

ADOT Standard Work Form

Description of the task:	Standard Work for Procurement Projects Guide (State and Local)	Revision Date: 10/5/21	
Process Owner:	ADOT Procurement Office	Revision #: New	
Purpose:	To identify necessary steps to deliver Materials/Services Only Procurement Projects with and without Contractor Installation	Document Owner: Procurement	
Supplies & safety equipment required:	Computer		
Important Steps	Key Points	Reasons	Tips
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<p style="text-align: center;">1</p> <p style="text-align: center;">PROJECT INITIATION/ ESTABLISHMENT</p>	<p><u>LOCAL AGENCY (Project Sponsor):</u></p> <ul style="list-style-type: none"> Identify project, including scope, schedule, and budget. If funding is from an ADOT Sub-program, submit application and have eligibility approved. Work with Regional Planning Organization (COG/MPO/TMA) to identify project and program funds in the regional Capital Improvement Plan (CIP) and Transportation Improvement Plans (TIP). Submit project initiation packet to ADOT LPA Section. Initiation forms are located on the ADOT LPA Section Website: https://azdot.gov/node/14142 <p><u>ADOT LOCAL PUBLIC AGENCY (LPA) SECTION:</u></p> <ul style="list-style-type: none"> If the project sponsor is a Local Agency, ADOT LPA Section will initiate and serve as the ADOT PM for the project. Review Project Initiation forms for completeness, to verify scope, schedule, budget and work with local sponsors to resolve any discrepancies and address questions. Once a complete project initiation packet is submitted, LPA Section will follow Project Initiation standard work. Serve as a conduit, track projects, and provide project status updates for Project Sponsor, COG/MPO/TMA, ADOT MPD, ADOT PM, ADOT Technical Groups throughout project delivery. <p><u>ADOT PROJECT MANAGER (PM):</u></p> <ul style="list-style-type: none"> If ADOT is the Project Sponsor, ADOT Project Management Group (PMG) or if the project is an ITS project, Transportation Systems Management & Operations (TSMO) will initiate and serve as the ADOT PM. 	<p>To ensure project is programmed correctly, determined to be a regional priority, and has been approved through the Project Sponsor’s regional established order (Project Sponsor’s Management, Councils, COG/MPO/TMA, etc.).</p> <p>All projects funded through an ADOT Sub-program must include a copy of the program eligibility letter and approved application with the Project Initiation Packet.</p>	<p>No work can begin on a project until the Project Initiation process is complete. This includes the assignment of an ADOT PM, ADOT Project Number, and Federal ID Number. For local agency sponsors, a Project Establishment Letter will be sent to the Project Team notifying everyone that the project has been established.</p> <p>For additional information on the federal-aid process for Local Public Agencies, please see the ADOT LPA Manual and CA Manual on the ADOT LPA Section website: https://azdot.gov/node/15881</p> <p>ADOT Sub-programs that Project Sponsors use for Materials Only procurement projects <i>may</i> include, but are not limited to:</p> <ul style="list-style-type: none"> ➤ HSIP ➤ CMAQ 2.5 ➤ Surface Transportation Block Grant Program (STBGP)

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<p>2</p> <p>PRE-SCOPING</p>	<p>PROJECT SPONSOR:</p> <ul style="list-style-type: none"> • Work with ADOT PM to evaluate project scope, schedule, and budget to determine roles & responsibilities, identify who will be issuing the Purchase Order (PO), discuss any possible risks to delivery, and Project Details such as if installation will be done by a contractor or by Project Sponsor, Standard Drawings, Plans, Specifications and Estimates (PS&Es). <ul style="list-style-type: none"> ○ Typically a Project Sponsor will be responsible for submitting PO (See step #11-Post Award for details). <p>ADOT PM:</p> <ul style="list-style-type: none"> • Review project scope, schedule, and budget with Project Sponsor to determine roles & responsibilities, identify who will be issuing the PO, discuss any possible risks to delivery, and Project Details such as if installation will be done by a contractor or by Project Sponsor, Standard Drawings, and PS&Es. • Set up PMG Work Plan, preliminary project team, and work schedule in Workfront following the PMG standard work process. • Review project scope to determine ADOT level of effort and verify hours to establish applicable PDA fees. <p>Materials with Contractor Install (if applicable):</p> <ul style="list-style-type: none"> • If ADOT is administering Design using federal funds and the procurement requires installation from a Contractor, the project is not a Materials Only project. If this is the case, ADOT PM will follow the regular PMG standard work for the Federal-Aid Development process. 	<p>ADOT PM may contact Project Sponsor and/or ADOT technical teams directly or schedule a pre-scoping meeting as needed to discuss project needs (Roles & Responsibilities, Standard Drawings, Details, and PS&Es).</p> <p>Since federal-aid programs are reimbursement programs, Project Sponsors are expected to issue the PO after the project is awarded. However, after discussion of project needs, ADOT (PMG Admin) may choose to issue the PO under certain circumstances such as projects that are 100% federally funded. <i>*This information will need to be decided and discussed prior to the IGA being requested and executed but will be applied during Post Award process.</i></p>	<p>Project Team: Project Sponsor, PM, JPA Section, Procurement, District, Environmental Planning, and as applicable Right of Way Section (ROW), Utility & Railroad Section (URR), TSMO, Traffic Design Section, Traffic Safety Section (HSIP).</p> <p>PMs will need to upload all scope, schedule, and budget documents into Workfront as part of the PMG standard work process. If project is sponsored by a Local Agency, the project establishment packet will include:</p> <ul style="list-style-type: none"> • Project Establishment Letter • ADOT LPA Project Initiation Form • Copy of the Regional COG/MPO/TMA TIP listing showing all work phases and funding sources in a fiscally constrained program year. • Scoping documentation that clearly defines scope, schedule, and budget (PA, DCR, Scoping Letter, funding application, etc.) • If ADOT Sub-program, a copy of the Program Eligibility/Award letter and application. • Project Location Map • Functional Classification Map

