AASHTO Spring Meeting
Project Oversight and Stewardship Workshop

Meeting the Oversight Requirements of SAFETEA-LU

Certification Acceptance Program
May 2006
The Goal

Meet the requirements of SAFETEA-LU in an efficient way that assists a State with the delivery of high quality cost-effective projects to the public.
A Proactive Approach

- Work with States and FHWA to establish certification acceptance programs that would be implemented by AASHTO and would meet the oversight requirements of SAFETEA-LU for Financial Management Systems and Project Delivery
  - Initial certification to assist States in meeting the requirements of SAFETEA-LU
  - Annual surveillance reviews to ensure ongoing compliance
The Certification Acceptance Program

- Develop certification requirements that ensure compliance with SAFETEA-LU requirements collaboratively with all stakeholders
- AASHTO’s role
  - Lead the certification requirements development process
  - Serve as a resource for States who need assistance preparing for certification
  - Perform certification acceptance reviews & annual surveillance reviews
  - Maintain a certification acceptance database that can be used by FHWA to meet its responsibilities under SAFETEA-LU
- Potential benefits to becoming certified include:
  - Reduced oversight from FHWA
  - Improved bond ratings
  - Reduce scope of other management reviews and audits
  - Get credit for good things/best practices you are doing
Certification Process

- State requests certification from AASHTO
- AASHTO assembles review team
- Team coordinates site visit with State
- Review team applies certification requirements during one week site visit
- Preliminary pass/fail results presented during site visit outbrief
- Final results and report presented to State and AASHTO
- AASHTO maintains database
  - Information regarding State performance kept private; only results of successful certification are made public

- Certification process and report typically completed in 4-6 weeks
- Review team typically consists of 4 subject matter experts

States can request assistance from AASHTO prior to formal certification review
Elements of Certification Program

- Focusing on portions of the highway project delivery system
  - Project management systems
  - Financial management
Developing Certification Requirements

• AASHTO and LMI currently developing strawman certification requirements for:
  – Financial management
  – Project management

• Engaging with States and FHWA to review and validate certification requirements

• Conduct pilot test with States this summer for financial management

• Adjust certification acceptance program, as needed

• Deploy nation-wide, on a voluntary participation process
Additional Information

For more information, please contact:

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