SUBRECIPIENT/LOCAL PUBLIC AGENCY FEDERAL-AID CONTRACTS
FTA COMPLIANCE CHECKLIST
_____ AGENCY NAME

Step	Compliance Requirements	Complete (Check box)	Activity SUBRECIPIENT/LPA	ADOT
PRE AWARD CONTRACTS ISSUED BY SUBRECIPIENT				
1.	DBE language in contracts and subcontracts Note: DBE assurances are contained within the original grant application with ADOT. See Grant Contract for DBE language	☐	Include in contracts at all tiers	Subject to monitoring
2.	Race Neutral Program - no goals are set on projects, although DBE participation is strongly encouraged ADOT overall FTA DBE goal - 3.82%	☐	Conduct outreach activities and advertisement of projects to reach DBE firms http://www.azdot.gov/azdbe/DBE_search.aspx http://www.azdot.gov/Inside_ADOT/CRO/DBEP_SS.asp	Provide assistance and support. Subject to monitoring
POST AWARD CONTRACTS ISSUED BY SUBRECIPIENT				
3.	Notice of Contract Award	☐	Within one week of contract execution, submit form to ADOT at: ContractCompliance@azdot.gov	Subject to monitoring
4.	Contract in Arizona Local Public Agency (LPA) Contract Management System https://arizonalpa.dbesystem.com	☐	Enter and ensure all contractors and subcontractors, DBE and non-DBE payments are captured in the system.	Monitor contracts for accurate capture in the LPA System for compliance.

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			SUBRECIPIENT/LPA	ADOT
5.	Payments in LPA System https://arizonalpa.dbesystem.com	☐	Verify and monitor timely payment to prime contractor within 30 days and prime to contractor payment to DBE and Non-DBE contractors or subcontractors within 7 days into LPA System in accordance with Arizona Statues prompt pay regulation ARS 32-1129.02: http://www.azroc.gov/statutes/index.asp?statute=32-1129.02 LPA system will send out payment verification emails to primes, DBEs and other subcontractors. Ensure verifications are completed by Primes, DBEs and other subcontractors each month	Monitor accurate capture of payments for compliance.
6.	DBE Commercially Useful Function (CUF) Review	☐	Assist and collaborate with ADOT during the review process	Conducts the review process
7.	DBE Truck Review (Construction only) *if applicable	☐	Assist and collaborate with ADOT during the review process	Conducts the review process
	CLOSEOUT OF CONTRACTS ISSUED BY SUBRECIPIENTS			
8.	Professional Services Certificate of Payments *Form 316S* Construction Certification of Payments *Form 306S* http://www.azdot.gov/inside_adot/CRO/FTA.asp	☐	Completed form to be uploaded into the LPA System and emailed to ContractCompliance@azdot.gov	Review forms for accuracy and compliance.

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Step	Compliance Requirements	Complete (Check box)	Activity SUBRECIPIENT/LPA	ADOT
9.	Payments in LPA System	☐	Ensure all awards and payments are captured including all payments to DBEs and non DBEs in the LPA system.	Monitor and review for compliance.
10.	Closeout contract in LPA System	☐	Closeout contract in LPA System	Monitor and review for compliance
	REPORTING			
11.	Enter ALL federal funded projects with competitive contracting opportunities (ALL TIERS) in LPA System https://arizonalpa.dbesystem.com	☐	Enter contracts when contracts begun. Include all prime and subcontracting opportunities including lower tiers subcontractors and vendors	Monitor and review for compliance
12.	Accurate capture of contract data in LPA System to support Semi Annual Reporting	☐	Report payments at time of ADOT reimbursement request (monthly). Check accuracy of records.	Monitor and review for compliance
13.	Deadlines May 1 and November 1 of each year	☐	Monitor contract closeouts in the LPA System before deadlines in support of FTA Semi Annual Reporting	Monitor and review for compliance

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