



# 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<br><b>LPA Name</b> | LPA CERTIFICATION PROGRAM COORDINATOR<br><b>LPA Staff Person First Last Name</b> | CERTIFICATION AGREEMENT NUMBER<br><b>123456</b> |
|--|--|---|

## 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, Construction Contracting Templates, 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.....  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, 2022.....  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

- 3.a. Not all staff working on consultant selection have attended Statement of Work training. Staff will do so when the class is next offered in Fall 2023.
6. Financial information update:
- No changes to accounting system.
  - Last Single Audit Act compliance submitted 5/1/2023.
  - Most recently submitted ICAP goes into effect on 7/1/2023.

### 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 in the 'Explanation' column.

#### 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)

#### Consultant Selection and Contract Administration

3. The consultant selection process was completed in accordance with Section 3 of the ODOT LPA A&E Requirements Guide,
  - a. And the following elements were completed as part of that process:
    - i. Internal Cost Estimate
    - ii. Record of Negotiation
    - iii. Final Breakdown of Costs
    - iv. Committed DBE Breakdown AE form (if DBE goal is greater than 0) was approved by ODOT Office of Civil Rights (OCR) prior to execution of the contract
    - v. Notice of Award (form 734-2849) was submitted to OCR at [ocr.psk@odot.oregon.gov](mailto:ocr.psk@odot.oregon.gov)
  - b. If agency used small purchase process (formerly referred to as direct appoint/small purchase), your agency:
    - i. Prepared a Small Purchase Selection Form documenting consideration of at least three firms
    - ii. Documented any communication with any of the consultant firms considered and saved the documentation to the project file
    - iii. Obtained a completed Small Purchase Certification form from the selected consultant and saved the form to the project file
4. Your agency downloaded and used the most current ODOT Statement of Work (SOW) template/task language in effect at the time from ODOT Procurement's Statement of Work Library page
5. As applicable to the work, the ODOT Regional Environmental Coordinator (REC) reviewed the project's environmental SOW tasks and budget/level of effort prior to your agency signing the contract and finalizing the Breakdown of Costs

6. As applicable to the work, the ODOT Regional Right of Way Agent reviewed the project's right of way related SOW tasks and budget/level of effort prior to your agency signing the contract and finalizing the Breakdown of Costs
7. Your agency's contract administration processes were documented in accordance with Section 4 of ODOT LPA A&E Requirements Guide, including:
  - 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 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
    - vi. Consultant contract DBE goal was met (or is being monitored) against the final contract amount, including any amendments
  - 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 the LPA A&E Requirements Guide Section 3.7.4

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### Construction Contracts: Civil Rights

8. Your agency's construction solicitation documents and contract included the ODOT-assigned Disadvantage Business Enterprise (DBE) goal and On-the-Job Training (OJT) requirements
9. DBE Commitment Certification and Utilization (form 734-2785) (if DBE goal was greater than 0) and Civil Rights Bid Notification for Certified Agency Projects (form 734-2848) were submitted to ODOT OCR at [OCRINFOREQUEST@odot.oregon.gov](mailto:OCRINFOREQUEST@odot.oregon.gov) within two days of bid opening
10. For projects with a DBE goal greater than 0: Within 10 days of notice of intent to award, a Committed DBE Breakdown and Certification (form 734-2531) was received by your agency from the awarded contractor and submitted to [OCRINFOREQUEST@odot.oregon.gov](mailto:OCRINFOREQUEST@odot.oregon.gov) for review and approval of each DBE subcontractor. This occurred prior to the execution of the prime contract
11. Civil Rights Award Notification for Certified Local Agency Project (form 734-2849) was submitted to ODOT OCR at [OCRINFOREQUEST@odot.oregon.gov](mailto:OCRINFOREQUEST@odot.oregon.gov) within three days of execution and included your agency's contract number
12. Prior to the Pre-Construction Conference, your agency sent the Prime Contractor and committed DBE Subcontractors the OCR Pre-Con Requirements by ODOT OCR
13. Commercially Useful Function (CUF) reviews were performed and documented for every DBE on the project (whether committed or not)
14. The construction contract DBE goal and commitments were met (or are being closely monitored) to ensure attainment
15. Your agency's Daily Inspection Reports or other documentation shows that your agency regularly monitors the following:
  - a. Temporary traffic control measures, including ensuring bicycle, pedestrian, and ADA accommodations equal to or better than existing level of accessibility during construction
  - b. Labor compliance interviews
  - c. Required job site posters

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### ADA Compliance (Design and Construction)

16. During design, your agency prepared a Traffic Control Plan (TCP), including a Temporary Pedestrian Accessible Route Plan (TPARP), designed to ensure bicycle, pedestrian, and ADA accommodations equivalent to or better than existing level of accessibility
17. For any local crosswalk closures, your agency maintained required closure documentation on file per your agency's approved written processes for crosswalk closure actions
18. For any crosswalk closures on or along the state highway system, your agency:
  - a. Submitted a Crosswalk Closure Approval Request form (734-5150) to ODOT for approval
  - b. Maintained the approval documentation on the project file
19. For work on or along the state highway system, your agency submitted required ADA-compliance inspection forms for curb ramps and pedestrian push buttons to ODOT (e.g. forms 735-5020A-H and/or forms 734-5245A-B)
20. Your agency maintained staff certification and verified contractor certification in ADA requirements

**Build America Buy America Act (BABA)**

21. For projects with PS&E submittals that were authorized by FHWA on or after November 10, 2022, your agency included the new boilerplate special provision 00160.20(d) and revised specification 00165.35 to address new BABA requirements in the PS&E package
22. For projects that kicked off with development/design on or after November 10, 2022, your agency used the most recent PS&E checklist (form 734-5182, 11/2022) that includes verification of new BABA requirements
23. For projects with PS&E submittals authorized by FHWA on or after November 10, 2022 and which have started construction, your agency has been requiring contractors to submit completed Construction Materials Certificate of Materials Origin form (734-5378) to document compliance with boilerplate special provision 00160.020(d). **Note:** this is in addition to the existing form 734-2126 for steel and iron

**Certification and Signature**

By signing below I certify that 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.

|  |                              |                                       |
|--|------------------------------|---------------------------------------|
| <small>COMPLETED BY: LPA (NAME AND TITLE)</small><br><b>First Name Last Name</b> | <small>LPA SIGNATURE</small> | <small>DATE</small><br><b>5/25/23</b> |
| <small>EMAIL ADDRESS</small><br><b>name@agency.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: