



# Independent Assurance Audits (IAA)

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**Steve Hall**

Independent Assurance Audit Team Leader

# Agenda



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## 01. IAA Purpose

Purpose for IAA at MDOT SHA.

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## 02. Personnel Changes

Updates to IAA Technician Coverage Areas.

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## 03. Changes to IAA Process

Email, Contacts, and MARTCP Card updates.

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## 04. Regional Audits

Information on Regional Audits.

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## 05. Important Reminders

HMA Plant Audits.  
Air Meter Calibration frequency.

# 01. Independent Assurance Audit (IAA) Purpose

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- The Statewide Independent Assurance Auditing Program conducts unbiased and independent evaluation of the acceptance sampling and testing program to determine compliance with Maryland Department of Transportation State Highway Administration (MDOT SHA) and Federal Highway Administration (FHWA) requirements.

# 01. Independent Assurance Audit (IAA) Purpose

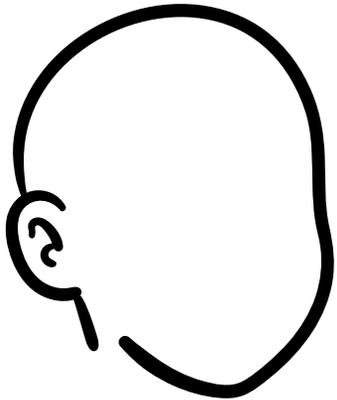
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- Technicians employed by MDOT SHA, county agencies, municipalities, and consultant firms; who perform acceptance testing for Federally funded projects are required to be certified in accordance with FHWA Regulations (CFR 637) and Maryland Standard Specification Section 900.02.
  - This is accomplished by conducting systematic and random audits.
  - These audits verify equipment accuracy, technician sampling, and testing procedures.
  - These audits aid in the continued certification of MARTCP Technicians across the state.

# 02. Personnel

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## Our Managers



**Chris**

- MMD Division Chief



**Mesgana**

- MMD Assistant Division Chief—MMS/IA Team

# 02. Personnel

## Our Team



**Steve**

- IAA Team Leader



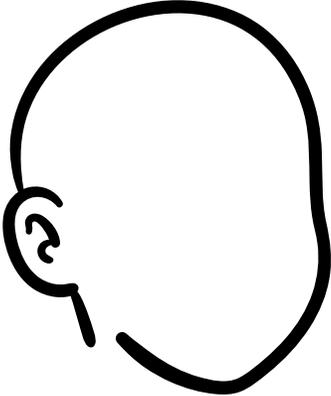
**Mike**

- IA Audit Technician



**Frank**

- IA Audit Technician



**Current Vacancy**

- IA Audit Technician

## 02. Personnel

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### IA Team Leader

Steve Hall

Email: [iaateam@mdot.maryland.gov](mailto:iaateam@mdot.maryland.gov)

Alternative email: [shall@mdot.maryland.gov](mailto:shall@mdot.maryland.gov)

Phone Number: 410-371-0015

Statewide/District 6/District 7



## 02. Personnel

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### IA Audit Technician

Mike Zulkowski

Email: [iaateam@mdot.maryland.gov](mailto:iaateam@mdot.maryland.gov)

District 2/District 4/Baltimore City.



# 02. Personnel

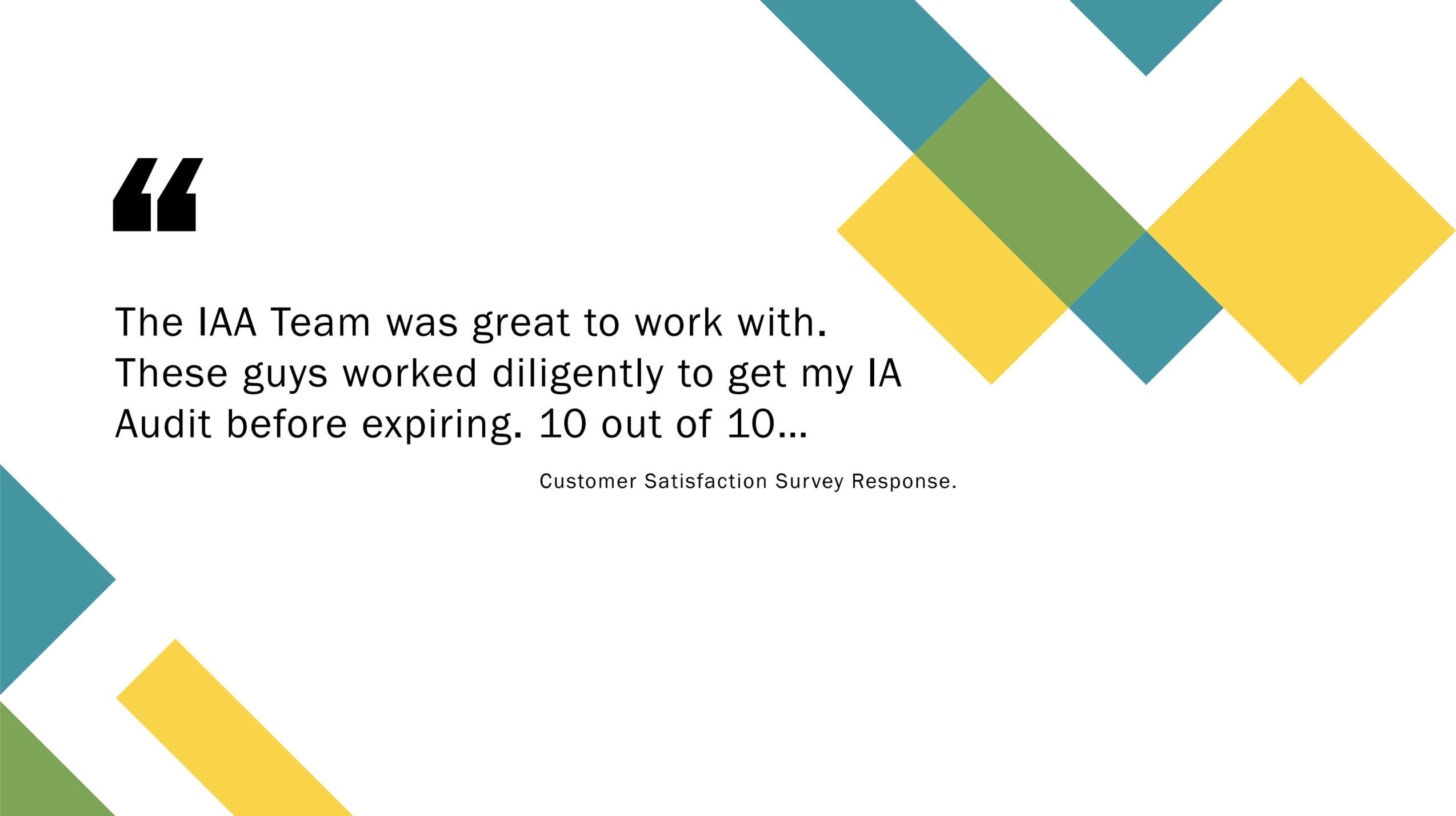
IA Audit Technician

Frank Thompson

Email: [iaateam@mdot.maryland.gov](mailto:iaateam@mdot.maryland.gov)

District 1/District 3/District 5.





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The IAA Team was great to work with.  
These guys worked diligently to get my IA  
Audit before expiring. 10 out of 10...

Customer Satisfaction Survey Response.

## 03. Changes to the IAA Process

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- When contacting the IAA Team, email is the preferred method of communication.
- Please use [iaateam@mdot.maryland.gov](mailto:iaateam@mdot.maryland.gov), this is a catch all email address for the IAA Team. For tracking purposes, we are asking that you do not email the individual IA Audit Technicians to request audits.
- This email address is used to request an IA audit.
- IAA Receipts, once approved by the IAA Team Leader, are emailed from this email address. Receipts are no longer sent from the individual IAA Technicians.

