

### ODOT Internal Audit Recommendation Implementation Report

Please email [ODOTAuditServices@odot.oregon.gov](mailto:ODOTAuditServices@odot.oregon.gov) to inquire about recommendations from older reports. *Audit recommendations are categorized as "Open" or "Closed."* A recommendation is closed when it meets one of the following conditions: fully implemented, alternative solution applied, no longer valid, management decided not to implement, or the audit was closed for an additional reason. Open recommendations are either in the process of being implemented or awaiting follow-up. Audits are color coded to signify each individual audit. **This report is up-to-date as of: 11/4/2025.** Please note that the most current version of the report is found here: <https://www.oregon.gov/odot/programs/pages/internal-audits.aspx>

Audit Name	Report/Letter	Program/Division	Date Issued	Recommendation	Management Action	Recommendation Implementation Status	Open/Closed
ODOT Has Reduced Processing Time for A&E Invoices; however, the Accelerated Payment Process May Not Be as Effective as Planned	Report 25-04	Delivery and Operations	08/22/2025	Re-engage both internal and external partners to understand how this change has affected the consultant community, both prime and subconsultants. Issues raised should be documented, analyzed, and root cause solutions prioritized.	D&O will leverage existing partnerships, specifically through the ODOT-ACEC Steering Committee, and this recommendation will be incorporated into the partnership workplan. The work will be assigned to the ODOT-ACEC Project Delivery Subcommittee, where it will be actively discussed and evaluated. D&O will assign this work to the appropriate ODOT subcommittee chairs by September 30, 2025. Feedback gathered through this process will be documented, and issues raised will be analyzed to identify root causes. Solutions will be prioritized with input from all relevant partners to ensure meaningful, long-term improvements to the payment process. This effort builds on progress made during the real-time audit and reinforces ODOT's commitment to ongoing collaboration, transparency, progress and outcomes.	Open – Not Implemented, Not Due	Open
ODOT Has Reduced Processing Time for A&E Invoices; however, the Accelerated Payment Process May Not Be as Effective as Planned	Report 25-04	Delivery and Operations, ODOT Procurement Office, and the Financial Services Branch	08/22/2025	Consider the following to reduce workload and provide an accurate picture of what the total timeframe looks like to process payments. <ul style="list-style-type: none"> <li>• Allow additional days for a full invoice review.</li> <li>• Allow an additional day for Central Authorization to review and process invoices.</li> <li>• Determine if it would make sense to have a tiered approach for process timeframes.</li> </ul>	D&O will assess the potential benefits of allowing additional days for a full invoice review, which could reduce the need for multiple partial payments and lower the administrative burden for both agency and consultant teams. In addition, D&O will explore the feasibility of implementing a tiered approach to payment processing timeframes. This may include establishing dollar thresholds to determine when partial versus full payments is appropriate, or applying differentiated timeframes (e.g., 5–7 days vs. 8–10 days) based on invoice type or complexity. This analysis will be conducted in coordination with FSB and OPO. D&O will work toward achieving a higher rate of full payments and will implement process changes designed to improve the accuracy of process timeliness reporting.	Open – Not Implemented, Not Due	Open
ODOT Has Reduced Processing Time for A&E Invoices; however, the Accelerated Payment Process May Not Be as Effective as Planned	Report 25-04	Delivery and Operations, ODOT Procurement Office, and the Financial Services Branch	08/22/2025	Determine what steps in the process make up the five-day timeframe that will be measured by the metrics. The start and end dates for the process should be clearly and consistently communicated in policy and any visual representation of the process.	D&O will coordinate with OPO and the FSB to determine what steps in the five-day payment process will be measured. OPO has updated the start and end dates of the five-day timeline in OPO's Invoice Review Standard in section 3.1. For both partial and remaining payments, the start date is the date the agency deems the invoice acceptable for payment. This date is no longer entered into the DOC-NO field with the AExxxxx identifier in TEAMS and the 5-day timeframe is now determined by the date entered into the "Date Invoice Deemed Acceptable by ODOT" field in OregonBuys. OPO will review all documentation currently available to users of the payment process to ensure that the verbiage and definitions are consistent across systems, training materials, policies, and visual workflows.	Open – Not Implemented, Not Due	Open
ODOT Has Reduced Processing Time for A&E Invoices; however, the Accelerated Payment Process May Not Be as Effective as Planned	Report 25-04	Financial Services Branch	08/22/2025	Revise the formulas used for calculating late payments by removing the extra day from the formulas used for calculating the number of days the 5- and 30-day payments were processed.	FSB examined the formulas used to calculate late payments and found that the reason for including the extra day in the calculation could not be fully determined. As a result, the extra day has been removed from the formulas in the calculation worksheet to ensure accurate and consistent measurement of the number of days payments were processed within the 5- and 30-day timeframes.	Follow-up Underway	Closed

ODOT Has Reduced Processing Time for A&E Invoices; however, the Accelerated Payment Process May Not Be as Effective as Planned	Report 25-04	Delivery and Operations and the Financial Services Branch	08/22/2025	Evaluate D&O processes and identify whether any changes are needed to reduce the rate of untimely payments. As part of this process, it will be important to define what success looks like. For example: is a 90% or 95% timeliness payment rate acceptable?	<p>The Director has established a performance expectation of meeting the partial pay requirements at 100% with a target measure of 90% or better. This target measure will be implemented to track performance in meeting the 5-Day Partial Pay process.</p> <p><b>Reporting:</b> FSB issues an A&amp;E 5-Day Partial Pay report that tracks payments to A&amp;E prime consultants. FSB can expand the distribution of this report to all business areas responsible for 5-day pay invoice processing.</p> <p><b>Training:</b> D&amp;O and OPO will identify all staff needing this training, implement accountability measures for both staff and their supervisors, and explore the use of Workday to track and send reminders for mandatory training.</p> <p><b>Invoice Handling:</b> To improve consistency, all regions and branches will establish a single regional/branch AE invoice email address, with invoices also copied to the contract Administrator or agency project manager. Regions and branches will also designate primary and backup staff to monitor these inboxes and ensure invoices are processed promptly.</p> <p><b>Project Reviewer Availability:</b> A renewed emphasis will be placed on prioritizing invoice reviews and designating alternates to ensure timely approval of invoices.</p>	Open – Not Implemented, Not Due	Open
ODOT Has Reduced Processing Time for A&E Invoices; however, the Accelerated Payment Process May Not Be as Effective as Planned	Report 25-04	Rose Quarter Project	08/22/2025	Take immediate steps to reduce the processing timeframe for paying invoices. Assemble a process improvement team. This team should follow best practices, to include the collection of baseline data and performing a Root Cause Analysis. All changes should be closely monitored and performance measured to determine whether the changes have been effective.	<p>The Urban Mobility Office (UMO), which has since been dissolved, was originally tasked with certain action items. While the office no longer exists, some of its former staff remain involved in administering the Rose Quarter Project (RQP).</p> <p>Upon receipt of the audit, RQP reviewed the findings, analyzed the available data, and identified areas for process improvement.</p> <ul style="list-style-type: none"> <li>• Process Standardization</li> <li>• Date Accuracy Enforcement</li> <li>• Training</li> <li>• Ongoing Monitoring</li> </ul> <p>RQP will continue to partner with OPO and D&amp;O to evaluate the effectiveness of these changes and will abide by the OPO Invoice Review Standard, applicable checklists, and training requirements.</p>	Open – Not Implemented, Not Due	Open
ODOT Has Reduced Processing Time for A&E Invoices; however, the Accelerated Payment Process May Not Be as Effective as Planned	Report 25-04	Office of Engagement and Civil Rights	08/22/2025	Include instructions on the PSR form regarding how partial payment amounts are to be reported (e.g., same form, separate line items or multiple PSR forms each month when a payment is split).	<p>OECR has taken steps to gather the necessary information and has been engaged in a comprehensive review and cross-referencing of all related forms since late March 2025. This process is aimed at ensuring that all OECR forms and their accompanying instructional materials accurately reflect standard and common practices. Updates to the PSR instructional outline have been incorporated into OECR's ongoing project timelines, including training and compliance monitoring.</p>	Open – Not Implemented, Not Due	Open
ODOT Has Reduced Processing Time for A&E Invoices; however, the Accelerated Payment Process May Not Be as Effective as Planned	Report 25-04	Office of Engagement and Civil Rights, Delivery and Operations, and the ODOT Procurement Office	08/22/2025	Update the Procurement Standards for Invoice Requirements to clearly document the process flow for who receives the Paid Summary Reports, how the forms are to be inspected, who forwards the form to OECR, and whether they are to be saved with the invoice payment supports in TEAMS. Provide examples of how to prorate payments when the partial payment is not enough to cover all subs.	<p>OECR, in collaboration with D&amp;O and OPO, will review and evaluate potential process improvements for the collection and submission of Paid Summary Reports. Currently A&amp;E projects are paid through OregonBuys. To bring the payment data into AASHTOWare, this will require that payment data come into AASHTOWare by a different interface. The AASHTOWare team will need staffing resources available to begin focusing on requirements for a possible interface</p> <p>OPO has updated the Procurement Standards for Invoice Requirements to:</p> <ul style="list-style-type: none"> <li>• Clearly document the process flow for Paid Summary Reports.</li> <li>• Clarify that the Paid Summary Report form is a required element of invoice support documentation and must demonstrate that submittal requirements have been met.</li> <li>• Include specific instructions that contract administrators must forward the Paid Summary Report form to OECR upon receipt.</li> <li>• Provide clear examples of how to prorate payments to subconsultants when the partial payment is not sufficient to cover all subs, based on their respective invoice amounts.</li> </ul>	Open – Not Implemented, Not Due	Open

