Certification Program
Core Question Guide

ODOT Certification Compliance and Oversight Plan (C&O)

CERTIFIED LOCAL PUBLIC AGENCY	DATE OF REVIEW	FOR TIME PERIOD	MASTER CERTIFICATION AGREEMENT NO.

INDIVIDUAL(S) CONDUCTING REVIEW	CERTIFICATION PROGRAM MANAGER REVIEW NAME: DATE:

ADDITIONAL C&O REVIEW GUIDE(S) USED FOR THIS REVIEW (LIST ALL)

Instructions

1. Complete all questions in the C&O Review Guide. Do not modify questions. Additional ODOT Specific questions may be added at the bottom of the guide.
2. Directly verify all answers with source documentation.
3. <u>Do not</u> correct deficiencies and then adjust C&O answers. Answers must reflect status at time of review.
4. Provide clarifying comments for each answer.
5. Ensure source documentation is retained by the Local Public Agency (LPA) and available as necessary for quality assurance reviews or audits.

#	QUESTIONS	CITATION	ANSWER	COMMENT
		KEY QUALIFIED STAFF (KS)		
KS1	Have there been any changes to key staff? If so, does this person(s) have the appropriate qualifications and training for their position?	23 CFR 1.11(b) CACC III(A)(12) LAG Manual, Section C, Chapter 1	**No**, there have not been any changes to key staff. **Yes**, there have been changes to key staff. (Comment required) **Yes**, the person(s) has the appropriate qualifications and training for their position. **No**, the person(s) does not have the appropriate qualifications and training for their position. (Comment required) **N/A,** requirement does not apply. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	

#	QUESTIONS	CITATION	ANSWER	COMMENT
KS2	Are any of the key staff positions vacant? If yes, which ones and how are those duties being handled?	23 CFR 1.11(b) CACC III(A)(12) LAG Manual, Section C, Chapter 1	**No**, there are no key staff positions vacant. **Yes**, there are key staff positions vacant. (Comment required to answer second question) **N/A,** requirement does not apply. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	
KS3	Are any of the key staff positions filled by a consultant? If yes, which ones and under who's supervision?	23 CFR 1.11(b) CACC III(A)(12) LAG Manual, Section C, Chapter 1	**No**, there are no key staff positions filled by a consultant. **Yes**, there are key staff positions filled by a consultant. (Comment required to answer second question) **N/A,** requirement does not apply. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	
KS4	Is there an LPA person in "responsible charge" assigned to every project?	23 CFR 635.105(b) 23 CFR 635.105(c)(4) FHWA Guidance Memo issued 08/04/2011	**Yes**, there is an LPA person in "responsible charge" assigned to every project. **No**, there is not an LPA person in "responsible charge" assigned to every project. (Comment required) **N/A,** requirement does not apply. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	

#	QUESTIONS	CITATION	ANSWER	COMMENT
KS5	Are all professional licenses and certifications current?	23 CFR 1.11(b) CACC III(A)(12) LAG Manual, Section C, Chapter 1	**Yes**, all professional licenses and certifications are current. **No**, all professional licenses and certifications are not current. (Comment required) **N/A,** requirement does not apply. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	
KS6	Is the CLPA's staff well qualified and suitably equipped? Is the Certified LPA Qualified Staff form up to date? Please provide a copy.	23 CFR 1.11(b) CACC III(A)(12) LAG Manual, Section C, Chapter 1	**Yes**, the CLPA's staff is well qualified and suitably equipped. **Yes**, the Certified LPA Qualified Staff form is up to date. **No**, the CLPA's staff is not well qualified and suitably equipped. (Comment required) **No**, the Certified LPA Qualified Staff form is not up to date. (Comment required) **N/A,** requirement does not apply. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	
			TRAINING (TR)	
TR1	Has every key staff member completed the Federal-Aid Essentials training? If not, how will this be accomplished?	LAG Manual, Section C, Chapter 1	**Yes**, every key staff member has completed the Federal-Aid Essentials training. **No**, not every key staff member has completed the Federal-Aid Essentials training. (Comment required) **N/A,** requirement does not apply. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	

#	QUESTIONS	CITATION	ANSWER	COMMENT
TR2	Is every key staff member familiar with FHWA's Contract Administration Core Curriculum Manual? Is a printed copy of the manual available in-house?	LAG Manual, Section C, Chapter 1	**Yes**, every key staff member is familiar with FHWA's Contract Administration Core Curriculum Manual. **No**, not every key staff member is familiar with FHWA's Contract Administration Core Curriculum Manual. (Comment required) **N/A,** requirement does not apply. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	
TR3	Do all key staff members receive the on-going training needed to maintain proficiency in all aspects of federal-aid project delivery?	LAG Manual, Section C, Chapter 1	**Yes**, every key staff member receives the on-going training needed to maintain proficiency in all aspects of federal-aid project delivery. **No**, not every key staff member receives the on-going training needed to maintain proficiency in all aspects of federal-aid project delivery. (Comment required) **N/A,** requirement does not apply. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	
TR4	For staff new to the LPA or position and that are involved with federal-aid project delivery, is the LPA providing the required training through either in-house or outside means?	LAG Manual, Section C, Chapter 1	**Yes**, for staff new to the LPA or position and that are involved with federal-aid project delivery, the LPA is providing the required training through either in-house or outside means. **No**, for staff new to the LPA or position and that are involved with federal-aid project delivery, the LPA is not providing the required training through either in-house or outside means. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	

