

CA TRAINING MODULE 2



Working with your ADOT PM

Jennifer Acuña, P.E.

Senior Project Manager

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Project Manager

CA Project Managers

- Eric Prosnier
 - City of Scottsdale
 - City of Tucson
 - City of Mesa
 - Maricopa County
 - City of Tempe
 - City of Chandler
 - Pima County
- Jennifer Acuña
 - City of Phoenix

ADOT LPA Certified Acceptance Manual

<https://azdot.gov/sites/default/files/2019/05/certification-acceptance-manual.pdf>

What does your ADOT PM do?



What does your ADOT PM do?

- Coordinate submittals with the environmental planner and right-of-way coordinator
- Keep ADOT management informed of the project's progress
 - > Submittals
 - > Delivery Date: Request for Authorization & Advertisement
- Verify Federal Regulations followed and satisfied
- Submit all required documentation to ADOT Finance to request Federal Authorization for Design/Construction
- Review and Submit Closeout Paperwork
- Hold Quarterly update meetings with respective CA agencies
- Approve and Submit Reimbursement Requests to ADOT Finance

Quarterly CA Meetings

- Process/Staff Changes or Updates from CA and ADOT
- Inactive Project List
- Projects in Design and Construction
 - Project end dates

**YOU CLAIMED YOU WERE
IN CONTROL OF YOUR PROJECT**



**MISSING KEY MILESTONES
DETERMINED THAT WAS A LIE**

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Delivery Schedule

- Listed on LPA Establishment Package

Key Submittal Dates

Initial Scoping Document

Final Sealed Scoping Document

Stage 3 (60%)

Stage 4 (95%)

Stage 5 (100%)/PS&E

Submit for Federal Authorization Request

Advertisement

Project Changes

- Funding/Scoping Changes

 - HSIP

 - HSIP letter needs to be updated to reflect additional funds or changes to the scoped items

 - Type of Work

 - Needs to be reported to FHWA for their records

 - TIP

 - Needs to reflect the correct funding amounts and type of work

- Schedule Changes

Plans, Specifications & Estimate

- Key Elements
 - Letter Requesting Federal Authorization
 - Map
 - Final Sealed Plans
 - Final Sealed Specifications “Bid Book”
 - Construction Estimate
 - Recap PDF and Excel
 - NEPA, URR, & R/W Clearances
 - Current STIP/TIP
 - DBE Goal Assessment
 - Materials QA Plan approval/concurrence email
 - Signed TSMO Systems Checklist (if Applicable)

Plans, Specifications & Estimate

- Bid Book (Specifications)
 - ADOT PM Submits to
 - ADOT Environmental Planning
 - Hazmat Verification
 - ADOT BECO
 - DBE Goal %
 - ADOT Civil Rights Office
 - Federal Wage Language

Federal Authorization Request

- Construction Funding
 - PS&E Package
 - Federal Funding Request Docusign Letter
 - ADOT PM
 - ADOT Environmental Planner
 - FARA (Federal Authorization Request Application)
 - Prepared by PM
 - Includes funding information and Recap

Federal Authorization Request Letter

Federal Authorization Request Letter

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One ADOT in service to all

Douglas A. Doocy, Governor
John S. Hallikowski, Director
Dallas Hamrick, Deputy Director for Transportation
Steve Boschen, Division Director

August 21, 2020

Ms. Karis S. Petty
Division Administrator
Federal Highway Administration
4000 N. Central Ave., Suite 1500
Phoenix, Arizona 85012-1906

RE: ADOT PROJECT NO.: T023801C
FEDERAL PROJECT NO.: PHX-0[362]D
PROJECT TERMINI: 99th Ave - Cardinals Wy to Indian Sch Rd.; Indian Sch Rd - SL101 to 27th Ave; Campbell
PROJECT LOCATION: Phoenix, AZ Citywide

Please Choose the Delivery Method:

- Non-Infrastructure, Railroad
 CONTRACT TIME: 200 (WORKING DAYS or CALENDAR DAYS), or
 FIXED DATE:

ESTIMATED CONTRACT COST: \$ 4765704.13

Dear Ms. Petty,

The Arizona Department of Transportation (ADOT) is ready to request authorization for the above mentioned project.