ODOT Has Reduced Processing Time for A&E Invoices; however, the Accelerated Payment Process May Not Be as Effective as Planned	Report 25-04	Delivery and Operations and the ODOT Procurement Office	08/22/2025	Reinforce through policy and training what constitutes a proper invoice and the importance of the internal control processes that are documented by the checklists. There should be additional training regarding how to route payments to Central Authorization so that they are properly prioritized.	<p>To further strengthen compliance and support ongoing process improvements:</p> <ul style="list-style-type: none"> <li>• OPO will partner with the D&amp;O Administrator to require that contract administrators and invoice reviewers complete OPO's on-demand invoice review training for personal services contracts.</li> <li>• OPO will continue to reinforce the use of its invoice review checklists and emphasize the correct naming conventions required to prioritize partial payment invoices in FSB's Central Authorization.</li> <li>• D&amp;O will work with OPO to ensure that both current and future staff involved in reviewing and processing A&amp;E invoices are properly trained and using the most current checklists and procedures. To ensure accountability, D&amp;O will partner with OPO to track contract administrators and invoice reviewers completion of all the required training.</li> <li>• D&amp;O will partner with OPO to conduct periodic reviews to confirm continued compliance with proper invoicing and internal controls.</li> </ul>	Open – Not Implemented, Not Due	Open
ODOT Has Reduced Processing Time for A&E Invoices; however, the Accelerated Payment Process May Not Be as Effective as Planned	Report 25-04	Delivery and Operations and the ODOT Procurement Office	08/22/2025	Collect information related to revised invoices in an effort to increase consultant awareness of common errors. This data should be incorporated into a more intensive training program for consultants and ODOT invoice reviewers. To reduce the likelihood of rejecting individual invoices multiple times, OPO should strengthen standards to require a more thorough compliance review before returning an invoice for correction.	D&O will partner with OPO to formally identify and track the most common errors that result in invoices being returned for correction. This data will be used to inform a more intensive training strategy aimed at both consultants and internal invoice reviewers, with a goal of reducing rework and improving invoice quality from the outset.	Open – Not Implemented, Not Due	Open
ODOT Has Reduced Processing Time for A&E Invoices; however, the Accelerated Payment Process May Not Be as Effective as Planned	Report 25-04	Delivery and Operations and the ODOT Procurement Office	08/22/2025	Make the ODOT invoice review training mandatory for anyone who has invoice review and approval responsibilities, including Contract Administrators. Procedures to ensure Contract Administrators (CA) have the proper training should be strengthened. Anyone named in the contract, besides the CA, should complete the DAS Contract Administration training.	<p>OPO will partner with D&amp;O to require that contract administrators and invoice reviewers complete OPO's on-demand invoice review training for personal services contracts. This requirement will ensure consistent understanding and application of invoice processing standards across the agency.</p> <p>To support compliance and improve monitoring, OPO will also explore the use of Workday to both mandate the training and track completion status for contract administrators and Invoice Reviewers with invoice responsibilities. Employees who do not complete the required training within a specified timeframe may be restricted from performing invoice review or approval duties until the training is completed. Managers will be responsible for ensuring compliance and may be notified when assigned staff are out of compliance.</p> <p>Per statutory requirements, any individual named as a contract administrator in a contract must complete the DAS Contract Administration training and receive a certificate of completion. OPO maintains a list of over 800 contract administrators who have completed this training. It remains the responsibility of both the designated contract administrator and their manager to ensure completion of the DAS training in a timely manner.</p>	Open – Not Implemented, Not Due	Open
ODOT Has Reduced Processing Time for A&E Invoices; however, the Accelerated Payment Process May Not Be as Effective as Planned	Report 25-04	Financial Services Branch	08/22/2025	Strengthen the delegated authority monitoring process to ensure that those approving invoices have the proper authority assigned to them for the unit responsible for the expenditure. The list of approvers used by Financial Services Branch should include the units where the authority was delegated.	FSB will participate in a work group led by the Business Operations Manager, Director's office, to review the current delegated authority monitoring process and develop a plan to strengthen oversight. The work group's objective will be to ensure that ODOT's governance structure is strong, transparent, and well-supported, and that the delegation process can be used effectively and efficiently by all users of delegation orders.	Open – Not Implemented, Not Due	Open

ODOT Has Reduced Processing Time for A&E Invoices; however, the Accelerated Payment Process May Not Be as Effective as Planned	Report 25-04	Delivery and Operations and the ODOT Procurement Office	08/22/2025	Develop a plan to correct contracts with redundant and/or inconsistent email addresses regarding invoices submission. We suggest OPO make it a regular practice to have dedicated regional email addresses to streamline invoice submittals.	OPO will update its contract template language to eliminate any unnecessary or redundant references to multiple email addresses for invoice submission. This change will help ensure consistency and reduce confusion for consultants submitting invoices. For existing contracts, OPO will update inconsistent or redundant invoice submission email addresses as part of the amendment process to ensure alignment with current practices. Additionally, D&O will direct all Regions that do not already have dedicated email addresses for A&E invoice submittals to create one immediately. These standardized regional email addresses will be required for both current and future contracts to ensure timely and consistent routing of invoices for processing.	Open – Not Implemented, Not Due	Open
DAS Delegation 2025	Management Letter 25-03	ODOT Procurement Office	06/06/2025	No recommendations issued.		No Action Required	Closed
ODOT Taking Steps to Implement New Subcontractor Payment Monitoring and Reporting Process, but Additional Actions Needed	Report 25-03	Office of Engagement and Civil Rights	04/21/2025	Take steps to improve data reliability and quality by: a. Logging, tracking, and sharing data errors with regional staff and contractors. Use this information to update internal and external training materials to improve compliance.	<b>AWP Projects:</b> AWP will eliminate the need for all OECR forms, including PSRs. Payments will be entered directly into AWP, and subcontractors will confirm receipt of payments directly in AWP. Contractors will also be able to use AWP to correct any data entry errors from the contractors' side. Direct entry of payments into AWP should eliminate the errors resulting from the form upload process. OECR's Data Team and Field Coordinators will work with the AWP System Administration team to develop a process for identifying and addressing errors that may arise in data used to monitor prompt pay compliance. Based on trends identified, OECR's data team will coordinate with the AWP System Administration team to create trainings or incorporate data validation measures into AWP to address identified data issues. <b>CRCT Projects:</b> OECR's data team has submitted an intern request for support with analyzing existing issues with form data. OECR will discuss analysis recommendations with regional staff and ISB. OECR's data team also intends to use the intern's analysis to identify duplicate payments for removal. <b>All Projects:</b> OECR's Data Team is working to adopt a ticketing system (for requests from within and outside the Data Team) to track, approve, and test solutions for requests for manual data adjustments, new reports, and query changes for existing reports. OECR's data team is currently working with partners across ODOT to identify potential platforms for a ticketing system.	Open – Not Implemented, Not Due	Open
ODOT Taking Steps to Implement New Subcontractor Payment Monitoring and Reporting Process, but Additional Actions Needed	Report 25-03	Office of Engagement and Civil Rights	04/21/2025	Take steps to improve data reliability and quality by: b. Documenting how data are queried and calculated for federal reporting. Any changes made to queries should be documented, tested, and approved prior to being used in production.	<b>AWP Projects:</b> Once all projects are in AWP (approximately 2-3 years from now), OECR's Data Team plans to use the built-in Uniform Report within AWP to produce the semiannual DBE Uniform Report. Using the AWP Uniform Report should eliminate the need to make query adjustments, since the built-in report is maintained by InfoTech to address new requirements and fix issues. <b>All Projects:</b> OECR's Data Team is working to adopt a ticketing system to track, approve, and test solutions for requests for manual data adjustments, new reports, and query changes for existing reports. OECR's Data Team is creating a template for report documentation, including testing and change logs for each report.	Open – Not Implemented, Not Due	Open

ODOT Taking Steps to Implement New Subcontractor Payment Monitoring and Reporting Process, but Additional Actions Needed	Report 25-03	Office of Engagement and Civil Rights	04/21/2025	Take steps to improve data reliability and quality by: c. Verifying the accuracy of performance reporting with detailed supporting data associated with the numbers reported and a documented reconciliation process. OECR should ensure that their reconciliation process can identify and remove duplicate payments. Each report should go through a review and approval process before being published.	<b>AWP Projects:</b> OECR's Data Team and Field Coordinators will work with the AWP System Administration team to develop a process for identifying and addressing errors that may arise in data used to monitor prompt pay compliance. Based on trends identified, OECR's data team will coordinate with the AWP System Administration team to create trainings or incorporate data validation measures into AWP to address identified data issues. <b>All Projects:</b> OECR's Data Team will develop and implement standard quality assurance (QA) and quality control (QC) procedures for all reports.	Open – Not Implemented, Not Due	Open
ODOT Taking Steps to Implement New Subcontractor Payment Monitoring and Reporting Process, but Additional Actions Needed	Report 25-03	Office of Engagement and Civil Rights	04/21/2025	Take steps to improve data reliability and quality by: d. Removing duplicate payments currently in their system. Manual data adjustments should either be stopped, or a quality check and approval process be implemented for those times when these adjustments are necessary. Until a solution has been implemented, OECR should ensure that their reconciliation process can identify and remove duplicate payments.	<b>AWP Projects:</b> OECR staff will not have the ability to remove duplicate payments within AWP data. Removal of duplicate payments in AWP (if this occurs) would need to be discussed with the AWP System Administrators and the AWP Payments Specialist. Furthermore, because AWP will make PSRs obsolete (and therefore will address the data formatting issues caused by use of those forms), there should be no need to make the manual adjustments to form data identified in the Audit for projects in AWP. <b>All Projects:</b> OECR's Data Team is working to adopt a ticketing system to track, approve, and test solutions for requests for manual data adjustments, new reports, and query adjustments for existing reports. <b>CRCT Projects:</b> OECR's Data Team has submitted an intern request for support with analyzing existing issues with form data. OECR will discuss analysis recommendations with regional staff and ISB. OECR's Data Team also intends to use the intern's analysis to identify duplicate payments for removal. OECR's Data Team will identify the minimum privileges data team members would need over PSR data, and will work with ODOT IS partners to implement these privileges.	Open – Not Implemented, Not Due	Open
ODOT Taking Steps to Implement New Subcontractor Payment Monitoring and Reporting Process, but Additional Actions Needed	Report 25-03	Office of Engagement and Civil Rights	04/21/2025	2. Work to improve PSR recording and accessibility by: a. Modifying the PSR form and/or uploading script to substantially reduce the number of date errors. This could be done by altering the script for loading PSR data into CRCT so that it recognizes and corrects date errors, and/or make use of the dropdown calendar mandatory so that manual entry will not be allowed.	<b>CRCT Projects:</b> In January 2025, OECR's data team restarted conversations with ISB on fixing OECR's form import tool. Issues discussed included duplicate records and data validation. OECR and ISB are continuing to collaborate to fix the form import process. As of April 2025, ISB intends to own, support, and maintain the form import tool moving forward. ISB will first be producing an interim solution that addresses the most pressing data integrity issues caused by the current form import tool and will then produce a long-term solution that addresses multiple additional issues with the current tool.	Open – Not Implemented, Not Due	Open
ODOT Taking Steps to Implement New Subcontractor Payment Monitoring and Reporting Process, but Additional Actions Needed	Report 25-03	Office of Engagement and Civil Rights	04/21/2025	2. Work to improve PSR recording and accessibility by: b. Increasing the accessibility of the PSR forms through ensuring that source files are stored in the designated contract specific folder that is easily accessible. OECR should review the current folder structure and make efforts to reduce the number of sub folders associated with each contract (the current file structure is a minimum of five to nine levels deep).	<b>AWP Projects:</b> AWP will eliminate the need for PSRs. Data collected in AWP will be stored directly in the AWP database, eliminating the need for the current form storage structure for all projects in AWP. <b>CRCT Projects:</b> OECR's Data Team will work with ISB to implement a form storage solution.	Open – Not Implemented, Not Due	Open

ODOT Taking Steps to Implement New Subcontractor Payment Monitoring and Reporting Process, but Additional Actions Needed	Report 25-03	Office of Engagement and Civil Rights	04/21/2025	3. Establish effective PSR monitoring by: a. Establishing a clear policy that details how payments to subcontractors are to be monitored. ODOT should clearly assign specific roles, responsibilities, and process procedures to carry out that policy. This should include instructions for determining if a PSR has been filled out correctly, what conditions would require a resubmittal, and how timeliness is to be calculated.	<b>All Projects:</b> OECR will establish a team for the deployment of prompt payment monitoring compliance procedures.	Open – Not Implemented, Not Due	Open
ODOT Taking Steps to Implement New Subcontractor Payment Monitoring and Reporting Process, but Additional Actions Needed	Report 25-03	Office of Engagement and Civil Rights	04/21/2025	3. Establish effective PSR monitoring by: b. Developing a metric to report on Prompt Pay compliance. This includes not only whether payments are made promptly, but whether payments to subcontractors are reported timely, and whether ODOT staff had responded timely and appropriately to non-compliant Prompt Pay reporting.	<b>AWP Projects:</b> OECR will collaborate with the AWP System Administration team, resident engineer offices (RE), Delivery and Operation teams and ODOT Procurement office to map out a prompt pay compliance reporting process for projects in AWP. <b>CRCT Projects:</b> OECR will collaborate with ISB and RE offices to map out a prompt pay compliance reporting process for projects in CRCT.	Open – Not Implemented, Not Due	Open
ODOT Taking Steps to Implement New Subcontractor Payment Monitoring and Reporting Process, but Additional Actions Needed	Report 25-03	Office of Engagement and Civil Rights	04/21/2025	3. Establish effective PSR monitoring by: c. Establishing a process to account for PSRs that are due and monitor to ensure they have been received. In addition, a time limit for reviewing and entering PSR data should be established, to include those PSR forms saved to the Issues folders.	<b>AWP Projects:</b> Even though projects in AWP will not need PSRs to track payments, timeliness of payment data entry may, to an extent, remain problematic as the data still relies on contractor entry: contractors may forget to enter payment information within the prompt payment deadline, or subcontractors may forget to approve payment information in a timely manner. However, AWP will eliminate the need for PSRs, so projects in AWP will not need to rely on a PSR monitoring process. Prompt pay is also part of the contractor payments training for AWP. <b>CRCT Projects:</b> OECR will collaborate with ISB to map out a prompt pay compliance reporting process for projects in CRCT.	Open – Not Implemented, Not Due	Open

ODOT Taking Steps to Implement New Subcontractor Payment Monitoring and Reporting Process, but Additional Actions Needed	Report 25-03	Office of Engagement and Civil Rights	04/21/2025	4. Provide consistent and equitable enforcement of federal and state requirements associated with Prompt Pay by: a. Consulting with Oregon DOJ regarding the potential advantages and disadvantages of the various sanctions available for ODOT related to prompt pay non-compliance. b. Based on the DOJ consultations, establishing a policy that identifies the prompt pay enforcement approach that will be used by ODOT and assign specific roles, responsibilities, and processes to carry out that policy. Include the type of sanctions ODOT will apply under what general circumstances, not just a list of available sanctions that will be considered on a case-by-case basis.	<b>All Projects:</b> OECR will establish a team for the deployment of prompt pay monitoring compliance procedures and will consult with DOJ on non-compliance sanctions.	Open – Not Implemented, Not Due	Open
ODOT Taking Steps to Implement New Subcontractor Payment Monitoring and Reporting Process, but Additional Actions Needed	Report 25-03	Office of Engagement and Civil Rights	04/21/2025	5. Modify the training materials offered to invoice reviewers to ensure that prompt pay requirements are included. Additional training should be provided to all REs and APMs and other staff delegated responsibility to monitor prompt pay to ensure they understand their responsibilities regarding monitoring and enforcement. Both trainings should be mandatory and communicated in a manner to ensure all staff and external partners are aware of the offerings.	OECR will work with the REs to facilitate a way to seek compliance, and work toward possibilities of making the trainings mandatory. Currently, OECR offers 2 Civil Rights Compliance Trainings a year in addition to technical assistance that is offered on-going via OECR staff. Field Coordination staff will also sharing prompt pay requirements at each preconstruction meeting with the contractors and RE staff.	Open – Not Implemented, Not Due	Open
ODOT Has Taken Steps to Improve the Budget Development Process, But More Actions Are Needed	Report 25-02	Finance and Budget	01/09/2025	Complete a reconciliation of forecasted HB 2017 revenue with actual revenue at least every biennium to ensure allocation follows statutory requirements.	Report to the OTC actuals each fiscal year compared to allocated amounts, beginning with fiscal year 2025, including a lookback of prior fiscal years. Adjust either the next STIP, or if possible, work with the OTC to adjust the current STIP to account for the difference between actuals and allocated amounts.	Open – Not Implemented, Not Due	Open
ODOT Has Taken Steps to Improve the Budget Development Process, But More Actions Are Needed	Report 25-02	Finance and Budget	01/09/2025	Create a fund detail to hold HB 2017 revenue separate from other state highway fund revenue.	Beginning July 2025 for state FY 2026, create specific fund details within the broader HB 2017 capital program fund to place the monthly ODOT share of incremental revenues from HB 2017. On a monthly basis, transfer the Maintenance funds to the appropriate maintenance fund detail. Beginning with new STIP project programming in July 2025, create Expenditure Accounts (EA's) to point to the new fund detail structure.	Implemented	Closed
ODOT Has Taken Steps to Improve the Budget Development Process, But More Actions Are Needed	Report 25-02	Finance and Budget	01/09/2025	Ensure alignment between the STIP and the agency budget for how state highway revenue is committed. Retain supporting documentation for both the STIP and budget development on what the commitment of state highway revenue is.	Develop a report to show total State Highway Fund revenue included in the STIP by allocation year. Compare the reported amount to the State Highway Fund revenue available to the Project Delivery appropriation in the budget. Using the most recent available State Highway Fund revenue forecast and/or actuals, propose adjustments to the STIP and/or budget if necessary to ensure alignment in revenue. Document this process and develop a report to the ODOT Fiscal Policy Steering Team for recommended changes to the OTC. Create ongoing detailed documentation of all STIP investment decisions so the agency and decisionmakers can easily understand and trace how and where different funds were allocated in the STIP.	Open – Not Implemented, Not Due	Open