#	QUESTIONS	CITATION	ANSWER	COMMENT
	FOUNDATIONAL DOCUMENTS (FD)			
FD1	Have any revisions been made to the bid document templates since they were approved? If so, what was revised and were the changes noted in a revision log? Please provide a copy.	LAG Manual, Section C, Chapter 1 LPA Approved Bid Document Templates	**No**, there have not been any revisions to the bid document templates since they were approved. **Yes**, there have been revisions to the bid document templates since they were approved. (Comment required to answer second question) **N/A,** requirement does not apply. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	
FD2	Have any revisions been made to the general conditions since they were approved? If so, what was revised and were the changes noted in a revision log? Please provide a copy.	LAG Manual, Section C, Chapter 1 LPA Approved General Conditions (Section 100's)	**No**, there have not been any revisions to the general conditions since they were approved. **Yes**, there have been revisions to the general conditions since they were approved. (Comment required to answer second question) **N/A,** requirement does not apply. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	
FD3	Have there been any updates to the quality plan since it was approved? If so, what was revised and were the changes noted in a revision log? Please provide a copy.	LAG Manual, Section C, Chapter 1 LPA Approved Quality Program Plan	**No**, there have not been any updates to the quality plan since it was approved. **Yes**, there have been updates to the quality plan since it was approved. (Comment required to answer second question) **N/A,** requirement does not apply. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	

#	QUESTIONS	CITATION	ANSWER	COMMENT
FD4	Is the approved quality plan being followed? What documentation is used to verify the procedures in the plan are followed?	LAG Manual, Section C, Chapter 1 LPA Approved Quality Program Plan	**Yes**, the approved quality plan is being followed. (Comment required to answer second question) **No**, the approved quality plan is not being followed. (Comment required) **N/A,** requirement does not apply. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	
FD5	Is the CLPA's Title VI Accomplishments Report being submitted annually as required?	LAG Manual, Section C, Chapter 1	**Yes**, a Title VI Accomplishments Report is being submitted annually. **No**, a Title VI Accomplishments Report is not being submitted annually. (Comment required) **N/A,** requirement does not apply. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	
FD6	Is the CLPA's Title VI plan being updated every three years as required?	LAG Manual, Section C, Chapter 1	**Yes**, the Title VI Plan is being updated every three years. **No**, the Title VI Plan is not being updated every three years. (Comment required) **N/A,** requirement does not apply. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	

#	QUESTIONS	CITATION	ANSWER	COMMENT
FD7	Does the CLPA have an ODOT/FHWA approved ADA transition plan and design exception process?	28 CFR 35 28 CFR 36 ODOT Certification Program Office Bulletin 101_19	**Yes**, the CLPA has an approved ADA transition plan and design exception process. **No**, the CLPA does not have an approved ADA transition plan and design exception process. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	
PROCESS AND PROCEDURES (PP)				
PP1	Is the LPA's STIP portfolio being monitored and managed and are staffing resources being allocated and scheduled to meet STIP obligation deadlines? ?	LAG Manual, Section C, Chapter 1	**Yes**, the LPA's STIP portfolio is being monitored and managed and staffing resources are being allocated and scheduled to meet STIP obligation deadlines. **No**, the LPA's STIP portfolio is not being monitored and managed and staffing resources are not being allocated and scheduled to meet STIP obligation deadlines. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	
PP2	Are internal QA audits being accomplished and documented? If a deficiency is noted, are corrective action procedures being implemented and documented?	ODOT approved LPA Quality Program Plan	**Yes**, internal QA audits are being accomplished and documented and corrective actions are being implemented and documented when a deficiency is identified. **No**, internal QA audits are not being accomplished and documented and corrective actions are not being implemented and documented when a deficiency is identified. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	

#	QUESTIONS	CITATION	ANSWER	COMMENT
PP3	Is the LPA ensuring that Form FHWA-1273 is physically incorporated into every contract let for bidding?	23 CFR 633.102(b) 23 CFR 633.103	**Yes**, the LPA is ensuring that Form FHWA-1273 is physically incorporated into every contract let for bidding. **No**, the LPA is not ensuring that Form FHWA-1273 is physically incorporated into every contract let for bidding. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	
PP4	Does the LPA's accounting system allow for the accurate tracking of budget information such as allocation of payroll, fleet, and equipment charges to the project; direct expenses; and receipt and disbursement of all funds related to FHWA funded projects?	2 CFR 200.430 23 USC 106(g)	**Yes**, the LPA's accounting system allows for the accurate tracking of the listed budget information related to FHWA funded projects. **No**, the LPA's accounting system does not allow for the accurate tracking of the listed budget information related to FHWA funded projects. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	
PP5	Does the LPA's accounting system allow for the accurate tracking of expenditures allocated to the appropriate Federal fund category on multi-funded projects?	2 CFR 200.400 23 USC 106(g)	**Yes**, the LPA's accounting system allows for the accurate tracking of expenditures allocated to the appropriate Federal fund category on multi-funded projects. **No**, the LPA's accounting system does not allow for the accurate tracking of expenditures allocated to the appropriate Federal fund category on multi-funded projects. (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	

#	QUESTIONS	CITATION	ANSWER	COMMENT
PP6	Does the LPA routinely monitor and review for improper payments?	Improper Payments Information Act of 2002 Improper Payments Elimination and Recovery Act of 2010 Improper Payments Elimination and Recovery Improvement Act of 2012	**Yes**, the LPA routinely monitors and reviews for improper payments **No**, the LPA does not routinely monitor and review for improper payments (Comment required) **Don't Know,** could not be verified at the time of review. (Comment required)	
ADDITIONAL QUESTIONS				