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<p>3</p> <p>INTERGOVERNMENTAL AGREEMENTS (IGA)</p>	<p><u>PROJECT SPONSOR:</u></p> <ul style="list-style-type: none"> Identify the date the IGA will go to Council/Board of Supervisor’s. Review Draft IGA and work with JPA Coordinator to address comments. Take IGA to Project Sponsor’s Attorney for review. Take IGA to Council/Board of Supervisor’s for approval and Signature. Return signed IGA to JPA Section Coordinator. <p><u>ADOT PM:</u></p> <ul style="list-style-type: none"> Request/initiate a new IGA in the ADOT Comprehensive Agreement Resource (CAR) database, outlining federal and local funding and responsibilities. Review and comment on draft IGA during internal reviews. <p><u>ADOT JPA SECTION:</u></p> <ul style="list-style-type: none"> Assign a Coordinator to draft an IGA. Distribute draft to internal ADOT staff for review and address any comments. Distribute a draft to the Project Sponsor for review and address any comments. Provide Project Sponsor an IGA to take to Council/Board of Supervisor’s for approval. Coordinate review and signatures of ADOT Management and Attorney General’s Office. Execute the IGA. 	<p>An executed IGA is required for all local projects (except the 8 approved CA Agencies).</p> <p>No further work can be completed until an IGA has been fully executed.</p>	<p>CAR: http://car/(S(iftubsp4cvtvxanldxvom p))/default.aspx</p> <p>All projects must have an ADOT Project Number established before an IGA can be requested in CAR. It may take up to 24-48 hours after Project is established for the new project number to be uploaded into CAR.</p> <p>The 8 approved Certified Acceptance (CA) Agencies (Phoenix, Chandler, Mesa, Scottsdale, Tempe, Tucson, Pima County, and Maricopa County DOT) do not typically require an IGA. The CA Agreement covers the requirement for an executed agreement, however CAs may require an IGA if:</p> <ul style="list-style-type: none"> ADOT is Procuring on behalf of the CA Federal funds are more than \$10,000,000 Work is within ADOT ROW Project Sponsor is requesting Advanced Construction (AC) <p>IGAs can take up to 6 months from initiation to execution. Timing depends on communication with the Local Sponsor, the availability for Council approval, and AG review times.</p>

