

ALDOT-355-88
**GENERAL INFORMATION CONCERNING MATERIALS, SOURCES, AND
DEVICES WITH SPECIAL ACCEPTANCE REQUIREMENTS**

1. Scope

- 1.1. The Alabama Department of Transportation presently maintains several lists of materials, sources, and devices, which have undergone some form of preliminary evaluation. Lists are established both as reference sources of materials and as methods to eliminate lengthy time delays required in evaluating certain products. Each list is unique. Product requirements and job control acceptance varies. Before using any products one must read all requirements carefully.
- 1.2. The lists are in no way a blanket approval which relieves the contractor of the responsibility of furnishing quality materials, nor the Project Engineer the responsibility of inspecting all materials. The Project Engineer must inspect the material and, if doubt exists, job control samples should be taken. Project and Maintenance personnel should also report any problems in workability or premature failure of products on these lists since these factors are very important in maintaining these lists.
- 1.3. These lists are found in the publication "Materials, Sources, and Devices with Special Acceptance Requirements". They are established and maintained by the individual sections in the Department of Transportation concerned with quality assurance for the products. To obtain information concerning a particular list, persons should either contact the section listed under "Jurisdiction", which can be found at the beginning of the individual procedure for that list or the Product Evaluation Engineer.
- 1.4. The Alabama Department of Transportation Product Evaluation Board is composed of employees from the various disciplines within the Department of Transportation. The Board is the final authority over this program and decides the ultimate fate of products and requirements.
- 1.5. The Bureau of Materials and Tests acts as a clearinghouse to duplicate and disseminate these documents.
- 1.6. Lists are divided into five general categories of similar requirements:
 - I. Qualified Sources
 - II. Approved Materials
 - III. Qualified Materials
 - IV. Approved Traffic Control Devices and Materials
 - V. Qualified Traffic Control Devices and Materials

2. Definitions

- 2.1. Qualified Sources - Sources of materials such as cement, lime, and aggregates. These sources may be quarries, plants, or refineries who have agreed to a systematic program of sampling, testing, and inspection to provide quality assurance for Department work. Materials from these sources may be used without Job Control Testing, provided they meet the visual inspection by the Project Engineer.
- 2.2. Approved Materials - Materials and/or products which may fall into one or both of the following categories: A. Items having a high probability of acceptance. B. Items whose use is non-critical to the performance of the finished roadway. Because these items are of this nature, the Alabama Department of Transportation allows an abbreviated testing program for quality assurance. Job Control testing is not required.
- 2.3. Qualified Materials - These are materials, which the Department requires field performance testing in addition to laboratory testing. Job control testing will not be required; however some items may require pretesting. (Requirements for pretesting may be found in the instructions for individual lists.)
- 2.4. Approved Traffic Control Devices and Materials - These are items evaluated prior to bidding on projects. This is necessary so that only items which meet current project requirements will be furnished. Job Control Testing will not be necessary. Project personnel will verify that the equipment and materials received on the project are those called for by the approved submittal data.
- 2.5. Qualified Traffic Control Devices and Materials - These items are initially evaluated for color, design, and satisfactory field performance. The items must then either have job control samples taken or be pretested as stock (see ALDOT-195). The Project Engineer must consult with the Testing Manual to determine current requirements.

3. Eligibility Procedures for Existing Lists

- 3.1 Persons wishing to place items on any of the lists maintained by the Alabama Department of Transportation may obtain detailed information by contacting the Product Evaluation Engineer for the Department at:

MAILING ADDRESS:

Assistant Research and Development Engineer
Bureau of Research and Development
Alabama Department of Transportation
1409 Coliseum Boulevard
Montgomery, AL 36130-3050

PHYSICAL ADDRESS:

(For bulk submittals)

Assistant Research and Development Engineer

Bureau of Research and Development

Alabama Department of Transportation

3700 Fairground Road

Montgomery, AL 36110

Phone: (334) 353-6940

- 3.2 The Department will forward detailed instructions concerning the information, test data, fees and samples required for evaluation of the item.
- 3.3 This information should be read thoroughly and company product data compared with current specifications for conformance. Only those items which meet these specifications should be submitted.
- 3.4 Items, which perform the same function as currently specified items, but do not meet current specifications, should be processed as new products (see Section 4).
- 3.5 All forms should be completed and submitted with samples, fees, and correspondence to the addresses above.
- 3.6 Any item, for which there has been an opportunity to be evaluated by the National Transportation Product Evaluation Program (NTPEP), will not be reviewed by the Product Evaluation Board until the vendor has submitted the results of the NTPEP evaluation. Producers with products now under evaluation at these facilities should wait until testing is complete and data published before submitting to the Board for approval.

