

# **SECTION D** **DESK PROCEDURES**

## ***Chapter 3D TRANSITING TO FULL CERTIFICATION***

### **A. OVERVIEW**

#### **1. Purpose:**

- To set the standard method followed by the Oregon Department of Transportation (ODOT), Regional Local Agency Liaison and local agency personnel for transitioning from conditional to full certification status
- Outline procedures that will facilitate compliance with the Master Certification Agreement between ODOT and the local agency.

#### **2. Determining Use of Procedure for Transition to Full Certification:**

A local agency can begin transition to full certification only after:

- The local agency is conditionally certified through ODOT's LGS Certification Program
- The DRAFT Quality Control Plan has been submitted during the interview phase
- 2-4 test projects have been successfully completed
- ODOT and the local agency have signed a Master Certification Agreement

#### **3. Guidelines Pursuant to the Master Certification Agreement:**

##### **a. Local Agency Responsibilities –**

- Be able to provide all supporting documentation needed for ODOT to determine the local agency's ability to administer federal aid projects as outlined in the Master Certification Agreement
- Have updated and current the following required local agency documentation
  - Non-Discrimination Agreement
  - Local Agency Quality Control Plan (Note: Quality Control Plan differs from ODOT's Quality Control Checklists e.g. PD-02)
  - Consultant Selection
  - Design
  - Advertisement, Bid & Award
  - Construction Contract Administration
  - Regional Assurance Specialist Reviews
- Inform ODOT in the event of changes or planned changes to ODOT documents
  - Certification Acceptance (General Interview Form)
  - Consultant Selection
  - Design
  - Advertisement, Bid & Award
  - Construction Contract Administration
  - Master Certification Agreement
  - Supplemental Agreements

**b. ODOT Responsibilities –**

- Maintain accountability to the Federal Highway Administration when determining to delegate project responsibilities to a local agency
- Ensure that a local agency has adequate project delivery systems, staffing and sufficient accounting controls to properly manage federal funds under 23 U.S.C.106(g)(4)(A)

**4. Acronyms / Abbreviations / Definitions:**

FHWA	Federal Highway Association
LGS	Local Government Section
ODOT	Oregon Department of Transportation

**B. PROCEDURE FOR REIMBURSING ODOT CHARGES**

Responsible Party	STEP / ACTION
Certification Program Specialist	<ol style="list-style-type: none"> <li>1. Ensure local agency has successfully closed the minimum amount of test projects with ODOT approval as per the Master Certification Agreement</li> <li>2. Initiate transition to full certification through request to Certification Program Manager</li> <li>3. Begin final review               <ol style="list-style-type: none"> <li>a) Ensure the local agency has updated all relevant interview forms</li> <li>b) Confirm status of all pertinent staff, including their qualifications and training within the Certification Program</li> <li>c) Verify local agency organization chart is current.</li> <li>d) Ensure local agency Certification Liaison staff is current</li> </ol> </li> <li>4. Confirm the following documents are current:               <ol style="list-style-type: none"> <li>a) Master Certification Agreement</li> <li>b) Supplemental Project Agreements</li> <li>c) Non-Discrimination Agreement</li> <li>d) Quality Control Plan</li> <li>e) Approval letter from cognizant agency (where applicable)</li> </ol> </li> <li>5. Review additional documents depending upon specific certification area:               <ol style="list-style-type: none"> <li>a) Consultant Selection Checklist</li> <li>b) Design Checklist</li> <li>c) Certified Local Agency Project Delivery (PS&amp;E) Checklist</li> <li>d) Ad, Bid and Award Checklist</li> <li>e) Construction Contract Administration Checklist</li> <li>f) Regional Assurance Specialist Reviews</li> </ol> </li> </ol>

<b>Responsible Party</b>	<b>STEP / ACTION</b>
Local Agency	6. Provide a process for how the local agency will implement their Quality Control Plan and identify their contact staff person 7. Forward a document signed by their Certification Coordinator or delegate, ensuring that each Certification project complies with their Quality Control Plan
Certification Program Specialist	8. Verify the local agency's Final Quality Control Plan is approved and in use 9. Verify appropriate approvals have been obtained by using Certification checklist(s) and/or subject matter experts in all areas of Certification in which the Local Agency is pursuing Certification
Certification Program Oversight Reviewer	10. Hold final oversight review meeting with appropriate local agency, ODOT and FHWA staff  11. Determine if the local agency has met the requirements for full certification a) If the local agency has met certification requirements, inform the local agency of the outcome in writing b) If the local agency does not yet meet certification requirements, Local Agency Liaison, Certification Program Manager, FHWA and Specialty Expert(s) as appropriate, provide further recommendations and/or findings
Local Agency	12. Develop a plan to make needed changes, if changes are required for Certification
	13. Make appropriate changes and have documentation available upon request
ODOT and FHWA	14. Review final changes and decide to certify or provide further recommendations and/or findings
Local Agency	15. Hold event with elected governing body and ODOT representatives to formally acknowledge Certified status