

Financial Management Procedures

Agency Documents Reviewed By ADOT LPA Section

- Project Initiation and Authorization
- Project Management and Administrative Functions
- Final Acceptance Letters
- Final Reconciliation
- Project Closeout Submission

Submit to ADOT LPA Section before December 8, 2023

Assessment Questions

Question	Y/N	Document, Page, Paragraph <i>(To be completed by CA)</i>	Check if changed since 2019 <i>(CA to complete)*</i>	Item of Concern <i>(SME use only)*</i>
Project Initiation and Authorization				
Do the Financial Management Procedures:				
Describe Project Authorization Request timeline to ensure expenditures will be requested for reimbursement within 90 days of authorization to prevent project from being Federally Inactive.				
Require federal authorization before eligible costs can be incurred.				
Project Management and Administrative Functions				
Do the Financial Management Procedures:				
Identify the financial management system used?.				
Identify standards for determining whether costs are allowable for federal reimbursement.				

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.				
Describe the process for seeking Federal reimbursement through ADOT including documentation attached to reimbursement.				
Describe process to submit documentation itemizing Match has been met relating to the Federal reimbursements requested submitted to ADOT.				
Include a quarterly reimbursement billing process. Including a \$0 request if there is no reimbursements necessary in any given quarter.				
Identify tracking mechanism of Project End Date and actions needed to extend end date with ADOT and FHWA.				
Include a process for communicating project extensions (i.e. rebid, construction delays, delays in advertising for design, etc.) to ADOT.				

Final Acceptance Letters				
Does the CA use the FHWA Final Acceptance Report (Form 1446B), found in Appendix G of the FHWA Construction Program Management and Inspection Guide? <i>(FHWA does not require the use of this form, instead agencies may choose to prepare their own Final Acceptance letters)</i>				
If yes, provide an example of Form 1445B used by your agency. This form is the "Preferred FHWA-produced document for the final acceptance of a project."				
If no, provide an example of your agency's Final Acceptance letter that references the specific specification(s) used for the approved design (i.e. MAG standards and specifications, including the reference to MAG Uniform Standard Specification 105.15(B), etc.)				
Final Reconciliation				
Describe closeout procedures prior to submission to ADOT to include but not limited to:				
Verification of payment accuracy and eligibility for reimbursement.				
Creation of a summary report by scope of work including non federal reimbursable expenses.				
Project Closeout Submission				
Is the cover sheet with the confirmations and contact information included?				

Is the Final Acceptance Letter or Closeout Letter reviewed and attached to the closeout package?				
Is the Closeout Confirmation addressed to ADOT attached to the closeout package?				
Is the Total Project Cost Summary attached to the closeout package?				

The Certification Acceptance Agency attests to the following (check the following applicable box):

<input type="checkbox"/>	No changes made since 2019	<input type="checkbox"/>	The following changes since 2019 are noted above
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Agency – Prepared by:	
Signature	
Printed Name	
Title	
Date	

ADOT – Reviewed by:	
Signature	
Printed Name	
Title	
Date	

***Item of Concern Documentation:**