ODOT Has Taken Steps to Improve the Budget Development Process, But More Actions Are Needed	Report 25-02	Finance and Budget	01/09/2025	Review the 2025-27 budget for potential adjustments per the observations made concerning the highway cash flow model's use to develop the Delivery and Operations Division budget.	Develop a report on the use of the D&O cash flow model in development of the 2025-27 budget and deliver it to the Fiscal Policy Steering Team for recommendation of any proposed changes to the 2025-27 budget and for development of the 2027-29 budget.	Open – Not Implemented, Not Due	Open
ODOT Has Taken Steps to Improve the Budget Development Process, But More Actions Are Needed	Report 25-02	Finance and Budget	01/09/2025	Ensure bid let dates in the STIP are kept current based on project schedule changes and are updated timely.	Work with D&O Project Controls Office to review bid/let dates every quarter to ensure the most accurate bid/let dates are in the STIP Financial Plan system (STIP-FP). Future construction projects currently in the STIP will be reviewed quarterly for bid/let accuracy.	Implemented	Closed
ODOT Has Taken Steps to Improve the Budget Development Process, But More Actions Are Needed	Report 25-02	Finance and Budget	01/09/2025	Explore viable alternatives to the highway cash flow model and move to a new approach for developing the Delivery and Operations Division budget. Consider other options for forecasting construction expenditures that meet the agency's needs to support adherence to the budget and cash flow.	Continue to rely primarily on federal actual reimbursements in setting the Project Delivery budget rather than the cash flow model, as was done for the 2025-2027 Agency Request Budget. Document the current uses of the cash flow model output. Based on the uses of the cash flow model, identify the components required for a new model. Report results to the Fiscal Policy Steering Team no later than June 30th, 2025. Based on the requirements, research potential replacement model options. Move to purchase and deploy a new model as funds become available.	Open – Not Implemented, Not Due	Open
ADA Curb Ramp Construction Costs	Management Letter 25-02	ADA	01/07/2025	No recommendations issued.		No Action Required	Closed
Pavement Management Follow-up	Management Letter 25-01	Delivery and Operations	01/06/2025	This management letter describes follow-up to the recommendations issued in report 21-02 <i>Controls to Ensure Integrity of Pavement Condition Data Needed</i> . No additional recommendations were issued.	All recommendations from 21-02 <i>Controls to Ensure Integrity of Pavement Condition Data Needed</i> are closed.	Implemented	Closed
Project Delivery Not Found to be Adversely Impacted by Mobility Advisory Committee Engagement	Report 25-01	Delivery and Operations	01/06/2025	Work to address staff perceptions towards the MAC and its impact on project delivery.	We will review the audit with our project delivery teams and identify opportunities to adjust our preparation for the MAC based on the audit feedback with the intention of addressing misconceptions about the role and impact of the MAC. This will be completed by June 30, 2025.	Open – Not Implemented, Not Due	Open
Project Delivery Not Found to be Adversely Impacted by Mobility Advisory Committee Engagement	Report 25-01	Delivery and Operations	01/06/2025	Update the Mobility Procedures Manual with current terminology and ensure procedures and practices are current with agency direction.	The Chief Engineer will initiate a work group to review and update the Mobility Procedures Manual to incorporate current design standards, guidance and policy. This includes revisions to include multimodal mobility guidance documents developed since the manual's publication in 2015, such as Mobility Engagement Guidance for Intersection Improvements and Roundabouts (November 2023), Mobility Considerations Checklist (May 2023), and the ORS366.215 Implementation Guidance (January 2022), as well as the MAC Charter and appendices that were established in February 2022. The manual update will be completed by December 31, 2025. Roll-out and associated training will occur in the first quarter of 2026.	Open – Not Implemented, Not Due	Open
House Bill 2017: Progress Made in Completing Named Projects and Expanding Public Transportation Options	Report 24-03	Delivery and Operations and Public Transportation	12/31/2024	Determine desired level of supporting documentation for STIF spending reported in SPRs. Support could differ based on category of work, but could include invoices or comparable documents, tracking spreadsheets, or service agreements.	PTD will provide greater guidance on reporting and documentation that should be submitted with SPRs in support of STIF formula spending. PTD will evaluate the ODOT Request for Reimbursement Supporting Documentation Checklist to determine whether its standards apply to the STIF formula program. PTD will then draft and issue guidance that explicitly applies to the STIF program with uniform standards for documentation supporting STIF formula expenses. PTD will coordinate training for transit agencies regarding updated standards for supporting documentation.	Open – Not Implemented, Not Due	Open



House Bill 2017: Progress Made in Completing Named Projects and Expanding Public Transportation Options	Report 24-03	Delivery and Operations and Public Transportation	12/31/2024	Enhance guidance to clarify which types of work falls under each task category.	PTD will develop written definitions for the types of work that fall within each task category. As part of our continuous improvement of the STIF program, PTD is comprehensively assessing STIF program policies and procedures through 2025 and will include enhancing definitions for each of the task categories. The terms used to describe task categories within the STIF plan generally have counterparts in federal funding programs as a starting point.	Open – Not Implemented, Not Due	Open
House Bill 2017: Progress Made in Completing Named Projects and Expanding Public Transportation Options	Report 24-03	Delivery and Operations and Public Transportation	12/31/2024	Determine how ongoing and suspended projects should be classified in SPRs. Options include updating guidance to state they should be marked “Completed” once ongoing fixed route or demand response operations task is in service or “Not Started” for a project that QE decides to suspend.	We will begin by reviewing how transit agencies are currently reporting project status in their SPRs. In 2025, PTD will issue guidance to define “Completed” and “Not Started” tasks. PTD will issue explanatory and training materials as a part of that implementation process.	Implemented	Closed
House Bill 2017: Progress Made in Completing Named Projects and Expanding Public Transportation Options	Report 24-03	Delivery and Operations and Public Transportation	12/31/2024	PTD should clarify what level of work constitutes “Not Started” and how “Not Started” tasks should be reported. For example, the reason a task is “Not Started” should be included in the SPR.	PTD will develop guidance to set a standard definition for the term “Not Started” for use in the SPR, and we will begin by reviewing how transit agencies are currently reporting project status. The SPR form has a “notes” field that some agencies have used to provide a reason that a task is “Not Started.” PTD will consider establishing a requirement that agencies to use that “notes” field to explain why a task is classified as “Not Started,” but we will also explore other solutions as we develop guidance.	Implemented	Closed
Social Equity in Project Scoping	Report 24-02	OECR and SPDB	07/15/2024	Consider data collection tools that will better allow data extraction and analysis.	No Longer Relevant due to Significant Change in the Program.	Implemented	Closed
Social Equity in Project Scoping	Report 24-02	OECR and SPDB	07/15/2024	Ensure the data collection tool format prevents misplaced data entries.	No Longer Relevant due to Significant Change in the Program.	Closed – No Longer Relevant	Closed
Social Equity in Project Scoping	Report 24-02	OECR and SPDB	07/15/2024	Ensure the Equity Lens questions are consistent within each scoping cycle.	No Longer Relevant due to Significant Change in the Program.	Implemented	Closed
Social Equity in Project Scoping	Report 24-02	OECR and SPDB	07/15/2024	Work with projects teams to achieve a more complete response rate.	No Longer Relevant due to Significant Change in the Program.	Closed – No Longer Relevant	Closed
Social Equity in Project Scoping	Report 24-02	OECR and SPDB	07/15/2024	Evaluate if Equity Lens questions are asked at the appropriate phase of the project delivery process.	No Longer Relevant due to Significant Change in the Program.	Closed – No Longer Relevant	Closed
Social Equity in Project Scoping	Report 24-02	OECR and SPDB	07/15/2024	Determine if duplicative responses are acceptable.	No Longer Relevant due to Significant Change in the Program.	Implemented	Closed
Social Equity in Project Scoping	Report 24-02	OECR and SPDB	07/15/2024	Improve equity focused questions to remove ambiguity and provide data clarity.	No Longer Relevant due to Significant Change in the Program.	Closed – No Longer Relevant	Closed
Region 1 Camp Clean-up	Management Letter 24-01	Region 1	09/23/2024	Ensure there is sufficient photo support for camp cleanup charges prior to making payment to the city and that photo records are retained and readily available.	Actively negotiating with the City of Portland to develop mutually acceptable IGA terms that ensure the City (and their contractor) will provide adequate documentation for services billed.	Closed – No Longer Relevant	Closed
Region 1 Camp Clean-up	Management Letter 24-01	Region 1	09/23/2024	Review IGA requirements for camps located in critical infrastructure areas and work with the city to ensure it can meet the obligation as stated in the IGA.	Initiated IGA amendment conversations with City staff for the coming biennium and will be working to simplify the critical infrastructure definition for easier identification and requesting that the City’s Risk Assessment form include a specific check box for camps located on critical infrastructure areas and a check box for camps that violate ADA.	Closed – No Longer Relevant	Closed

