



LOCAL PUBLIC AGENCY CERTIFICATION PROGRAM

CALTRANS LOCAL ASSISTANCE OFFICE
MAY 2021

Purpose of the Certification Program

Ensure Effective Use
of Funds as Required
By USC Title 23
Chapter 1 Section 106
(Project Approval and
Oversight)



1) Delegating Project Delivery Responsibilities to Certified Local Public Agencies



2) Risk-Based Monitoring for Quality and Policy Compliance

Risk Management System For Project Delivery





Tier 3 – Partner with a Certified LPA either through Fund Exchange and/or Work Agreement



Tier 2 – Obtain certification for part/phase of a project



Tier 1 – Obtain full certification

Project Delivery Options

Elements of Certification Process



Application/Minimum Qualification



Quality Program Plan



Training



IOAI (Independent Office of Audits and Investigations)



Certification Agreement



Monitoring/Sanction/Re-Certification

Application

- Financial Management System
- Staffing Qualification
- Training
- Required Program Documents (Title VI, ADA Transition, Quality Program Plan, General Specifications for Construction, Bid Documents, and Consultant Selection Templates.
- Project Delivery System
- Internal Control System
- Roles and Responsibilities

Quality Program Plans

(How LPAs will meet
Certification Program
requirements)

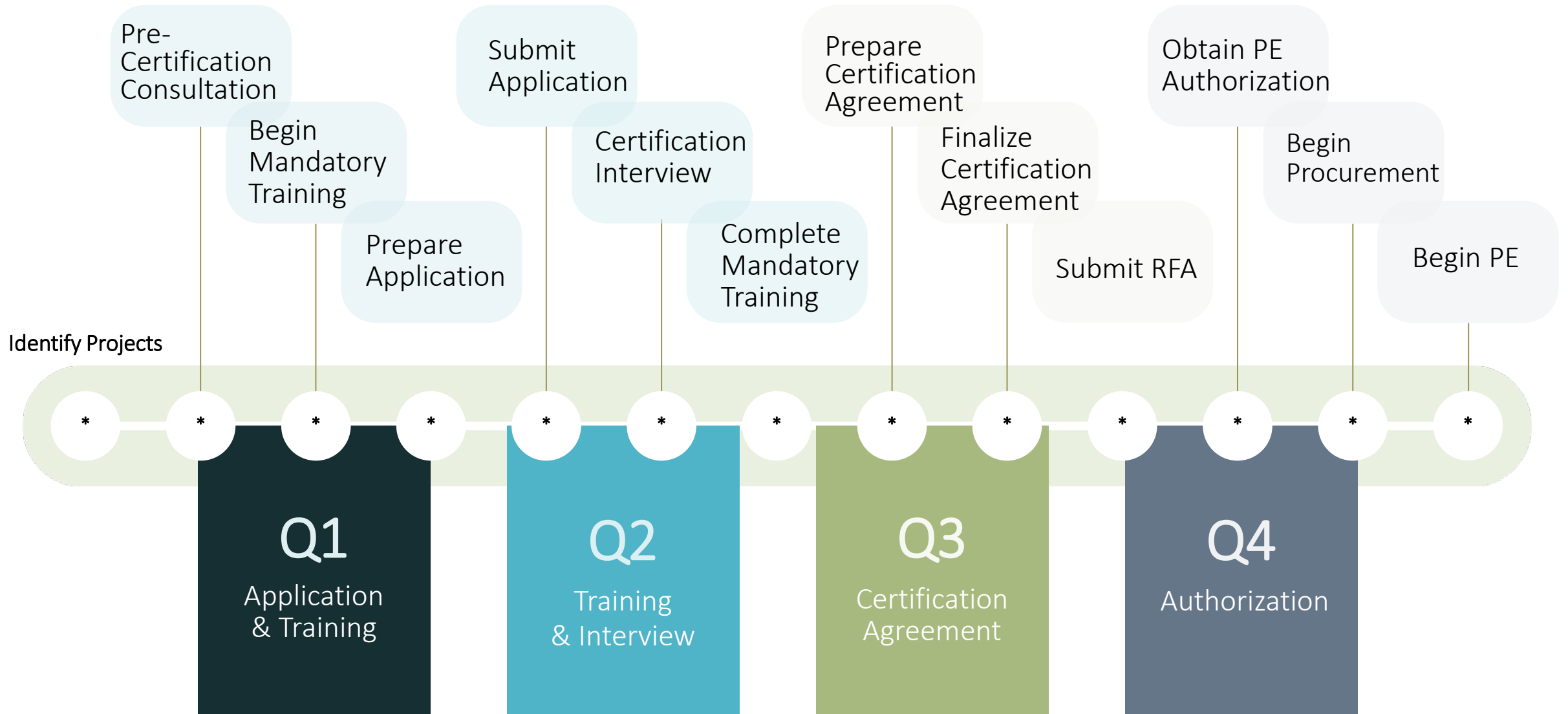
- Agency Organizational Structure
- Communication Plan
- Staffing Qualifications
- Financial Accounting Controls
- Title VI Compliance/DBE
- ADA Compliance
- Consultant Selection and Management
- Environmental Compliance
- Plans, Specifications & Estimates (PS&E)
- Right of Way Acquisition
- Contract Administration
- Quality Control
- As-Built Plans/Record Management and Retention
- Mitigation Establishment and Maintenance