4. New Products

- 4.1. Products which do not meet current specifications or for which specifications have not been established are considered as new products. This includes items that perform the same function as currently specified materials.
- 4.2. The Department will forward detailed instructions concerning the information, test data, fees and samples required for evaluation of the item.
- 4.3. All forms should be completed and submitted with samples, fees and correspondence (including proposed uses) to the address above.
- 4.4 The Department will review submittal packages to determine if additional documents, fees, and/or samples are required.
 - a. If required, a Department representative will notify the vendor of the additional requirements.

- b. The date of initial notification will establish a 90 day calendar window for the vendor to achieve full compliance with the Department's submittal requirements and/or requests.
 - c. After 90 calendar days have elapsed without full compliance with Department requirements and/or requests, the product will be administratively closed and evaluation of the product will not be conducted. Any fees submitted will be forfeited and will not be refunded to the vendor. The 90 day calendar window may be extended if an arrangement acceptable to the Department is made by the vendor.
 - d. After a product has been administratively closed, the vendor will be required to resubmit all required documents, fees, and/or samples of the product as required for a new product submittal.
- 4.4. A vendor may request a product application be administratively closed at any time. The request must be made by the company representative who signed the New Product Evaluation Form or a designated company representative. After the product application closure request is received, the Product Evaluation Database status for the product will be changed to administratively closed. Any fees submitted will be forfeited and will not be refunded to the vendor.

5. Alternate Evaluation of Items Requiring Field Testing

- 5.1. Some lists require field testing for extended periods. Unless these requirements are completed well in advance of the anticipated marketing time, the producer will be delayed in selling products. To give as much flexibility as possible for the use of these products this procedure may be utilized.
- 5.2. The producer may negotiate with a prime contractor to have the product used on an ongoing project, which will then be used as the field test.
- 5.3. The prime contractor will be required to post a bond equal to a value of the total bid price for that item (estimated quantity multiplied by the unit bid price). Where the item is not a direct pay item, but is an incidental part of a larger pay item, the bond shall be equal to the amount of the larger pay item.
- 5.4. Approval for this procedure must be authorized by the Product Evaluation Board prior to any installation.
- 5.5. This procedure will not be an acceptable alternate for "Approved Traffic Control Devices and Materials", Lists IV-1, IV-2, IV-3, IV-4). State Law requires that these items be approved prior to bidding on projects for direct Department purchase. When these items are furnished on projects by a contractor, approval must be obtained prior to installation.
- 5.6. Any item which fails during the testing period shall be removed, and the posted bond will be kept and utilized to make repairs.

6. Fees

- 6.1. To control requests for unnecessary testing of marginally used products and help defray cost to the Department for this testing; nominal fees will be required for the testing and inspection performed by the Department.
- 6.2. Manufacturers should narrow selections of products to those where a real market is anticipated prior to submittal. This will lessen the cost to the Department and manufacturer for these services.
- 6.3. Fees are as follows:

Submittal Fee - for all sources and materials \$50

Qualified Sources*		
Testing/Inspection Required	Fees	Lists
Laboratory Testing	\$1000	I-1 I-2 I-3 I-4 I-6
Plant Inspection	\$500	I-1 I-4 I-5 I-7 I-9 I-10
	\$5000**	I-8

* Reference Section 6.3.3

** Block Plant Certifications (Intensive Inspections per ALDOT 453)

Approved Materials/Qualified Materials/ Qualified Traffic Control Materials		
Testing Required	Fees	Lists
Certification Review	\$200	I-15 II-1 II-2 II-4 II-6 II-17 II-22 II-26 II-28 II-30 III-1 III-4 V-1 V-2 V-3 V-4 V-6
Laboratory Testing	\$500	II-3 II-5 II-7 II-8 II-9 II-10 II-13 II-15 II-19 II-21 II-23 II-27 V-7 V-4
Field Testing	\$1,000	II-21 II-27 III-2 III-3 III-5 III-6 V-3 V-4
Plant/Laboratory Inspection	\$500	V-4

- 6.3.1 The submittal fee covers the paperwork necessary for initial processing of a request and is required for all submittals. All sources shall request to be classified under a material category. Each material category will be charged as a single testing or inspection fee. Some Lists require both laboratory testing, plant inspection and/or field testing.
- 6.3.2 Fees for "Approved Traffic Control Devices" can be found in Section (IV) of the manual "Materials, Sources and Devices with Special Acceptance Requirements".
- 6.3.3 Source evaluation fees, inspection fees, and submittal fees will be charged for the initial evaluation, the annual re-evaluation (more than one inspection may be made during the year but only one re-evaluation inspection fee will be charged), and each time the source relocates.

