District Manager Training

Alabama Department of Transportation

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State Maintenance Engineer
District Manager Training

- District Manager Training of Old
  - How did we get to where we are now?
- Overview
  - Modules
  - Example slides from each Module
  - Benefits of the revised District Manager Training
- Pilot
  - Feedback
District Manager Training of Old

- New District Managers came to Montgomery for a week.
  - Each section within the Maintenance Bureau gave a presentation.
- We had to find a better way to train people for several reasons.
  - Higher demand for training
  - Creation of Regions
  - Loss of productivity for five consecutive days \(\rightarrow\) Them AND Us.
Regionalization and Realignment

Regionalization
- Area concept → Regional concept
  - Before and After Realignment
  - Organizational Chart
  - Maps

Realignment
- District boundary changes
  - Therefore Area boundary changes
Organization of New Regions

Region Engineer

Assistant Region Engineer

Region Preconstruction Engineer

Regional Agronomist
Regional Public Relations
Regional Equal Employment (EEO)
Regional Attorney

Preconstruction
Materials & Tests
County Transportation

Area Operations Engineer

Construction
Maintenance
Equipment
Administration

Area Operations Engineer

Construction
Maintenance
Equipment
Administration
Area Organizational Chart
District’s Relationship with Area

Area Operations Engineer

- Administration
- Equipment
- Maintenance
- Construction

- Traffic Engineer
- Environmental Manager
- Permits
- Operations
- Roadway
- Assistants
- Districts
After Regionalization and Realignment

- Addition of a whole new Area along with some boundary changes.
  - Making 10 Areas total.
- The creation of regions opened up more promotional opportunities.
  - Some Area personnel went to the new Regions.
  - Some District personnel went to the Areas.
- This is why ALDOT has many new faces at the District level.
  - Made training in high demand.
Overview

In collaboration with Dye Management Group, we created a modular based training.

- Approximately 3 days.
  - No single Module will last more than 1 day.
  - Much easier to split up, if needed.

Modules

- District Operations (6-8 Hours)
- Employment Law (2-4 Hours)
- Maintenance Operations (4 Hours)
- Accounting (2-4 Hours)
- Procurement (2-4 Hours)
District Operations
6-8 Hours

- Describes all parts of DM’s role as district administrator (e.g., personnel, facilities, relationships)
- Most key training.
  - Introduction
  - Course Goals
  - The District Manager
  - Administration
  - Personnel
  - Maintenance
  - Construction
  - Manuals/Publications
  - Areas/Regions

- District Staff
- Non-ALDOT Relationships
- Inventory Management
- Facilities Management
- Environmental Issues
- Emergency Response
- Time Management
- Documentation
- Ethics
The District Manager

- In many respects, the most important ALDOT employee within his/her respective geographic area of responsibility.
- District managing covers a more diverse range of responsibilities and activities than most ALDOT positions.
- The local face of ALDOT to the residents, property owners, business owners, politicians, agencies, and traveling public.
- In most instances, the district manager, or district staff, is the first contact someone will have with ALDOT, and are therefore the first opportunity to create a positive “first impression”.
District Manager Responsibilities

- Serve and lead the public, non-ALDOT agencies, politicians, and other stakeholders by:
  - Communicating clearly and serving within ALDOT policies
  - Developing and maintaining positive professional relationships
  - Responding to requests and complaints in a timely manner
  - Promoting, cooperating and coordinating joint efforts
  - Leading in directions for the betterment of people through transportation system improvements
  - Dissemination of information
District Manager Responsibilities

- Serve and lead by:
  - Remaining focused on the goals of:
    - Providing safe highways
    - Providing a motivated, trained, and efficient workforce
    - Providing an efficient highway network
    - Providing clean and safe rest areas, where applicable
    - Performing consistently within the parameters set forth through and by ALDOT
    - Providing an example people will want to follow
Administration