# 03. Changes to the IAA Process

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When sending an email requesting an IAA to [iaateam@mdot.maryland.gov](mailto:iaateam@mdot.maryland.gov) include:

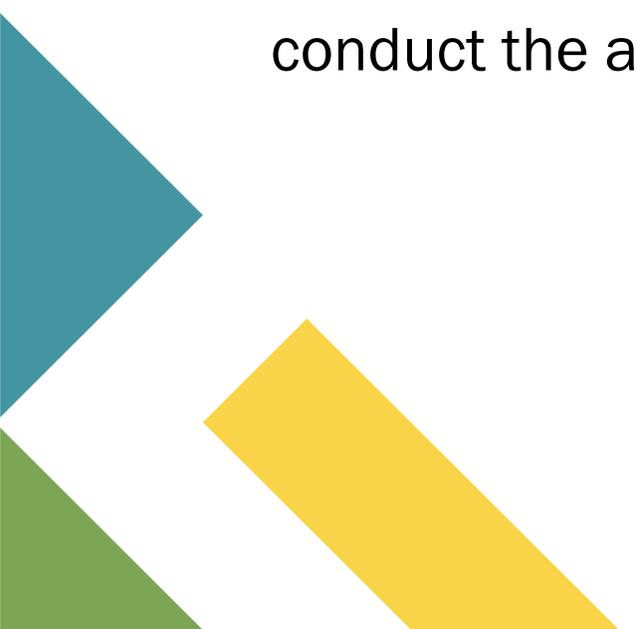
- Your Name.
- Telephone Number.
- Project number/FMIS number/work location, or nearest intersection to project.
- Field Office Address (including suite number, or nearby landmarks)
- Type of audit requested (HMA, Soils, Concrete, or HMA Plant).
- Copy of your current MARTCP Card (Not Expired).

This ensures a prompt response to your request, avoid potential delays.

**Once received the information will be sent to the IAA Technician in your District, who will be contacting you for further arrangements.**

## 03. Changes to the IAA Process

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- The IA Audit team is a small statewide team covering all districts. As a courtesy to the team, please do not invite other individuals from other projects or throughout a district, to your audit.
  - This ensures that we have adequate staffing, and equipment to conduct the audit.
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# Timeline of the IAA Process

## Take Certification Class

Obtain your certification after passing written and practical demonstration exams.

## Certification Final Year

Get your final IAA audit for recertification purposes.

## Certification Years 1-4

Obtain your first and second IAA Audit. These must be done in different years.

## Within 30 days of Expiration

Send copies of all 3 IAA receipts with the MARTCP Application to [martcp@mdot.maryland.gov](mailto:martcp@mdot.maryland.gov) to start the renewal process.

## 03. Changes to the IAA Process

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- Pavement Marking Audits are not within the responsibility of the IAA Team. If you need a pavement marking audit, please email the pavement marking team directly at: [SHA\\_PMMS@mdot.maryland.gov](mailto:SHA_PMMS@mdot.maryland.gov).
- This ensures a prompt response to your request, as such requests sent accidentally to the IAA Team may incur a significant delay.

## 03. Changes to the IAA Process

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- Please do not send your renewal application to the IAA Team. The renewal application package with your 3 IAA receipts needs to be emailed to our MARTCP Administrator, Saprina Stafford. Send all certification related matters, and recertifications to: [martcp@mdot.maryland.gov](mailto:martcp@mdot.maryland.gov).
- This ensures a prompt response to your request, as items sent accidentally to the IAA Team may incur a significant delay.

## 03. Changes to the IAA Process

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MARTCP Cards are now electronically distributed, the IAA Team will be verifying that your card has not been digitally manipulated or tampered with. Be sure that a copy of your MARTCP Card is included in the request for an IAA Audit.

For checks on location:

- You may present a printed copy.
- You may present an electronic copy (the original email or photo containing the information).

**If your card has been determined to be electronically tampered**  
**your certifications will be revoked.**

## 03. Changes to the IAA Process

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Questions on certifications or a technician's certification status should be directed to: [martcp@mdot.maryland.gov](mailto:martcp@mdot.maryland.gov).

The IAA Team is unable to respond to these requests.

