

# Local Administered Project Re-Certification



# Georgia Department of Transportation Local Administered Projects Re-Certification

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The Georgia Department of Transportation (GDOT) has developed a Local Administered Projects (LAP) re-certification process to ensure the resource capacity and ability of the Local Public Agency (LPA) to successfully manage, administer and execute the policies and procedures for Federal and State compliance in order to receive federal funding participation. It is an opportunity for GDOT and the Local Public Agency to evaluate their partnership.

The LAP Re-certification application will be used to determine if Local Public Agencies will remain qualified to administer federal-aid projects. The GDOT serves as the prime recipient of federal transportation funds. In accordance with 23 Code of Federal Regulation Part 635.105, GDOT is the supervising agency; as such, it is responsible for authorizing performance of the work by the Local Agency on all Federal-aid projects. Each Local Agency is required to recertify after a period of five years. Each local Agency is also required to take the following training and submit a certificate of completion: Local Administered Projects Training, Right-of-Way Acquisition Training for LAPs, Title VI Training, Project Development Process Training, and Engineering and Design Procurement Training. Please complete the questions provided in this application to ensure a complete review of submitted materials.

If you have any questions about the application, please contact the Office of Program Control at 404-631-1830. For additional information please visit the [LAP Program website](#).

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## Acronyms

**AASHTO** – American Association of State Highway and Transportation Officials  
(<http://www.transportation.org>)

**ADA** – Americans with Disabilities Act

**ASNT** – American Society of Nondestructive Testing

**CA** – Certification Acceptance

**CFR** – Code of Federal Regulations

**CWP** – (GDOT) Construction Work Program

**FFPR** – (GDOT) Final Field Plan Review

**FHWA** – Federal Highway Administration (<http://www.fhwa.dot.gov>)

**FRA** – Federal Railroad Administration (<http://www.fra.dot.gov/>)

**GDOT** – Georgia Department of Transportation (<http://www.dot.ga.gov>)

**GRTA** – Georgia Regional Transportation Authority (<http://www.grta.org/>)

**LAP** – Local Administered Project

**LPA/LG** – Local Public Agency/Local Government

**MPO** – Metropolitan Planning Organization

**MUTCD** – Manual on Uniform Traffic Control Devices (FHWA)

**NHS** – National Highway System

**OCGA** – Official Code of Georgia (<http://www.lexisnexis.com/hottopics/gacode/Default.asp>)

**OES** – (GDOT) Office of Environmental Services

**OMAT** – (GDOT) Office of Materials and Testing

**PCI** – Precast-Prestressed Concrete Inspection

**PDP** – (GDOT) Plan Development Process

**PE** – Preliminary Engineering

**PFPR** – Preliminary Field Plan Review

**QPL** – (GDOT) Qualified Products List

**ROW** – Right-of-Way

**RTT** – Roadway Testing Technician as certified by GDOT

**SRTA** – State Road and Tollway Authority

**STI** – GDOT Sampling, Testing and Inspection Manual which is located on the GDOT website under “The Source”.

**STIP** – State Transportation Improvement Plan.

**SWTP** – Statewide Transportation Plan (<http://www.dot.ga.gov/IS/SSTP#tab-2>)

**TIP** – Transportation Improvement Program

**TMOS**- Testing Management Operations Supervisor

**UAM** – (GDOT) Utility Accommodation Policy and Standards Manual.

[http://www.dot.ga.gov/PartnerSmart/utilities/Documents/2016\\_UAM.pdf](http://www.dot.ga.gov/PartnerSmart/utilities/Documents/2016_UAM.pdf)

**VT** – Verification Testing

## Certification Applications

### 1. Full Certification Acceptance (CA) Status

This status delegates some or all authority to a qualified local agency for approving project development and construction administration.

## Required Training for Certification

**Note: Participants who receive a training certificate in 2025, will be required every five years moving forward. Participants who receive certificates prior to 2025, will need to take the training course again 3 years from receipt of the training certificate.**

The following courses will be required every 5 years for certification and re-certification:

- Local Administered Projects Training
- Plan Development Process Training
- Right-of-Way Acquisition for Local Public Agencies Training
- Title VI/ADA Training
- Engineering and Design Procurement Training

## Documents to be Submitted

Templates can be found on the [LAP Webpage](#)

- Organizational Chart (update chart that identifies by name and title/position of non-consultant staff that will participate in LAP certification)
- Copy of all five (5) Training Certificates
- Title VI Plan or Non-Discrimination Agreement with Assurance
- Procurement Policy Template Letter of Agreement