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<p>4</p> <p>INVOICING FOR LOCAL FUNDS (PDA Fees, Local Match, Local 100%)</p>	<p>ADOT JPA SECTION:</p> <ul style="list-style-type: none"> Executed IGA will initiate an invoice be requested for the local funds. JPA Section will send an email to Accounts Receivable requesting the invoice be sent. <p>ADOT ACCOUNTS RECEIVABLE:</p> <ul style="list-style-type: none"> Will send invoice to the Project Sponsor requesting payment. Process payment and notify ADOT PM that payment has been received so that project can progress. <p>PROJECT SPONSOR:</p> <ul style="list-style-type: none"> On execution of an IGA, Project Sponsor will remit its applicable match as directed on the ADOT invoice. <p>ADOT PM:</p> <ul style="list-style-type: none"> If Project Sponsor is a CA Agency that does not require an IGA (see “Tips” column for CA Agency rules). ADOT PM will contact Accounts Receivable to request invoice be sent to Project Sponsor, if required. 		<p>If Project Sponsor is a local agency, PDA Fees and all other programmed funding information can be found in the establishment packet from Project Initiation.</p> <p>HSIP projects may be covered with 100% countermeasures and not require a local match, if this is the case this step will not apply.</p> <p>This step does not apply to State Sponsored projects.</p> <p>ADOT PM can verify receipt of local match by emailing Accounts Receivable accountsreceivable@azdot.gov or see Invoice and Cash Receipts Pivot Table Email that is sent to PMG.</p>
<p>5</p> <p>ESTABLISHING PROJECT THROUGH THE PROJECT REVIEW BOARD (PRB) /PRIORITY PROGRAM ADVISORY COMMITTEE (PPAC) /STATE TRANSPORTATION BOARD (STB)</p>	<p>If the federal funding for the project is originating from an ADOT Subprogram, ADOT PM will need to request project establishment through PRB.</p> <p>ADOT PM:</p> <ul style="list-style-type: none"> Request project be added to PRB/PPAC/STB Agenda by completing the PRB Request Form online http://primaweb/WebPRB/. Present project to PRB/PPAC/STB as applicable Address any comments/questions from PRB/PPAC/STB <p>PRB/PPAC/STB:</p> <ul style="list-style-type: none"> Review project Make recommendations Approve/Deny/Hold 	<p>All ADOT Projects must go through PRB, and then based on PRB’s decision may need to go through PPAC and STB.</p> <p>If a Local Sponsor is using regional COG/MPO or local funding, project does not need to go to PRB, PPAC, or STB.</p>	<p>If the project is an HSIP project that is requesting additional funding; ADOT PM will need to confer with the ADOT HSIP Program Manager in advance of going to PRB to determine if additional HSIP funds are available and additional funds are for eligible activities.</p>

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<p>6</p> <p>DEVELOPMENT PROCESS/ CLEARANCES</p>	<p><u>PROJECT SPONSOR:</u></p> <ul style="list-style-type: none"> • Submit Design packet as needed to identify procurement materials to be installed including what materials are being requested, locations that materials will be installed, and itemized costs (PS&E). <p><u>ADOT PM:</u></p> <ul style="list-style-type: none"> • Submit detailed description of work to ADOT Environmental Planning, ROW, and URR to coordinate clearances as applicable. • Distribute and review Design packet as needed for project team review. <p><u>ADOT ENVIRONMENTAL PLANNER:</u></p> <ul style="list-style-type: none"> • Will complete the CE form and return it to ADOT PM to be included in the authorization package. <p><u>ADOT ROW:</u></p> <ul style="list-style-type: none"> • Will review detailed description of work and determine if clearance is required. Will work with ADOT PM to coordinate clearance(s) as needed. <p><u>ADOT URR:</u></p> <ul style="list-style-type: none"> • Will review detailed description of work and determine if clearance is required. Will work with ADOT PM to coordinate clearance(s) as needed. 	<p>Environmental clearance is required anytime federal funds are being used. At minimum a Categorical Exclusion (CE) form will be needed.</p>	<p>Per ADOT ROW and URR Sections, clearances may not always be required for Materials Only Procurement Projects, but all projects should be reviewed by the ROW and URR Sections to be sure.</p> <p>If there is a Railroad within a half mile of the project location, a URR Clearance will be required.</p> <p>If the project has multiple agencies involved, a clearance may be required for each agency.</p>
<p>7</p> <p>PROJECT DEVELOPMENT ON-CALL (PDOC) (Only applies to Materials w/Contractor Install)</p>	<p><u>ADOT PM:</u></p> <ul style="list-style-type: none"> • ADOT PM will follow process for Project Development On-Call (PDOC) if a designer is to be required. 		<p>If ADOT is not administering the project or Local Sponsor is not using federal funds for Design, this step is not required as advertising will be through ADOT Procurement Office.</p>

