

CA Certification Academy

Certification Checklist Q/A

ADOT Local Public Agency (LPA) Process Branch

August 16, 2023

Presenter: Jennifer Catapano, LPA Oversight and Monitoring Manager

In this Presentation LPA Process will:

- Address the 2023/2024 Certification Assessment Packet Checklist questions submitted by our Certification Acceptance (CA) agencies.
- CA questions pertaining to the CA Manual will be reviewed by ADOT subject matter experts during the manual update cycle.

Communication Plan

Checklist Question:

Promptly notifying the ADOT PM, with a cc: to the ADOT LPA Section Oversight and Monitoring Manager, when an issue is identified?

CA Question:

ADOT PM represents CA Agencies in these matters. We should only send an email to the ADOT PM. They are more familiar with ADOT staff and can make sure it goes to responsible party. This is a catch all statement that puts responsibility on CA Agencies to know ADOT inner workings. This contradicts striving to resolve concerns at the lowest level of responsibility.

ADOT Response:

Checklist updated and CA agencies notified on July 27, 2023.

Procurement of Materials and/or Install

ADOT Local Public Agency addressing the question below on behalf of the ADOT Procurement Group.

CA Question:

ADOT Procurement Checklist (ADOT Procurement Office) document is not posted as a download on the ADOT 2024 Certification Process website/Appendix.

ADOT Response:

Website updated, July 20, 2023.

Procurement of Materials and/or Install

ADOT Local Public Agency addressing the question below on behalf of the ADOT Procurement Group.

Checklist Question:

Do the Procurement Procedures or Contract Documents require the following for federal-aid contracts:
Verification of employment records of contractors and subcontractors using E-verify?

CA Question:

Question is not applicable to CA Agencies verifying contractors/employment activities. CA Agencies verify based on 23 CFR 635.111 and 23 CFR 635.110. For verification on bidders, 23 CFR 630 112.c.4 and CFR 180 C.

ADOT Response:

E-verify is a State requirement not a Federal requirement. The question cannot be removed. Materials only solicitations using Federal funds default to State requirements if State's requirements meet or exceed Federal requirements. Verification of compliance with the Arizona Legal Workers Act is required for active service contracts, not bidders.

Materials Q/A Program

ADOT Local Public Agency addressing the question below on behalf of the ADOT Materials Group

Checklist Question:

Does the Materials QA Program:

Require the inclusion of the materials memo in the construction authorization packet and project file?

CA Question:

ADOT usually requires three separate material related reports:

- 1. Geotechnical Report*
- 2. Pavement Design Report*
- 3. Materials Memo*

Is it adequate for a CA to include the materials requirements in Geotechnical and Pavement Design Report?

ADOT Response:

If the submittals contain the Materials Certificate Log, approval for both pre-construction, and final approvals should not be an issue.

Materials Q/A Program

ADOT Local Public Agency addressing the question below on behalf of the ADOT Materials Group

Checklist Question:

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

- No changes made since 2019
- The following changes since 2019 are noted above

CA Question:

If checking the box stating “The following changes since 2019 are noted above” - Do I need to list the changes?

ADOT Response:

If changes since 2019, were made, changes should be notated.

Materials Q/A Program

ADOT Local Public Agency addressing the question below on behalf of the ADOT Materials Group

CA Question:

Add the questions below to the checklist.

- Do you ensure QA/Testing subs are on the ADOT approved list?
- Do you have a procedure for submitting QA Plan to ADOT QA prior to construction?

ADOT Response:

Questions to be added to the checklist. Checklist will be finalized after the CA Certification Academy.

Materials Q/A Program

ADOT Local Public Agency addressing the question below on behalf of the ADOT Materials Group

CA Question:

Need to combine Build America Buy America and Buy America into one question.

ADOT Response:

Questions are sufficient as is on the checklist. Each question is independent and allows for the CAs to provide the requisite information.

Bid Analysis and Award Procedures

Checklist Question:

Do your award procedures comply with 23 C.F.R. § 635.114(a):

Which requires that the award shall be within the time established by the STD and subject to the prior concurrence of the Division Administrator?

CA Question:

Please define - STD. We have to submit a Bid Analysis to ADOT which pushes the award date past 90 days.

Please verify what the time is and extend it further if Bid Analysis is to review all Bid Items over 110 percent of Engineers Estimate and under 85% of Engineers Estimate.

ADOT Response:

State Transportation Department (STD).

Per Project Management Group, the CAs analysis should not hold up the award past 90 days.

Reporting Procedures

Checklist Question:

Do the Reporting Procedures require:

- Submit monthly construction schedule updates on Federal Aid Highway Program (FAHP) projects to the ADOT Project Manager?
- Submit quarterly progress reports on Federal Aid Highway Program (FAHP) projects to the ADOT Project Manager if applicable?

CA Question:

Is there a need to have a monthly and a quarterly report to ADOT PM?

ADOT Response:

Per ADOT Project Management Group:

- For non-construction subphases (Design, ROW, Procurement) the CAs will report quarterly.
- CAs will submit monthly schedule updates for construction projects.

Audit and Oversight Procedures

Checklist Question:

Do the Audit and Oversight Procedures address the following:

Conducting independent construction inspection reviews on construction projects?

CA Question:

Provide additional clarification on conducting independent construction inspection reviews on construction projects.

ADOT Response:

The question will be amended to align with the CA Manual, page 15, Independent Project Reviews, as follows: *Conducting Independent Project Reviews on construction projects?*

Audit and Oversight Procedures

Checklist Question:

Do the Audit and Oversight Procedures address the following:

Conducting an annual Single Audit as required by 2 CFR § 200.501?

CA Question:

This question is more of a national government question and not a CA Agency question. Your question could be - is your agency submitting the required single audit once per year.

ADOT Response:

The question will not be revised.

Audit and Oversight Procedures

Checklist Question:

Do the Audit and Oversight Procedures address the following:

Maintaining review and audit records, including findings and corrective actions?

CA Question:

This is a retention question that all City governments must follow. This question is slightly out of the CA Agency line of requirements.

ADOT Response:

The question will not be revised.

Project Delivery Manual

Checklist Question:

Does the Project Delivery Manual contain or incorporate through reference the following:
Build America Buy America (BABA) Requirements?

CA Question:

The CA Manual only references Buy America not BABA. Please advise if there will be an update to the CA Manual to incorporate BABA.

ADOT Response:

- BABA information will be added to the 2024 CA Manual.
- ADOT specifications were provided to the CA on February 6, 2023.
- ADOT LPA section working with an ADOT subject matter expert on a BABA best practices training.

Certification Details

A notice will be sent to CA agencies when checklists are finalized and posted to the LPA website.



Thank you