LAP Re-Certification Information

Date: \_\_\_\_\_

Agency Name: \_\_\_\_\_

GDOT District: \_\_\_\_\_ Congressional District: \_\_\_\_\_

Interview Conducted By (GDOT) Name: \_\_\_\_\_

Title: \_\_\_\_\_

Agency Representative (Local) Name: \_\_\_\_\_

Title: \_\_\_\_\_

How Long in Current Position? \_\_\_\_\_

Phone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

Street Address: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_ County: \_\_\_\_\_ Zip Code: \_\_\_\_\_

Alternate Agency Full-time Representative (Local) Name: \_\_\_\_\_

Title: \_\_\_\_\_

How Long in Current Position? \_\_\_\_\_

Phone Number: \_\_\_\_\_ Fax Number: \_\_\_\_\_

Email Address: \_\_\_\_\_



## Local Administered Projects Responsible Charge Worksheet

**List the name and title responsible for the following functions.** Only list Non-Consultant staff positions within your organization. (Attach the most current organizational chart. Each person must have a training certificate applicable for their role as it applies the LAP Program. If the LPA has any name/title changes, a compliance plan along with an updated organization chart must be submitted within 30 days. If not, then the LPA will be viewed as non-compliant and may lose their LAP certification status.)

Compliance Plan can be found on the [LAP Webpage](#).

Statewide Transportation Improvement Program: \_\_\_\_\_

Selection of Annual Program: \_\_\_\_\_

Location/Design Approval: \_\_\_\_\_

Environmental Documents: \_\_\_\_\_

PS&E Approval: \_\_\_\_\_

Tied Bids: \_\_\_\_\_

Approval of Materials Sources: \_\_\_\_\_

Construction Administration: \_\_\_\_\_

Construction Inspection: \_\_\_\_\_

Acceptance Sampling/Testing: \_\_\_\_\_

Change Orders: \_\_\_\_\_

Project Files: \_\_\_\_\_

OEO Interviews/Monitoring: \_\_\_\_\_

Training Goal Attainment: \_\_\_\_\_

DBE Compliance/Monitoring: \_\_\_\_\_

Utility Certification: \_\_\_\_\_

Row Certification: \_\_\_\_\_

Consultants

For what areas does the agency expect to use consultants?

\_\_\_  Environmental

\_\_\_  Design

\_\_\_  PS&E Preparation

\_\_\_  Right-of-Way Appraisal

\_\_\_  Right-of-Way Negotiation

\_\_\_  Utilities

\_\_\_  Right-of-Way Relocation

\_\_\_  Construction Administration

\_\_\_  Construction Inspection

\_\_\_  Surveying

\_\_\_  Sampling and Testing

Section A - Title VI - Civil Rights Performance & Assessment Questionnaire

Note: Title VI Non-Discrimination Agreements must be submitted once **EVERY** year.

1. Do you have a Title VI Policy, Title VI Notice to the Public, Title VI Assurances and Title VI Plan or non-discrimination agreement in place? Provide proof of your Title VI policy (via web or printed materials)

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2. Please provide a copy of your Title VI complaint procedure for discrimination complaints? What extent is the community aware of it?

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3. Have you received any Title VI related complaints during the past two years? If so, how many? (Please attach the complaint form) What were the outcomes? Where there any Title VI complaints lodged by beneficiaries or participants? If so, explain the issues involved.

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4. What is the name and title of the person who attended the GDOT Title VI training? Please provide the date and a copy of the training certificate?

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5. Are minority members of the community invited to participate in public hearings? If yes, how do you identify potential EJ groups? How do you ensure they attend? If not, what measures have been taken to ensure public participation in public hearings?

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- 6. Are DBE goals being monitored, included and met for contracts on a programmatic level? If yes, please provide a brief explanation. If not, what provisions have been taken to monitor and meet them?

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- 7. Are minority contractors and subcontractors being informed about contracting opportunities with your organization? If yes, provide proof of contracting opportunities to minority contractors. If not, what provisions have been taken to inform minority contractors of contracting opportunities?

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- 8. Are Appendix A of the Title VI assurances and the FHWA 1273 being included in all contracts, subcontracts, and material supply agreements? Provide a sample contract of the inclusion of Appendix A of the Title VI Assurances & FHWA 1273.

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Section B - Environmental Questionnaire

1. How many types of Environmental Documents listed below are active under development?
  - Programmatic Categorical Exclusions (PCE – approved by GDOT)
  - Categorical Exclusions (CE – approved by FHWA)
  - Environmental Assessments/Findings of No Significant Impact (EA/FONSI – approved by FHWA)
  - Environmental Impact Statement (EIS – approved by FHWA)
  
2. How many of the following environmental document types were approved during the past five years?
  - Programmatic Categorical Exclusions (PCE – approved by GDOT)
  - Categorical Exclusions (CE – approved by FHWA)
  - Environmental Assessments/Findings of No Significant Impact (EA/FONSI – approved by FHWA)
  - Environmental Impact Statement (EIS – approved by FHWA)
  
3. For each document type noted above, what was the average number of review cycles required with GDOT staff to receive NEPA approval or submittal to FHWA? (A cycle is considered each time comments are received without GDOT approval or forwarding to FHWA.)
  - PCE     CEs         EA/FONSI         EIS
  
4. For the approved documents noted in #2 above, how many approvals were received?
  - On schedule or ahead of schedule as per the approved schedule required by the Project Framework Agreement
  - After the baseline schedule deadline and less than 3 months late
  - After the baseline schedule deadline and between 3 and 6 months late
  - After the baseline schedule deadline and between 6 and 12 months late
  - After the baseline schedule deadline and more than 12 months late

Please describe the specific reasons for the approval delays noted above. Use additional sheets as necessary.

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- 5. List any and all public involvement methods utilized during the environmental process. Use additional sheets as necessary.

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- 6. How many applications were submitted by the LPA for approval by the Army Corps of Engineers (USACE) and/or Georgia Department of Natural Resources, Environmental Protection Division (EPD)?

Section 404 Permits from USACE Individual  Regional  Nationwide   
 Stream Buffer Variances from Georgia Environmental Protection Division (EPD)

- 7. For each permit type noted above, what was the average number of review cycles required with GDOT staff for submittal to the Army Corps or EPD? (A cycle is considered each time comments are received from GDOT without forwarding to the Corps or EPD.)

Section 404 Permit from USACE Individual  Regional  Nationwide   
 Stream Buffer Variances from Georgia Environmental Protection Division (EPD)

- 8. For the approved permits noted in #7 above, how many approvals were received?

11 or more weeks prior to the GDOT baseline let date  
 5-11 weeks prior to the GDOT baseline let date  
 After 5 weeks prior to the GDOT baseline let date

Please describe the specific reasons for the approval delays noted above. Use additional sheets as necessary.

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- 9. Please describe any improvements that your agency or GDOT can implement to improve the delivery of environmental approvals or permits. Use additional sheets as necessary.

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Section C - Right of Way Questionnaire

1. Any consultant CONTRACTED for negotiation services for the acquisition of right of way for the County/City must either:

- \_\_\_ Hold an active Real Estate license in the State of Georgia or
- \_\_\_ Hold an active Real Estate broker’s license in the State of Georgia or
- \_\_\_ Be identified as an exception under OCGA 43-40-29

2. Any contracted CONSULTANT for negotiation services or staff negotiator performing negotiation services must have attended the GDOT/FHWA training class every 5 years and hold an active certificate. Provide a copy of the certificate.

3. Please describe your quality assurance and quality control methods to manage the ROW in the following areas:

a. ROW Project Activity Milestone Delivery: (i.e. schedule development and management recovery)

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b. ROW Project Budget (i.e. development, monitoring and overruns)

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c. ROW Project Risks associated with adhering to scope, schedule and budget (i.e. mitigation plan)

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d. ROW Consultant Services (i.e. development and monitoring) when applicable

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4. Identify the responsible party and title of staff certifying ROW.

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5. Has your LPA received any non-compliance letters or corrective actions? If yes, explain?

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6. Who performed the Right of Way Acquisition services? (Please check all that apply)

Staff

Consultants



Section D - Utility Division Questionnaire

**Local Utility Compliance**

- 1. Name and Title of individual or individuals that will be or have been responsible for Utility Coordination work.

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- 2. In brief and concise sentences, please describe your knowledge of the GDOT’s Utility Accommodation Policies and Standards Manual in relation to the Utility Coordination work on projects (use additional sheets).

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- 3. In brief and concise sentences, please describe your work experiences that demonstrate your ability to coordinate with utilities during the preconstruction phase on transportation projects (use additional sheets).

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- 4. In brief and concise sentences, please describe your ability to provide professional engineering services necessary to ensure utility impacts do not delay the project schedule on both the preconstruction phase or construction phase (use additional sheets).