Region 1 Camp Clean-up	Management Letter 24-01	Region 1	09/23/2024	Work with the city to ensure that photos of camp posting can reasonably demonstrate that they are within 30 feet of personal property that may be removed. These records should be retained and readily available.	Intends to include clear IGA terms in an amendment that will reference applicable OAR and will work with the Oregon Department of Justice to ensure the requested documentation will reasonably demonstrate posting locations in relation to personal property to comply with the OAR.	Closed – No Longer Relevant	Closed
ODOT Priorities to Determine Bike/Ped Facilities	Report 24-01	Delivery and Operations and Public Transportation	04/22/2024	Ensure agency priority for addressing deficient bicycle and pedestrian facilities aligns with funding and prioritization in construction projects.	• ODOT's 2024-2028 Strategic Action Plan (SAP), published April 2024, highlights our commitment to serve all Oregonians equitably. The SAP builds on those commitments, guides ODOT to secure reliable funding, requires ODOT to incorporate the Safe System Approach more fully into ODOT means and methods, and sets implementing actions for ODOT.	Open – Not Implemented, Not Due	Open
ODOT Priorities to Determine Bike/Ped Facilities	Report 24-01	Delivery and Operations and Public Transportation	04/22/2024	Improve the consideration and prioritization of equity in bicycle and pedestrian projects.	• ODOT's 2024-2028 Strategic Action Plan (SAP), published April 2024, highlights the importance of active transportation in Oregon, recognizes transportation challenges across demographics and across contexts of the built infrastructure. The SAP acknowledges that completing the bicycling and walking network and filling transit gaps is also a key component; however, funding is a challenge. To build on these goals ODOT has created the Social Equity Index Map, and as this audit identified, the Active Transportation Needs Inventory (ATNI), to assist in project prioritization. Both of these tools continue to be updated and serve as foundational information as projects for the 2027-2032 STIP are prioritized, scoped, and selected for funding.	Open – Not Implemented, Not Due	Open
ODOT Priorities to Determine Bike/Ped Facilities	Report 24-01	Delivery and Operations and Public Transportation	04/22/2024	Ensure the roadway context is appropriately considered when determining whether a segment needs a sidewalk or bikeway when completing the asset inventory.	• ODOT will update the ATNI to will include and appropriately weigh urban and rural context using the categories as defined in the Blueprint for Urban Design (BUD) and applying them appropriately. • To ensure all projects consider and identify contexts consistently, the urban design initiative (BUD) has been incorporated into the Highway Design manual (HDM), which was updated and published in March 2024, making the considerations mandatory. • ODOT is currently pursuing an updated data system, which presents an opportunity to streamline the asset inventories, review and update data collect method, data needs and quality control guidelines. The new data system is expected to be available in 2026 or 2027, depending on funding availability.	Open – Not Implemented, Not Due	Open
ODOT Priorities to Determine Bike/Ped Facilities	Report 24-01	Delivery and Operations and Public Transportation	04/22/2024	Develop a written quality control process for asset management data gathering for sidewalks and bicycle facilities.	• ODOT has a draft manual for collection of pedestrian and bicycle features and will bring subject matter experts together in 2024-2025 to ensure the guidance is clear and comprehensive. The companion to well collected data, is a quality control process to assess the data and the incorporation of the data into the inventory system. ODOT has quality control (QC) processes for other asset areas that will be evaluated and adjusted for oversight of pedestrian and bicycle data. ODOT will be able to do this assessment of the Q/C process and revise the guidance as the new data system is implemented in 2026 or 2027, depending on funding availability.	Open – Not Implemented, Not Due	Open
ODOT Priorities to Determine Bike/Ped Facilities	Report 24-01	Delivery and Operations and Public Transportation	04/22/2024	Revise the data gathering process to improve accuracy and retain field records to inform potential causes for data errors.	• ODOT has extensive experience in data gathering and retention of field records from other asset areas. Taking that experience and applying it to pedestrian and bicycle data, ODOT is evaluating the field guidelines and retention methods to determine which are most appropriate for this asset area. These changes will be included in the implementation of the new data system in 2026 or 2027, depending on funding availability.	Open – Not Implemented, Not Due	Open
ODOT Priorities to Determine Bike/Ped Facilities	Report 24-01	Delivery and Operations and Public Transportation	04/22/2024	Revise the 1% methodology for clarity to better capture applicable project costs for bicycle and pedestrian facilities.	• The Public Transportation Division is in the process of updating how the 1% is calculated. Staff included auditors' early suggestions as the update was drafted. Staff will analyze the updated 1% methodology and ensure that the audit recommendations are addressed before the next annual report.	Implemented	Closed

ODOT Priorities to Determine Bike/Ped Facilities	Report 24-01	Delivery and Operations and Public Transportation	04/22/2024	Update the SAP goal calculation to account for whether the funding is being utilized in alignment with the stated metric of improving equitable access to walking, biking, and transit.	<ul style="list-style-type: none"> <li>If the metric from the 2021 Strategic Action Plan is used in the future, staff will incorporate these recommendations into the calculation. In 2024 the Public Transportation Division updated the Strategic Action Plan key deliverables and focused future strategic actions on aligning with the metric of improving equitable access to active and public transportation. PTD's new actions are: 1) Continue to improve accessibility for people experiencing disabilities within the pedestrian network, fulfilling ADA commitments focused on curb ramps. 2) Evaluate investments made and refine and streamline grants and programs to prioritize investments that advance climate, vehicle miles traveled reduction, equity and safety outcomes (focusing on vulnerable users). 3) Enhance trip planning tools to better connect travelers from origin to destination using multiple modes and integrate payment systems where feasible. 4) Define the multimodal network and establish priority corridors as part of the Oregon Highway Plan, to increase connectivity and access to key destinations, and integrate these corridors into investment decisions.</li> </ul>	Closed – No Longer Relevant	Closed
ODOT Priorities to Determine Bike/Ped Facilities	Report 24-01	Delivery and Operations and Public Transportation	04/22/2024	Update the ATNI to incorporate region and roadway context in identifying the highest priority segments.	<ul style="list-style-type: none"> <li>The Public Transportation Division will update the ATNI, pending staff capacity and funding. During the update, staff will include and appropriately weigh urban and rural context as defined in the Blueprint for Urban Design, now incorporated in the Highway Design Manual. In regard to the recommendation to provide region context in the ATNI, staff currently includes this perspective by meeting with region staff prior to finalizing any project lists. Discussions with region staff change and update the project lists to include additional information that the ATNI does not track, like region priorities, leverage opportunities, funding source considerations, project readiness, and local community support. Staff will gather information from ODOT regions to determine what to include in a future ATNI update, that will better incorporate region context.</li> </ul>	Open – Not Implemented, Not Due	Open
ODOT Priorities to Determine Bike/Ped Facilities	Report 24-01	Delivery and Operations and Public Transportation	04/22/2024	Ensure appropriate usage of bike lane and bikeway terminology when reporting on the agency bicycle and pedestrian KPM.	<ul style="list-style-type: none"> <li>Updated Key Performance Measure, “bike lane” is rarely used and “bikeways” are defined as: 1) a marked and striped bike lane five or more feet in width, 2) a paved shoulder five feet or more in width, 3) a travel lane shared by people biking and people driving where the posted speed is 25 MPH or less, or 4) a multi-use path within the highway right-of-way. In the 2025 Key Performance Measure report and all future reports, staff will ensure that “bike lane” and “bikeway” terminology is defined and clear.</li> </ul>	Implemented	Closed
ODOT Priorities to Determine Bike/Ped Facilities	Report 24-01	Delivery and Operations and Public Transportation	04/22/2024	Ensure the new KPM methodology accounts for bikeway facility condition.	<ul style="list-style-type: none"> <li>Update KPM to account for bikeway facility condition and focuses on the walking and biking network on priority corridors. These corridors are selected for key properties like crash history, crash risk, access to transit, essential destinations, social equity, existing facilities, and context following the guidance in the Blueprint for Urban Design.</li> </ul>	Implemented	Closed
Statewide Transportation Improvement Fund monitoring (Non-audit)	Non-audit	Public Transportation	10/23/2023	For this non-audit review we did not issue recommendations. Instead we provided suggested actions regarding obtaining required documents, ensuring information is accurate and consistent between documents, and formalizing a process for tracking changes.	PTD has reported progress on every suggested action. They have filled staffing vacancies, solicited feedback, formalized processes, and worked on updating guidelines.	Open – Not Implemented, Not Due	Open
Amtrak Cascades Cost Sharing	Management Letter 23-02	Passenger Rail	04/25/2023	No recommendations issued.		No Action Required	Closed
Project Development Improvement Initiative Implemented Successfully, Areas Remain for Additional Enhancement	Report 23-02	Delivery and Operations	04/07/2023	Ensure the ten milestone dates submitted at Project Initiation are consistent between the Project Charter, 00-CMR and MS Project Schedule.	<ul style="list-style-type: none"> <li>Completed and implemented operational notices (PD) 19 as part of active schedule management guidance.</li> <li>A data quality report has been developed to identify project schedules with missing required milestones date.</li> <li>Two project scheduling training modules are available in Workday and 1:1 training session continue to be offered to transportation project managers as needed.</li> <li>Planning to offer MS project training in 2024 after the current MS project upgrade is completed this year. This training will help to ensure that the milestones dates developed by transportation project managers are consistent in the project charter, MS project schedules, and CMRs.</li> </ul>	Implemented	Closed

Project Development Improvement Initiative Implemented Successfully, Areas Remain for Additional Enhancement	Report 23-02	Delivery and Operations	04/07/2023	Enhance communications related to future changes to PDII. Possible enhancements include providing effective date, communication plan, implementation dates, point of contact, applicable projects, and problem statement on the Change Management page in the SPDB portal. Include where this information is stored.	<ul style="list-style-type: none"> <li>Updated project delivery change management portal to clearly capture description, desired outcome, and status of the change initiatives. Change management dashboard has also been updated to provide a better summary of the upcoming, ongoing, and completed initiatives.</li> </ul>	Implemented	Closed
Weight-mile tax audits have a strong collection rate but steps can be taken to improve the program	Report 23-01	Commerce and Compliance Division	02/28/2023	Ensure pre-screening sheets include documented support for why the audit should be done. Support should include, as applicable, an estimated dollar amount of unpaid taxes and fees, number of unreported miles, or other issues observed.	<ul style="list-style-type: none"> <li>Update procedures to specify what information is required on pre-screening sheets and communicate expectations to affected staff. Evaluate compliance with new procedures and take additional action if needed.</li> </ul>	Implemented	Closed
Weight-mile tax audits have a strong collection rate but steps can be taken to improve the program	Report 23-01	Commerce and Compliance Division	02/28/2023	Screen carriers with auto audit recommendations for additional indicators to support that an audit is warranted beyond the number of trucks and previous audit amount.	<ul style="list-style-type: none"> <li>Auto-audit criteria and Pre-Audit procedures were updated increasing the reported units from 20 to 30. Monitor auto-audit screening process on an annual cycle to determine if additional changes are needed.</li> </ul>	Implemented	Closed
Weight-mile tax audits have a strong collection rate but steps can be taken to improve the program	Report 23-01	Commerce and Compliance Division	02/28/2023	Document secondary screenings done by field office auditors on carriers recommended for audit and ensure threshold criteria is met.	<ul style="list-style-type: none"> <li>Update procedures to outline what documentation is required as part of the secondary screening and communicate expectations to affected staff. Evaluate compliance with new procedures and take additional action, if needed.</li> </ul>	Implemented	Closed
Weight-mile tax audits have a strong collection rate but steps can be taken to improve the program	Report 23-01	Commerce and Compliance Division	02/28/2023	Add consideration of the likelihood to collect an audit when screening carriers and making the determination to recommend a carrier for audit.	<ul style="list-style-type: none"> <li>Convene a working group to discuss audit selection with additional consideration of collectability, evaluate options and work towards new criteria. Implement additional recovery-based criteria.</li> </ul>	Implemented	Closed
Weight-mile tax audits have a strong collection rate but steps can be taken to improve the program	Report 23-01	Commerce and Compliance Division	02/28/2023	Track the level of effort for each weight-mile tax audit to monitor the frequency of audits having a negative return.	<ul style="list-style-type: none"> <li>Establish a working group to research audit time tracking options and develop a recommendation by December 31, 2023. Implement the IT solution based on the working group's recommendation.</li> </ul>	Implemented	Closed
Weight-mile tax audits have a strong collection rate but steps can be taken to improve the program	Report 23-01	Commerce and Compliance Division	02/28/2023	Increase the screening thresholds to align with an estimated minimum level of staff effort to complete an audit.	<ul style="list-style-type: none"> <li>Raised the field audit threshold from \$3,000 to \$5,000 to reflect increased tax rates and increased costs of conducting audits. We believe the time tracking suggested in recommendation #5 will assist us in establishing minimum level of staff effort to complete an audit and also possibly establishing ties between audit indicators and audit return. We will analyze data collected by tracking audit time more closely. Evaluate whether an adjustment to audit thresholds is warranted based on this data analysis and implement changes.</li> </ul>	Open – Not Implemented, Not Due	Open
Consultant Oversight	Management Letter 23-01	Statewide Programs Unit	02/17/2023	No recommendations issued.		No Action Required	Closed
DAS Delegation Agreement	Management Letter 22-02	OPO	08/01/2022	No recommendations issued.		No Action Required	Closed
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	05/03/2022	Identify which vehicle owners have overpaid on fees and return the difference to the owner. A determination on how to address vehicle owners that underpaid on registration and title fees is also needed.	<ul style="list-style-type: none"> <li>DMV will develop a methodology to identify vehicles that were assessed more than required, establish a minimum amount over which refunds will be issued, and a schedule for accomplishing those refunds</li> <li>For vehicles that were under-charged, DMV will establish a threshold over which additional payments will be sought, if the cost for the agency to pursue those additional fees makes sense</li> </ul>	Follow-Up Underway	Closed

Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	05/03/2022	Ensure the vendor providing the VIN decoder is using current EPA combined MPG ratings as the basis for data provided to DMV and investigate whether issues can be remedied to improve accuracy.	<ul style="list-style-type: none"> <li>DMV will work with the current vendor to ensure the most accurate data possible is being used. DMV will also investigate whether additional tools can be launched, to supplement/complement the current VIN decoder, to improve accuracy</li> <li>DMV will explore other VIN decoder options in terms of accuracy, prompt return of information, ease of use, consistency with other state agencies, etc.</li> </ul>	Follow-Up Underway	Closed
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	05/03/2022	Update the DMV Title and Registration Manual to include the distinction that vehicles older than 2000 default to Tier 1. Communicate this distinction to dealers.	<ul style="list-style-type: none"> <li>DMV will update the manual and ensure all staff receive updated training</li> <li>DMV will ensure all relevant resource materials used by vehicle dealers are up to date</li> </ul>	Follow-Up Underway	Closed
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	05/03/2022	Develop a quality control process to monitor and ensure the correct MPG rating and fuel type are used as the basis for fees.	<ul style="list-style-type: none"> <li>DMV will assemble a team of internal experts, including IT professionals, to develop methods for quality control</li> </ul>	Follow-Up Underway	Closed
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	05/03/2022	Investigate ways that existing vehicle MPG ratings and fuel types can be corrected.	<ul style="list-style-type: none"> <li>DMV will assemble a team of internal experts to analyze data for vehicles that have an existing MPG rating in the system to verify and correct where needed</li> <li>DMV will develop an implementation plan to correct ratings already in the system</li> </ul>	Follow-Up Underway	Closed
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	05/03/2022	Reconcile DMV and OReGO program requirements related to how MPG and MPGe ratings are used.	<ul style="list-style-type: none"> <li>ODOT will reconcile to a single method</li> </ul>	Follow-Up Underway	Closed
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	05/03/2022	Develop a mechanism to reconcile the vehicles that DMV records indicate are enrolled to ensure accurate records.	<ul style="list-style-type: none"> <li>ODOT will develop a process to verify OReGo involvement</li> </ul>	Follow-Up Underway	Closed
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	05/03/2022	Review MPG and MPGe ratings for the OReGO program and correct those that don't match the EPA ratings and program requirements. Determine if payment errors occurred and reconcile the difference with program participants.	<ul style="list-style-type: none"> <li>OReGO needs to update monthly variance research process</li> <li>OReGO had account managers self-audit MPG once per year 3-4 years ago and may need to formalize annual procedures with Account Managers</li> </ul>	Follow-Up Underway	Closed
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	05/03/2022	Ensure OReGO account managers are providing the correct MPG rating and fuel types for vehicles by completing regular reviews of enrolled vehicles. Results of the review should be shared with account managers.	<ul style="list-style-type: none"> <li>Will address procedures for validating auto enrollments</li> </ul>	Follow-Up Underway	Closed
DBE Contract-Specific Goal Setting	Management Letter 22-01	Civil Rights	04/13/2022	No recommendations issued.		No Action Required	Closed
Capstone Report on Project Delivery Audits: Highlighting Common Themes and Challenges	Report 21-06	Operations	12/29/2021	No recommendations issued.		No Action Required	Closed
Mentor-Protégé Program Seen as Beneficial but Enhanced Oversight is Needed	Report 21-05	Civil Rights	11/02/2021	Work with the Port to address protégés' feedback about the mentorship and consultant component of the Program. For example, one option for consideration might be changing mentors during the three years of the Program.	<ul style="list-style-type: none"> <li>Worked with the Port and are now assigning mentors based on protégé needs</li> </ul>	Implemented	Closed

