

Local Administered Project Certification



Local Administered Projects Certification

Rev. 6/21

Georgia Department of Transportation Local Administered Projects Certification

The Georgia Department of Transportation (GDOT) has developed a Local Administered Projects (LAP) 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.

The LAP Certification application will be used to determine if Local Public Agencies will qualify 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. 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 Programs website at <http://www.dot.ga.gov/PS/Local/LAP>

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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

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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

VT – Verification Testing

Types of 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.
2. Non-CA Status
 - a) **Option 1:** The Non-CA Local Government could enter into an agreement with a CA Local Government to administer all aspects of the project. There must be a jurisdictional relationship (for example a CA County could have an agreement with a Non-CA City that is within its jurisdictional boundaries). This agreement requires approval by GDOT.
 - b) **Option 2:** GDOT acts as the CA for the Local Government through an approved plan for the administration of projects, which are executed between GDOT and the Local Government.

Required Training for Certification

These courses will be required every 3 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 Certification Information

Date: _____

Agency Name: _____

Type of Certification Status: CA _____ Non-CA Option 1 _____ Option 2 _____

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: _____

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Consultants

For what areas does the agency expect to use consultants?

- | | |
|---|--|
| <input type="checkbox"/> Environmental | <input type="checkbox"/> Right-of-Way Relocation |
| <input type="checkbox"/> Design | <input type="checkbox"/> Construction Administration |
| <input type="checkbox"/> PS&E Preparation | <input type="checkbox"/> Construction Inspection |
| <input type="checkbox"/> Right-of-Way Appraisal | <input type="checkbox"/> Surveying |
| <input type="checkbox"/> Right-of-Way Negotiation | <input type="checkbox"/> Sampling and Testing |
| <input type="checkbox"/> Utilities | |

If there is an organizational change this document must be updated within 30days.

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)

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

- 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.

- 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?

- 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?

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?

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?

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.

9. If you have not done any of the above, please explain how you will address Title VI Federal requirements on Local Administered projects?

Section B - Environmental Questionnaire

1. How many types of Environmental Documents listed below are active or 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. Have you had any Environmental Documents approved in the past three years? If so, how many of the following environmental documents were approved?
 - 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.

- 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.

- 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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10. If you have not done any of the above, please explain how you plan to complete Environmental Documents for Local Administered Projects?

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 3 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)

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

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

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

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, who provided the service, explain non-compliance?

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

Staff

Consultants

Both

7. If you have not performed any of the above activities, how do you plan to perform Right-of-Way functions for Local Administered Projects?

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.

- 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).

- 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).

- 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)

- 5. If you have not done any of the above, please explain how you will perform Utility activities on Local Administered Projects according to Federal and State guidelines?

Section E - Construction Division Questionnaire

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

Advertisement, Award, and Execution of Contract

Position Responsible for:

Approval to Advertise _____

Name of Legal Publication _____

Prequalification of Bidders _____

Award of Contract _____

Execution of Contract _____

Construction Supervision and Administration

Name and Title of individual or individuals that will be responsible for Construction Supervision and Administration: _____

Describe the Local Governments experience with construction supervision and inspection related to transportation construction projects:

Will daily Construction Supervision and Inspection be handled by the Local Government or by a Consultant Firm? _____

If Local Government is using a Consultant Firm, is the Firm under a current contract with the Local Government? _____

If so, what is the name of the Firm? _____

Is the Firm pre-qualified under the Department's 8.01 Consultant Work Classification? _____

If a Consultant Firm is used, how will the Local Government monitor the Consultant's work?

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Name and Title of individual who will check contractor payrolls?

How will the Local Government handle administration of more than one contract at a time?

How will Local Government handle inspection and administration of several active phases of a project concurrent (e.g. grading, drainage, paving, structures)?

Change Orders/Contract Modifications

What is the Local Government's current change order process, including approval levels and final signature required for execution?

Describe the Local Government's requirements for documenting Contractor activities and making measurement and payment for project bid items.

Describe the Local Governments process for subcontract approval(s).

Material Testing and Approval

Describe the Local Governments experience with use of materials approved by the Georgia Department of Transportation.

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Describe the Local Governments experience with materials testing related to transportation construction projects.

Will materials testing and certification be done by the Local Government or by a Consultant Firm? _____

If Local Government is using a Consultant Firm, is the Firm under a current contract with the Local Government? _____

If so, what is the name of the Firm?