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**Section E - Construction Division Questionnaire**

**Note:** If you are utilizing consultants, they must be GDOT certified.

**Please answer the following questions for your 3 most recent Federal-Aid projects**

**Project 1**     **PI#**\_\_\_\_\_

**Bidding, Letting & Award Compliance**

1. What was the date of initial authorization of construction funds?  
\_\_\_\_\_
  
2. What was the date of advertisement for the letting and how long was it advertised?  
\_\_\_\_\_
  
3. What was the name(s) of the newspaper/publication in which the project was advertised?  
\_\_\_\_\_  
\_\_\_\_\_
  
4. How many bids were accepted? How many bids were rejected? What was the reason for the rejection?  
\_\_\_\_\_  
\_\_\_\_\_
  
5. Explain the process for evaluating bids. Was the lowest bidder awarded the project? If not, please provide documentation supporting the Local Government’s reason(s) for not awarding to lowest bidder. (i.e. Responsive or Un-Balanced Bids, etc.).  
\_\_\_\_\_  
\_\_\_\_\_
  
6. Were performance/payment bonds received? \_\_\_\_\_
  
7. When was the project awarded to the low bid contractor (date)?  
\_\_\_\_\_
  
8. When was the Notice to Proceed issued to the contractor (date) and was it more than 270 days from GDOT authorization?  
\_\_\_\_\_
  
9. Was a preconstruction conference held? If so, please provide documentation of the meeting. If not, please provide justification for not conducting?  
\_\_\_\_\_  
\_\_\_\_\_

**DBE Goals**

What was the DBE Goal for the Project? \_\_\_\_\_

Who were the DBE subcontractors? \_\_\_\_\_

Was the DBE goal met? Explain? \_\_\_\_\_

If so, what was the final goal? \_\_\_\_\_

If not, what was the final participation amount and reason(s) for not meeting the Goal?

\_\_\_\_\_  
\_\_\_\_\_

**Construction Process**

Please provide a copy of the Construction Agreement between the local government and the contractor for the Department to review

**Specification Compliance**

Provide a project description.

\_\_\_\_\_  
\_\_\_\_\_

Please describe major items of work.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

What was the specification section numbers used for major work items listed above?

\_\_\_\_\_  
\_\_\_\_\_

**Schedule**

Was the project completed on time by the date provided in the construction agreement?

\_\_\_\_\_

Was the Project ever greater than 15% behind schedule overall? \_\_\_\_\_

If so, please provide details including, but not limited to, percent behind schedule, reasons for not meeting schedule, actions taken to remedy, etc.

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Please provide a copy of the QA agreement/OMAT-LAP Form (current version). Was the form signing date before or after NTP?

**Measurements & Payments (Change Orders and Claims, etc.)**

How was measurement and payment made and documented for the Project?

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Were the quantities verified or approved by the Department within the time specified in the agreement, if no please explain? \_\_\_\_\_

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Were there any payments that weren't prompt? \_\_\_\_\_

**Project Close-out**

Was a closing conference held? \_\_\_\_\_

Was a final inspection held? \_\_\_\_\_

Was a Punch List developed? If so, please provide a copy. \_\_\_\_\_

Materials Certificate date? \_\_\_\_\_

Were any issues noted on the materials certificate? \_\_\_\_\_

Was there a requirement for a Disposition Form for substandard materials or work? If so what was not to standard? \_\_\_\_\_

*Note: If issues were noted a disposition is required (please attach disposition if this applies). Letters of disposition will not substitute for missing tests across the board.*

When was Final Acceptance granted by the Department? \_\_\_\_\_

What was the amount of time from the date of work complete/time stop to the Final Acceptance date? If greater than 6 months, please provide reason(s).

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**Project 2**    **PI#** \_\_\_\_\_

**Bidding, Letting & Award Compliance**

1. What was the date of initial authorization of construction funds?  
\_\_\_\_\_
  
2. What was the date of advertisement for the letting and how long was it advertised?  
\_\_\_\_\_
  
3. What was the name(s) of the newspaper/publication in which the project was advertised?  
\_\_\_\_\_  
\_\_\_\_\_
  
4. How many bids were accepted? How many bids were rejected? What was the reason for the rejection?  
\_\_\_\_\_  
\_\_\_\_\_
  
5. Explain the process for evaluating bids. Was the lowest bidder awarded the project? If not, please provide documentation supporting the Local Government's reason(s) for not awarding to lowest bidder. (i.e. Responsive or Un-Balanced Bids, etc.).  
\_\_\_\_\_  
\_\_\_\_\_
  
6. Were performance/payment bonds received? \_\_\_\_\_
  
7. When was the project awarded to the low bid contractor (date)?  
\_\_\_\_\_
  
8. When was the Notice to Proceed issued to the contractor (date) and was it more than 270 days from GDOT authorization?  
\_\_\_\_\_
  
9. Was a preconstruction conference held? If so, please provide documentation of the meeting. If not, please provide justification for not conducting?  
\_\_\_\_\_  
\_\_\_\_\_

**DBE Goals**

What was the DBE Goal for the Project? \_\_\_\_\_

Who were the DBE subcontractors? \_\_\_\_\_

Was the DBE goal met? Explain? \_\_\_\_\_

If so, what was the final goal? \_\_\_\_\_

If not, what was the final participation amount and reason(s) for not meeting the Goal?