- The district manager serves and leads in managing the affairs of ALDOT
- The district manager does not make Departmental policy
- The district manager supervises the application and use of the policies, rules, and guidelines established for and/or by ALDOT, including applicable laws as per the Code of Alabama
- The most important and most difficult aspect of administration is managing people
District manager perspective and attitude

- Most important asset
- Every person matters and has potential
  - How to empower employees
  - How to motivate
- Everybody has problems
  - Sometimes an employee thinks he or she is the only one with problems
  - District manager as confessor and guide
  - Don’t let an employee’s problem become yours
Personnel - Communication

- New hires and transfers
- Evaluations (appraisals)
  - A time for encouragement
  - Review any problem areas such as attendance and dependability
- Employee safety meetings
- Correspondence and memoranda
Personnel - Communication

- On-the-job conversations
  - Effective talking and listening
  - Encouragement and correction
- Delegating work
  - Proven employee
  - Test employee skills and abilities
- Improving employee morale
The most important single task within the district operation, as it pertains to the state highway system, is the maintenance of roadways and bridges.

The purpose of maintenance is to protect the enormous financial investment made in the network of highway facilities constructed across this state.

The goal is to maintain the integrity of the system and continuously provide safe highways on which to travel.
The district manager and district staff should maintain a close working relationship with project personnel in order to:

- Coordinate assistance where needed
- Be aware of problems and situations in order to answer questions from the public, such as lane closures, delays, etc.
- Disseminate information as needed
- Be available to offer advice and concerns, particularly as it relates to future maintenance of the project
- Notify or be notified of emergencies in the area of the project
Manuals and Publications

- ALDOT Performance Guidelines: B Codes (September 2014 Edition)
- ALDOT Guidelines for Operations
- Access Management Manual
- Manual for Roadside Vegetation Management, Chapter IV – Herbicides
Facilities Management

- Facilities management includes all district facilities including district office structures (buildings, sheds, gas and fuel island, etc.) and appurtenances (HVAC units, generator, security fencing, certain utilities, pumping station, lighting, gas and fuel pumps, underground storage tanks, fuelmaster system, etc.)
- Facilities management may also include project offices, rest areas, scenic areas, satellite offices (temporary and permanent), and other sites as directed or required
Emergency/Accident Response

- Emergencies
  - Preparation/planning
    - Snow/ice plan where applicable
    - Call tree
    - Active shooter plan
    - Emergency Operating Plan (EOP)
      - Local Emergency Planning Committee (LEPC)
      - EMA
    - Radio checks
Emergency/Accident Response

- Accidents
  - Involving district personnel and/or state property
    - Memorandum from chief counsel to region engineers dated March 17, 2015
    - Report all accidents and property damage
      - Legal bureau
      - Area/region as specified
      - Risk management
      - Equipment bureau (trucks, off-road equipment, etc.)
  - Statements to be submitted include
    - Facts
    - Recommendations
    - Statements from all witnesses including contact information
    - Estimate of damage
Employment Law
2-4 Hours

- Presents state and federal policies important to DM’s daily operations and real-life scenarios to illustrate when a policy might be applicable
  - Drug and Alcohol Policy
  - Violence in the Workplace Policy
  - Mandatory Leave
  - Progressive Discipline
  - Americans with Disabilities Act
  - Complaint and Grievance Policies
  - Fair Labor Standards Act
  - Family Medical Leave Act
  - Nepotism
  - Miscellaneous Policies (Tape Recording, Behavioral Health Services, Expressing Breast Milk at Work, Hurt on the Job)
An employee reports to you that John Smith, who was upset about not getting a promotion, stated in front of several other employees that, “he understands why the UAH professor shot and killed three of her supervisors”. When you talk with John Smith, he states that he was just joking and the employee misunderstood. You have worked with John Smith for ten years and never known him to show any aggressive tendencies.

Do you need to do anything?

If you determine it was a joke, have you accepted any liability?
Situation #2 (No Promotion)

- Based on it being reported to you follow the violence in the workplace policy and conduct an investigation. In this case, you will need to interview employees with knowledge about what was said.

