Note the due date for the submittal of the checklist and corresponding document(s) listed. Documents provided after the final ADOT submittal date for that submittal may jeopardize the Agency's CA status.
- Locate the Agency document(s) or manual(s) where procedures are housed for delivering FAHP projects.
- Compare and evaluate the current Agency procedures contained within the Agency's document(s) or manual(s) with the questions on the checklist.
- Update the current Agency procedures, where necessary.
- Answer "yes" or "no" for each question. Provide a brief explanation for each "no" answer.
- Identify the document, page, and paragraph for each question.
- Fill in the "Prepared by" box identifying who in the Agency verified the Agency's procedures and answered each question to complete the checklist.
- Submit the checklist and corresponding document(s) to the ADOT LPA Section.

Email all questions regarding the packet to Jennifer VanVenRoy at JVanvenroy@azdot.gov.

LPA Commonly Used Acronyms

AASHTO	American Association of State Highway Transportation Officials
ADA	Americans with Disabilities Act
A/E	Architectural/Engineering
ADOT	Arizona Department of Transportation
BECO	Business Engagement Compliance Office
CA	Certification Acceptance
C.F.R.	Code of Federal Regulations
CUF	Commercially Useful Function
DBE	Disadvantaged Business Enterprise
ECS	Engineering Consultants Section
EEO	Equal Employment Opportunity
EPRISE	DBE Special Provisions
FAHP	Federal-aid Highway Program
FHWA	Federal Highway Administration
GFE	Good Faith Effort
IGA	Intergovernmental Agreement
LPA	Local Public Agency
MAG	Maricopa Association of Governments
NCHRP	National Cooperative Highway Research Program
NEPA	National Environmental Policy Act of 1969
NHS	National Highway System
NOT	Notice of Termination
OJT	On-the-Job Training
QA	Quality Assurance
PAG	Pima Association of Governments
PS&E	Plans, Specifications and Estimates
QBS	Qualifications Based Selection
RDG	Roadway Design Group
RFQ	Request for Qualifications
ROW	Right-of-Way
SWPPP	Stormwater Pollution Prevention Plan

Procurement of Materials and/or Install

Agency Documents Approved By ADOT Procurement Group

- Completed ADOT Procurement Code Checklist (**Appendix C**)
- Procurement Code
- Other Procurement Procedures or Contract Documents, as needed

Submit to ADOT LPA Section before December 7, 2018

Assessment Questions

Question	Y/N	Document, Page, Paragraph
Do the Procurement Procedures or Contract Documents require the following for federal-aid contracts:		
Written competitive bidding thresholds for informal bids and purchases between \$10,000 and \$100,000 are to be awarded to a small business if possible?		
Bid Lists compiled and maintained through ProcureAZ or similar eProcurement method?		
Verification of employment records of contractors and subcontractors using e-verify?		
Compliance with the Significant Procurement Role requirements?		

Agency – Prepared by:	
Signature	
Printed Name	
Title	
Date	

ADOT – Approved by:	
Signature	
Printed Name	
Title	
Date	

Procurement of a Consultant

Agency Documents Approved By ADOT ECS Section

- Completed Certification Acceptance Contract Administration Procedures Review Checklist (**Appendix A**)
- Procurement Procedures – written process for advertising, evaluating, selecting, and negotiating contracts
- Contract Procedures – written process for contract administration and management
- Sample A/E RFQ Package – copies of what the Agency advertises as part of its solicitation
- Sample Contract Boilerplate Documents – copies of contract document used for FAHP projects

Submit to ADOT LPA Section before December 31, 2018

Assessment Questions

Question	Y/N	Document, Page, Paragraph
Is the Agency submitting Design Consultant Contracting (Procurement) Procedures? If yes:		
Do the Agency's Design Consultant Contracting (Procurement) procedures meet the federal and state laws, regulations and all other applicable requirements for qualification-based selection (QBS) process?		
Does the Agency use an ADOT approved prequalification process?		
If no, does the Agency use ADOT's prequalification list?		
Do the Agency's Procedures:		
Require notification to the ADOT PM of kickoff and progress meetings?		
Inform the ADOT PM of error and omission actions taken?		
Require contacting the ADOT PM for approval and FHWA concurrence before terminating a federal-aid contract?		
Include a tracking and reporting process for on-call assignments, if applicable?		
On-Call Design Procurement Procedures		
Is the Agency submitting Design Consultant On-Call Procurement Procedures? If yes:		
Does the Agency's Procedures include On-Call procurement procedures?		
Do the CA Agency's procedures identify and define one of the two task or work orders assignment processes?		
Mini QBS procedures		
Regional selection		
Do the CA Agency's procedures Include a tracking and reporting process for on-call assignments?		
Will the Agency be requesting an approval from ADOT before advertising for procurement of On-Call services?		

