

2024 Certification Acceptance Agencies Certification Academy Introduction

ADOT Local Public Agency Section Process Branch
August 16, 2023
Presenter: Rolanda Smedley, ADOT LPA Process Manager

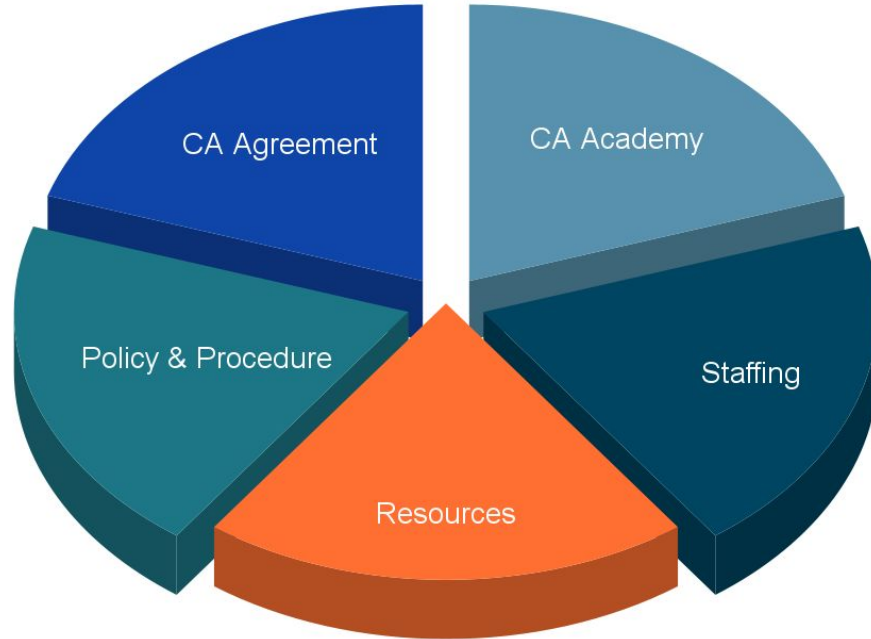
Recertification/Certification

Certification Acceptance (CA) Certification Academy is offered as part of the certification/recertification process

- Available to the existing eight (8) CAs, as well as any potential CA candidates
- Scheduled to be completed in Fall 2024

ADOT will assess each agency's capability, capacity, experience and knowledge to administer Federal Aid Highway Program (FAHP) projects

Required Elements of the Certification Assessment



Purpose of Training

The CA Certification Academy will provide an overview of the essential activities required for the certification of Local Public Agencies (LPA) to administer FAHP projects

Background

FAHP is a federally-assisted program of state-selected transportation projects.

Federal Highway Administration (FHWA) can delegate certain FAHP and project-level responsibilities to the state, per:

- Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA);
- Transportation Equity Act for the 21st Century of 1998 (TEA-21);
- Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users of 2005 (SAFETEA-LU); and
- Moving Ahead for Progress in the 21st Century Act of 2012 (MAP-21)

Background

23 U.S.C. 106(c)(3) requires that FHWA and ADOT enter into an agreement outlining the responsibilities ADOT assumes

- The FHWA and ADOT Stewardship and Oversight Agreement for Arizona

Similarly, per 23 CFR 635.105, ADOT may delegate certain activities, under supervision, to LPAs