For sources that maintain accreditation and/or certification through the AASHTO Accreditation Program or National Product Evaluation Program (NTPEP); the initial inspection and fee, and the yearly re-inspection and fee will be waived provided the source submits yearly documentation of acceptable certification.

(NOTE: Any **source** which has undergone and successfully completed a NTPEP audit and wishes to be placed on one of the MSDSAR Lists will only need to pay the submittal fee of \$50.00 for the processing of the paperwork submitted for review.)

- 6.3.3.1 Plant inspections will include Refineries, Asphalt Plants, Concrete Plants, Pre-Stress Plants, Pre-Cast Plants, Terminals, etc.
- 6.3.3.2 List I-1, Aggregate Sources are classified as a Coarse or Fine Aggregate. The initial and annual testing fees are as follows:
 - 6.3.3.2.1 Fine Aggregates \$1000
 - Concrete Sand
 - Asphalt Plant Mix Sand
 - 6.3.3.2.2 Coarse Aggregates \$1000
 - Uncrushed Gravel
 - Crushed Gravel
 - Crushed Quartzite
 - Crushed Limestone
 - Crushed Granite
 - Crushed Sandstone
 - Crushed Slag

- Lightweight Aggregate

6.3.3.3 List I-2 Portland and Blended Cements will be classified by cement types and initial testing fees are as follows:

- Type I Cement \$1000
- Type II Cement \$1000
- Type I/II Cement \$1000
- Type III Cement \$1000
- Type IV Cement \$1000
- Type V Cement \$1000

6.3.3.4 List I-4, Asphalt Products are evaluated by materials category and initial testing fees are as follows:

- PG Graded Asphalts \$1000
- Emulsions \$1000
- Cutbacks \$1000

6.3.3.5 List I-8, Precast Concrete Pipe and Miscellaneous Precast Concrete Products, requires a more extensive inspection for certification of Block Plants per ALDOT 453. Due to the in-depth monitoring and inspection required, a fee of \$5000 plus the \$50 Product Evaluation Board fee will be charged to cover ALDOT's expenses for the initial inspection. An annual fee of \$5000 is required for recertification.

6.3.3.6 List I-11, Producers of High Density Polyethylene Pipe & List I-12, Deformed and Plain Steel Bar Producing Mills require NTPEP audits only. The submittal fee of \$50 and all applicable paperwork is required for ALDOT submittal.

6.3.4 Sources of Portland Cement Concrete (List I-7) will be inspected as required in the Department Specifications, Sections 450 and 501.

6.3.5 List V-4, Permanent Traffic Marking Materials, requires initial NTPEP testing for the product, an initial inspection of the facility, and field testing and is covered in ALDOT 420. ALDOT 420 also requires the facility to be re-inspected every three (3) years to remain on the qualified lists.

6.3.6 When specifications are changed to an extent that new testing or inspection is required, fees will be required as if the submittal is new.

6.3.7 When the formulation of a product is changed, new testing and fees will be required.

- 6.3.8 All fees should be paid by check or money order (not more than 30 days old) made payable to the "Alabama Department of Transportation" and submit to:

Alabama Department of Transportation
Materials and Tests Engineer
3700 Fairground Road
Montgomery, Al 36110

7. Testing and Evaluation of Products

- 7.1. All testing and evaluation will be conducted at the convenience of the Department.
- 7.2. For **products** that have been tested through the National Product Evaluation Program (NTPEP) and then submitted data for the product for addition to ALDOT's MSDSAR Manual; an initial submittal fee and a certification review fee will be charged to cover the paperwork for processing.
- 7.3. Tests will be conducted according to the Alabama Department of Transportation Specifications.
- 7.4. Test reports are property of the Department and will not be given to producers. Producers may view copies of their reports only in the offices of the Department.
- 7.5. The costs for samples, shipping and field installation requiring special equipment and personnel are the responsibility of the producer.
- 7.6. The producer will be responsible for cleanup and disposal of all materials remaining after installation of each field test.