See **Appendix B** for additional resources.

Agency – Prepared by:	
Signature	
Printed Name	
Title	
Date	

ADOT – Approved by:	
Signature	
Printed Name	
Title	
Date	

Roadway: Pavement Design

Agency Document Reviewed By ADOT LPA Section

Pavement Design Guidelines

Submit to ADOT LPA Section before January 31, 2019

Assessment Questions

Question	Y/N	Document, Page, Paragraph
On Local NHS Roadways:		
Does the Agency have its own adopted and published Pavement Design Standards for the design and construction of Local NHS Roads/Streets?		
Is MAG Uniform Standard Specifications and Details, or PAG Standard Specifications for Public Improvements incorporated?		
For NHS Roadways, do the Agency's standards comply with 23 CFR 626?		
On Local Non - NHS Roadways:		
Does the Agency have its own adopted and published Pavement Design Standards for the design and construction of Local non-NHS Roads/Streets?		
Is MAG Uniform Standard Specifications and Details, or PAG Standard Specifications for Public Improvements incorporated?		
For Agency Projects within ADOT Right-of-Way, do the Agency's Pavement Design Guidelines comply with the following:		
<ul style="list-style-type: none"> • ADOT Standard Specifications for Road and Bridge Construction and Stored Specifications. 		
<ul style="list-style-type: none"> • ADOT Materials Preliminary Design Guide 		
<ul style="list-style-type: none"> • AASHTO Design Guidelines. 		

See **Appendix B** for additional resources.

Agency – Prepared by:	
Signature	
Printed Name	
Title	
Date	

ADOT – Reviewed by:	
Signature	
Printed Name	
Title	
Date	

Roadway: Design Guidelines

Agency Document Reviewed By ADOT LPA Section

Roadway Design Guidelines

Submit to ADOT LPA Section before January 31, 2019

Assessment Questions

Question	Y/N	Document, Page, Paragraph
On Local NHS Roadways:		
Does the Agency have its own adopted and published Roadway Design Standards for the design and construction of Local NHS Roads/Streets?		
Do the Agency's Roadway Design Standards incorporate and conform to the AASHTO Controlling Design Criteria?		
On Local non-NHS Roadways:		
Does the Agency have its own adopted and published Roadway Design Standards for the design and construction of Local non-NHS Roads/Streets?		
For State Agency Projects within ADOT Right-of-Way, do the Agency's Roadway Design confirm and comply with the following:		
<ul style="list-style-type: none"> AASHTO Controlling Design Criteria. 		
<ul style="list-style-type: none"> ADOT Roadway Design Guidelines (RDG) 		
<ul style="list-style-type: none"> All other applicable adopted and published ADOT design standard and guidelines. 		

See **Appendix B** for additional resources.

Agency – Prepared by:	
Signature	
Printed Name	
Title	
Date	

ADOT – Reviewed by:	
Signature	
Printed Name	
Title	
Date	

Roadway: Design Exceptions

Agency Document Reviewed By ADOT Roadway Engineering Group

Design Exception Procedures

Submit to ADOT LPA Section before January 31, 2019

Assessment Questions

Question	Y/N	Document, Page, Paragraph
On Local - NHS Roadways:		
Does the Agency have an adopted and published Design Exception procedure that follows FHWA Design Exception procedures?		
Do the Agency's procedures address documentation and requirements for addressing exceptions to the AASHTO Controlling Design Criteria?		
Do the Agency's procedures include submitting to and obtaining approval from the FHWA for design exceptions?		
On Local Non - NHS Roadways:		
Does the Agency have an adopted and published Design Exception procedure?		
For Agency Projects within ADOT Right-of-Way:		
a. Does the Agency have an adopted and published Design Exception procedure that follows FHWA and ADOT Design Exception procedures?		
b. Do the Agency's procedures address documentation and requirements for addressing exceptions to the AASHTO Controlling Design Criteria and ADOT Roadway Design Guidelines?		
c. Do the Agency's procedures include submitting to and obtaining approval from ADOT and the FHWA for design exceptions?		

