

Self-Audit Tips and Instructions for Certified Local Public Agencies

May 2023, ODOT Certification Program

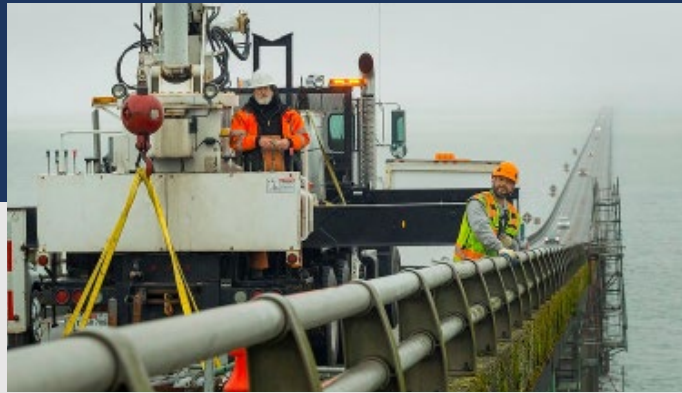
KEY INFORMATION

- Due date: Friday, June 30, 2023
- Submittal checklist:
 - ✓ Signed self-audit form
 - ✓ Excel file with project responses
 - ✓ Updated Key Qualified Staff form (if applicable)
 - ✓ Updated Approval Authorities form (if applicable)
 - ✓ Current Organizational Chart (if applicable)

SELF-AUDIT PURPOSE



Opportunity for Certified LPAs to review program and project compliance.



Annual check up of high risk areas in between compliance reviews.




Annual update of program information.

SELF-AUDIT PACKAGE

- Sent to each agency individually via email:
 - Annual Self-Audit Form 734-5152A or B
 - 734-5152A: Cities/Counties
 - 734-5152B: MPO
 - Example of completed form 734-5152A or B
 - Certification Status Report
 - Project List
 - Excel version of self-audit form **(required)**
 - Copy of these instructions


SELF-AUDIT FORM AND EXCEL TEMPLATE

- **CHANGE FOR 2023:** Responses to the project questions should be completed using the provided excel template.
- The Self-Audit pdf form should be used to provide program level responses and to sign the response.
- Questions are phrased so the answer is 'yes' if the program or project meets the requirement (or best practice).
- If the answer to a question is 'no,' provide an explanation in the program or project review comments box.

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	LPA CERTIFICATION PROGRAM COORDINATOR	MASTER AGREEMENT NUMBER
PROGRAM INFORMATION		
<p>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 an update or clarification is needed, please note the document or information and explain 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.</p> <p>The documents/information on the Certification Status Report are:</p> <p>Foundational Documents: Quality Program Plan for Federal-aid Project Delivery, Construction Contracting Templates, Consultant Contracting Templates, Title VI Plan (and Annual Accomplishments Report), ADA Title II Transition Plan</p> <p>Financial Information: Indirect Cost Allocation Plan, Single Audit Act, Accounting system (manual, automated, or hybrid)</p> <p>Organizational Documents: Certified Local Public Agency Approval Authority Form #734-5084, Certified Local Public Agency Key Qualified Staff Form #734-5091, Organizational Chart</p> <p>Corrective Actions: Corrective Action Plan(s)</p> <p>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.</p> <ol style="list-style-type: none">1. Agency is aware and notified its project managers and other applicable staff of Bulletin 101-48, which requires submittal of a Certified LPA Railroad Assurance with all PS&E packages submitted to ODOT for approval and federal authorization after October 1, 2020. <input type="checkbox"/> Yes <input type="checkbox"/> No2. Agency ensured its key qualified staff members completed all training necessary to work on Federal-aid projects and kept licenses and certifications current. <input type="checkbox"/> Yes <input type="checkbox"/> No3. Agency confirms it has no new federal financial audit findings to resolve since July 1, 2020. <input type="checkbox"/> Yes <input type="checkbox"/> No <p>Program Review Comments</p> <div></div>		

SELF-AUDIT FORM AND EXCEL TEMPLATE

- Questions are phrased so the answer is ‘yes’ if the program or project meets the requirement (or best practice).
- If the answer to a question is ‘no,’ provide an explanation.
- The Program Review Comments box should also be used to provide any updates indicated by the Certification Status Report.