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<p>8</p> <p>AUTHORIZATION</p>	<p>PROJECT SPONSOR:</p> <ul style="list-style-type: none"> If requesting a Proprietary Product, Sole Source item, or a material/ item that deviates from the standard requirements, will submit a Public Interest Finding (PIF) letter requesting a determination certification with written justification showing that the product is essential for synchronization with existing facilities or is a unique product for which there is no equally suitable alternative and that it is in the public interest to use a specific material or product even though other equally acceptable materials or products are available (see LPA Manual page 13-8 and chapter 18, CA Manual pages 25-26). If Project Sponsor is a CA Agency, Project Sponsor will submit a DBE Goal through the goal setting application at https://dbegoals.dot.state.az/. If Project Sponsor is a CA Agency, they will compile the authorization packet and submit to ADOT PM (see list of items in the “Tips” column). <p>ADOT PM:</p> <ul style="list-style-type: none"> If the Project Sponsor is not a CA Agency or does not have access to the DBE Goal system, ADOT PM will submit a DBE Goal through the goal setting application at https://dbegoals.dot.state.az/. If requesting a Proprietary Product, Sole Source item, or a material/ item that deviates from the standard requirements, will ensure PIF and justification documentation are received from Project Sponsor (see LPA Manual page 13-8 and chapter 18, CA Manual pages 25-26). If the Project Sponsor is not a CA Agency (See “Tips” column for CA authorization) and is funded through regional or local funds (non-ADOT), will complete and compile the authorization packet that includes: <ul style="list-style-type: none"> Federal-Aid Preliminary Engineering Workbook (FARA tab) https://adotnet.az.gov/content/federal-aid-projects Copy of executed IGA Scope, Schedule, Budget documents (PS&Es) Legible copy of TIP Project location/vicinity maps Sub-program eligibility letter and application (if applicable) Environmental CE form (and other clearances as applicable) Complete a Detailed Estimate Recapitulation Sheet (located on C&S Public Drive located at P:\C&S\FORMS\Recap Forms) DBE Goal Assessment PIF (if applicable) Experimental Product approval (if applicable) Systems Engineering Checklist (if applicable) <p>Materials with Contractor Install (if applicable):</p> <ul style="list-style-type: none"> If project is an ITS project, System Engineering Checklist is required to be included with the Authorization packet. TSMO and Project Sponsor complete the form and submit to ADOT PM to include in authorization packet. 	<p>DBE Goal Assessment: DBE Goals are required for all federally funded projects.</p> <p>DBE Goals may take up to 15 business days to receive the DBE Goal Assessment.</p> <p>DBE Goal Assessment is valid for 120 days (4 months). If the project is not advertised before the expiration date, a new goal assessment is required.</p> <p>Authorization: It may take FHWA 4-6 weeks to authorize a project.</p> <p>Administrative work (initiation, IGA, etc.) is allowed prior to authorization of federal funds, but no preliminary engineering can begin.</p> <p>System Engineering Checklist and other resources for ITS projects: https://azdot.gov/business/engineering-and-construction/systems-technology/its-references</p>	<p>Federal-Aid Preliminary Engineering Workbook (FARA tab): Form located on ADOTNet at https://adotnet.az.gov/content/federal-aid-projects</p> <p>CA Agency Authorization Packet: CA Agency Liaison will submit the authorization packet to the ADOT PM assigned. Packet includes:</p> <ul style="list-style-type: none"> CA Request Letter Certification Agreement Scope, Schedule, Budget Documents (PS&Es) Legible copy of TIP Project location/vicinity map Sub-program eligibility letter and application (if applicable) Environmental CE form (and other clearances as applicable) Detailed Estimate Recap Sheet DBE Goal Assessment Materials Quality Assurance Project plan approval letter Period of performance notice PIF (if applicable) Experimental Product approval (if applicable) Systems Engineering Checklist (if applicable)

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<p style="text-align: center;">AUTHORIZATION CONTINUED...</p>	<p><u>ADOT PM (CONT)</u></p> <ul style="list-style-type: none"> • Complete the “FHWA_Auth_Ltr_Procurement” DocuSign template (see “Tips” column for link and routing details) and submit for signatures. • Email a copy of the authorization packet to the ADOT Chief Procurement Officer for review and address any questions or items of concern. • Attach the signed “FHWA_Auth_Ltr_Procurement” letter to the authorization packet and submit to the Resource Administration mailbox resourceadmin@azdot.gov for FHWA authorization. • Send a copy of the signed authorization packet to the Project Sponsor and project team once authorization is received and let them know that solicitation process can be started. <p><u>ADOT CHIEF PROCUREMENT OFFICER:</u></p> <ul style="list-style-type: none"> • Receive an email with a link to DocuSign requesting signature on FHWA_Auth_Ltr_Procurement form. • Review draft authorization packet and address any questions or items of concern. • Sign FHWA_Auth_Ltr_Procurement in DocuSign. <p><u>ADOT ENVIRONMENTAL PLANNING:</u></p> <ul style="list-style-type: none"> • Environmental Planning Manager will review project information received during project initiation/establishment and sign “CE Section” of the DocuSign FHWA Authorization Letter. <p><u>ADOT RESOURCE ADMINISTRATION:</u></p> <ul style="list-style-type: none"> • If project is funded by an ADOT Sub-program and has been established through PRB, PPAC, and/or STB, ADOT Resource Administration will submit the authorization package on behalf of the ADOT PM. • Once approved by FHWA, Resource Administration will add funding into AFIS; email a copy of the authorization, along with signed FMISD06A form to ADOT PM and save a copy in AIDW. 	<p>If project requires local 5.7%, 100% and/or PDA funds, Resource Administration may not process the submittal of the packet until funds have been received by ADOT (See Invoicing Section).</p> <p>Allow 3-5 business days for funds to be uploaded into AFIS by ADOT Resource Administration after they receive federal authorization.</p>	<p>DocuSign FHWA Auth Memo Template (Note: PMs should contact the Project Resource Office if unable to access the templates in DocuSign) https://app.docusign.com/templates?view=everything Instructions and Sample Letters are also on the PRO Website at ADOTNet PRO Website</p> <p>FHWA_Auth_Ltr_Procurement will automatically be routed to Environmental Planning Manager, Chief Procurement Officer, and then to the FHWA Area Engineer for approvals and will be automatically returned to ADOT PM once signed to be included in the authorization packet.</p> <p>Authorizations signed by FHWA should include the signed FMISD06A form. If not included with the authorization email, ADOT PM can email Resource Administration to request a copy or download from AIDW. Signed FMISD06A form must be included with the NTP email sent to Project Sponsors.</p> <p>Approved FMISD06A form will include a Project End Date. It helps to track this date on a calendar or project list so that you can extend the project as needed.</p>

