ODOT Internal Audit Recommendation Implementation Report

Please email 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is closed when it meets one of the following conditions: fully implemented, alternative solution applied, no longer valid, management decided not to implement, or the audit was closed for an additional reason.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: 4/19/2024.** *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 Updated	Recommendation	Management Action	Recommendation Implementation Status	Open/Closed
Statewide Transportation Improvement Fund monitoring (Non-audit)	Non-audit	Public Transportation	11/9/2023		Non-audit work provided at management request. Please see report (hyperlinked) for more details.		
Amtrak Cascades Cost Sharing	Management Letter 23-02	Passenger Rail	5/11/2023	No recommendations issued.		Not applicable	Closed
Project Development Improvement Initiative Implemented Successfully, Areas Remain for Additional Enhancement	Report 23-02	Delivery and Operations	8/21/2023	Ensure the ten milestone dates submitted at Project Initiation are consistent between the Project Charter, 00-CMR and MS Project Schedule.	• Completed and implemented operational notices (PD) 19 as part of active schedule management guidance. • A data quality report has been developed to identify project schedules with missing required milestones date. • Two project scheduling training modules are available in Workday and 1:1 training session continue to be offered to transportation project managers as needed. • 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.	In Process	Open
Project Development Improvement Initiative Implemented Successfully, Areas Remain for Additional Enhancement	Report 23-02	Delivery and Operations	8/21/2023	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.	• 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.	Completed	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	5/23/2023	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.	• 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.	Completed	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	5/23/2023	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.	• 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.	Completed	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	5/23/2023	Document secondary screenings done by field office auditors on carriers recommended for audit and ensure threshold criteria is met.	• 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.	Completed	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	5/23/2023	Add consideration of the likelihood to collect an audit when screening carriers and making the determination to recommend a carrier for audit.	• 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.	In Process	Open
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	5/23/2023	Track the level of effort for each weight-mile tax audit to monitor the frequency of audits having a negative return.	• 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.	In Process	Open
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	5/23/2023	Increase the screening thresholds to align with an estimated minimum level of staff effort to complete an audit.	• 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.	In Process	Open
Consultant Oversight	Management Letter 23-01	Statewide Programs Unit	5/22/2023	No recommendations issued.		Not applicable	Closed
DAS Delegation Agreement	Management Letter 22-02	OPO	8/1/2022	No recommendations issued.		Not applicable	Closed
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	6/15/2022	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.	• 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 • 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	Management Action Pending	Open
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	6/15/2022	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.	• 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 • DMV will explore other VIN decoder options in terms of accuracy, prompt return of information, ease of use, consistency with other state agencies, etc.	Management Action Pending	Open
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	6/15/2022	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.	• DMV will update the manual and ensure all staff receive updated training • DMV will ensure all relevant resource materials used by vehicle dealers are up to date	Management Action Pending	Open
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	6/15/2022	Develop a quality control process to monitor and ensure the correct MPG rating and fuel type are used as the basis for fees	• DMV will assemble a team of internal experts, including IT professionals, to develop methods for quality control	Management Action Pending	Open
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	6/15/2022	Investigate ways that existing vehicle MPG ratings and fuel types can be corrected.	• 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 • DMV will develop an implementation plan to correct ratings already in the system	Management Action Pending	Open
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	6/15/2022	Reconcile DMV and OReGO program requirements related to how MPG and MPGe ratings are used.	• ODOT will reconcile to a single method	Management Action Pending	Open