Mentor-Protégé Program Seen as Beneficial but Enhanced Oversight is Needed	Report 21-05	Civil Rights	11/02/2021	Revise Agreement language to reduce ambiguity in roles and responsibilities between ODOT and the Port, and for eligibility to participate in the Program. Specifically, clarify whether ODOT will only sponsor protégés who have worked on ODOT projects or if this is optional.	<ul style="list-style-type: none"> <li>The recommendation has been accepted and will be implemented in any future IGA</li> </ul>	Implemented	Closed
Mentor-Protégé Program Seen as Beneficial but Enhanced Oversight is Needed	Report 21-05	Civil Rights	11/02/2021	Establish clear goals for the ODOT-sponsored protégés, and track performance metrics.	<ul style="list-style-type: none"> <li>The recommendation has been accepted and will be implemented in any future IGA</li> </ul>	Implemented	Closed
Mentor-Protégé Program Seen as Beneficial but Enhanced Oversight is Needed	Report 21-05	Civil Rights	11/02/2021	Conduct oversight of the partnership with the Port to ensure that the Port fulfills its requirements as described in the Agreement.	<ul style="list-style-type: none"> <li>New OCR personnel assigned responsibility for overseeing partnership and ensuring the Port fulfills requirements</li> </ul>	Implemented	Closed
Mentor-Protégé Program Seen as Beneficial but Enhanced Oversight is Needed	Report 21-05	Civil Rights	11/02/2021	Ensure the Port provides required reporting to ODOT and retains the documentation.	<ul style="list-style-type: none"> <li>New OCR personnel assigned responsibility for ensuring the Port provides and retains required documentation</li> </ul>	Implemented	Closed
Weigh-in-Motion Scales Need More Proactive Monitoring to Bolster Performance and Ensure Program Integrity	Report 21-04	Commerce and Compliance <i>formerly Motor Carrier Division</i>	10/18/2021	Develop written procedures to calibrate WIM scales at installation and for on-going operations.	<ul style="list-style-type: none"> <li>Working with vendor establish regular maintenance schedule</li> <li>Determined where maintenance and calibration records will be stored</li> </ul>	Implemented	Closed
Weigh-in-Motion Scales Need More Proactive Monitoring to Bolster Performance and Ensure Program Integrity	Report 21-04	Commerce and Compliance <i>formerly Motor Carrier Division</i>	10/18/2021	Complete regular calibration for WIM scales and maintain calibration records.	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	Implemented	Closed
Weigh-in-Motion Scales Need More Proactive Monitoring to Bolster Performance and Ensure Program Integrity	Report 21-04	Commerce and Compliance <i>formerly Motor Carrier Division</i>	10/18/2021	Determine if scale-crossing data can be used to monitor system performance. Items to consider include: a. Whether a trucks pulls into the static scale after receiving a red or green light b. When the static scales are open and closed c. When WIM scales are turned off and on	<ul style="list-style-type: none"> <li>Established tracking system that creates searchable data for issue resolution and pattern identification</li> <li>Researching possibilities for a dashboard for notification when WIM is outside of tolerance</li> </ul>	Implemented	Closed
Weigh-in-Motion Scales Need More Proactive Monitoring to Bolster Performance and Ensure Program Integrity	Report 21-04	Commerce and Compliance <i>formerly Motor Carrier Division</i>	10/18/2021	Track system uptime to know when troubleshooting occurs and technical fixes are required at WIM scales.	<ul style="list-style-type: none"> <li>Established policy on reviewing the WIM and scale operations</li> <li>Implemented changes to the enforcement system that capture reasons why WIM system is turned off</li> </ul>	Implemented	Closed
Weigh-in-Motion Scales Need More Proactive Monitoring to Bolster Performance and Ensure Program Integrity	Report 21-04	Commerce and Compliance <i>formerly Motor Carrier Division</i>	10/18/2021	Determine what an acceptable accuracy level is for use of LPR cameras and consider if a tolerable accuracy can be achieved before expanding use at other scale locations.	<ul style="list-style-type: none"> <li>Assessing LPR systems for accuracy</li> <li>Working with vendor to identify and resolve recurring issues</li> </ul>	Implemented	Closed
Addenda Process	Management Letter 21-03	Delivery and Operations	10/18/2021	No recommendations issued.		No Action Required	Closed

Employee Leased Housing Program: Fiscal Controls Need Strengthening to Improve Compliance and Equity	Report 21-03	Facilities	09/27/2021	Complete appraisals on homes to meet OAR requirements and track when appraisals are needed on an on-going basis to ensure timely completion.	<ul style="list-style-type: none"> <li>Facilities will track when appraisals are due and complete them a scheduled</li> <li>Will catch up on appraisals while planning to stay caught up</li> </ul>	Implemented	Closed
Employee Leased Housing Program: Fiscal Controls Need Strengthening to Improve Compliance and Equity	Report 21-03	Facilities	09/27/2021	Review current rental rates to ensure alignment with appraised fair market rental rates for each property. Make any adjustments to leases as needed.	<ul style="list-style-type: none"> <li>Facilities updated rental rates as they get appraisals back</li> <li>Deposits updated as part of new rental agreement process</li> </ul>	Implemented	Closed
Employee Leased Housing Program: Fiscal Controls Need Strengthening to Improve Compliance and Equity	Report 21-03	Facilities	09/27/2021	Ensure that deposits are required and collected in accordance with program requirements. Deposit payments and reimbursements should be documented in ODOT's accounting records.	<ul style="list-style-type: none"> <li>Facilities will update rental agreements to include pet and cleaning deposits</li> </ul>	Implemented	Closed
Employee Leased Housing Program: Fiscal Controls Need Strengthening to Improve Compliance and Equity	Report 21-03	Facilities	09/27/2021	Work with Financial Services to take corrective action with current and previous tenants on funds ODOT is owed and owes.	<ul style="list-style-type: none"> <li>Will work with Financial Services to get a summary of rent payments</li> <li>Will validate any over and under rent payments</li> <li>Will coordinate with Financial Services to address any discrepancies</li> </ul>	Implemented	Closed
Employee Leased Housing Program: Fiscal Controls Need Strengthening to Improve Compliance and Equity	Report 21-03	Facilities	09/27/2021	Complete a reconciliation of payroll deductions with active leases to ensure payments are correct. Set a regular reconciliation schedule for on-going review of deductions with lease terms.	<ul style="list-style-type: none"> <li>Same as above</li> </ul>	Implemented	Closed
Employee Leased Housing Program: Fiscal Controls Need Strengthening to Improve Compliance and Equity	Report 21-03	Facilities	09/27/2021	Ensure consistency with lease terms and actual practices for utility payments by tenants.	<ul style="list-style-type: none"> <li>Facilities reviewed how utilities are provided at each site</li> <li>Updated rental agreements to ensure utilities are billed correctly</li> </ul>	Implemented	Closed
Employee Leased Housing Program: Fiscal Controls Need Strengthening to Improve Compliance and Equity	Report 21-03	Facilities	09/27/2021	Work with the Facilities Council and Facilities Steering Team to set regular reporting to ensure sufficient accountability for the housing program. Items to consider including in reporting: non-compliance, appraisal completion, occupancy rates, program changes, and process issues.	<ul style="list-style-type: none"> <li>Facilities produced an annual report that lists data on multiple topics</li> <li>Tracked and reported on issues while also bringing them to the FST</li> </ul>	Implemented	Closed
Controls to Ensure Integrity of Pavement Condition Data Needed	Report 21-02	Delivery and Operations	07/20/2021	Evaluate the need to either build, acquire, or modify current software to manage the pavement condition data in a way that links data together and strengthens controls that ensure data are reliable, accurate, and complete.	<ul style="list-style-type: none"> <li>Will continue to use current software</li> <li>Will continue to monitor the reliability of these data tools</li> <li>The resources required to implement this recommendation are not available</li> </ul>	Implemented	Closed

Controls to Ensure Integrity of Pavement Condition Data Needed	Report 21-02	Delivery and Operations	07/20/2021	Examine current practices of how and why the Vendor data are edited to bring the ratings in line with older rating methods. Consider implementing decision trees for making changes. Discuss the benefits of the new technology and create a plan of when and how the data will be reported with very few if any edits after final acceptance from the Vendor. The Program should also update their procedures to reflect current practices related to rut severity and using the corridor approach for using the second lane data.	<ul style="list-style-type: none"> <li>Updated procedural documents to reflect current practices</li> <li>Aim to have data collection vendors remove human error from the process</li> </ul>	Implemented	Closed
Controls to Ensure Integrity of Pavement Condition Data Needed	Report 21-02	Delivery and Operations	07/20/2021	Strengthen procedures to ensure that control deficiencies are addressed and add monitoring controls to those processes with the highest risk of negatively affecting the pavement condition data accuracy and reliability.	<ul style="list-style-type: none"> <li>Implemented stronger controls</li> </ul>	Implemented	Closed
Controls to Ensure Integrity of Pavement Condition Data Needed	Report 21-02	Delivery and Operations	07/20/2021	Ensure that the Project Manager, and any other staff assigned contract administration duties, complete the DAS Contract Administration training and certification.	<ul style="list-style-type: none"> <li>Staff completed DAS Contract Administration training and certification</li> </ul>	Implemented	Closed
Controls to Ensure Integrity of Pavement Condition Data Needed	Report 21-02	Delivery and Operations	07/20/2021	Establish a process that ensures records supporting key controls and contract deliverables are retained.	<ul style="list-style-type: none"> <li>Prepared report that summarizes results of controls</li> </ul>	Implemented	Closed
Modular Housing for Regional Employees	Management Letter 21-02	Facilities	04/16/2021	For Capital Improvement projects completed in the last three years, compare actual costs with estimated costs at initial approval (inclusion on approved list of CI projects) to determine whether the differences noted in the modular home procurements were typical of CI projects or unusual. If typical, take steps to improve the cost estimating process for CI projects. Such steps might include obtaining cost estimate information from bidders on major building components as part of the solicitation submissions.	<ul style="list-style-type: none"> <li>Reviewed CI projects from the last two biennia</li> <li>Discussed findings and recommendations with the Facilities Steering Team</li> </ul>	Implemented	Closed
Modular Housing for Regional Employees	Management Letter 21-02	Facilities	04/16/2021	Define the desired outcome in terms of size, building standards, and level of quality and allow either site-built or modular construction.	<ul style="list-style-type: none"> <li>Facilities wrote future bid documents for employee housing to allow either on-site stick built or modular construction</li> </ul>	Implemented	Closed