Is the Firm pre-qualified under the Department's 6.04a and 6.04b Consultant Work Classifications?

Is the Local Government planning and developing any projects that may contain and bridges or structures?

If yes, does the Local Government or its Consultant have PCI certified inspection personnel or will the Local Government request the assistance of GDOT for inspection and approval?

Does the Consultant have ASNT (American Society of Nondestructive Testing) Level III certified welding inspectors for steel bridges?

Does the Consultant have ASNT certified VT or MT inspectors? (visual and magnetic particle)

Schedule/Workload

If any, list the Local Governments schedule of Federal Aid Projects and their projected Construction Begin Date.

Delivery Performance & Quality Assurance

- Who is responsible for ensuring that payments are in line with percent complete activities (as approved by LPA and GDOT)?

- Who is responsible for developing the initial Gantt Chart construction schedule identifying the key milestones along with the critical paths?

- How is the construction schedule monitored to determine monthly performance?

- What industry methods have been implemented to mitigate construction risks and delays?

- What assurances are in place to measure and document quality control performance?

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.

2. How many procurements for architecture and engineering services for contracts to be funded with Federal Aid Highway Program funds are anticipated and what type of services will be procured?

3. Provide the written policies and procedures which will be used to procure architecture and engineering services 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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4. How will the solicitations be 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? How long will the projects be advertised?

a. What selection criteria will be utilized and what is the range of associated weights which will be applied for each selection criteria?

b. Describe the information which will be included in the resulting evaluation, ranking and selection packages for each consultant selection. What is the minimum number of statements of qualifications which must be received in order to proceed? What are the anticipated DBE Goals for each contract?

5. Compliance with 23 CFR 172.7(a)(1)(v) and 23 CFR172.11: After the selection process is completed, describe the negotiation process which will be utilized to determine a fair and reasonable cost for the services provided.

6. What contract types (project specific, multi-phase project specific, on call/Indefinite Delivery/Indefinite Quantity (IDIQ) are anticipated to be procured?

7. If utilizing on call/IDIQ contracts, what will be the maximum contract term?

8. If you have not done any of the above, please explain how you plan to perform Construction Activities on Local Administered Projects?

Section G - Certification Acceptance Agreement

The agency agrees to comply with the following requirements when developing all Federal Highway Administration (FHWA) projects under GDOT’s Qualification Certification Agreement.

1. Adherence to the *Local Administered Project Manual* and all policies and procedures promulgated by the Georgia Department of Transportation (GDOT) which accomplish the policies and objectives set forth in Title 23, U.S. Code, Highways, and the regulations issued pursuant thereto.
2. All projects will be constructed in conformance with the GDOT current *Standard Specifications for Road, Bridge, and* such specifications that modify these Specifications as appropriate.
3. Construction administration and material sampling and testing will be accomplished in accordance with the GDOT *Construction Manual* and the *Local Administered Project Manual*.
4. All projects under Certification Acceptance shall be available for review by the FHWA and/or GDOT at any time and all project documents shall be retained and available for inspection during the plan development and construction stages and for a three year period following acceptance of the project by GDOT.
5. Approval of the local agency certification by the GDOT may be rescinded at any time upon local agency request or if, in the opinion of the LAP Certification Committee, it is necessary to do so. The rescission may be applied to all or part of the programs or projects approved in the local agency certification. The Local Government accepts liability to reimburse the GDOT and FHWA for all accrued payments received for applicable projects not complying with this agreement.

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

- Full administration by agency of all projects
- Non – CA Status Option 1
- Non – CA Status Option 2
- Deny approval for Certification Acceptance

Interview Conducted By: _____
District Planning Programming Liaison **Date**

Section H - Certification Appeal Process

If 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

The following two options for Non-Certification Acceptance (Non –CA) status are available to Local Public Agencies that cannot meet the CA requirements the agency can participate in Non-CA Acceptance Status either Option 1 or Option 2.

1. **Option 1:** The Non-CA Local Government could enter into an agreement with a CA Local Government to administer all aspects of the project. There must be a jurisdictional relationship (for example a CA County could have an agreement with a Non-CA City that is within its jurisdictional boundaries). This agreement requires approval by GDOT.
2. **Option 2:** GDOT acts as the CA for the Local Government through an approved plan for the administration of projects, which are executed between GDOT and the Local Government.

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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