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<p>9</p> <p>ADVERTISEMENT</p>	<p>PROJECT SPONSOR:</p> <ul style="list-style-type: none"> Review documents (draft solicitation, etc...) and address any questions and/or special requirements with ADOT PM and Procurement Officer. Participate in meetings with ADOT PM and Procurement Officer for contract award. <p>ADOT PM:</p> <ul style="list-style-type: none"> Complete the Procurement Request Form (PRF) and upload a copy of the signed authorization packet (refer to "Authorization" steps for list of documents) and the signed FMISD06A Coding Form and any other supporting documentation (including PIF if applicable), and submit through the ADOT Procurement Service Site at https://adotnet.az.gov/our-agency/administrative-services/procurement Notify the applicable District Construction Office of all work taking place and the anticipated advertise and award date. 	<p>The permission to bid packets must include the ADOT unit responsible for the procurement and subsequent contract administration. If processed through ADOT Procurement, the Procurement Officer is responsible for ensuring that all federal requirements are met.</p>	<p>CA Agencies: When using federal-aid funds to purchase materials and/or equipment, the CA Agency will follow their own competitive procurement procedures, which have been approved by ADOT, as agreed to in the CA Agreement between ADOT and the CA Agency. See CA Manual for CA Agency Processes https://azdot.gov/node/14030</p> <p>Non-CA Agencies: The Procurement Office, ADOT PM and Project Sponsor will continuously coordinate their contract objectives as each has specific responsibilities.</p> <p>PRF: If project is State funded, PRF must be approved by Division Finance Officer (DIFO). If project is federally funded, LPA/PRO Manager will approve for all local agency projects and PMG Group Manager will approve all others with a copy of the approved TIP/STIP as supporting documentation.</p>

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<p style="text-align: center;">ADVERTISEMENT CONTINUED...</p>	<p><u>ADOT PROCUREMENT OFFICER:</u></p> <ul style="list-style-type: none"> • Draft solicitation timeline, create RFx in the Arizona Procurement Portal (APP) https://app.az.gov/, establish evaluation committee (if applicable), and schedule meetings. Submit timeline to Procurement Manager for review. • Refine SOW/specs, create applicable determinations, send SOW -to Risk for Insurance module & prepare solicitation documents. • Procurement Officer will ensure appropriate Procurement determinations are completed for project. • Send draft to ADOT PM and Project Sponsor for review. • As applicable, hold evaluation kick-off meeting, customer and evaluation committee revise and finalize solicitation, create evaluation tool and criteria. • Upload solicitation documents into APP. • Prepare and submit legal ad memo to admin, if applicable. • Issue Solicitation in APP. • Conduct Pre-Offer Conference. • Review and address solicitation amendment(s). 	<p>Bid documents can only be reviewed by Evaluation Committee Members during the Evaluation Process.</p>	<p>APP handles all aspects of procurement, from registering and contracting with vendors through placing orders and approving payments. Project Sponsors and new PMs may need to request access to and complete required training. ShareFile is used to provide solicitation related documents.</p> <p>Procurement Officer will lead the advertisement and bid-award process, but will coordinate contracts and pre-post award meetings with Project Sponsor, ADOT PM, Procurement Manager, and bidders throughout the process, as applicable.</p> <p>Procurement Officer will determine upon receipt of the PRF, if an Evaluation Committee will need to be established.</p>