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**Construction Process**

Please provide a copy of the Construction Agreement between the local government and GDOT for review.

**Specification Compliance**

Provide a project description.

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Please describe major items of work.

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What were the specification section numbers used for major work items listed above?

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**Schedule**

Was the project completed on time by the date provided in the construction agreement?

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Was the Project ever greater than 15% behind schedule overall? \_\_\_\_\_

If so, please provide details including, but not limited to, percent behind schedule, reasons for not meeting schedule, actions taken to remedy, etc.

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Please provide a copy of the QA agreement/OMAT-LAP Form (current version). Was the form signing date before or after NTP?

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**Measurements & Payments (Change Orders and Claims, etc.)**

How was measurement and payment made and documented for the Project?

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Were the quantities verified or approved by the Department within the time specified in the agreement, if no please explain? \_\_\_\_\_

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Were there any payments that weren't prompt? \_\_\_\_\_

**Project Close-out**

Was a closing conference held? \_\_\_\_\_

Was a final inspection held? \_\_\_\_\_

Was a Punch List developed? If so, please provide a copy. \_\_\_\_\_

Materials Certificate date? \_\_\_\_\_

Were any issues noted on the materials certificate? \_\_\_\_\_

Was there a requirement for a Disposition Form for substandard materials or work? If so what was not to standard? \_\_\_\_\_

*Note: If issues were noted a disposition is required (please attach disposition if this applies). Letters of disposition will not substitute for missing tests across the board.*

When was Final Acceptance granted by the Department? \_\_\_\_\_

What was the amount of time from the date of work complete/time stop to the Final Acceptance date? If greater than 6 months, please provide reason(s).

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**Project 3**    **PI#** \_\_\_\_\_

**Bidding, Letting & Award Compliance**

1. What was the date of initial authorization of construction funds?  
\_\_\_\_\_
  
2. What was the date of advertisement for the letting and how long was it advertised?  
\_\_\_\_\_  
\_\_\_\_\_
  
3. What was the name(s) of the newspaper/publication in which the project was advertised?  
\_\_\_\_\_  
\_\_\_\_\_
  
4. How many bids were accepted? How many bids were rejected? What was the reason for the rejection?  
\_\_\_\_\_  
\_\_\_\_\_
  
5. Explain the process for evaluating bids. Was the lowest bidder awarded the project? If not, please provide documentation supporting the Local Government's reason(s) for not awarding to lowest bidder. (i.e. Responsive or Un-Balanced Bids, etc.).  
\_\_\_\_\_  
\_\_\_\_\_
  
6. Were performance/payment bonds received? \_\_\_\_\_
  
7. When was the project awarded to the low bid contractor (date)?  
\_\_\_\_\_
  
8. When was the Notice to Proceed issued to the contractor (date) and was it more than 270 days from GDOT authorization?  
\_\_\_\_\_
  
9. Was a preconstruction conference held? If so, please provide documentation of the meeting. If not, please provide justification for not conducting?  
\_\_\_\_\_  
\_\_\_\_\_



**DBE Goals**

What was the DBE Goal for the Project? \_\_\_\_\_

Who were the DBE subcontractors? \_\_\_\_\_

Was the DBE goal met? Explain? \_\_\_\_\_

If so, what was the final goal? \_\_\_\_\_

If not, what was the final participation amount and reason(s) for not meeting the Goal?

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**Construction Process**

Please provide a copy of the Construction Agreement between the local government and the contractor for the Department to review

**Specification Compliance**

Provide a project description.

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Please describe major items of work.

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What were the specification section numbers used for major work items listed above?

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**Schedule**

Was the project completed on time by the date provided in the construction agreement?

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Was the Project ever greater than 15% behind schedule overall? \_\_\_\_\_

If so, please provide details including, but not limited to, percent behind schedule, reasons for not meeting schedule, actions taken to remedy, etc.

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Please provide a copy of the QA agreement/OMAT-LAP Form (current version). Was the form signing date before or after NTP?

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**Measurements & Payments (Change Orders and Claims, etc.)**

How was measurement and payment made and documented for the Project?

