Oregon Department of Transportation

CERTIFIED LOCAL PUBLIC AGENCY QUARTERLY REPORT

1. Project Information

PROJECT NAME	KEY NUMBER
DELIVERING CERTIFIED LOCAL PUBLIC AGENCY	STIP APPLICANT
ODOT TRANSPORTATION PROJECT MANAGER	PERSON IN RESPONSIBLE CHARGE

2. Phase Information

PHASE	Federal Funds?	Original Authorization	Current Authorization	ODOT Charges	Total Invoiced Amounts		Other LPA Costs	Total Phase	Invoicing Complete?	Assigned End Date
					Federal Share	LPA Match				
PL	Yes ☐								Yes ☐	
PE	Yes ☐								Yes ☐	
RW	Yes ☐								Yes ☐	
UT	Yes ☐								Yes ☐	
CN	Yes ☐								Yes ☐	
OT	Yes ☐								Yes ☐	
TOTAL										

3. Contracts for Federally Funded Phases:

PHASE	MULTIPLE? ☐ Yes	CONTRACT NUMBER	CONTRACTOR INFORMATION: NAME, CITY, STATE

ORIGINAL AWARD	CURRENT AWARD	PAID TO DATE

AWARD DATE	WORK STARTED DATE	WORK COMPLETED DATE	CLOSEOUT DATE	FINAL PAYMENT DATE

4. Additional Information

COMMENTS, INCLUDING GENERAL PROJECT UPDATES AND NOTES (FIELD WILL EXPAND AS YOU TYPE. CLICK TAB TO SEE TEXT IN EXPANDED FIELD.)

5. Signatures

Financial Signature

PRINT NAME	TITLE	PHONE	EMAIL ADDRESS

☐ Check if this person also prepared this report.

SIGNATURE AND DATE

Person in Responsible Charge Signature

PRINT NAME	TITLE	PHONE	EMAIL ADDRESS

I certify that the above information is true and correct to the best of my knowledge and belief and I have verified its content.

☐ Check if this person also prepared this report.

SIGNATURE AND DATE

Preparer Information

PRINT NAME	TITLE	PHONE	EMAIL ADDRESS

CERTIFIED LOCAL PUBLIC AGENCY QUARTERLY REPORT INSTRUCTIONS FOR FORM No. 734-5034

Use and Applicability

The Certification Program Office's (CPO) Quarterly Report form (Form No. 734-5034) is used to collect project and related contracting data from Certified Local Public Agencies (Certified LPAs) and is a required submittal for all projects adiminstered through the Certification Program. The information collected in the Certified LPA Quarterly Reports is intended to enable ODOT to track key elements of project delivery and comply with various reporting obligations to FHWA. For example, the Certified LPA Quarterly Reports capture necessary data used in DBE Program and other civil rights programs reporting to FHWA.

Upon the activation of the expense account for the earliest phase for each active federally funded project being delivered by the Certified LPA, CPO will initiate the quarterly reporting process by sending a fillable PDF form to the Certified LPA liaisons. Certified LPAs are required to complete this form showing all of their project costs and contract information for each phase of the project as laid out in the instructions below. This form must be prepared by the Certified LPA quarterly and submitted using the 'Submit' button at the bottom of the PDF. Using this method, the form is automatically emailed to the CPO for review and acceptance. Once submitted, the Project Manager will receive an email notification from the CPO either accepting the report as is or requesting edits. Please make any edits requested quickly and resubmit. This reduces any delay in the CPO reporting the data to the other stakeholders in the process.

Note: Once the report is filled out with the information for the completed quarter, the Certified LPA is responsible for maintaining the report so it can be updated with new information for the NEXT quarter. For example:

1. Project KN99999 receives authorization for the PE phase on January 16, 2020.
2. On April 1, the day after the end of the quarter, CPO will generate a quarterly report form for the project. By April 5, CPO will send the pre-populated form to the Certified LPA.
3. The Certified LPA will then fill in any financial and contract information that occurred between January 1 and March 31. Then they will save the form before applying the electronic signatures. After saving it, they will sign and submit it, keeping the unsigned saved version.
4. Then, on July 1, CPO will compile updated financial information for KN99999 (new ODOT staff charge amounts and any assigned end dates) through June 30 and email that information to the Certified LPA.
5. The Certified LPA will be responsible for updating the information from Step 4 on their unsigned saved version, then updating their financial and contract information to reflect the period through June 30, and saving the form, again, prior to signature.

Section 1 Instructions: Project Information

This section of the form identifies information about the project. Most of the information is provided from ODOT records, which should change only rarely. The Certified LPA is responsible for letting the CPO know of any discrepancies or changes and who at the Certified LPA is responsible for the project named in this section.

- *Project Name*: This field will be pre-filled with information from ODOT's STIP-FP application. If any of the information in this section requires an update, please note it in Section 4, Additional Information, and indicate the STIP amendment number.
- *Key Number*: This field will be pre-filled with information from ODOT's STIP-FP application. If any of the

information in this section requires an update, please note it in Section 4, Additional Information, and indicate the STIP amendment number.

- *Delivering Certified Local Public Agency*: This field will be pre-filled by CPO. If it is incorrect, please contact CPO immediately with the correct information.
- *STIP Applicant*: This field will be pre-filled with information from ODOT's STIP-FP application. If any of the information in this section requires an update, please note it in Section 4, Additional Information, and indicate the STIP amendment number.
- *ODOT Transportation Project Manager*: This field will be pre-filled by CPO with input from the Transportation Project Managers responsible for the various Local Agencies. If you think it is incorrect, please make a note in Section 4, 'Additional Information', as to why.
- *Person in Responsible Charge*: Please add the name of the individual at your Certified LPA who is responsible for the management of the named project. The individual preparing the report can be a different person.