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<p>10</p> <p>BID AWARD</p>	<p><u>PROJECT SPONSOR</u></p> <ul style="list-style-type: none"> • Review offers once they are received from Procurement Officer, as applicable. • Participate in evaluation committee meetings including, customer and evaluation committee meetings with ADOT PM and Procurement Officer, as applicable. <p><u>ADOT PM:</u></p> <ul style="list-style-type: none"> • Review offers once they are received from Procurement Officer, as applicable. • Participate in evaluation meetings including, customer and evaluation committee meetings with Project Sponsor and Procurement Officer, as applicable. • Will complete the Agreement Estimate Recapitulation Sheet to reflect any changes in funding based on bid award and submit the sheet to Resource Administration with a copy to the Procurement Officer, as applicable. Agreement Estimate Recapitulation Sheets can be found on the C&S Public Drive located at P:\C&S\FORMS\Recap Forms. • <p><u>ADOT PROCUREMENT OFFICER:</u></p> <ul style="list-style-type: none"> • Download documents from APP, review confidentiality requests and prepare determinations. • Review offers and create evaluation package for committee, as applicable, or create bid tabulation (see Materials with Contractor note below). • Conduct initial evaluation meeting, distribute evaluation materials, as applicable, or review bid tabulation with ADOT PM. • Prepare and send supplier notification of confidentiality determination, as applicable. • Complete initial consensus evaluation, as applicable, complete initial evaluation report, review with Procurement Manager, finalize and collect committee signatures. • Complete negotiations/Best and Final Offers (BAFO), as applicable. • Complete BAFO evaluation, complete BAFO evaluation report, as applicable. • Review bid tabulation or evaluation report with Procurement Manager, finalize and collect committee signatures, as applicable. • Create evaluation & award documents, include any determinations, sign Executive Summary, submit with Offer & Acceptance to Procurement Manager for review and approval. 		<p>Procurement Officer may request reviews of offers from Project Sponsor and ADOT PM, as applicable.</p> <p>Awarded suppliers and designated subcontractors are required to be registered in AZUTRACS.</p>

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BID AWARD CONTINUED...	<p><u>ADOT PROCUREMENT OFFICER (CONT):</u></p> <ul style="list-style-type: none"> • Select supplier for award in APP and create draft contracts. • Send award notification letters, request Certificate of Insurance (COI) and send unsuccessful letters to bidders not awarded. • Receive approved COI and notify customers (Project Sponsor, ADOT PM, and bidders) of award and coordinate a post-award meeting. <p>Materials with Contractor Install (if applicable):</p> <ul style="list-style-type: none"> • All DBE submittals for materials only contracts with contractor install will require a Bidders List as part of the evaluation package. 		

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<p>11</p> <p>POST AWARD</p>	<p>PROJECT SPONSOR:</p> <ul style="list-style-type: none"> Submit the draft PO for review and approval by the ADOT PM. Once approved, submit final PO to the contractor and forward a copy to the ADOT PM (if identified in the IGA, see section #2 “Pre-scoping for exceptions). Enter contract and payments into: https://arizonalpa.dbesystem.com/ Complete evaluation of materials and shipping documentation and accept delivery. Forward copies of all shipping and acceptance documentation to the ADOT PM and District Construction Office (RE). Contact District Construction Office (RE) to schedule pre-inspection of materials received at the yard. <p>ADOT PM:</p> <ul style="list-style-type: none"> Receive and review a copy of the PO before submittal to the contractor by the Project Sponsor (if identified in the IGA, see section #2 “Pre-scoping for exceptions). Submit an electronic and hard copy of the contract documents to Field Reports at FReports@azdot.gov. Complete and submit the Field Office Automation System (FAST) Project Creation Worksheet, https://azdot.gov/business/engineering-and-construction/construction-and-materials/field-reports/forms-field-reports and submit with copies of the contract documents, Agreement Estimate Recapitulation, PO, Executed Contract to Field Reports at FReports@azdot.gov with a copy to District Construction Office (RE). <p>ADOT PROCUREMENT OFFICER:</p> <ul style="list-style-type: none"> Coordinate award meeting with Contractor, ADOT PM, District Construction Office (RE) and Sponsor to go over roles, responsibilities, and expectations. Receive and review a copy of the PO before submittal to the contractor by the Project Sponsor. <p>ADOT FIELD REPORTS:</p> <ul style="list-style-type: none"> Receive and review Project Creation Worksheet, Agreement Estimate Recapitulation, and copy of Executed Contract. Create the project in FAST. Release the Project in FAST to the District Construction Office. E-mail the District Construction Office (RE/Office Manager), with a cc: to the ADOT PM, Procurement Officer, Field Reports Manager, Field Reports Project Finals Specialist, Program Budget Analysis, and Program Finance to let them know that the project has been built in FAST. 	<p>Subcontractors: Substitution or Termination of certified DBE subcontractor requires documentation and approval from ADOT BECO Office.</p> <p>Any changes in subcontractors (adding or removing) will require review and approval by the ADOT Procurement Officer prior to any work being performed. Approved changes will be documented via contract amendment.</p> <p>Contracts awarded with federal funds are entered into DOORS.</p> <p>DBE and OJT Online Reporting System (DOORS) Contractors are required to acknowledge payments in the system.</p> <p>Contractors are required to enter subcontractor payments in system.</p> <p>Subcontractors are required to acknowledge payments reported by Contractor in system.</p>	<p>ADOT Procurement Officer may conduct a post-award meeting with the ADOT PM and Project Sponsor to provide a copy of the contract and review contract requirements, roles, and responsibilities or may elect to issue a post-award letter in lieu of conducting a meeting.</p> <p>If project is an Information Technology System (ITS) Project, TSMO Office may serve as the District Construction Office.</p> <p>If ADOT is the Project Sponsor, ADOT PM will coordinate the PO.</p> <p>If the Project Sponsor is a LPA, the PO would be issued by the LPA and submitted to the ADOT PM.</p> <p>DBE and OJT Online Reporting System (DOORS) https://adotdoors.dbesystem.com/</p> <p>The responsible group making payments is required to work with BECO to ensure that payment information is entered into DOORS.</p> <p>The Sponsor will typically have one year to install the equipment starting from the date when the first delivery is received and accepted. Reference the IGA for additional information.</p>