See **Appendix B** for additional resources.

Agency – Prepared by:	
Signature	
Printed Name	
Title	
Date	

ADOT – Reviewed by:	
Signature	
Printed Name	
Title	
Date	

Materials QA Program

Agency Document Reviewed By ADOT Construction-Materials Group

Materials QA Program or a letter signed by the Designated Approval Authority stating that the Agency adopts the ADOT Materials QA Program

Submit to ADOT LPA Section before January 31, 2019

Assessment Questions

Question	Y/N	Document, Page, Paragraph
Does the Agency have its own ADOT-approved Materials QA Program?		
If no, has the Agency adopted the ADOT Materials QA Program?		
Does the Materials QA Program:		
Require the inclusion of the materials memo in the construction authorization packet and project file?		
Require the inclusion of the ADOT-approved Materials QA Project Plan in the construction authorization packet?		
Apply the Buy America provision to the entire FAHP project?		
Require verification that the Buy America certifications accompany each material shipment including steel or iron products?		
Require visual inspection and documentation in the daily diaries of the Buy America certifications when materials are delivered to the project site?		

See **Appendix B** for additional resources.

Agency – Prepared by:	
Signature	
Printed Name	
Title	
Date	

ADOT – Reviewed by:	
Signature	
Printed Name	
Title	
Date	

ROW Procedures

Agency Document Approved By ADOT ROW Section

ROW Procedures

Submit to ADOT LPA Section before January 31, 2019

Assessment Questions

Question	Y/N	Document, Page, Paragraph
Does the Agency have its own written ROW manual? If "No", please explain. If "Yes", has the Agency ROW manual been submitted and approved for use on Federal Aid Projects?		
If the Agency uses its own ROW manual, has it been updated to reflect changes created by updates to Title 23 Parts 635, 710 and 810?		
Is the Agency adequately staffed, equipped and organized to discharge all its real property related responsibilities as per 23 CFR Part 710.201 (b)?		
Does the Agency have a property management section that maintains records of Real Property Interest, acquired and disposed of in accordance with Title 23 funds, and is the management process spelled out in ROW manual?		
Does the Agency submit to the ADOT ROW Group a request for concurrence of Right of Way clearance prior to advertising a project for construction noting that one of four conditions have been met per 23 CFR Part 635.309 (c)?		
Does the Agency submit to the ADOT ROW Group all conditional Right of Way clearances for approval and concurrence by FHWA prior to advertisement of all federal aid projects?		
Does the Agency request property donations from non-governmental owners whose Real Property Interest is required for Title 23 projects? If "Yes," does that donation meet the requirement per 23 CFR 710.505(a)?		
Does the Agency submit all administrative settlements to the ADOT ROW Group for concurrence before finalizing them with a property owner as part of the program oversight responsibilities?		
Does the Agency avoid contact with an affected property owner for purposes of negotiation and relocation assistance until after NEPA approval, except as provided for in 23 CFR 710.501 and 710.503?		
Does the Agency perform acquisition and related relocation assistance activities in accordance with 49 CFR Part 24 and 23 CFR 710?		
Is the amount, the Agency believes to be just compensation for a Real Property Interest approved by a responsible official		

of the Agency?		
Does the Agency provide a person, affected by a project, with a written description of the Real Property Interest acquisition process under state and federal law, which clearly informs the owners of their rights and obligations?		
Does the Agency include the preparation of right of way plans in their Federal Aid projects (CFR or Statute reference)? If no, how does the Agency depict real property acquisitions for their project personnel, appraisers and project impact communication with the property owners?		
Does the Agency maintain a written log/diary (contact report) of each and every contact with the property owner including the agency acquisition person who contacted them, date of contact, person contacted, matters discussed and any and all outcomes in sufficient detail that if another agent/negotiator had to take over, a new agent could continue as if they had worked on the parcel assignment all along and that it would reveal the acquisition/relocation was accomplished in accordance with the federal guidelines?		

