

Maryland Department of Transportation

State Highway Administration

Local Public Agency (LPA) and Sub-recipients of Federal Funding Project Delivery Self-Evaluation for Requests to Administer Federal Aid Projects

Purpose of the Self- Evaluation

The Federal Highway Administration (FHWA) permits the Maryland Department of Transportation State Highway Administration (MDOT SHA) to delegate project activities on Federal-aid projects to Local Public Agencies (LPAs) and other sub-recipients. However, MDOT SHA is ultimately responsible and, as such, must assure local compliance with all Federal and State laws, regulations, and policies. In order to uphold the integrity of MDOT SHA's federal programs, this self-evaluation serves as evidence of the LPAs or sub-recipient's capability to administer a federally funded project.

LPAs and other sub-recipients must possess a minimum organizational structure, a fulltime employee known as the "responsible charge", and certain documented processes and experience. These considerations apply to design, construction as well as the general aspects of public business, fiscal accountability, and other applicable requirements associated with Federal and State funding. Through the self- evaluation, MDOT SHA can understand if the LPA and other sub-recipients possesses the qualified staff, experience, and management oversight to successfully administer a project from preliminary development through construction and determine how much assistance may be needed. This self-evaluation will be on record for three years. If there is significant turnover, the LPA should proactively submit a revised form with updated information.

Submittal Date: _____

Local Public Agency/Sub-Recipient: _____

Local Official Submitting Information: _____

Local Official's Phone Number and Email: _____

LPA Responsible Charge

It is important for the LPA or other sub-recipients to be adequately staffed and have working knowledge of federal aid project requirements. The Responsible Charge (RC) is a designated person responsible (full-time LPA or sub-recipient employee) to act as an authority for all MDOT SHA delegated responsibilities and project approvals pertaining to the LPA or sub-recipient project during design and construction.

During **design**, the qualified LPA staff person/RC responsibilities shall include:

- Administering inherently governmental activities including, but not limited to, contract negotiation, contract payment, and evaluation of compliance, performance, and quality of services provided by consultant;
- Being familiar with the contract requirements, scope of services to be performed, and products to be produced by the consultant;
- Being familiar with the qualifications and responsibilities of the consultant's staff and evaluating any requested changes in key personnel;
- Scheduling and attending progress and project review meetings, commensurate with the magnitude, complexity, and type of work, to ensure the work is progressing in accordance with established scope of work and schedule milestones;
- Ensuring consultant costs billed are allowable in accordance with the Federal cost principles and consistent with the contract terms as well as the acceptability and progress of the consultant's work;
- Evaluating and participating in decisions for contract modifications; and
- Documenting contract monitoring activities and maintaining supporting contract records, as specified in 2 CFR 200.333.

Identify the full-time employee assigned as RC for LPA or sub-recipient projects.

Name: _____

Title: _____

Yes No N/A The RC has experience providing oversight or managing transportation projects.

If yes, please list two transportation projects the LPA or sub-recipient and RC has successfully completed:

Title	Costs	NTP Date/Completion Date
1. _____		
2. _____		

Yes No N/A The RC has experience providing oversight or managing **federally funded** transportation projects.

If yes, please list two **federally funded** transportation projects that the LPA and RC has successfully completed:

Title	Costs	NTP Date/Completion Date
1. _____		
2. _____		

Yes No N/A The RC and other project staff has completed training on federal funding requirements and compliance.

If Yes, please list the types of training completed:

1. _____

During **construction**, the qualified LPA staff person/RC should be capable of the following:

- Administer governmental project activities, including those dealing with cost, time, adherence to contract requirements, construction quality and scope of Federal-Aid projects;
- Maintain familiarity of the day to day project operations, including project safety issues;
- Participate in decisions that require change orders or supplemental agreements;
- Visit the project(s) at an appropriate frequency for the complexity of the project(s);
- Review financial processes, transactions and documentation to ensure that safeguards are in place to minimize fraud, waste, and abuse;
- Direct project staff, agency or consultant to carry out project administration and contract oversight, including proper documentation; and
- Awareness of the qualifications and on-the-job performance of the agency and staff.

Identify the full-time employee assigned as RC for LPA or sub-recipient projects.

Name: _____

Title: _____

Yes No N/A The RC has experience providing oversight or managing transportation projects.

If yes, please list two transportation projects the LPA or sub-recipient and RC has successfully completed:

Title	Costs	NTP Date/Completion Date
1. _____		
2. _____		

Yes No N/A The RC has experience providing oversight or managing **federally funded** transportation projects.

If yes, please list two **federally funded** transportation projects that the LPA and RC has successfully completed:

Title	Costs	NTP Date/Completion Date
1. _____		
2. _____		

Yes No N/A The RC and other project staff has completed training on federal funding requirements and compliance.