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POST AWARD CONTINUED	<p><u>ADOT DISTRICT CONSTRUCTION OFFICE/TSMO:</u></p> <ul style="list-style-type: none"> • Coordinate delivery and installation inspections with the Project Sponsor. • Conduct 100% inspection of the all materials upon delivery and collect the material certification(s), invoices and packing slips as well as verify serial numbers (if applicable) and send copy to ADOT PM. • Document inspection in PEN5. 		
12 INSTALLATION & INVOICING	<p><u>PROJECT SPONSOR:</u></p> <ul style="list-style-type: none"> • Review and approve Traffic Control Plan, in accordance with Part 6 of the MUTCD. • Prior to installation, submit the approved traffic control plan to District Construction (RE). • Develop a schedule and process to track installation of all materials, including date of installation and location. Submit process to District Construction Office (RE) for review and approval. • Receive invoice and reconcile to materials received and correct pricing, applicable taxes and issued payment to contractor. Forward copies of the invoice, reconciliation, and materials certification, and confirmation of payment to District Construction Office (RE). • If Project Sponsor is a CA Agency or local agency who is installing materials <i>without</i> a contractor; local sponsor will within 30 days, prepare and submit the Contracts Payable Progress Payment Report Form to ADOT PM for reimbursement of up to 80% of allocated funds (see “ADOT District Construction Office/TSMO” section below for materials with Contractor Installation). • Complete installation. Track installation per approved process. <p><u>ADOT PM:</u></p> <ul style="list-style-type: none"> • Receive documentation confirming delivery and acceptance of materials. Review all documentation for contract compliance. Forward a copy of all documentation and concurrence to Procurement Officer. • Receive invoice, reconciliation of materials received and correct pricing, and confirmation of payment issued to contractor. Forward copies of the invoice, reconciliation, materials certifications and confirmation of payment to Procurement Officer with a copy to District Construction Office (RE). 		<p>The Contracts Payable Progress Payment Report Form is not available on the external ADOT website. Project Sponsors will need to request the form from the ADOT PM.</p> <p>All invoices must have full signature of the person accepting responsibility for the service. Approval of an invoice to be paid implies that to the best of one’s knowledge, the nature, type, and quantity of materials are in accordance with the contract requirements. PO should reference the applicable project and contract number(s).</p> <p>The invoice must include the date the materials were received from the contractor, and the date the invoice was paid, and must include information that matches UOM (Unit of Measure) for payments.</p> <p>If invoice discrepancies are found, Project Sponsor will submit a written notification to the Contractor, within 7 days after receipt and provide a copy of the written notification to ADOT PM and Procurement Officer.</p>

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<p style="text-align: center;">INSTALLATION & INVOICING CONTINUED...</p>	<p><u>ADOT PM (CONT):</u></p> <ul style="list-style-type: none"> • If Local Sponsor is a local agency, receive and process ADOT Payment Request Form from the Project Sponsor for reimbursement of up to 80% of allocated funds. • Review copies of all shipping and other related documents received from the District Construction Office (RE) and send copies to Procurement Officer. <p><u>ADOT PROCUREMENT OFFICER:</u></p> <ul style="list-style-type: none"> • Receive documentation confirming delivery and acceptance of product. Review all documentation for contract compliance. • Receive invoice, reconciliation of product received and correct pricing, and confirmation of payment issued to contractor. • Review invoices, including always checking the mathematical accuracy of the invoices and assuring that charges are valid. <p><u>ADOT DISTRICT CONSTRUCTION OFFICE/TSMO:</u></p> <ul style="list-style-type: none"> • Prior to installation, receive a copy of the Project Sponsor’s approved traffic control plan. • Receive request for inspection or verification of installation from the Project Sponsor. • Perform installation inspection(s) of a random sampling of at least 25% of the items installed (can be more or 100% depending on complexity and quantity). • Coordinate frequency and dates of installation inspection with the Project Sponsor. • Document and complete progress payments for completed quantities in PEN5. • Save a Monthly Estimate for all of the material documented in FAST for information purposes. This will not create any type of payment to the vendor. • Submit electronic copies of inspections, packing slips, invoices and material certifications to the ADOT PM. <p>Materials with Contractor Install (if applicable):</p> <ul style="list-style-type: none"> • If ADOT is administering Construction using federal funds and the procurement requires installation from a Contractor, ADOT District Construction Office (RE) will submit payment invoices following the regular federal-aid construction process in place of the Project Sponsor submitting the ADOT Payment Request Form. 		<p>Reimbursement will be for materials only. Installation done by the Project Sponsor’s forces or by the contractor cannot not be reimbursed.</p> <p>Any workmanship or warranty issues will be identified and resolved with the contractor as they are discovered when the materials are installed by the Project Sponsor. Even if these materials have been previously accepted and paid for, defective materials are not eligible for reimbursement.</p>