- You will need to do a memo summarizing your findings and recommended action if any. This will be reviewed by at least the Regional Engineer in your Region who will then be forwarded to the Personnel Bureau. The Region’s findings will be reviewed and approved by the Director’s designee.

- In this case, whether you think the threat was genuine will determine if any discipline is needed.
Violence in the Workplace Policy

- Prohibits abusive orally or written communications, intimidating or violent physical conduct, use of an object to communicate a threat, and gestures that communicate a threat directly or indirectly.

- Prohibits retaliation for someone reporting an incident.

- ALDOT employees who believe they have been subject to workplace violence, witness, or become aware of any situation involving workplace violence must report the incident.

- This is reported to the employee’s supervisor in his/her Bureau/Region.

- The supervisor is responsible for investigating the incident and making a written recommendation. This report will be forwarded to the Regional Engineer/Bureau Chief for review and final approval. This determination is forwarded to Personnel Bureau, which submits the documentation to the Transportation Director’s designee.
Situation #7

- John Smith is a TMT Senior who has worked at ALDOT for 22 years on a maintenance crew. He is very dependable and goes above and beyond what is required to do his job. While at home one weekend, he hurts his back. John reports to work on Monday, but tells you he will be unable to lift anything for the next few days. You allow him to drive the truck and require the remaining members of the crew to do all the work that requires any lifting.

- Ellen Leonard has been with ALDOT three years as a TMT on a maintenance crew. She currently has 4 hours of sick leave and 2 hours of annual leave. When the weather is bad, she always calls in sick. She is a lazy employee who has to be monitored to make sure she is working. She brings you a doctor’s note explaining that she has hurt her back and cannot lift anything over ten pounds for the next two weeks. You tell her that there are no light duty jobs on the maintenance crews.
Situation #7

- By allowing John to not lift anything for a few days, what have you done?
- What if you learn that two months later, John is still not lifting anything?
- What problems has your actions with John caused you in dealing with Ellen?
- What should you do with John?
- What should you do with the request from Ellen?
Situation #14 (Vacant TMT Positions)

- You have two vacant TMT positions in your district.
- The superintendents decide to make offers to two people from applications they have on file. You have no personal involvement in picking the two individuals.
- The two individuals who receive offers are: your wife’s first cousin and your stepson from a previous marriage.
- Any problems with these hires?
Situation #14 (Vacant TMT Positions - continued)

- You could hire the individual who was your stepson from a previous marriage.
- You cannot hire your wife’s first cousin.
Nepotism Law

- This law was passed in 2013. Under this law, “kin” means fourth degree of affinity or consanguinity, which includes relatives through first cousin by blood or marriage.
- If your kin was hired into a position within your chain-of-command before the law took effect (August 1, 2013), your kin is “grandfathered” and can keep his/her position and be promoted.
- A state actor cannot enter into a personal service contract with kin.
- Any employee’s kin shall not be his/her immediate supervisor, in the chain-of-command, participate in the hiring, evaluation, reassignment, promotion or discipline of the employee.
- This is set out in ALDOT Policy #3.
Corrective Action Plan

- A corrective action plan is recommended for employees who continue to violate the same policies. An aid in detailing what behavior an employee needs to improve.
- A corrective action plan will clarify to the employee the importance of the situation.
Maintenance Operations
4 Hours

- Introduces subjects related to DM’s oversight and control of field operations
  - District Manager Training Overview
  - Maintenance Operations Introduction
  - Maintenance Operations - General
  - Maintenance Management (Management and Training Section)
  - Traffic Operations Section
  - Roadway Section
  - Permits and Operations Section
  - Scour (Environmental, Stormwater) Section
  - Emergency Management Section
  - Bridge Section
  - Vehicle Enforcement Section
Introduction – Maintenance Bureau

- The Maintenance Bureau is the central office authority for establishing and administering highway and bridge maintenance and special projects.
  - Policies and Procedures
  - Management Systems
  - Funding

- Administrative responsibilities of the Bureau, through its several sections, include the printing and distribution of numerous manuals, specifications, standard drawings, and miscellaneous forms and documents.