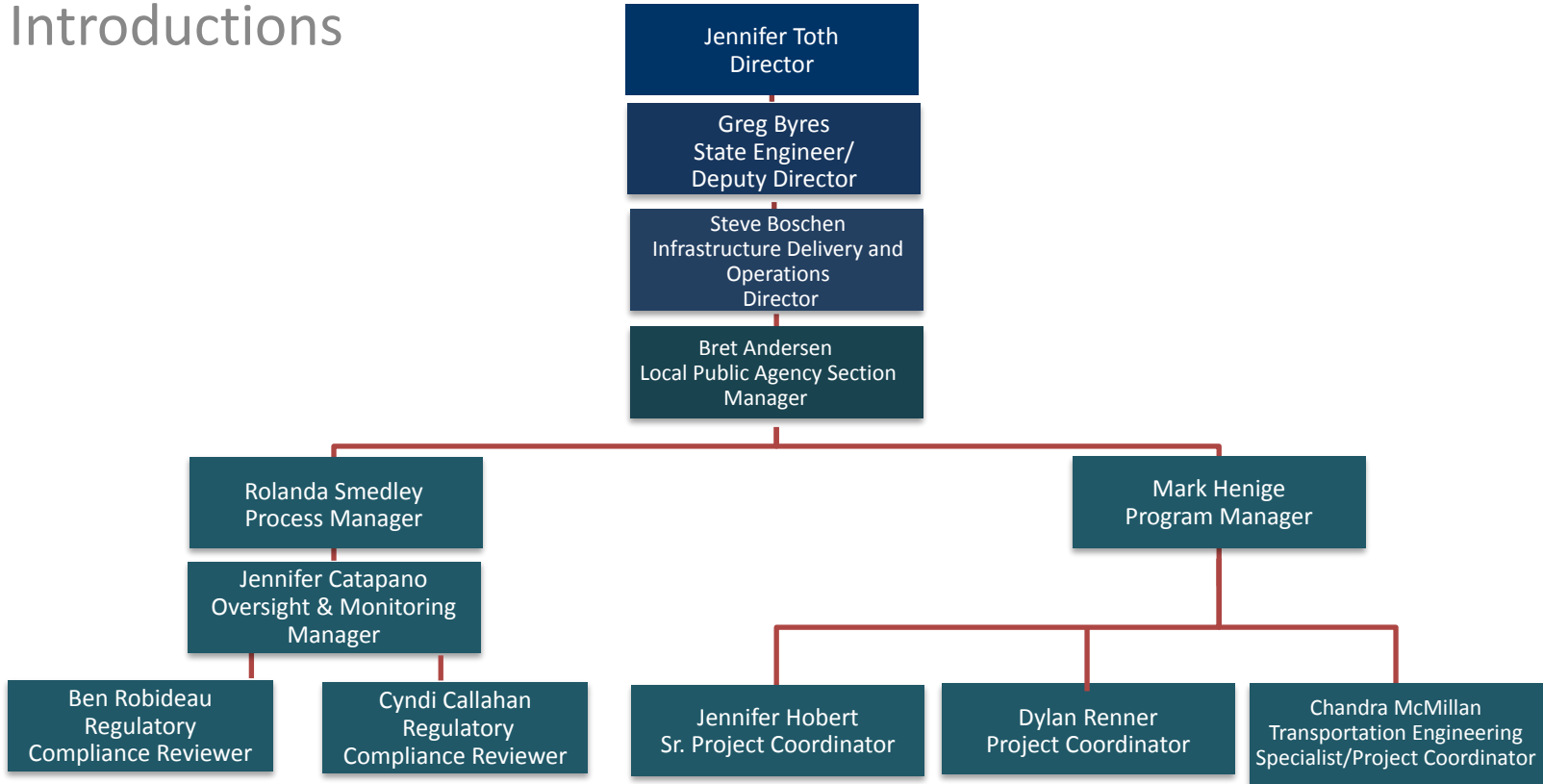
- Certification Acceptance Agreement

Background

The Arizona Department of Transportation (ADOT) is the recipient of Federal-aid Highway funds for the state

ADOT is responsible for ensuring that all Federal-aid Highway funds are expended in accordance with applicable laws and regulations

Introductions



Certification Acceptance Agreement

Certification Acceptance Agreement is a formal agreement between the CA and ADOT

- Outlines the roles and responsibilities of the CA, ADOT, and FHWA in administering the FAHP. These roles include:
 - Oversight
 - Stewardship
 - Delivery
- Defines ADOT's expectations of the CA
- Readily available to CA staff working on FAHP projects

Expectations

- Ensure proper stewardship of taxpayer funds
- Deliver FAHP projects in accordance with the CA Agreement; federal and state laws and regulations
- Develop and follow a project development program
- Maintain adequate staffing to deliver program
- Ensure staff are suitably equipped and knowledgeable
- Work with ADOT and FHWA to obtain required reviews and approvals

Project Development Program

ADOT will assess whether the CA has adequate project delivery systems and sufficient accounting controls in place to manage projects and deliver the FAHP. The CA must have documented policies and procedures:

- Audit and Oversight Procedures
- Bid Analysis and Award Procedures
- Bridge Procedures
- Communication Plan
- Disadvantaged Business Enterprise Procedures
- Financial Management Procedures
- Materials QA Program
- Procurement of a Consultant
- Procurement of Materials and/or Install
- Delivery Manual
- Reporting Procedures
- Right of Way Procedures
- Roadway (Pavement Design, Design Guidelines, Design Exceptions & Variances)
- Staffing Plan
- Subcontract Approval Procedures

CA Key Personnel

Designated Approval Authority

- Contract signatory
- Ultimately responsible for CA's delivery program
- Ensures compliance of FAHP projects

CA Liaison

- Primary contact for ADOT
- Familiar with CA Agreement and ADOT CA Manual
- Coordinates and communicates with internal staff
- Assists in identifying appropriate internal staff to address issues, when requested from ADOT and FHWA

CA Designated Personnel

- Designated Approval Authority
- CA Liaison
- Responsible Charge
- ADA Coordinator
- DBE Liaison
- ROW Agent
- Title VI Coordinator

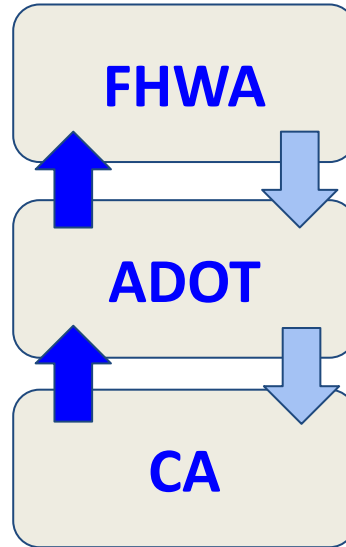
Changes in Designated Personnel

The CA must notify the ADOT LPA Section Manager in writing (with a cc to the ADOT LPA Process Manager) of the CA's plan to reassign the duties to existing staff or fill the vacated position. The following information must be provided:

- Name of the departing personnel
- Date of departure
- Name of replacement (interim or permanent)
- Title and contact information
- Date replacement assumed the role

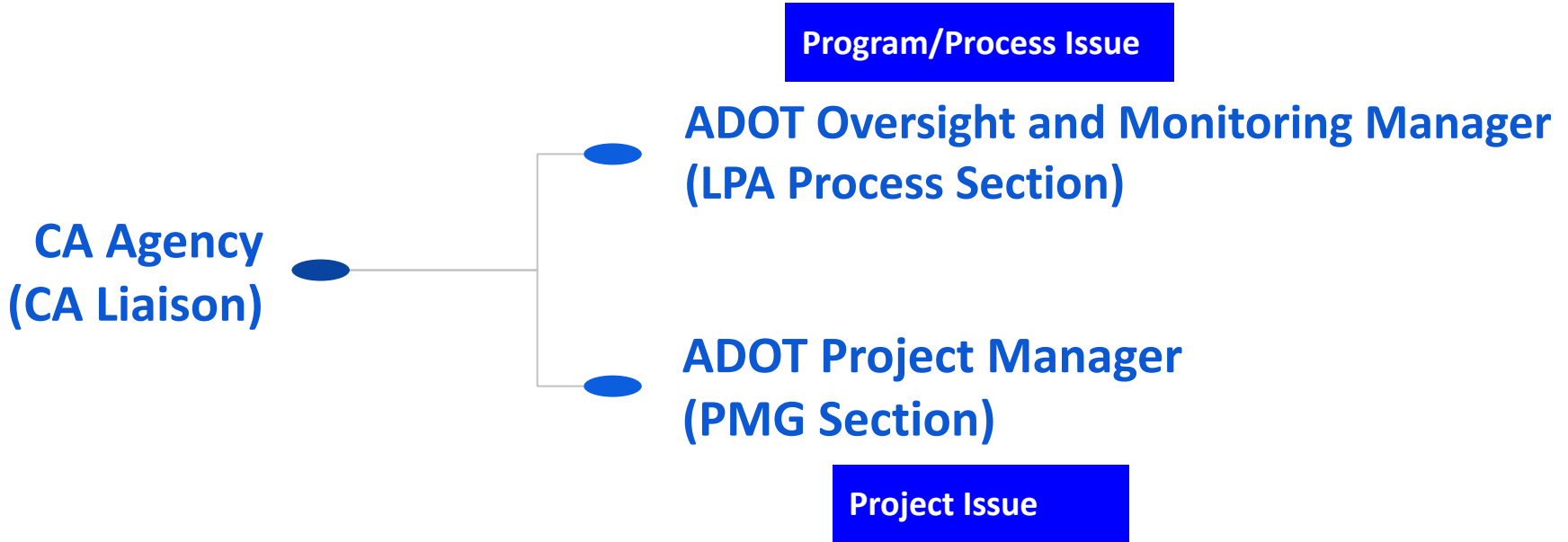
If a designated position cannot be filled, then the responsibility of the role will revert back to ADOT.