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SELF-AUDIT FORM FIELD-BY-FIELD INSTRUCTIONS

- **Local Public Agency:** Fill in agency name (e.g., Lane County)
- **LPA Certification Program Coordinator:** Fill in the name of the local agency staff person who serves as the primary Certification Program contact.
- **Certification Agreement Number:** Fill in the number of your agency's Certification Agreement (formerly referred to as Master Certification Agreement).



CERTIFIED LPA SELF-AUDIT

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LOCAL PUBLIC AGENCY	LPA CERTIFICATION PROGRAM COORDINATOR	CERTIFICATION AGREEMENT NUMBER

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:

SELF-AUDIT FORM FIELD-BY-FIELD INSTRUCTIONS (PROGRAM)

- **Program Questions 1-6:** Answer the questions yes or no.
- **Program Review Comments Box:**
 - Provide any explanations for ‘no’ answers in questions 1-6.
 - Provide any updates/additional information on items with ‘update needed’ or ‘not met’ (see next page for specific instructions related to the Certification Status Report).

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..... ☐ Yes ☐ No
2. In the last three years (2020-2022) has your agency provided training on your agency’s Quality Program Plan to:
 - a. New staff..... ☐ Yes ☐ No
 - b. Experienced staff..... ☐ Yes ☐ No
3. In the last three years, agency staff involved in consultant selection and contracting completed:
 - a. ODOT or DAS [Statement of Work for Personal Services](#) training..... ☐ Yes ☐ No
 - b. DAS [Personal Services Contract Administration Training Certification](#)..... ☐ Yes ☐ No
 - c. Federal-aid Essentials Training, by viewing [Consultant Services Overview](#), [Hiring a Consultant Using Competitive Negotiation Procedures](#), and [Organizational and Consultant Conflicts of Interest](#) videos..... ☐ Yes ☐ No
4. In the last three years (2020-2022), your agency encouraged staff (including project managers, inspectors, contract administration and procurement staff) attendance at civil rights trainings offered by ODOT..... ☐ Yes ☐ No
5. Agency confirms it has no new federal financial audit findings to resolve since July 1, 2021..... ☐ Yes ☐ No
6. Agency reviewed the Certification Status Report and provided an update or response in the Program Review comments box for each item with the status ‘Update Needed’ or ‘Not Met’ ☐ Yes ☐ No

CERTIFICATION STATUS REPORT

- Status: Met, in process, requested, update needed
- If ‘update needed’ or ‘not met’ status: Certified LPA should provide an update on the status or plan for bringing the requirement into ‘met’ status using the Program Review Comments box on the self-audit form.
- **Note:** Every agency has at least one ‘update needed’ status on their report. Audits will be returned for correction if updates are not provided.

Certification Status Report				
Category	Requirement	Status	Submitted	Met
Fdocs	Quality Program Plan: Project Delivery	Update Needed		
	5/21/2021 Quality Program Plan for Federal-aid Project Delivery Update (update needed)			
	4/19/2021 QA Plan for Materials Acceptance Update (joint w Lane Co) (approved)		5/17/2021	5/28/2021
	12/31/2011 Quality Program Plan for Federal-aid Project Delivery			12/31/2011
Fdocs	Construction Contracting Templates	In Process		
	7/31/2020 Construction Contracting Templates Update 2021		4/15/2021	
Fdocs	Consultant Contracting Templates	Met		
	5/11/2021 Consultant Contracting Templates			8/18/2015
Fdocs	Title VI Plan	Met		
	5/1/2022 Title VI Plan update due 10/1/2024			
	5/1/2022 Annual Accomplishments Report due 10/1/2022			
	9/30/2021 Annual Accomplishments Report 2021		10/1/2021	4/15/2022
	2/1/2021 Title VI Plan		2/1/2021	2/1/2021
Fdocs	ADA Title II Transition Plan	Met		
	2/18/2021 ADA Title II Transition Plan Update		2/18/2021	2/18/2021