- These publications are made available to various ALDOT offices and employees and are also, as appropriate, made available to the public.
  - Most may be located at the ALDOT and Maintenance Bureau websites.
  - Go to www.dot.state.al.us; find Maintenance Bureau; search for Publications
Management and Training Section

- **Purpose:** Maintenance management and maintenance training from the central office.

- **Responsibility and oversight at State level**
  - Routine maintenance budgeting:
    - General oversight and directions given for Regions, Areas, and Districts.
  - All applications and training involved with:
    - RoadMAP (Road Maintenance and Accountability Program)
  - Training involves all sections of the Maintenance Bureau.
  - Coordination with the Technical Advisory Committee in establishing and updating maintenance activity guidelines.
Road Classes and Purpose
- Identifying roads and highways by “classes” is essential to the proper distribution of funds.
- The road classes group roads and highways according to Federal guidelines and, generally, by volume of traffic.
- Road Class Breakdown:
  - INT – INTerstate: mainline, ramps, loops, etc.
  - NHS – National Highway System: US and some AL, county, and city routes*
  - OSH – Other State Highway: non-NHS routes
  - INS – INStitutional roads: roads, parks, campus roads, campus parking lots, etc.
Routine maintenance work activities

By the type of work that is being performed:

- Ex: 6010 – Spot Pre-Mix Patching (aka Pothole Patching); district crew
  6251 – Mowing (Interstate); District crew
  6730 – Truck Weighing Operations; Area-wide crew
  B01 – Deck Cleaning
  B37 – Bridge Inspection
  B41 – Drain/Joint Cleaning

Further defined by which crews perform the work:

- District crew
- Area-wide crew (formerly known as Division-wide crew)
- Statewide crews (Ex. Bridge, Sign, or Signal Shop crews)
Traffic Operations Section

- Responsible for providing assistance and guidance for warranting, operation, placement, and maintenance of traffic signals, signs, and markings in accordance with the MUTCD
- Responsible for planning and coordinating maintenance and operation of State highway system’s traffic control devices
  - Typically, these are handled as special maintenance projects
- District Manager coordinates traffic operations with Area Traffic Engineer
Traffic Operations Section
I-65 Contra-Flow

- Annual exercise
- Impact on District Managers
- Contra-flow Team does NOT include District Managers from:
  - Southwest Region
  - Southeast Region
- Contra-flow may include maintenance operations assistance from:
  - Southwest Region
  - Southeast Region
Traffic Operations Section
Contra Flow Map

- 150 ALDOT personnel
- 120 ALEA personnel
- 11 Cameras along route
- 116-Step master check list
Traffic Operations Section
ALDOT Nighttime Sign Inspection Methods

- Required annually
- Required on regulatory, warning, and guide signs
- Results are entered into RoadMAP

Visual Nighttime Inspection Method
- Calibration signs procedure
  - Use of calibration panels to train the eye to minimum sign retroreflectivity levels
- Consistent parameters procedure
  - A trained inspector who meets the following criteria can inspect the signs
    - Use of a sports-utility or pick-up truck
    - Use of a model year 2000 or newer
    - Inspector must be 60 years of age or older
Calibration signs must have a retroreflectivity level at least that designated in the MUTCD.

- The inspection has to be done at night.

- Calibration panels may be checked out from the State Sign Shop.
Oversight of routine maintenance for roadway surfaces and roadsides (these items will be covered under “District Operations”):

- Asphalt and concrete pavements
- Crossovers
- Accesses including turnouts and driveway
- Shoulders
- Front slopes and back slopes
- Ditches
- Cross drains, side drains, and small culverts
- Vegetation management and control
- Signs and markings
Types of vegetation

Preferred species
- Bermuda Grass (Cynodon dactylon)
- Other low-growing species

Nuisance and invasive species
- Cogangrass (Imperata cylindrica)
- Johnson Grass (Sorghum halepense)
- Queen Anne’s Lace or wild carrot (Daucus carota)
- Brush and trees (various species)
Permits and Operations Section