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Were the quantities verified or approved by the Department within the time specified in the agreement, if no please explain? \_\_\_\_\_

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Were there any payments that weren't prompt? \_\_\_\_\_

**Project Close-out**

Was a closing conference held? \_\_\_\_\_

Was a final inspection held? \_\_\_\_\_

Was a Punch List developed? If so, please provide a copy. \_\_\_\_\_

Materials Certificate date? \_\_\_\_\_

Were any issues noted on the materials certificate? \_\_\_\_\_

Was there a requirement for a Disposition Form for substandard materials or work? If so what was not to standard? \_\_\_\_\_

*Note: If issues were noted a disposition is required (please attach disposition if this applies). Letters of disposition will not substitute for missing tests across the board.*

When was Final Acceptance granted by the Department? \_\_\_\_\_

What was the amount of time from the date of work complete/time stop to the Final Acceptance date? If greater than 6 months, please provide reason(s).

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*Note: Attach a copy of the construction audit report for all 3 projects listed above.*

Section F - Procurement of Engineering and Design Related Services  
Questionnaire

**Please answer the following questions specific to “Procurement, Management, and Administration of Engineering and Design Related Services” for Federal-Aid projects to enable the Department to determine compliance with 23 CFR 172.**

**Note:** Procurement will not be approved unless training has been completed. All staff involved in the procurement process **must** attend training.

- Any person(s) responsible for the solicitation, facilitating Evaluations, Negotiations and Contract Management must attend and pass the Procurement training
- Policies shall only be submitted once training has been completed. If the LPA’s staff has not attended training, they shall not contact Procurement with questions related to the language, submittal of policy
- The application will be used to review the LPA’s policy and knowledge of the process and all attachments are required with application (solicitation, evaluation, scoring, comments, etc...)

Also, if the LPA would like to adopt GDOT’s procurement policy, please reference the additional resources on the LAP webpage for the documentation.

1. Please list all staff (names and titles) that has taken the procurement class and provide dates the class was completed. Please provide a copy of the training certificates.

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2. How many procurements for architecture and engineering services were performed for contracts to be funded with Federal Aid Highway Program funds within the past five years? Provide a list of all and answer the project specific questions below for the three most recent procurements using Federal-Aid funds.

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3. Provide the written policies and procedures used to procure architecture and engineering services for the three most recent procurements using Federal-Aid funds, which are in accordance with §172.5(b)(1). If none are available, describe the process followed from beginning to end.

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**Please answer the following questions for your 3 most recent Federal-Aid projects to enable the Department to determine if compliance with 23 CFR 172, entitled “Procurement, Management, and Administration of Engineering and Design Related Services”. Provide all necessary documentation to support your answers and refer to the page number the information can be found.**

**Project 1**

1. Prequalification

- a. What area classes were used for;
  - i. Prime \_\_\_\_\_
  - ii. Team \_\_\_\_\_
- b. Provide a copy of the prequalification certification to verify awarded consultant met all required area classes.

2. Development

- a. Which of the three (3) contract types did you select for the project and why?  
\_\_\_\_\_  
\_\_\_\_\_
- b. Which payment type(s) did you indicate in the solicitation could be used? Indicate page in the solicitation where this is mentioned.  
\_\_\_\_\_  
\_\_\_\_\_
- c. Provide the list of the selection criteria your entity used to score and the associated weights.  
\_\_\_\_\_  
\_\_\_\_\_

3. Advertisement

- a. How was the solicitation announced, advertised, or published in a public forum or method that assured qualified in-state and out-of-state consultants were given a fair opportunity to be considered? (Provide a link to the advertisement)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- b. How long was the advertisement? (Provide dates)  
\_\_\_\_\_  
\_\_\_\_\_

4. Evaluation

a. Selection Committee:

i. How many members? \_\_\_\_\_

ii. List the names and qualifications of committee members

\_\_\_\_\_

b. Describe the evaluation process provide evaluation documents of short listed firms

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

c. Provide a copy of instructions provided to selection members

d. What is your scoring methodology?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

e. Were individuals required to provide scores and comments? Please provide documentation.

\_\_\_\_\_

f. Provide phase 1 committee scores and comments

g. Provide phase 2 committee scores and comments

h. Provide rationale for final award

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Negotiations

a. Provide scope of contract and supporting task list to start negotiations

b. Provide independent estimate prior to receiving consultant cost proposal

c. Provide consultant cost proposal

d. Provide final cost proposal agreed upon and process used for negotiating differences between independent estimate and consultant cost proposal

e. Verification of Overhead Rate

i. How did you achieve verification that consultant is using currently approved audited rate?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. Award

- a. Copy of contract which contain required provisions from CFR §172.9(c)
- b. Where was the award noticed posted? Provide a copy of the printed page confirming the posting.