Section 2 Instructions: Phase and Contract Information

This section lays out the allocation and financial information for the project named in section 1, broken out by phase. All of the authorization information is pulled from ODOT's STIP-FP application. ODOT Staff charges are provided by ODOT. The Certified LPA must complete the Federal Share Amount, the LPA Match Amount, and Other LPA Costs for all phases where the Certified LPA has begun incurring costs, including phases that are locally funded.

The review of Section 2 should follow this pattern:

- **Step 1**: Review the authorization amounts and confirm they match your records.
- **Step 2**: Make note of the ODOT charges for your records when calculating total project costs.
- **Step 3**: Enter the total Federal Share amount that you invoiced to ODOT, the Certified LPA match amount that was invoiced but not reimbursed by ODOT, and any other non-participating costs (including overmatch) to the Certified LPA that aren't eligible for reimbursement. The total of the Federal Share Amount and the LPA Match Amount should equal the total invoiced amount for the quarter.
    - **Federal Share of Invoiced Amount**: Total amount of the Federal Share of the invoices up to the last reporting date for the quarter that were submitted for reimbursement.
        - **Example**: If the Certified LPA had two invoices for $500 ($1,000 total) in the previous quarter and three invoices for $1,000 ($3,000 total) in the current quarter that were all federally reimbursed at a rate of 89.73%, this line would be $3,589.20.
    - **Certified LPA Match Amount**: Amount over and above the invoiced amount up to the last reporting date for the quarter that was paid by the Certified LPA for project costs during this phase.
        - **Example**: Continuing with the example above, if ODOT only reimburses at a rate of 89.73%, then the Certified LPA is responsible for the 10.27% match of the $4,000, so this field would be $410.80.
    - **Certified LPA Charges/Costs**: Any non-participating costs up to the last reporting date for the quarter, including overmatch.
- **Step 4**: If the phase is complete and you won't be submitting any more invoices for reimbursement (or incurring any more non-participating costs), check the box on the far right. The Assigned End Date field indicates the end date programmed into the TEAMS expense account.

Section 3 Instructions: Contract Information by Phase

CPO collects information about the contracts that Certified LPAs enter into for the delivery of federally funded projects. Contracts for ALL federally funded phases should be added to this section. The entry should include the following information:

- **Contract Phase**: This is the primary phase in which the contract work is performed. Some contracts may cover work in multiple phases. In that scenario, please check the box marked 'Yes' and indicate which other phases in the comments section of the report.
- **Contract Number**: This is the number the Certified LPA uses to identify the contract for Certified LPA tracking purposes.
- **Contractor Information**: This should include the contractor's business name, as well as the city and state where the contractor's main office is physically located.
- **Original Award**: This is the original amount that was awarded to the contractor at the signing of the contract, including any retainage or other fees.
- **Current Award**: This is the current amount of the contract with any increase or decrease since the contract was signed. Please give a brief indication of the cause of the change in the comments section.
- **Paid to Date**: The amount the Certified LPA has paid the contractor up to the final date in the reporting period for the current quarterly report. This is not the amount requested for reimbursement from ODOT, but the amount that has been paid out to the contractor. This also should not include any withheld retainage, unless it has actually been paid.
- **Award Date**: This is the date the contract was awarded to the contractor. This often immediately precedes the "Notice to Proceed" or "First Note".
- **Work Started Date**: This is the date the contractor started work on the project (field work for construction contracts). This is also sometimes referred to as "First Note" and/or "Notice to Proceed".
- **Work Completed Date**: This is the date when all work in the work for the contract (field work for construction contracts) is completed. This is also sometimes referred to as "Second Note".
- **Closeout Date**: This is the date when all documentation has been submitted and approved and the project has been closed out. This is also sometimes referred to as "Third Note".
- **Final Payment Date**: This is the date when the final payment was made to the contractor for the work on the project.

Click on the "+" button in order to add a new contract and then complete the necessary fields. If a contract needs to be deleted, click on the "-" button in the right margin of the contract.

Section 4 Instructions: Additional Information

Use this section to provide other relevant information about your project. For instance, the Certified LPA could state:

- whether the Project is delayed
- the reason for changes to the Phase Completion Date
- if Liquidated Damages have been assessed
- whether there is a Termination of Contract
- any Change Orders (Contract Change Orders, Extra Work Orders, Force Orders / Work completed by Public Forces)
- any Claims

- and whether or not this is the final quarterly report

The Certified LPA may also choose to elaborate on any of the previous fields or note incorrect information.

Section 5 Overview: Approval, Signature and Submission

Once the entire report is complete **save a copy for your records BEFORE anyone signs the report**. Once you add a signature, the report will be ‘flattened’ which will prevent further edits. When you save the report before signing, be sure to use a convention for naming the file that will help you discern which one is the draft or initial version and which one is the final, accepted report. For example, you may want to name the file “2019Q1KN17888-v1” and then “2019Q1KN17888-FINAL” once it has been accepted with no edits.

This report needs to be reviewed by the agency’s audit and financial controls management authority (as shown on Certified LPA Approval Authority form 734-5084) to verify the accuracy of the numbers provided in the report. The first signature portion is that individual’s name and signature along with the date they verified the information. After the financial review and signature are complete, the Certified LPA’s Responsible Person in Charge then certifies the accuracy and signs the form. Finally, the individual preparing the report enters their name, title, email address, and phone number.

Once all signatures are complete, press the ‘Submit’ button and a copy of the report will be sent to the CPO via email for review and acceptance. Upon receipt by CPO, you will receive an email either accepting the report as is or with requested adjustments from the CPO. Please perform those edits and resubmit the report as quickly as possible, especially if the deadline for submission has passed.