- Administers manual guidelines, ALDOT policies, laws, and promulgated rules for permitting purposes
- Reviews Region permitting processing and determines training needs based on evaluations and interpersonal correspondence
- Reviews and evaluates Rest Area and Welcome Center programs, and manages ALDOT two-way radio communication infrastructure
- Operational responsibilities and authority
  - Permits: Work on Right-of-Way and Outdoor Advertising
    - Managing database, histograms, evaluations, and periodic updates
  - Rest Areas / Welcome Centers
  - ALDOT Two-Way Radio Communication Infrastructure
  - Contracts and Agreements
The Bridge Scour Section (BSS) is responsible for the evaluation and hydraulic stability of all bridges and culverts susceptible to scour throughout the state.

BSS works in coordination with state, county, and municipal agencies.

If a structure is determined to be scour critical (Item 113 = 3):

- “Plan of Action” is developed for establishing bridge-specific inspection type and frequency, recommending scour countermeasures, and providing other critical guidance
  - Guidance such as identifying flood conditions that will trigger closing of structure to reduce risk to traveling public

- If a “Plan of Action” is implemented, the DM will be contacted if a road or bridge is to be closed.
Hydraulics: Environmental and Stormwater

- Hydraulic Section is responsible for analyzing and reacting to all environmental issues relating to maintenance operations and activities.

- Some issues are site specific and some are on the institutional level:
  - MS4 - Municipal Separate Storm Sewer System
  - SWMPP - Stormwater Management Program Plan
  - Maintenance activities and stormwater protection
  - Wetland and stream management
  - Endangered species / critical habitat protection (ref “Endangered Species” map) *
  - National Pollutant Discharge Elimination System (NPDES) pesticide permit

* More details are in the “District Operations” training presentation
Emergency Management Section

- **Roles and Responsibilities**
  - **Maintenance Bureau (central office)**
    - Provides Emergency Management Coordinator (EMC) and coordination with state Emergency Operations Center (EOC)
  - **Regions (five)**
    - Counterpart coordinates with Emergency Management Agency (EMA) division supervisors
  - **Areas (two in each Region)**
    - Provide Emergency Support Function 1 (ESF 1) coordination to EMA division EOC
  - **Districts (three to six in each Area)**
    - Provide experienced ESF 1 coordinators
    - Furnish and mobilize resources for emergency events
    - Coordinate with local EMA(s)
Emergency Management Section

Emergency Relief (FHWA) Overview

- “First Push” is to clear roadway, EP to EP
- Emergency repair to accommodate roadway traffic
- “First pass” debris pickup: edge of pavement to ROW
  - Storm debris vs. private debris on right-of-way
    - “Storm debris” is debris placed on ROW by the storm
    - “Private debris” is moved onto the ROW by others
- Restoration of recovery zones
  - Short-term projects: debris removal
  - Long-term projects: slope repair, structure repair
- Permanent restoration
  - Scour, erosion, and environmental issues
Bridge Operations

- Bridge Management (BrM)
  - Area Maintenance Engineer (or Chief Bridge Inspector) has access to BrM and can print numerous reports
    - AASHTOWare Bridge Management is the source for all bridge inspection data
    - BrM can produce reports for bridge maintenance needs for:
      - Statewide
      - Region
      - Area
      - District
    - Reports can be sorted by activity, type, and priority
Vehicle Enforcement
The District Manager’s Role

- Good working relationships with key personnel
- Two-way notification prior to major moves and loads
- Complying with the provisions of the Utility Manual
- Strategic location of enforcement efforts
- Lane width and/or lane height restrictions
- Height clearance changes and the Bridge Management System (BrM)
- Improving or adding truck weigh lanes for safety
Accounting
2-4 Hours

- Presents state financial processes, terms, forms, and resources relevant to DMs
  - Overview of the Bureau of Finance and Audits
  - Manuals
  - Common Questions
  - Comprehensive Project Management System
Bureau of Finance & Audits

Assistant Director (Audits)
Internal & External Audit Operations and Area Accountants

- **Internal Audits**
  - Examine and evaluate the adequacy and effectiveness of ALDOT's internal controls and the quality of its employee performance

- **External Audits**
  - Audits work performed outside of ALDOT, and initiated by other than the normal bid process

- **Area Accountants**
  - On-site support for accounting documents, material inventories, various accounting systems
Mission:
The Bureau maintains a fully integrated and updated computerized system of general, budgetary and cost accounting activities that provides accurate and timely financial management information for all internal and external ALDOT customers.

Director of Finance & Audits/CFO: Bill Flowers
Deputy Director: Kelly Brendle
Assistant Director: Tammy Dunn (Finance)
Assistant Director: Jeff Hornsby (Audits)

State Funds Allocations

- Maintenance Funds are appropriated to:
  - Routine Maintenance
    - Allotted to each region, area, and district by activity
  - Interstate Systems and State Systems
  - Maintenance Projects
    - Resurfacing, Roadway, Bridge, Traffic, Special Projects, State Parks, and Miscellaneous
Accounting Systems

- Central Accounting System (CAS) – state level accounting system, used by:
  - State Comptroller’s Office
  - State Budget Office
  - State Purchasing

- Comprehensive Project Management System (CPMS)
  - ALDOT application system

**CPMS discussed in more detail later in presentation**
Encumbrances

- Amount of money required to be spent on a specific item/purpose in the future
- Routine Maintenance funds are encumbered using requisitions and purchase orders (PO’s)
- Project Maintenance funds are obligated using a Budget Allotment Request (Form F-7A)

**Requisitions and PO’s discussed in more detail in Procurement module**

**Resources:** Maintenance Manual, 3.2.1: Appropriations
Standard Policies, Procedures, and Instructions, Ch. 8
## Material Receipts

<table>
<thead>
<tr>
<th>Material Receipt VD</th>
<th>Material Receipt V6</th>
<th>Material Receipt V7</th>
<th>Material Receipt V8</th>
</tr>
</thead>
</table>
| • used for goods acquired for stock with PO  
• updates the inventory profile | • Used for payment of bulk petroleum received | • used to record receipt of goods based on Requisition and PO  
• shouldn’t be used to pay for inventory items | • used to record receipt of goods when PO not required  
• Ex: Forms from Printing and Publications |
Accounting Processes and Terms

Petroleum Inventory

- Petroleum products issued from ALDOT Service Stations are controlled by keys at automated stations.
- A valid key and user I.D. (PIN) must be used to obtain fuel at automated stations.
- Fuel keys are issued by color depending on the intended use of the key.
Fuel key guide:

- **BLACK (Vehicle key):** Fueling rental equipment. Charged to rental equipment number.
- **BLUE (Project key):** Fueling non-rental equipment (e.g. SG Equipment). Charged to Account-Function combination. (e.g. overhead)
- **ORANGE/RED (Service truck (ST) key):** For ST operations. Must account for all fuel issued from ST on E-9 form (Automotive and Equipment Fuel Consumption Report). ST key will only record fuel issued to ST.
- **WHITE (Supervisor key):** Held by manager at automated fueling site. Used for reports, changing site configuration, and emergency override.
Comprehensive Project Management System (CPMS) Accounts, Functions, & Objects

- Financial reporting includes:
  - Accounting for all financial transactions
  - Analysis of cost data as needed for planning and budget control
- Transactions must be identified by an account, function, and object
  - Terms define the purpose of an expenditure for financial reporting
  - Accounts cross reference with appropriations and activities in State Comptroller System using Government Accounting Standards Board (GASB) IDs
    - Routine Maintenance Accounts require function to be “Area wide” or “District wide”
Common Questions

- **What conversions can be made between types of money (OH, LB, equip)?**
  - Overhead can convert to land and building. Must be converted.