Mandatory Training

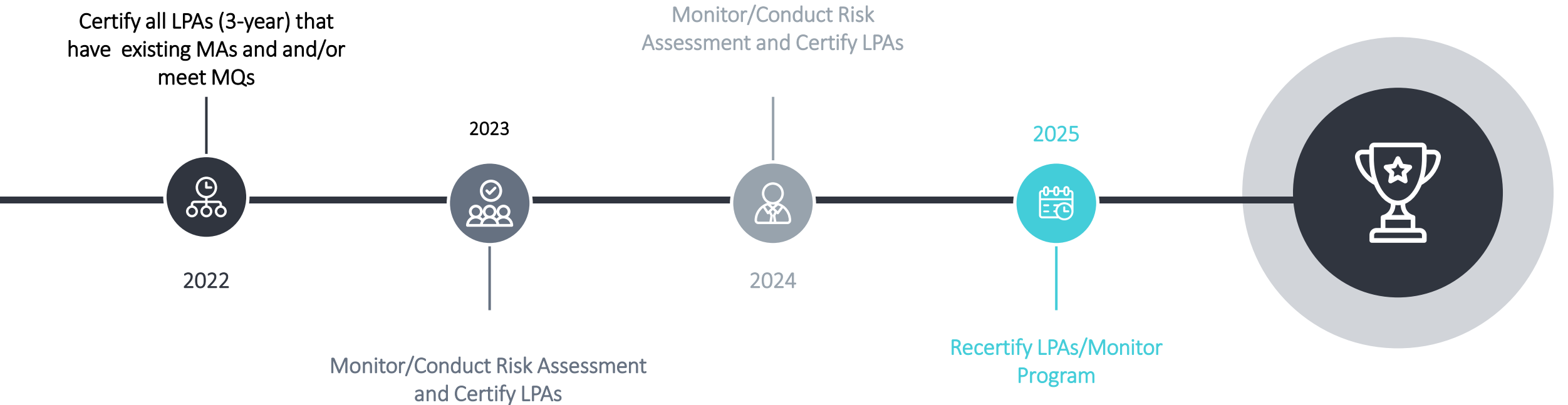
- Federal Aid-Essentials
- Federal Aid Overview For Managers
- A&E Procurement
- Disadvantaged Business Enterprise (DBE)
- Federal-Aid Series
- Resident Engineer Academy
- Labor Compliance
- Indirect Cost Rate (if applicable)

* LPAs are required to successfully complete all these courses prior to execution of Certification Agreements.

LPA Certification Sequence



DLA Certification Timeline



DLA's Monitoring Tools (Risk-Based Management)

- Audit findings
- Project End Date, Inactive Projects, PE>10, RW>20 status
- Non-conformance Report
- Quarterly Report
- Approval Authority Matrix
- Project Development Team Meeting
- Potential Fatal Flaws Checklist
- Mandatory Training Participation

Sanctions

- Hold future authorizations/allocations
- Withhold payments
- Request return of federal funds
- LPA may lose certification status and have its delegation of authority reduced to a project or phase of a project
- Local agency certification will not be recertified at the end of the 3-year life cycle
- Suspend Certification Agreement

Recertification

(Every 3 years)

Prior to expiration of the current certification, The LPA will submit to the Certification Program Manager a self-certification to extend the term of the certification for three more years. The self-certification will address all changes from the original application; all corrective actions; and confirm that all pertinent documents and training have been kept up-to-date.