## 04. Regional Audits

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- Regional Audits were started to prevent technicians who are not on Federal Aid or MDOT SHA projects from losing their certifications because they were not receiving their audits as required.
- If you are on a Federal Aid or MDOT SHA project, you are expected to be audited on the project.
- On projects with no concrete or soils sampling/testing, technicians will be permitted to obtain one out of the three audits from the regional audit.

## 04. Regional Audits

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- To participate in the Regional Audit, you must pre-register by emailing [iaateam@mdot.maryland.gov](mailto:iaateam@mdot.maryland.gov). Failure to register will result in you being declined at the Regional Audit.
- **Regional Audits are planned for:**
  - **June 22, 2023**
  - **September 21, 2023**
  - **October 12, 2023**
- In case of inclement weather or State Office closures, an alternative date will be set and emailed to participants.

## 04. Regional Audits

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- The HMA Field Virtual Audit is offered through Microsoft Teams. This consists of a 45-minute presentation, followed by a 20-question quiz.
- Participants must have a score of 75% or higher to achieve a satisfactory audit result.
- This audit is quarterly, offered the 3<sup>rd</sup> Wednesday in March, June, September, and the 2<sup>nd</sup> Wednesday in December.
- In 2023, the HMA Field V.A. will no longer be conducted monthly.

## 04. Regional Audits

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- As a reminder, two of the three audits must be obtained in the field. Only one of the three audits may be obtained in the Regional Audit or HMA Field Virtual Audit.
- The HMA Field Virtual Audit is for inspectors only, there is no virtual option for Contractor Technicians or Asphalt Production Plants. These audits are conducted in person.

## 05. Important Reminders

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- HMA Production Plant Audits for Level 1 and Level 2 technicians are encouraged to be scheduled when the producer is producing a state approved mix design on a MDOT SHA or MDOT MDTA project.
- A Full Box sample, two (2) Gyrotory Plugs (or three cores), the gradations, the oven correction factor and a copy of the sample's testing worksheets is needed from the production facility. Failure to provide the need components of the sample, will result in the audit being rescheduled.

# 05. Important Reminders

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- Concrete Air Meter Calibration specifications can be found online at:  
<https://www.roads.maryland.gov/mdotsha/pages/sscm.aspx?PageID=853&lid=SP>
- AASHTO R18 is specified in this specification (2022 Specifications, section 111.03).
- Per AASHTO R18 for the T152 Air Content, Pressure Method the unit must be Standardized every 3 months. Standardization per the specifications or Invitation for Bid must be done by an approved MDOT SHA approved testing agency. If the agency is Cement and Concrete Reference Laboratory (CCRL) accredited, they may conduct the standardization.

## 05. Important Reminders

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- The IA Audit Technician will request to see the standardization information on the air meter. If not current, an unsatisfactory IA will be issued until the meter is standardized and in compliance with the specifications.

# 05. Important Reminders

AASHTO R18 Specification of the T152 Standardization Frequency.

**Table A1.6—Portland Cement Concrete Testing Equipment**

Equipment	Test Method (AASHTO/ASTM)	Requirement	Max. Interval (month)
Unit Weight Measures	T 121/C 138	Standardize	12
Air Meters (pressure type)	T 152/C 231	Standardize	3*
Air Meters (volumetric type)	C 173	Standardize	12*
Air Meters (volumetric type)	T 196	Standardize	36*
Capping Material		Check Strength	3
Slump Cones	T 119/C 143	Check Critical Dimensions	12
Metallic Reusable Molds	T 22, T 23/C 31, C 39	Check Critical Dimensions	12
Single Use Molds	T 22, T 23/C 31, C 39	Check Dimensions of Each Shipment	—
Recording Thermometer	C 31, C 39	Standardize	6

\* The individual test methods specify conditions that require restandardization, such as changes in elevation and rough handling.



# Thank you

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Thanks to your commitment and strong work ethic, we know this year will be even better than the last.

We look forward to working together.

**Independent Assurance Audit Team**

[iaateam@mdot.maryland.gov](mailto:iaateam@mdot.maryland.gov)

# Questions?