- **What conversions cannot be made and why?**
  - Transfers in revolving equipment fund cannot because that is a statutorily defined process
  - Can’t use overhead to buy equipment because when we got the feds to agree we could charge an admin overhead fee, we would depreciate the assets in an accounting side of the world
Material Receipts

- From the CPMS main menu click on accounting tab
- Click on document tab
- Double-click on Material Receipt (Inventory) title
Reports/ Queries/ Tables

- CPMS Reports/Queries/Tables
  - ALDOT Account Report (pg 549)
  - ALDOT Function Report (pg 556)
  - ALDOT Object Report (pg 558)
  - Billing Analysis Report (pg 1149)
  - Transaction Register Report (pg 998)
  - Account Analysis by Function Report (pg 510)
  - Maintenance Project Budget Report (pg 762)
  - Payments by Purchase Order Report (pg 836)

**Page numbers refer to Standard Policies, Procedures, & Instructions**
Procurement
2-4 Hours

- Describes statutory requirements, purchasing policies, responsibilities, and key forms relevant to procurement at ALDOT
  - Procurement Contracts
  - Emergencies
    - EP-10 Process
    - Emergency Letters
  - Bid Process
What Purchases Can Be Made with Multiple Quotes?

- Purchases < $15,000
- Requires **at least two written valid vendor quotes**
  - Purchases between $1000 and $7499: two quotes
  - Purchases $7500 or higher: three quotes
- Invalid quotes:
  - Not signed by vendor representative
  - Not dated
  - Company not identified
  - Does not offer firm pricing
- Every effort is to be made to obtain quotes from minority and small business
- Quotes must be firm and include the vendor name and Federal Employer Identification Number (FEIN)
State: Alabama Department of Finance, Division of Purchasing

- Purchases all personal property and nonprofessional services
- Responsible for making and supervising the execution of all contracts and leases
  - Bid and award statewide contracts
Region/Area Responsibilities

- Initiate requisitions for Region or Area
- Regions and Areas have the authority to make purchases up to $1,000
- Most procurement activity will be handled at the Area and District levels
- Review District requests and keep in mind that processes vary by District
  - Area account clerk is a critical role
  - Send reviewed district requests to Procurement
  - Can approve EP-10s below $1,000
District Responsibilities

- Talk to Area Operations Engineer and staff to find out the District’s process
- Determine purchase needs and relevant requisition document
- Initiate requisitions
Purchase Orders

- A purchase order (PO) is issued upon a completed and approved original requisition which is retained in the Division of Purchasing
  - Before the PO is printed, the funds are encumbered by the Comptroller’s Office
  - PO creates an encumbrance of the department’s funds, in which funds are set aside and removed from the department’s budget
- PO will obligate the department’s appropriation and allotment by this amount
## Contract Purchases

<table>
<thead>
<tr>
<th><strong>Samples of State Contracts</strong> <em>(Identify with T #)</em></th>
</tr>
</thead>
</table>
| • Auto Parts  
• Cellular Phones  
• Concrete  
• Fuel  
• Liquid Propane  
• Heavy Equip Rental  
• Herbicides  
• Oil & Grease  
• Sand Spreaders |

<table>
<thead>
<tr>
<th><strong>Samples of Agency Contracts</strong> <em>(Identify with TA #)</em></th>
</tr>
</thead>
</table>
| • Highway Sweeping  
• ROW Mowing  
• Litter Pickup  
• Tree Trimming/Cutting  
• Concrete Repairs  
• Welding Services  
• Asphalt Repairs  
• Pest Control/Termite  
• Garbage Service |
## Other State Agencies

### Products Available from AIDB

- ANSI Class III Vests
- ANSI Class E Ensemble
- Flashlights
- Gatorade
- Janitorial Products
- Office Supplies
- Office Equipment
- Mattresses, Blankets, Etc
- Coolers
- Safety Glasses

### Products/ Services Offered by ACI

- Office Furniture
- Office Seating
- Parks and Rec. Equipment
- Janitorial Products
- Library Furniture
- Printing and Graphics
- Construction, Maintenance, Remodeling
- Furniture Restoration
- Office Relocation