Modular Housing for Regional Employees	Management Letter 21-02	Facilities	04/16/2021	When employing a new procurement approach, do not start the procurement process late in a biennium, and timely and effectively communicate the new approach to the potential contractor pool.	<ul style="list-style-type: none"> <li>Discussed procurement methods with OPO</li> <li>Worked to avoid procurements at the end of the biennium</li> <li>Improved communications with the bidding community to maximize competitiveness</li> <li>Actions have been taken and will be on-going for Facilities</li> </ul>	Implemented	Closed
Modular Housing for Regional Employees	Management Letter 21-02	Facilities	04/16/2021	Explore methods that would allow carryover of CI funds into the following biennium and determine whether any are worth pursuing.	<ul style="list-style-type: none"> <li>Researching methods to carryover CI funds into the following biennium</li> </ul>	Implemented	Closed
Modular Housing for Regional Employees	Management Letter 21-02	Facilities	04/16/2021	Ensure staff establish and document a clear understanding with contractors what the scope of work entails for a contract and hold contractors accountable to the scope of work during contract administration.	<ul style="list-style-type: none"> <li>Facilities will not accept inaccurate schedule and values documents from contractors and will have them correct the documents prior to accepting them</li> <li>Developed new documents that clarify the scope of work and accurate budget accounting for projects</li> </ul>	Implemented	Closed
A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	02/05/2021	Require staff to provide the draft SOW and any other required documents when submitting the PSK request to OPO. Incomplete PSK requests should be returned to staff with an explanation of the missing information.	<ul style="list-style-type: none"> <li>As necessary, returned incomplete requests with instructions on what needs to be completed and tools that can be used to complete them</li> <li>Provided training on guidelines for writing the SOW and A&amp;E construction administration</li> </ul>	Implemented	Closed
A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	02/05/2021	Determine if the OPO timeliness goals for A&E contracts are reasonable considering the capacity and ability of staff to meet them, among other indicators.	<ul style="list-style-type: none"> <li>Examined timeline standards and were updated.</li> </ul>	Implemented	Closed
A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	02/05/2021	Communicate goals to staff and ensure proper monitoring of procurements to hold staff accountable to timelines.	<ul style="list-style-type: none"> <li>Communicating with Project Managers on how new tools are to be used</li> <li>OPO is establishing a performance metric to monitor internal review time</li> <li>New tools implemented to aid staff in developing a procurement</li> </ul>	Implemented	Closed
A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	02/05/2021	Determine the feasibility of compiling the level of effort agreed to for contract tasks by consultants and create a resource for project staff to reference the data when generating internal cost estimates.	<ul style="list-style-type: none"> <li>Developed tool that uses a numbering system to track work</li> <li>Developed cost estimating tool that allows Contract Administrators to develop levels of internal effort prior to contract negotiations</li> </ul>	Implemented	Closed
A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	02/05/2021	Work with DOJ to determine steps that can be taken to align wording expectations and address inconsistent feedback from attorneys on SOW language.	<ul style="list-style-type: none"> <li>Worked with DOJ on the use of templates</li> <li>OPO sought further exemptions from DOJ to avoid unnecessary handoffs and reviews</li> </ul>	Implemented	Closed
A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	02/05/2021	Using results of the previous step, create an inventory of SOW task language and make available for staff to use in developing a new contract SOW. Task language should be agreed to between OPO and the regions to reduce the level of revision necessary.	<ul style="list-style-type: none"> <li>Statewide Project Delivery Branch implemented a Standardized SOW initiative</li> <li>Developed DocuGen tool to allow Contract Administrators to select project discipline and generate SOW based on their selection</li> </ul>	Implemented	Closed

A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	02/05/2021	Work with ACEC to determine what actions can be taken to improve practices during the procurement process.	<ul style="list-style-type: none"> <li>• Worked with the ACEC Steering Procurement Subcommittee to determine and implement improvements</li> </ul>	Implemented	Closed
A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	02/05/2021	Ensure consultants provide completed DBE commitment forms before executing the contract.	<ul style="list-style-type: none"> <li>• Implemented guidance that provides a way to confirm that approval has been granted by the ODOT Office of Civil Rights prior to executing the contract</li> </ul>	Implemented	Closed
ODOT's Liquidated Debt audit results	Management Letter 21-01	Financial Services	01/21/2021	No recommendations issued.		No Action Required	Closed
Follow up Service Transformation Program Contract Payments	Management Letter 20-03	DMV	11/12/2020	Document the processes used to review project expenses and the Cost Methodology in written procedures.	<ul style="list-style-type: none"> <li>• Wrote up process used to review project expenses. An updated Cost Methodology with the documented process was approved</li> </ul>	Implemented	Closed
Follow up Service Transformation Program Contract Payments	Management Letter 20-03	DMV	11/12/2020	Clarify both the change order language in the original QA contract and intended payment amounts when cost ranges are used in the second QA contract.	<ul style="list-style-type: none"> <li>• There are no QA contracts in place. DMV will clarify language in future contracts.</li> </ul>	Closed – No Longer Relevant	Closed
Follow-up to Report 17-02 Road Usage Charge Program	Management Letter 20-02	Office of Innovation	05/28/2020	No recommendations issued.		No Action Required	Closed
Construction Contract Change Order Costs	Report 20-02	Delivery and Operations	04/28/2020	Assure that the level of CCO documentation aligns with the desired level of transparency and accountability. Examples include documentation sufficient to identify the relationship between the CCO cost and the contractor's proposed cost, and circumstances under which consideration of the final engineer's estimate in relation to original bid prices, when used for CCO costs, must be included in supporting documentation.	<ul style="list-style-type: none"> <li>• Updated the Construction Manual. The updates will be included in a larger Construction Manual update</li> </ul>	Implemented	Closed
Construction Contract Change Order Costs	Report 20-02	Delivery and Operations	04/28/2020	Include in the CCO documentation the contractor's written cost estimate when provided.	<ul style="list-style-type: none"> <li>• Included guidance from Recommendation 1 in regular meetings and new employee training</li> </ul>	Implemented	Closed
Construction Contract Change Order Costs	Report 20-02	Delivery and Operations	04/28/2020	Provide additional guidance on evaluating cost reduction proposals.	<ul style="list-style-type: none"> <li>• Documentation and instruction on cost reduction evaluation included in update referred to in Recommendation 1</li> </ul>	Implemented	Closed
Construction Contract Change Order Costs	Report 20-02	Delivery and Operations	04/28/2020	Periodically review bid prices for the potential of unbalanced bidding that could affect the award of contracts and total cost to the public under various actual scenarios.	<ul style="list-style-type: none"> <li>• Continue reviewing bids on bid day to assess unbalanced bids</li> <li>• Work will be conducted to increased ODOT's ability to monitor unbalanced bids throughout the project's life</li> </ul>	Implemented	Closed
Bid Communications Met Requirements but Timeliness and Consistency Could Be Improved	Report 20-01	Delivery and Operations	03/04/2020	Revise policies to incorporate desired/expected department timeframes for responding to plan holder inquiries.	<ul style="list-style-type: none"> <li>• Developed memorandum providing guidance on responding to bidder questions</li> <li>• Updated Chapter 6 of the Construction Manual</li> </ul>	Implemented	Closed

Bid Communications Met Requirements but Timeliness and Consistency Could Be Improved	Report 20-01	Delivery and Operations	03/04/2020	Ensure REs are sufficiently familiar with ODOT's policies and procedures related to plan holder communications to implement them in a compliant and uniform approach.	• REs completed additional training during quarterly meetings	Implemented	Closed
Bid Communications Met Requirements but Timeliness and Consistency Could Be Improved	Report 20-01	Delivery and Operations	03/04/2020	Work with RE offices to ensure that communications with plan holders are properly archived and retrievable.	• REs completed additional training during quarterly meetings	Implemented	Closed
Bid Communications Met Requirements but Timeliness and Consistency Could Be Improved	Report 20-01	Delivery and Operations	03/04/2020	Engage with stakeholders to evaluate best practices related to plan holder communications, including how best to publish plan holder questions and ODOT answers.	• Conducted survey of stakeholders in December 2020	Implemented	Closed
Commerce and Compliance Division Contract Administration Practices	Management Letter 20-01	Commerce and Compliance <i>formerly Motor Carrier Division</i>	02/06/2020	Ensure that all staff performing contract administration duties complete required training.	• Held extensive contract administration trainings for staff	Implemented	Closed