The Proposed Work is:

- Pavement Preservation:
 Pavement Preservation – Surface work less than one-inch thickness.
 Pavement Rehabilitation – Mill and Fill over one inch.
- Other (Indicate Type of Work): Installation of fiber optic lines and conduits.
- Procurement:
 Materials only procurement – Installation will be completed by Local Agency forces without any Federal participation or reimbursement for installation. Cost of installation is included as non-participating.
 Materials only procurement – Installation will be completed by Contractor without any Federal participation or reimbursement for installation. Cost of installation is included as non-participating.
 Procurement of materials and installation completed by Contractor using Federal funds.
 Procurement of materials and resources for the Safe Routes to School (SRTS) Support Program.

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The Project Description is:

The project consists of the installation of fiber optic conduit along 99th Avenue between Indian School and Cardinals Way, Indian School between SL101 and 27th Ave and Campbell Ave at 99th Ave. The work will include trenching beneath the existing roadway where possible and installing overhang conduit at bridge crossings as noted.

Project Funding:

- The project is included in the approved 5-Year program.
 The project is included in STIP Number _____ approved by FHWA on:
The STIP amendment number _____ if applicable was approved by FHWA on:
 The project is included in TIP Number PHX20-806

- This is a State Sponsored Project
 This is a Local Sponsored Project

Is this project using HSIP funding? No. Yes, eligibility approved on: _____ by:

Is there a contribution of funds above the required match?

- No.
 Yes, the total State Local contribution above the required match is \$ _____
Of this amount:
 \$ _____ is eligible for Federal reimbursement, including if bids are low or major changes occur.
 \$ _____ is not eligible for Federal reimbursement; should bids be low or any major changes occur, this portion cannot be replaced with Federal Aid. The reason for the overmatch is stated on the AZPR2X.

Design Exceptions:

- Were not required for this project.
 Were approved for this project on: _____ by:

System Engineering:

- Was not required on this project.
 Was approved for this project on: 8/21/2020 by: Susan Anderson, ADOT

Is a Utility Clearance Letter required for this project? No.
 Yes.

If Yes, the Utility Clearance Letter for this project was issued on: 8/6/2020

Choose the appropriate statement:

- Type 1 – All utilities have been cleared and relocated prior to construction.
 Type 2 – Conditional Certification – Project can be authorized but will not be advertised prior to completion of utility relocation.
 Type 3 – Conditional Certification – Utilities will be cleared during construction either by the contractor or by the Utility under the ADOT/LPA direction. Prior to the ADOT/LPA issuing a notice to proceed with construction to the contractor, the ADOT/LPA shall provide an updated notification to FHWA identifying all location where utilities have not been relocated along with a realistic date when physical relocation is anticipated.
 Type 4 – Conditional Certification – Utilities must be cleared or relocated prior to bid opening.

Federal Authorization Request Letter

Choose the appropriate statement:

- There is no railroad within 1/2 mile of the project limits.
- There is a railroad within 1/2 mile of the project limits, but there is no railroad work on this project. The railroad was notified and has approved the project plans.
- There is a railroad within the project limits. The railroad work was complete prior to advertisement of this project.
- There is a railroad within the project limits. The railroad work will be completed with this project by the Contractor. See the attached special provisions for required coordination with the railroad and impacts to this project.
- There is a railroad within the project limits. The railroad work will be completed with this project by the Railroad. See the attached special provisions for required coordination with the railroad and impacts to this project.

Is a Right of Way Clearance Letter required for this project? No.
 Yes.