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<p>13</p> <p>PROJECT CLOSEOUT</p>	<p>PROJECT SPONSOR:</p> <ul style="list-style-type: none"> Request post installation inspection/verification from District Construction Office. Submit an ADOT Payment Request Form to the ADOT PM for the remaining reimbursable balance of allocated federal funding. Initiate project closeout and submit the Local Public Agency checklist and Project Closeout Letter to ADOT PM. <p>ADOT PM:</p> <ul style="list-style-type: none"> Receive LPA Project Completion Checklist. Review to assure all contract requirements were met and forward to Procurement Officer. Submit the progress or completed ADOT Project Manager Project Completion Checklist, assuring that installation is in progress or is complete and that all contractual requirements have been met. If Project Sponsor is an LPA, upon receipt of the Final Closeout Letter (from LPA) and Final Acceptance Letter (from District Construction Office), prepares and submit the ADOT Project Manager Completion checklist and submits with closeout packet to Procurement and Field Reports. If Project Sponsor is ADOT, prepares and submit the Final Acceptance Letter to the Contractor, FHWA, Procurement and Field Reports. Receive and process ADOT Payment Request Form from the Project Sponsor for the remaining reimbursable balance of allocated federal funding. Send email to Resource Administration Office requesting that all encumbrances are released in AFIS prior to submitting final close packet, as applicable (see "Tips" column). Confirm all encumbrances have been released in AFIS and send written notification to Procurement Officer and Field Reports that the final ADOT Payment Request Form has been received and the contract can be closed out. Submit Record Drawings or "No Plans" document to PRO electronically at RecordDrawings@azdot.gov to be uploaded into the ROAD Portal https://road.azdot.gov/. 		<p>PM should check AFIS to see if any funds have been encumbered, if not, PM can proceed with closeout without extra email to Resource Administration Office. A screenshot or copy of email verifying there are no encumbrances can be submitted with closeout packet.</p> <p>ADOT will not process the final payment request from the Project Sponsor for reimbursement until the Local Public Agency Project Completion Checklist is received.</p> <p>Installation or verification by the ADOT PM or a duly authorized representative of the ADOT PM must take place before final reimbursement to the Project Sponsor.</p> <p>District Construction Office will provide the Final Acceptance Letter when Project Sponsor is an LPA.</p>

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<p style="text-align: center;">PROJECT CLOSEOUT CONTINUED...</p>	<p><u>ADOT PROCUREMENT:</u></p> <ul style="list-style-type: none"> • The project is finalized when the Procurement Officer receives evidence of property receipt and final payment. • The Procurement Officer will close out the contract and include the evaluations, checklists and project completion statements in the contract file. • Complete the ADOT Procurement Officer Project Completion Checklist and close out the contract file in APP. <p><u>ADOT DISTRICT CONSTRUCTION OFFICE/TSMO:</u></p> <ul style="list-style-type: none"> • Prepare a project final report and submit the report to Field Reports containing the Final Estimate, Final Balance, Transaction Detail Log, copies of PO(s), Invoices, First and Last Weekly Time Reports, and start Substantial Completion Memo and Final Acceptance Letter. • Participate in Post Award Meeting. • Collect Packing Slips, Invoices, DBE certification, and Materials certifications, if applicable, and then prepare and submit Materials Closeout. <p><u>ADOT FIELD REPORTS:</u></p> <ul style="list-style-type: none"> • Receive Project Final Documentation from the District Construction Office/TSMO. • Verify that PO(s), Receivers, Invoices, and FAST payments all balance. • Perform the Contract Closeout Memo / Packet, Final Estimate, Final Balance, PO(s) and Invoices. • Prepare and scan Final Packet and send to Contract Payables and Final Voucher Section. 	<p>The project closeout documentation must show that the project has been completed in accordance with the approved contract documents and applicable federal-aid requirements</p>	<p>See LPA Manual Chapter 14 Final Acceptance and Project Closeout.</p>