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**Note:** AIDB and ACI are the primary state agencies ALDOT purchases goods or services from, but it is possible to make purchases from other state agencies as well.
When to Use an EP-10 Requisition

- When to use:
  - Non – recurring purchases of < $1000
  - Bona fide emergency need
  - Equipment repairs under Act 1053 (§41-16-21)
    - Contracts for repair of equipment used in the construction and maintenance of highways by the DOT
  - Purchases under authority of Emergency Letter
    - Emergency letter is NOT a payment document; must enter an EP-10 prior to purchase
  - Purchases under the authority of an Attorney General Opinion
EP-10 Process

EP-10 Forms

Non-Equipment Purchases <$1,000
- Regions/Areas authorized to approve these purchases.
- Division of Purchasing must approve all others
- Procurement approves Act 1053 (equipment repairs, Emergency Letter purchases)

Non-Equip. Purchases > $1,000 and Equip. Repairs ≥ $1,000
- Submit to Procurement for approval

Other Equipment Funds > $500
- Submit to Procurement for approval.
- Procurement obtains Equipment and Budget authorization
- Div. of Purchasing must approve all requests >$1000

Division of Purchasing must approve all others

Procurement approves Act 1053 (equipment repairs, Emergency Letter purchases)
Emergency Letter

- In the case of emergency affecting public health, safety, or convenience, contracts may be let without public advertisement
- Head of institution or state agency must declare in writing the nature of the danger
- The actions and reasoning are immediately made public by the awarding authority

-Ala. Code §41-16-23
Emergency Letter

- The public declaration must include the following:
  - Code of Alabama Section(s) executed
  - Date and location emergency occurred
  - Description of damage and affect to the health, safety, or convenience of the general public of Alabama
  - Estimated duration of emergency condition
  - Estimated total cost of emergency correction
  - Name of contractor(s) associated with recovery, if available

-Ala. Code §41-16-23; 39-2-2(e); 41-16-72(6)
Applicability of Emergency Letters

- Determination must be made as to what type of emergency it is:
  - Critical; life safety; must be addressed immediately
  - Critical, but there is some flexibility/time to address it
Competitive Bid Process

1. Requisition submitted to Division of Purchasing
2. Buyer reviews requisition
3. A bid solicitation (ITB) is created
4. ITB is posted on purchasing website
5. Registered bidders receive notification of ITB
6. If required, a pre-bid meeting is held
7. Bidders return bid submittal to purchasing
8. Buyer opens bid on advertised date
9. Bid package is sent to ALDOT for evaluation
Bid Award Process

- Buyer reviews bid award recommendation
- Solicitation is set to “Intent to Award”
- Successful bidder is notified
- Five (5) day “Intent to Award” period
- Submittal of performance bond and E-Verify documentation
- Opportunity for protest during “Intent to Award”
- Final award upon receipt of all documentation
- Purchase order or contract printed
Benefits of Revised District Manager Training

- Real-Life Scenarios
  - Need to know that these things can and DO happen and what they should do if and when they do.
- Duration
- Modular
  - Easier to split up
- Beneficial to EVERYONE
  - Not ONLY District Managers, but ALL Maintenance Personnel
- Updating Maintenance Manuals
Pilot

- Southeast Region
  - Montgomery Area
  - Troy Area
- Included many different personnel types.
  - Accountants
  - District Managers
  - Assistant District Managers
  - Permit Coordinators
  - Maintenance Engineers

- Feedback
  - Went very well.
  - Received a lot of constructive feedback that was very helpful.
Feedback

- Attendees gave constructive feedback on handouts provided.
  - Took back up the handouts and went through all the comments to improve the training presentations.
  - One Module was reconstructed based off feedback.
- Other Maintenance Personnel, as well as Accounting and Legal, were very impressed.
  - Wanted to take those Modules and present that training in particular to their own personnel.
District Manager Training

- LOTS of new faces
  - Training in very high demand.
- Very beneficial
  - Way more than ONLY District Managers.
- Other Bureaus are wanting to borrow Modules.
- Better more effective training
Questions?