Agency – Prepared by:	
Signature	
Printed Name	
Title	
Date	

ADOT – Reviewed by:	
Signature	
Printed Name	
Title	
Date	

DBE Procedures

Agency Documents Reviewed By ADOT BECO

DBE Procedures

Submit to ADOT LPA Section before February 28, 2019

Assessment Questions

Question	Y/N	Document, Page, Paragraph
Does the Agency follow the current ADOT FHWA DBE Plan?		
Does the Agency follow the current DBE EPRISE (DBE contract language)?		
Does the Agency have a DBE Liaison?		
Do the DBE Procedures require the agency to:		
Follow the most current DBE Plan, DBE EPRISE (DBE contract language)		
Submit the required documents to ADOT BECO for Federal-aid Highway Program (FAHP) projects to be assessed for DBE Goal and ensuring the DBE Goal is "valid" for advertisement		
Obtain from BECO and provide to bidders and proposers all current BECO LPA Forms		
Include a "valid" DBE goal percentage in advertisement, solicitations, and contract documents		
Provide written notice to BECO and the ADOT PM immediately before termination of a FAHP contract related to the DBE Program.		
Conduct a bid analysis process to justify the approval or rejection of submitted DBE Assurance Form and DBE Affidavits forms and request concurrence from ADOT BECO.		
Ensure receipt of Bid Verification Notice from ADOT BECO before contract award.		
Ensure Good Faith Effort (GFE) documentation is provided to meet requirements of EPRISE Specifications (as applicable)		
Notify ADOT PM and ADOT BECO of contract award or rejection of bids.		
Report contract awards to BECO by the 10th of the month following contract award.		
Ensure committed DBEs subcontracts are provided to agency by prime at preconstruction meeting.		
Monitor contract, contractor and subcontractor information, and report prime payments in the LPA DBE System in accordance with Prompt Payment & Payment Reporting Provisions.		

Question	Y/N	Document, Page, Paragraph
Monitor and enforce the Prompt Payment & Payment Reporting Provisions for prime contractor payments to subcontractors.		
Monitor DBE participation to ensure the Termination, Substitution, Reduction EPRISE specifications are met.		
Monitor DBE utilization on projects, notifying ADOT BECO when aware of a potential issue that may affect DBE commitments made at award.		
Conduct a Commercially Useful Function (CUF) review for each DBE on a FAHP project.		
Obtain Certification of Final DBE Payment forms from prime contractor and determine if established DBE goal has been met.		
Monitor FAHP contracts for compliance and consider imposing sanctions when a contractor fails to be in compliance with EPRISE specifications.		
Monitor LPA DBE System in preparation for the semi-annual reporting by ensuring contract payments are up date.		
Ensure timely closeout of contracts in the LPA DBE System.		

Agency – Prepared by:	
Signature	
Printed Name	
Title	
Date	

ADOT – Reviewed by:	
Signature	
Printed Name	
Title	
Date	

Project Delivery Manual

Agency Documents Reviewed By ADOT LPA Section

- FAHP Project Delivery Manual – title page, table of contents, publication or modification date
- Other manuals as needed – title page, table of contents, publication or modification date
- Schedule for updating the Project Delivery Manual and any other manuals listed below

Submit to ADOT LPA Section before March 29, 2019

Assessment Questions

Question	Y/N	Document, Page, Paragraph
Does the Agency have a single Project Delivery Manual?		
Does the Project Delivery Manual contain or incorporate through reference the following:		
Staffing Plan?		
Communication Plan?		
Training Plan?		
Roadway: Pavement Design Guidelines?		
Roadway: Design Guidelines?		
Roadway: Design Exception Procedures?		
Materials QA Program?		
ROW Procedures?		
Procurement of a Consultant?		
Procurement of Materials and/or Install?		
Bid Analysis and Award Procedures?		
Subcontract Approval Procedures?		
ADA Transition Plan?		
Title VI Program Plan?		
DBE Procedures?		
Financial Management Procedures?		
Audit and Oversight Procedures?		
Reporting Procedures?		
Does the Project Delivery Manual or another manual address the following:		
Request for proposal, qualifications, and/or bids will be issued within 90 days from FHWA authorization?		
Pre-planning?		
Project initiation?		
Scoping document?		
PS&E development?		
Environmental document?		
Utilities clearance?		
Railroad clearance?		
Materials memo?		
Pre-construction meetings?		
SWPPP?		
Labor compliance?		
Inspector daily diaries?		
Supplemental agreements?		
Progress payments?		
Prompt pay?		

Question	Y/N	Document, Page, Paragraph
Claims?		
Final acceptance?		
Project closeout?		
Record keeping?		
EEO?		
OJT?		
Authorization?		
Reimbursement?		
Do the FAHP Contract Approval Procedures require the contract include the following, as applicable:		
Buy America Requirements?		
FHWA Non-Collusion Statement?		
FHWA Form 1273?		
USDOL OFCCP EEO Clause, Notice of Requirement for Affirmative Action (Exec. Order 11246) and EEO Contract Specifications (Exec. Order 11246)?		
Sanctions and Penalties for Breach of Contract?		
Termination for Cause and Convenience?		
Clean Air Act/Federal Water Pollution Control Act?		
Debarment and Suspension		
Byrd Anti Lobbying Amendment?		
Language regarding compliance with and federal and state immigration laws and regulations?		
Title VI Assurances, and Appendices A and E?		
Does the Project Delivery Manual include a schedule for updating the manual(s)?		
Is the Project Delivery Manual posted on the Agency's internal website or made readily available for all staff involved in FAHP projects?		

Agency – Prepared by:	
Signature	
Printed Name	
Title	
Date	

ADOT – Reviewed by:	
Signature	
Printed Name	
Title	
Date	

Staffing Plan

Agency Documents Reviewed By ADOT LPA Section Organizational Chart

Submit to ADOT LPA Section before March 29, 2019

Assessment Questions

Question	Y/N	Document, Page, Paragraph
Does the Agency's Organizational Chart accurately identify current Key Personnel?		
Does the Agency's Organizational Chart identify position title and contact information for each Key Personnel?		
Does the Agency have a well-documented process for adding/deleting/modifying Key Personnel? Does the Agency's process include providing an advance written notice to the ADOT LPA Section when Key Personnel changes occur?		

See the list of Key Personnel and Roles and Responsibility below for more information.

Key Personnel	Role and Responsibility
Designated Approval Authority	Official with the authority to formally assume responsibility for the implementation of the project development program and delivery of FAHP projects.
CA Liaison	An executive decision maker with working knowledge of the CA Program and main point of contact for ADOT.
Responsible Charge	Note: If the responsible charge is not a full-time Agency employee, the Agency must designate a full-time employee in responsible charge for the project.
Title VI Coordinator	Designated individual directly responsible for the management and administration of the Agency's ADOT-approved Title VI Program Plan.
ADA Coordinator	Designated individual directly responsible for the Agency's compliance with its ADA Transition Plan.
DBE Liaison	Designated individual directly responsible for implementing and monitoring DBE Program activities and advising the Agency fully and properly of DBE Program Plan issues.
ROW Agent	Designated individual directly responsible for the Agency's compliance with federal requirements for ROW activities, administration of appraisal, acquisition, and relocation activities, and preparation of the ROW Plan and ROW Clearance Letter.

Agency – Prepared by:	
Signature	
Printed Name	
Title	
Date	

ADOT – Reviewed by:	
Signature	
Printed Name	
Title	
Date	

Bid Analysis & Award Procedures

Agency Documents Reviewed By ADOT LPA Section

- Bid Analysis & Award Procedures
- Bid Analysis Documentation Template (form or checklist is acceptable)

Submit to ADOT LPA Section before March 29, 2019

Assessment Questions

Question	Y/N	Document, Page, Paragraph
Do the Bid Analysis & Award Procedures comply with 23 C.F.R. 635.114?		
Do your bidding procedures and related documents comply with 23 C.F.R. 635.110(c) which allows the contractor to bid on the contract prior to obtaining a license before award of a contract?		

Prepared by:	
Signature	
Printed Name	
Title	
Date	

Reviewed by:	
Signature	
Printed Name	
Title	
Date	

Subcontract Approval Procedures

Agency Documents Reviewed By ADOT LPA Section

- Subcontractor Approval Procedures
- Subcontractor Request Form or equivalent

Submit to ADOT LPA Section before April 30, 2019

Assessment Questions

Question	Y/N	Document, Page, Paragraph
Do the Subcontractor Approval Procedures require the subcontract include the following, as applicable:		
ADOT project number?		
Executed date?		
Correct name of prime or higher tier company?		
Correct name of subcontractor?		
Signature of prime or higher tier and subcontractor with dates and titles?		
Record retention language?		
Language regarding compliance with federal and state immigration laws and regulations?		
EEO Clause?		
Form FHWA-1273?		
Title VI Assurances, and Appendices A and E?		
USDOL OFCCP EEO Clause, Notice of Requirement for Affirmative Action (Exec. Order 11246) and EEO Contract Specifications (Exec. Order 11246)?		
Project Wage Determination?		
DBE Contractor Compliance Agreement Assurances?		
Do the Subcontractor Approval Procedures require:		
For committed DBE subcontractors, verification that the subcontract amount is equal to or greater than the DBE committed amount?		
Verification that the subcontractor has an ROC license for the work to be performed, if applicable, and is not suspended or debarred?		
Use of a Subcontractor Request Form or equivalent?		
Verification that information on the Subcontractor Request Form or equivalent matches the information in the subcontract (i.e., bid item, dollar amount)?		