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7. Contract

- a. Were there any modifications to the agreement after execution of the contract? If yes, provide a summary and rationale and copies.

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- b. Provide a copy of the Notice To Proceed (NTP)
- c. Provide a copy of the Stop Work Notice

**Project 2**

1. Prequalification

- a. What area classes were used for;
  - i. Prime \_\_\_\_\_
  - ii. Team \_\_\_\_\_
- b. Provide a copy of the prequalification certification to verify awarded consultant met all required area classes.

2. Development

- a. Which of the three (3) contract types did you select for the project and why?  
\_\_\_\_\_  
\_\_\_\_\_
- b. Which payment type(s) did you indicate in the solicitation could be used? Indicate page in the solicitation where this is mentioned.  
\_\_\_\_\_  
\_\_\_\_\_
- c. Provide the list of the selection criteria your entity used to score and the associated weights.  
\_\_\_\_\_  
\_\_\_\_\_

3. Advertisement

- a. How was the solicitation announced, advertised, or published in a public forum or method that assured qualified in-state and out-of-state consultants were given a fair opportunity to be considered? (Provide a link to the advertisement)  
\_\_\_\_\_

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b. How long was the advertisement? (Provide dates)

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4. Evaluation

a. Selection Committee:

i. How many members? \_\_\_\_\_

ii. List the names and qualifications of committee members

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b. Describe the evaluation process provide evaluation documents of short listed firms

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c. Provide a copy of instructions provided to selection members

d. What is your scoring methodology?

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e. Were individuals required to provide scores and comments? Please provide documentation.

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f. Provide phase 1 committee scores and comments

g. Provide phase 2 committee scores and comments

h. Provide rationale for final award

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5. Negotiations

a. Provide scope of contract and supporting task list to start negotiations

b. Provide independent estimate prior to receiving consultant cost proposal

c. Provide consultant cost proposal

d. Provide final cost proposal agreed upon and process used for negotiating differences between independent estimate and consultant cost proposal

e. Verification of Overhead Rate

i. How did you achieve verification that consultant is using currently approved audited rate?

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6. Award

- a. Copy of contract which contain required provisions from CFR §172.9(c)
- b. Where was the award noticed posted? Provide a copy of the printed page confirming the posting.

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7. Contract

- a. Were there any modifications to the agreement after execution of the contract? If yes, provide a summary and rationale and copies.

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- b. Provide a copy of the Notice To Proceed (NTP)
- c. Provide a copy of the Stop Work Notice

**Project 3**

1. Prequalification

- a. What area classes were used for;
  - i. Prime \_\_\_\_\_
  - ii. Team \_\_\_\_\_
- b. Provide a copy of the prequalification certification to verify awarded consultant met all required area classes.

2. Development

- a. Which of the three (3) contract types did you select for the project and why?  
\_\_\_\_\_  
\_\_\_\_\_
- b. Which payment type(s) did you indicate in the solicitation could be used? Indicate page in the solicitation where this is mentioned.  
\_\_\_\_\_  
\_\_\_\_\_
- c. Provide the list of the selection criteria your entity used to score and the associated weights.  
\_\_\_\_\_  
\_\_\_\_\_

3. Advertisement



- a. How was the solicitation announced, advertised, or published in a public forum or method that assured qualified in-state and out-of-state consultants were given a fair opportunity to be considered? (Provide a link to the advertisement)

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- b. How long was the advertisement? (Provide dates)

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4. Evaluation

- a. Selection Committee:

- i. How many members? \_\_\_\_\_
- ii. List the names and qualifications of committee members

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- b. Describe the evaluation process provide evaluation documents of short listed firms

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- c. Provide a copy of instructions provided to selection members

- d. What is your scoring methodology?

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- e. Were individuals required to provide scores and comments? Please provide documentation.

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- f. Provide phase 1 committee scores and comments

- g. Provide phase 2 committee scores and comments

- h. Provide rationale for final award

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5. Negotiations

- a. Provide scope of contract and supporting task list to start negotiations
- b. Provide independent estimate prior to receiving consultant cost proposal
- c. Provide consultant cost proposal

- d. Provide final cost proposal agreed upon and process used for negotiating differences between independent estimate and consultant cost proposal
- e. Verification of Overhead Rate
  - i. How did you achieve verification that consultant is using currently approved audited rate?

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6. Award

- a. Copy of contract which contain required provisions from CFR §172.9(c)
- b. Where was the award noticed posted? Provide a copy of the printed page confirming the posting.