If Yes, please list the types of training completed:

1. _____

Procurement

It is important for the LPA or other sub-recipient to understand the federal requirements to acquire professional services and construction. LPA's and other sub-recipients receiving federal reimbursement for professional service contracts must procure those professional services in accordance to the federal Brooks Act, 23 CFR 172 for professional services, 23 CFR 635 for construction contracting services in addition to 2 CFR 200. This section will help identify the LPA's or other sub-recipient's level of understanding of the acquisition process for professional services and construction.

Yes No N/A The LPA will need assistance in understanding the federal professional services procurement process.

Yes No N/A The LPA's consultant staff will be utilized to complete project management duties.

Yes No N/A The LPA's consultant staff have experience providing oversight or managing federal funded transportation projects.

If yes, select the services, which will need consultant assistance.

		COMMENTS, if necessary
Preliminary Design:		
NEPA		
Final Design:		
PS&E (Including Bid Document)		
Right-of-Way		
Utility/Railroads		
Construction Management and Inspection		
Other, please specify		

Yes No N/A The LPA has successfully procured professional services in compliance with **federal aid requirements** within the last 5 years.

Yes No N/A Does your agency have a continuing service (open-ended) contract it would like to utilize for professional services phases of LPA projects? (If so, it must have been procured through the federal process and approved by SHA before utilization.)

If yes, is it a federalized contract procured in compliance with the Brooks Act and with all the federal contract language incorporated?

Yes No N/A The LPA has staff available that are familiar with the federal procurement process to oversee the procurement process.

Yes No N/A Does your agency routinely prepare independent man hour estimates prior to negotiating with consultants?

Delivery System

It is important for the LPA or other sub-recipient to have a mechanism for tracking project schedules, deliverables, and other related information to ensure a timely project completion during design and construction. This section will help identify the LPA's or other sub-recipient's level of experience and presence of an "adequate project delivery" systems.

Yes No N/A The LPA has project delivery staff and project management processes to administer a federal aid project within the next 5 years.

Yes No N/A The LPA has successfully administered a federal aid highway improvement project within the last 5 years.

Yes No N/A The LPA has successfully administered a non-highway improvement project such as sidewalks, streetscape, shared-use trails within the last 5 years.

Yes No N/A The LPA has successfully administered a state aid or capital improvement highway project within the last 5 years.

Yes No N/A The LPA has a project tracking system that will be utilized to maintain a project status, milestones, schedule, and project related details.

Specify Software, Program or Database: _____

Yes No N/A The LPA has experience conducting National Environmental Policy Act (NEPA) coordination for federal funded transportation projects.

Yes No N/A The LPA has experience conducting right-of-way negotiations for federal funded transportation projects.

Right-of-way contact: _____

Name

Phone Number

Email

Financial Compliance

It is important for the LPA or other sub-recipient to understand the financial responsibilities of receiving federal funding and have processes in place for proper management of the funding. This section will help identify the LPA's or other sub-recipient's level of experience with managing federal funding.

Yes No N/A The LPA has software or accounting system to maintain project costs, expenditures and other financial records.

Yes No N/A The LPA has a Disadvantaged Business Enterprise (DBE) Program for federal funded transportation projects. If yes, state the LPA's overall DBE goal:

Yes No N/A The LPA has a Finance Department responsible for invoices and claims management for federal funded transportation projects.

Finance contact: _____

Name	Phone Number	Email
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Yes No N/A The LPA conducts single audits in accordance with [§ 200.514](#) when it expends \$750,000 or more in federal awards during the entity's fiscal year.

Yes No N/A The LPA has outstanding MDOT SHA and/or FHWA Compliance Assessment Program review or compliance review related to any state or federal aid transportation project.

If yes, specify the findings and describe the corrective actions pending.

Construction

It is important for the LPA or other sub-recipient to understand the construction oversight process requirements. LPA's and other sub-recipients shall either perform project work with their own forces in compliance with 23 CFR 635 Subpart B; or by competitive bidding (all Contract Procedures shall comply with the provisions of 23 CFR 635 Subpart A). This section will help identify the LPA's or other sub-recipient's level of experience with managing construction activities.

Yes No N/A The LPA has a construction management responsible charge to oversee construction of the project.

Yes No N/A The LPA has experience with project completion or closeout with MDOT SHA.

Yes No N/A The LPA has a written procedure for their own project closeout process.

Yes No N/A The LPA reviewed the *Sub-recipient Construction Manual and Forms and Documents*.

Yes No N/A The LPA has certified, qualified and/or experienced staff or consultant services to complete inspection services.

Yes No N/A The LPA has worked with the MDOT SHA to obtain materials clearance, change order approvals, invoice reimbursement and construction approvals.