



## CERTIFIED LPA SELF-AUDIT

The purpose of the self-audit is to ensure the Local Public Agency (LPA) is fulfilling the terms of the Master Certification Agreement, the LAG for Certified LPAs and is maintaining accurate records per federal and state requirements.

LOCAL PUBLIC AGENCY <b>MPO</b>	LPA CERTIFICATION PROGRAM COORDINATOR <b>LPA Staff Name</b>	CERTIFICATION AGREEMENT NUMBER <b>12345</b>
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### PROGRAM INFORMATION

Review the attached Certification Status Report. For each item listed on the Certification Status Report, verify and confirm whether the information on the Certification Status Report is accurate and current. If the status on the Certification Status Report is **"Update Needed"** or **"Not Met"** you must provide an explanation of how and when your agency will submit an update in the Program Review Comments text box below. If an update is needed to any of the Organizational Documents listed on the Certification Status Report, please attach updated documents with your agency's Self-Audit response. For the accounting system under Financial Information, the note in parentheses on the Certification Status Report indicates ODOT records show the agency's accounting system is manual, automated, or a manual/automated hybrid and the date represents the date the status was last confirmed. If there were changes to your agency's accounting system after that date, please explain in Program Review Comments box.

The documents/information on the Certification Status Report are:

**Foundational Documents:** Quality Program Plan for Federal-aid Project Delivery, Consultant Contracting Templates, Title VI Plan (and Annual Accomplishments Report), ADA Title II Transition Plan

**Financial Information:** Indirect Cost Allocation Plan, Single Audit Act, Accounting system (manual, automated, or hybrid)

**Organizational Documents:** Certified Local Public Agency Approval Authority Form #734-5084, Certified Local Public Agency Key Qualified Staff Form #734-5091, Organizational Chart

**Corrective Actions:** Corrective Action Plan(s)

**Other Program Questions:** In addition to reviewing and confirming the status of the items on the Certification Status Report, please answer the questions below. For each question, if the answer is 'no', please provide an explanation of your agency's plan to address the issue in the Program Review Comments text box below.

- |   |   |
|---|---|
| 1. Agency ensured its key qualified staff members completed all training necessary to work on Federal-aid projects and maintained current licenses and certifications.....  | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| 2. In the last three years (2021-2023) has your agency provided training on your agency's Quality Program Plan to:  | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| a. New staff.....   | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| b. Experienced staff.....   | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| 3. In the last three years, agency staff involved in consultant selection and contracting completed:  | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| a. ODOT or DAS <u>Statement of Work for Personal Services</u> training.....   | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| b. DAS <u>Personal Services Contract Administration Training Certification</u> .....  | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| c. Federal-aid Essentials Training, by viewing <u>Consultant Services Overview</u> , <u>Hiring a Consultant Using Competitive Negotiation Procedures</u> , and <u>Organizational and Consultant Conflicts of Interest</u> videos..... | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| 4. In the last three years (2021-2023), your agency encouraged staff (including project managers, inspectors, contract administration and procurement staff) attendance at civil rights trainings offered by ODOT.....                | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| 5. Agency confirms it has no new federal financial audit findings to resolve since July 1, 2023...  | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| 6. Agency reviewed the Certification Status Report and provided an update or response in the box below for each item indicated as 'Update Needed' or 'Not Met'.....   | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |

## Program Review Comments

4. Civil Rights Training: Not all staff attended civil rights training in the past 3 years. We will prioritize attendance at remaining trainings in 2023 and encourage staff to review recording training sessions.
6. Financial: No updates to accounting system. The last self-audit act report was filed on January 5, 2023.

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### PROJECT INFORMATION

Please review and verify the following list of project Self-Audit questions with your agency's project managers, contract administrators or other staff (as applicable) for the attached list of projects and provide responses for each project in the attached excel file. Your agency does not need to review aspects of a particular project's work that were covered in a prior self-audit. Pick up where your agency left off in the prior self-audit for each project. Each question must be answered Yes, No, or N/A. For any review questions that were answered 'no', provide an explanation.

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### Progress Billing

1. Your agency submits progress billings to ODOT on the timeframe set out in the applicable project agreement (generally not more than monthly and at least quarterly)
2. Your agency maintains supporting documents and information as needed to verify federal eligibility of costs incurred during each billing cycle, including:
  - a. Invoices showing both total costs and federal pro-rata share
  - b. Invoices include work performed timeframe
  - c. Invoices include the applicable Notice to Proceed date
  - d. Summary of costs reports
  - e. Bid/pay/task item progress estimates
  - f. LPA costs breakdown
  - g. Materials purchase orders
  - h. Receipts and/or back up documentation showing costs of items billed
  - i. LPA salary/wage reports including ICAP rates
  - j. Travel/transportation documents
  - k. Pay verification documents (e.g. cancelled checks, check register or other payment confirmation)

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### Consultant Selection and Contract Administration

3. As part of the consultant selection process, the Notice of Award (form 734-2849) was submitted to ODOT Office of Civil Rights (OCR) at [ocr.psk@odot.oregon.gov](mailto:ocr.psk@odot.oregon.gov)
4. Your agency's contract administration processes were documented in accordance with Section 4 of ODOT's LPA Non-A&E PSK Requirements Guide
  - a. Your agency's contract administrator reviewed consultant invoices and supporting documents for consistency with federal cost principles, terms of the contract, and status/progress of the work completed, including:
    - i. All invoiced costs were for work performed within the period of performance (after notice to proceed and prior to the end of contract term)
    - ii. Total paid did not exceed the total not-to-exceed amount of the contract

- iii. Travel rates were billed at the rate in effect at the time travel occurred
- iv. No markup was paid on sub-consultant or indirect costs
- v. Consultant submitted paid summary reports
- b. Your agency's contract administrator regularly collected, reviewed, and submitted consultant contract paid summary reports to OCR at [ocr.psk@odot.oregon.gov](mailto:ocr.psk@odot.oregon.gov)
- c. Your agency completed the Certified LPA Contract Closeout Form (or equivalent form)
- d. Your agency completed a consultant performance evaluation per LPA Non-A&E PSK Requirements Guide Section 3.7.4

**Certification and Signature**

By signing below, I certify I have reviewed the applicable questions for the agency's program and each project with the person in responsible charge of the project and other key project staff as applicable.

Enter the name and title of the signatory before clicking the digital signature field. Fields prior to the digital signature cannot be changed after the digital signature is applied and the signed document saved.

COMPLETED BY: LPA (NAME AND TITLE) <b>First Last</b>	LPA SIGNATURE <b>First Last</b>	Digitally signed by First Last Date: 2024.05.02 11:29:58 -07'00'	DATE <b>5/2/24</b>
EMAIL ADDRESS <b>first.last@mpo.gov</b>			

- Authorities, 734-5084 – Attach only if changes made.  Yes  No Updates
- Current Organizational Chart – Attach only if changes made.  Yes  No Updates
- Updated Key Qualified Staff form, 734-5091 – Attach only if changes made.  Yes  No Updates
- Excel file with project responses – Attach a single excel file with all project responses.....  Yes

Save the completed form to your computer before submitting.  
Send to [ODOTCertification@odot.oregon.gov](mailto:ODOTCertification@odot.oregon.gov) by clicking the Submit by Email button.

Submit by Email

**ODOT USE ONLY**

- Accepted Date: \_\_\_\_\_
- Returned for edits Date: \_\_\_\_\_