Communication Protocol - Hierarchy Approach



Contacting ADOT

Goal: Resolve issues at lowest level whenever possible



Oversight and Monitoring (O&M)

O&M is happening at all levels:

- FHWA
 - Compliance Assessment Program (CAP) reviews
 - Projects of Division Interest (PODIs)
 - Financial Integrity Review and Evaluation (FIRE) reviews
- ADOT
 - Audits
 - Contract reviews
 - Performance reviews
- CA
 - Internal system
 - Quality Control/Quality Assurance (QC/QA) reviews

Why do we do O&M?

- Stewardship
- Oversight
- Monitoring
- Compliance

Benefits of O&M

- Use as a learning tool, self-assessment
- Evaluate effectiveness internal delivery process
- Assess agency's strengths and weaknesses
- Continuous improvement
- Identify and share best practices
- Identify internal training needs
- Ensure policies and processes remain current, up-to-date

Annual Report

CA documents and evaluates their performance during the Federal Fiscal Year (FFY)

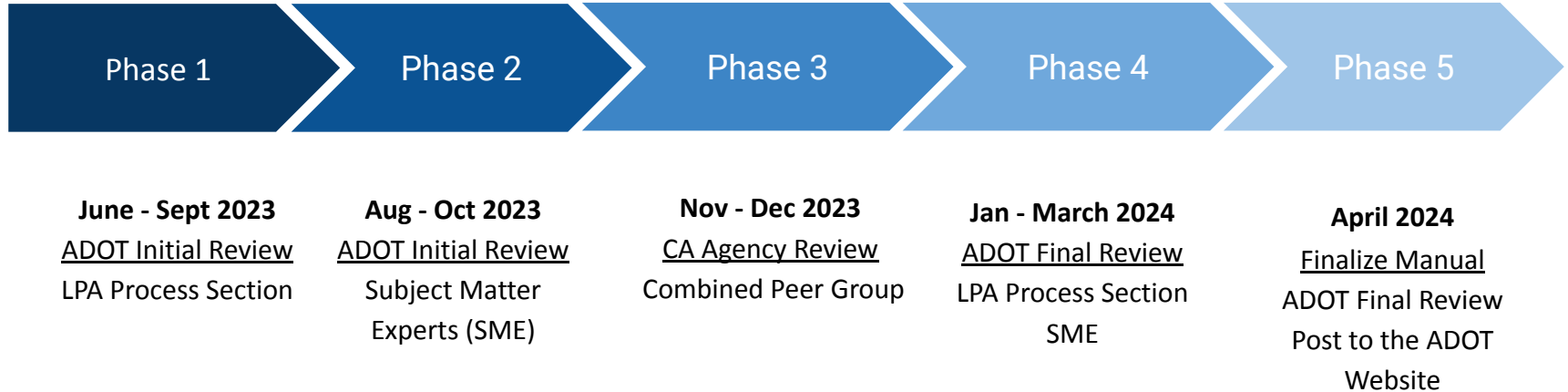
- Accomplishments (number of projects initiated, completed)
- Status of delivery program
- Internal oversight and monitoring assessment
- Goals for following year (training needs, process improvements, etc.)

Reports will be due from the CAs to ADOT no later than October 31st

Recertification/Certification Process

- June - July 2023
 - 2024 Certification kick off letter from ADOT to CA Transportation Directors
- June 2023 to April 2024
 - Certification Acceptance (CA) manual update
- August 16, 2023
 - Certification Academy
- September 2023 to March 2024
 - Checklist submittal and completion
 - Sharefile access granted to the CA liaison 3 weeks prior to Assessment Packet due dates
- October 2023 to April 2024
 - Draft agreement review from October 2023 to April 2024
 - Agreement provided to CA agency by April 30, 2024
 - Final signed agreements completed by September 2024

CA Manual Process



THANK YOU