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7. Contract

- a. Were there any modifications to the agreement after execution of the contract? If yes, provide a summary and rationale and copies.

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- b. Provide a copy of the Notice To Proceed (NTP)
- c. Provide a copy of the Stop Work Notice

**Section G - Re-Certification for a 5-Year Period**

The Office of Inspector Generals (OIG) issued a report dated July 15, 2011, titled Federal Highway Administration’s Oversight of Federal –Aid and recovery Act Projects Administered by Local Public Agencies Need Strengthening. The report identified seven project activities where the OIG found a high level of non-compliance with Federal requirements. The goal is to increase our state oversight compliance in all areas through additional training for both GDOT and Locals, while specifically addressing the seven project activities with significant reoccurring non-compliance listed below:

1. Change Order and Claims
2. Project Bidding/contractor selection/unbalanced bid analysis
3. Utility agreements/reimbursements
4. Consultant selection and billings
5. Construction pay quantities and progress payments
6. Project reporting and tracking
7. Quality assurance procedures

The report can be found on the OIG’s website: <https://www.oig.dot.gov/library-item/29674>

The Georgia Department of Transportation, in collaboration with the Georgia Division Federal Highway Administration (FHWA), has developed a 5-year Local Administered Project (LAP) Re-Certification Process. This process is established to ensure the capacity and ability of the Local Public Agency (LPA) to successfully manage, administer and execute the policies and procedures for Federal and State compliance in order to receive federal funding through the qualified certification available to participants.

The Departments’ goals are to obtain updated information through this process; assess the Local Agencies’ past performance; gather feedback through a series of questions and written responses; provide guidance on areas of high-level non-compliance and other deficient areas, while providing additional training to increase delivery. In addition, the Department is interested in obtaining feedback from the Local Agencies on streamlining other processes and sharing best practices and innovative ideas. Finally, components of the 5-year recertification process are aligned with the Department’s “Stewardship Agreement”, which seeks to ensure oversight and compliance with State and Federal regulations.

Each Local Agency is required to recertify after a period of 5 years. During the recertification process, the LAP Program Manager and the LAP Committee shall evaluate the Local Agency’s past performance and any staffing changes. As part of the recertification process, the Local Agency completes a sub-recipient compliance non-discrimination review. Recertification provides an opportunity for the Department and the Local Agency to evaluate their partnership. Additionally,

as a part of the recertification review process, a Local Agency may be recertified to a different certification type or have the certification removed. The Department and the Local Agency should determine what aspects of the Local Agency’s efforts are working well, what needs to be improved and whether the LAP certification should continue.

Local Agency’s certification may be removed for failure to comply with State and Federal regulations, the requirements of this Manual, and the Local Agency Program Agreement. The certification removal may also occur for unsatisfactory performance, which includes, but is not limited to: failure to deliver projects, and failure to meet the commitments of the LAP program. The LAP Coordinator and LAP Committee will recommend certification removal to the Chief Engineer. The recommendation will include performance reports and documentation of any factors relevant to the decision. A Local Agency may appeal the certification removal by requesting a meeting with the Chief Engineer.

Recommendation(s) of action to be taken by Agency from GDOT Reviewer:

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\_\_\_\_\_ Full administration by agency of all projects

\_\_\_\_\_ Deny approval for Certification Acceptance

**Interview Conducted By:** \_\_\_\_\_

**District Planning Programming Liaison**

**Date**

## Section H - Re-Certification Appeal Process

If re-certification has been denied, the Local Public Agency will then receive a letter explaining the reasons for denial. The LPA can then appeal any deficiencies found within 30 days. GDOT will then approve or deny the appeal based on additional information provided by the LPA.

Removal from the certification program may also occur at any time for unsatisfactory performance, which includes, but is not limited to:

- Failure to comply with applicable laws, regulations and policies
- Failure to meet the commitments of the LAP Program
- Failure to meet required timeframes for project delivery

This signature ensures that the agency agrees to comply with the previous requirements when developing all Federal Highway Administration projects under GDOT's Qualification Certification Agreement. **FAILURE TO COMPLY** may require repayment for all or a portion of Federal funds. This applies to all successors from here.

LOCAL GOVERNMENT, Georgia

Approved By: \_\_\_\_\_

Title: \_\_\_\_\_

Signed, sealed and delivered

This \_\_\_\_ day of \_\_\_\_\_,

20\_\_\_\_, in the presence of:

\_\_\_\_\_

Witness

\_\_\_\_\_

Notary Public

**GEORGIA DEPARTMENT OF TRANSPORTATION**

**Approved By:** \_\_\_\_\_

**Program Control Administrator**

**Date**