See **Appendix B** for additional resources.

Prepared by:	
Signature	
Printed Name	
Title	
Date	

Reviewed by:	
Signature	
Printed Name	
Title	
Date	

Financial Management Procedures

Agency Documents Reviewed By ADOT LPA Section

- Financial Management Procedures

Submit to ADOT LPA Section before April 30, 2019

Assessment Questions

Question	Y/N	Document, Page, Paragraph
Do the Financial Management Procedures:		
Identify the financial management system used?		
Require federal authorization before eligible costs can be incurred?		
Address progress payments to contractors?		
Require adequate source documentation to support progress payments (i.e., contractor/vendor invoices, time sheets, expense vouchers, materials records, certifications)?		
Identify the approval process before making payments to the contractor?		
Identify a process for avoiding duplicate payments?		
Comply with the Arizona Prompt Payment Act?		
Identify standards for determining whether costs are allowable for federal reimbursement?		
Describe the process for seeking federal reimbursement through ADOT?		
Include a quarterly reimbursement billing process?		
Include a process for communicating project extensions (i.e. rebid, construction delays, delays in advertising for design, etc.) to ADOT?		

Agency – Prepared by:	
Signature	
Printed Name	
Title	
Date	

ADOT – Reviewed by:	
Signature	
Printed Name	
Title	
Date	

Appendix A

ADOT ECS Certification Acceptance Contract Administration Procedures Review Checklist

<https://www.azdot.gov/business/engineering-consultants/LocalPublicAgencyConsultantProcurement/documents>

Appendix B Resources

Procurement of a Consultant

ADOT ECS Certification Acceptance Agency Contract Administration Guidelines for Federal-aid Project

<https://www.azdot.gov/business/engineering-consultants/LocalPublicAgencyConsultantProcurement/documents>

ADOT ECS Certification Acceptance Contract Administration Procedures Review Checklist

<https://www.azdot.gov/business/engineering-consultants/LocalPublicAgencyConsultantProcurement/documents>

ADOT ECS Terms and Conditions

<https://www.azdot.gov/business/engineering-consultants/LocalPublicAgencyConsultantProcurement/documents>

ADOT ECS Forms and Templates

<https://www.azdot.gov/business/engineering-consultants/FormsandTemplates>

Procurement of Materials and/or Install

ADOA-SPO Form 120 – Procurement Disclosure Statement

<https://spo.az.gov/spo-forms>

Pavement Design Policy

ADOT Materials Section Preliminary Engineering and Design Manual

<http://azdot.gov/business/engineering-and-construction/MaterialsGroup/materials-manuals>

Design Exceptions Procedures

ADOT Roadway Engineering Group Design Exception and Design Variance Process Guide

<https://azdot.gov/business/engineering-and-construction/roadway-engineering/roadway-design/standards-and-guidelines>

FHWA Guidance on NHS Design Standards and Design Exceptions

<http://www.fhwa.dot.gov/design/standards/qa.cfm>

Materials QA Program

ADOT Materials Quality Assurance Program

<https://www.azdot.gov/business/engineering-and-construction/construction-and-materials/quality-assurance>

ADOT Local Public Agency Certification Acceptance Quality Assurance Requirements

<https://www.azdot.gov/business/engineering-and-construction/construction-and-materials/quality-assurance>

ADA Transition Plan

Civil Rights Americans with Disabilities Act Transition Plans

<https://www.fhwa.dot.gov/federal-aidessentials/companionresources/32transitionplans.pdf>

Questions and Answers about ADA/Section 504

https://www.fhwa.dot.gov/civilrights/programs/ada_sect504qa.cfm

NCHRP ADA Transition Plans: A Guide to Best Management

Practices http://www.fhwa.dot.gov/indiv/docs/ada_transition_plans_report.pdf

State Transportation Agency (STA) Responsibilities

<https://www.fhwa.dot.gov/resourcecenter/teams/civilrights/>

Subcontractor Approval Procedures

System for Award Management

<https://www.sam.gov/portal/SAM/##11>