If yes, the Right of Way Clearance Letter for this project was issued on: 6/29/20

The Conditional Clearance, if applicable was approved by FHWA on:

Choose the appropriate clearance type:

- Type 1 – In accordance with 23 CFR 635.309(c)(1) – All property rights including legal and physical possession have been obtained to construct the project and all relocation has been completed.
- Type 2 – is considered a Conditional Clearance: In accordance with 23 CFR 635.309(c)(2) – All property rights have not been fully acquired, but the right to occupy and to use all rights of way required for the proper execution of the project has been acquired. Trial or appeal of some parcels may be pending in court and on other parcels full legal possession has not been obtained but the right of entry has been obtained.
- Type 3 – is considered a Conditional Clearance: In accordance with 23 CFR 635.309(c)(3) – All property rights have not been obtained, but appropriate notification will be provided in the request for bids, identifying all locations where right of occupancy and use has not been obtained. FHWA has received appropriate notification identifying all locations where right of occupancy and use has not been obtained. Prior to the ADOT/LPA issuing a notice to proceed with construction to the contractor, the ADOT/LPA shall provide an updated notification to FHWA identifying all locations where right of occupancy and use has not been obtained along with a realistic date when physical occupancy and use is anticipated.

Business Engagement and Compliance (BECO) has established a DBE participation rate of 0.00 % for this project.

Department Furnished Materials: Are not required for this project.
 Were approved for this project on:

A VE Study: Was not conducted on this project.
 Was conducted on this project on:

The NEPA Approval for this project was issued on: 06/23/2020

A formal Re-Evaluation (CE, EA, EIS), if applicable, was issued on:

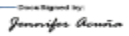
- 326 MOU
- 327 MOU

ADOT certifies that NEPA requirements consistent with the scope of work of the project have been met and the project incorporates all environmental commitments per 23 CFR 771.109(d).

Project Environmental Clearance information provided by Environmental Planner:

Disseminated by: 
Signature of Environmental Planner _____ 08/07/2020
Date
Derin Kelly
Printed Name

The Department respectfully requests authorization to proceed with advertisement of bids for construction work on this project.

Sincerely, 
Signature of Project Manager _____ August 21, 2020
Date
Jennifer Acuña
Printed Name

Common Problems During Design

- Scope Changes
- Funding Increases (Closeout Funding)
- TSMO Systems Checklist Missing
- Recap
 - Funding splits doesn't match TIP
 - Federal amount exceeds capped amount
 - Construction and/or funding Split Amount doesn't match amount in CA FA request letter
- Bid Book
 - DBE Goal missing/wrong % listed

Federal Authorization for Construction

- Authorization to Advertise
 - Email from FHWA Area Engineer is the official notification and authorization
 - AZPR2X is provided after 3 signatures
- Notify ADOT PM of Advertisement Date
- Provide Advertisement Documentation

Bid Award

- Bid Analysis
- Revised Recap
 - Only if winning bid is below the engineer's estimate
- Council Meeting Date to Award (if applicable)
- BECO and ADOT PM Concurrence

Construction Phase Issues

- Change Orders/Force Account
- DBE Goal
- FHWA Project End Date

Any work performed past this date will not be eligible for federal reimbursement

Project Closeout

Submittal of Required Closeout Documents (CA Manual Page 46)

- Final reconciliation statement
- Statement of verified and closed certified payrolls
- Contractor's affidavit about the settlement of claims
- Copy of the CA Agency's final acceptance to the contractor
- Final pay request
- Certificate of Final Payment to DBE firms
- DBE Goal Assessment Notice
- Record Drawing Documentation Form
- List of items installed and locations if procurement
- Final acceptance letter attesting to project completion

What does your ADOT PM do?



Questions

ADOT PM Contacts

- Eric Prosnier, P.E.
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- Jennifer Acuña, P.E.
Jacuna@azdot.gov
- ADOT Project Management Group
PMG@azdot.gov
- ADOT LPA Website: <https://azdot.gov/node/14030>