CERTIFICATION STATUS REPORT: FINANCIAL INFORMATION

Fin	Financial Information	Update Needed	
5/10/2021	Accounting System (Automated/Manual Hybrid)		3/3/2020
5/10/2021	Single Audit Act submission	5/11/2021	
5/10/2021	Indirect Cost Allocation Plan		7/1/2021

- All agencies must provide an update to the financial information.
- **Accounting System:** The information in parenthesis (circled in red above) indicates the type of accounting system used by your agency. Please either confirm no change to the accounting system or update the accounting system type using the Program Review Comments box on the self-audit form.

CERTIFICATION STATUS REPORT: FINANCIAL INFORMATION

Fin	Financial Information	Update Needed
5/10/2021	Accounting System (Automated/Manual Hybrid)	3/3/2020
5/10/2021	Single Audit Act submission	5/11/2021
5/10/2021	Indirect Cost Allocation Plan	7/1/2021

- **Single Audit Act submission:** Provide the *most recent date* your agency submitted a single audit act report in the Program Review Comments box on the self-audit form. You can check this using the [Federal Audit Clearinghouse](#) or confirm with your agency's financial services.
- **Indirect Cost Allocation Plan:** Provide the date the most recently submitted ICAP *went into effect*.
 - For example, 7/1/2022 date means the rates expire on 6/30/2023

PROJECT LIST

- Includes projects active since prior self-audit.
- Only need to provide self-audit responses relating to the work since the previous self-audit response.
- If you notice a project on the list that you do not think should be included, or one that is omitted, please make a note in the excel file and provide responses for any omitted projects.

List of Projects for Review on Self-Audit

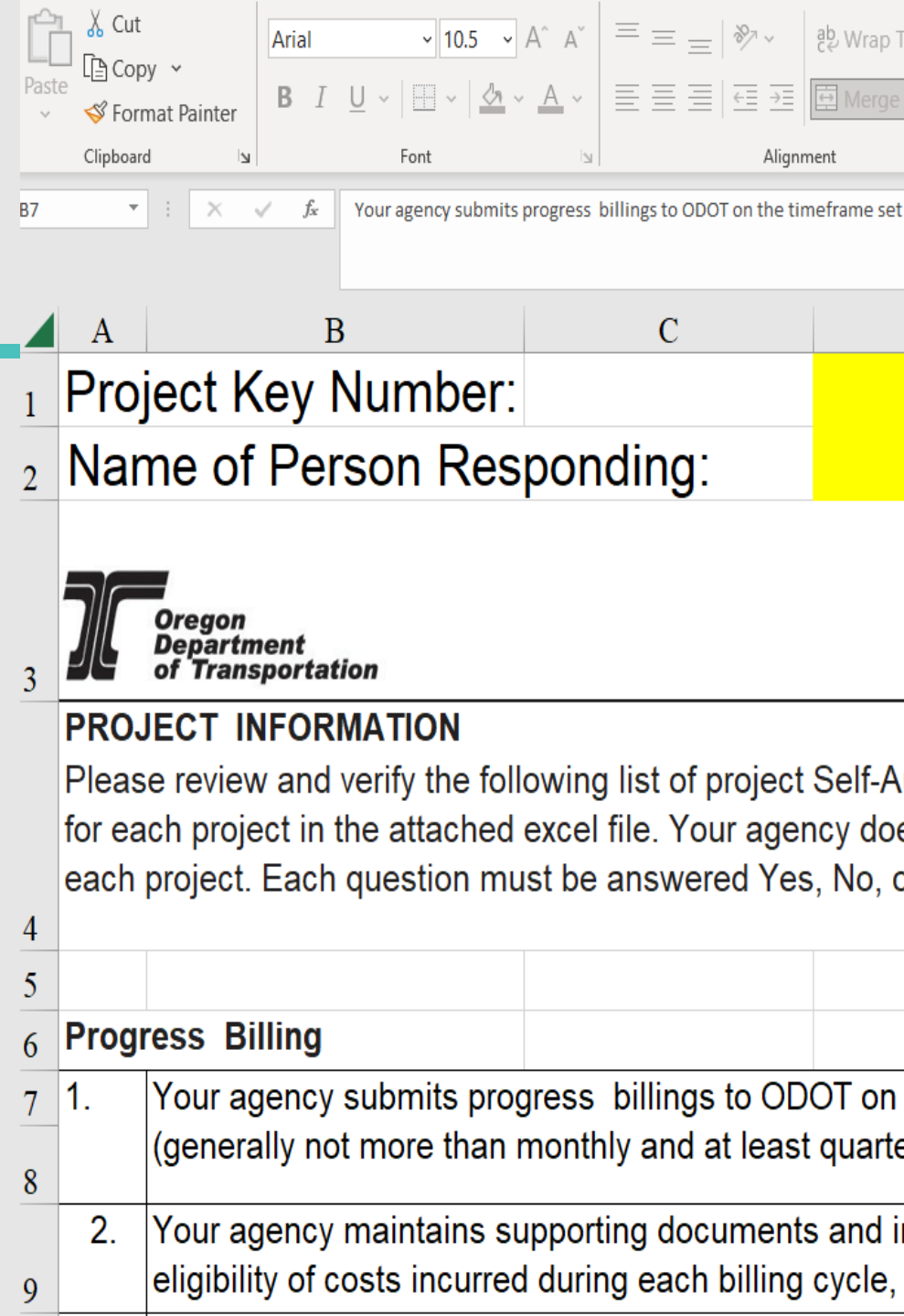
This is the list of your agency's projects with one or more obligated phases. The Certification Program Office understands that your agency may have partially reviewed these projects during last year's self-audit. For each project, please start your review where you left off with last year. The idea is for your agency to review activities that have not already been reviewed in a prior self-audit.

Agency Name City of Eugene


Key Num	Project Name	Person in Responsible Charge
19746	Franklin Blvd facility plan & NEPA documentation (Eugene)	Rachael Love
19773	South Willamette Street enhancement (Eugene)	Bryan Root
20206	River Rd at Irving Rd (city of Eugene)	Jordan Vesper
20216	City of Eugene signal enhancements	Bryan Root
20294	Coburg Rd: Ferry St RR bridge to Willamette R bridge(Eugene)	Jenifer Willer
21150	Eugene enhanced walking network	Bryan Root

EXCEL TEMPLATE FOR PROJECT RESPONSES

- **NEW FOR 2023: Project responses must be submitted using the excel template.**
- Follow the instructions on the 'Instructions' tab in the excel form.
- Please submit only one excel file with your response. All projects should appear as worksheets/tabs within the single excel file.



The screenshot shows the Excel interface with the Oregon Department of Transportation logo and the 'PROJECT INFORMATION' section. The logo is located in cell B3. The 'PROJECT INFORMATION' section is located in cell B4. The text in the 'PROJECT INFORMATION' section reads: 'Please review and verify the following list of project Self-A for each project in the attached excel file. Your agency doe each project. Each question must be answered Yes, No, c'. The 'Progress Billing' section is located in cell B6. The text in the 'Progress Billing' section reads: '1. Your agency submits progress billings to ODOT on (generally not more than monthly and at least quarte'. The '2.' section is located in cell B8. The text in the '2.' section reads: 'Your agency maintains supporting documents and i eligibility of costs incurred during each billing cycle,'.

	A	B	C
1	Project Key Number:		
2	Name of Person Responding:		
3			
4	PROJECT INFORMATION Please review and verify the following list of project Self-A for each project in the attached excel file. Your agency doe each project. Each question must be answered Yes, No, c		
5			
6	Progress Billing		
7	1.	Your agency submits progress billings to ODOT on (generally not more than monthly and at least quarte	
8			
9	2.	Your agency maintains supporting documents and i eligibility of costs incurred during each billing cycle,	

Due Date:
Friday, June 30, 2023



QUESTIONS?

Contact
odotcertification@odot.oregon.gov with
any questions.