Finding	Report	Division	Date	Recommendation	Management Response	Status	Open/Closed
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	6/15/2022	Develop a mechanism to reconcile the vehicles that DMV records indicate are enrolled to ensure accurate records.	• ODOT will develop a process to verify OReGo involvement	Management Action Pending	Open
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	6/15/2022	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.	• OReGO needs to update monthly variance research process • OReGO had account managers self-audit MPG once per year 3-4 years ago and may need to formalize annual procedures with Account Managers	Management Action Pending	Open
Persistent Fee Errors Occurring in DMV's Title and Registration Transactions	Report 22-01	DMV	6/15/2022	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.	• Will address procedures for validating auto enrollments	Management Action Pending	Open
DBE Contract-Specific Goal Setting	Management Letter 22-01	Civil Rights	4/13/2022	No recommendations issued.		Not applicable	Closed
Capstone Report on Project Delivery Audits: Highlighting Common Themes and Challenges	Report 21-06	Operations	12/29/2021	No recommendations issued.		Not applicable	Closed
Mentor-Protégé Program Seen as Beneficial but Enhanced Oversight is Needed	Report 21-05	Civil Rights	11/2/2021	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.	• Worked with the Port and are now assigning mentors based on protégé needs	Completed	Closed
Mentor-Protégé Program Seen as Beneficial but Enhanced Oversight is Needed	Report 21-05	Civil Rights	11/2/2021	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.	• The recommendation has been accepted and will be implemented in any future IGA	In Process	Open
Mentor-Protégé Program Seen as Beneficial but Enhanced Oversight is Needed	Report 21-05	Civil Rights	11/2/2021	Establish clear goals for the ODOT-sponsored protégés, and track performance metrics.	• The recommendation has been accepted and will be implemented in any future IGA	In Process	Open
Mentor-Protégé Program Seen as Beneficial but Enhanced Oversight is Needed	Report 21-05	Civil Rights	11/2/2021	Conduct oversight of the partnership with the Port to ensure that the Port fulfills its requirements as described in the Agreement.	• New OCR personnel assigned responsibility for overseeing partnership and ensuring the Port fulfills requirements	Completed	Closed
Mentor-Protégé Program Seen as Beneficial but Enhanced Oversight is Needed	Report 21-05	Civil Rights	11/2/2021	Ensure the Port provides required reporting to ODOT and retains the documentation.	• New OCR personnel assigned responsibility for ensuring the Port provides and retains required documentation	Completed	Closed
Weigh-in-Motion Scales Need More Proactive Monitoring to Bolster Performance and Ensure Program Integrity	Report 21-04	Commerce and Compliance *formerly Motor Carrier Division*	8/17/2022	Develop written procedures to calibrate WIM scales at installation and for on-going operations.	• Working with vendor establish regular maintenance schedule • Determined where maintenance and calibration records will be stored	Completed	Open
Weigh-in-Motion Scales Need More Proactive Monitoring to Bolster Performance and Ensure Program Integrity	Report 21-04	Commerce and Compliance *formerly Motor Carrier Division*	8/17/2022	Complete regular calibration for WIM scales and maintain calibration records.	• Same as above	Completed	Open
Weigh-in-Motion Scales Need More Proactive Monitoring to Bolster Performance and Ensure Program Integrity	Report 21-04	Commerce and Compliance *formerly Motor Carrier Division*	8/17/2022	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	• Established tracking system that creates searchable data for issue resolution and pattern identification • Researching possibilities for a dashboard for notification when WIM is outside of tolerance	Completed	Open
Weigh-in-Motion Scales Need More Proactive Monitoring to Bolster Performance and Ensure Program Integrity	Report 21-04	Commerce and Compliance *formerly Motor Carrier Division*	8/17/2022	Track system uptime to know when troubleshooting occurs and technical fixes are required at WIM scales.	• Established policy on reviewing the WIM and scale operations • Implemented changes to the enforcement system that capture reasons why WIM system is turned off	Completed	Closed
Weigh-in-Motion Scales Need More Proactive Monitoring to Bolster Performance and Ensure Program Integrity	Report 21-04	Commerce and Compliance *formerly Motor Carrier Division*	2/10/2022	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.	• Assessing LPR systems for accuracy • Working with vendor to identify and resolve recurring issues	In Process	Open
Addenda Process	Management Letter 21-03	Delivery and Operations	10/18/2021	No recommendations issued.		Not applicable	Closed
Employee Leased Housing Program: Fiscal Controls Need Strengthening to Improve Compliance and Equity	Report 21-03	Facilities	2/17/2022	Complete appraisals on homes to meet OAR requirements and track when appraisals are needed on an on-going basis to ensure timely completion.	• Facilities will track when appraisals are due and complete them a scheduled • Will catch up on appraisals while planning to stay caught up	Completed	Closed
Employee Leased Housing Program: Fiscal Controls Need Strengthening to Improve Compliance and Equity	Report 21-03	Facilities	2/17/2022	Review current rental rates to ensure alignment with appraised fair market rental rates for each property. Make any adjustments to leases as needed.	• Facilities updated rental rates as they get appraisals back • Deposits updated as part of new rental agreement process	Completed	Closed
Employee Leased Housing Program: Fiscal Controls Need Strengthening to Improve Compliance and Equity	Report 21-03	Facilities	2/17/2022	Ensure that deposits are required and collected in accordance with program requirements. Deposit payments and reimbursements should be documented in ODOT's accounting records.	• Facilities will update rental agreements to include pet and cleaning deposits	Completed	Closed
Employee Leased Housing Program: Fiscal Controls Need Strengthening to Improve Compliance and Equity	Report 21-03	Facilities	2/17/2022	Work with Financial Services to take corrective action with current and previous tenants on funds ODOT is owed and owes.	• Will work with Financial Services to get a summary of rent payments • Will validate any over and under rent payments • Will coordinate with Financial Services to address any discrepancies	Completed	Closed

Employee Leased Housing Program: Fiscal Controls Need Strengthening to Improve Compliance and Equity	Report 21-03	Facilities	2/17/2022	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.	• Same as above	Completed	Closed
Employee Leased Housing Program: Fiscal Controls Need Strengthening to Improve Compliance and Equity	Report 21-03	Facilities	2/17/2021	Ensure consistency with lease terms and actual practices for utility payments by tenants.	• Facilities reviewed how utilities are provided at each site • Updated rental agreements to ensure utilities are billed correctly	Completed	Closed
Employee Leased Housing Program: Fiscal Controls Need Strengthening to Improve Compliance and Equity	Report 21-03	Facilities	2/17/2022	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.	• Facilities produced an annual report that lists data on multiple topics • Tracked and reported on issues while also bringing them to the FST	Completed	Closed
Controls to Ensure Integrity of Pavement Condition Data Needed	Report 21-02	Delivery and Operations	2/23/2022	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.	• Will continue to use current software • Will continue to monitor the reliability of these data tools • The resources required to implement this recommendation are not available	Follow-up Ongoing	
Controls to Ensure Integrity of Pavement Condition Data Needed	Report 21-02	Delivery and Operations	2/23/2022	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.	• Updated procedural documents to reflect current practices • Aim to have data collection vendors remove human error from the process	Follow-up Ongoing	
Controls to Ensure Integrity of Pavement Condition Data Needed	Report 21-02	Delivery and Operations	2/23/2022	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.	• Implemented stronger controls	Follow-up Ongoing	
Controls to Ensure Integrity of Pavement Condition Data Needed	Report 21-02	Delivery and Operations	2/23/2022	Ensure that the Project Manager, and any other staff assigned contract administration duties, complete the DAS Contract Administration training and certification.	• Staff completed DAS Contract Administration training and certification	Follow-up Ongoing	
Controls to Ensure Integrity of Pavement Condition Data Needed	Report 21-02	Delivery and Operations	2/23/2022	Establish a process that ensures records supporting key controls and contract deliverables are retained.	• Prepared report that summarizes results of controls	Follow-up Ongoing	
Modular Housing for Regional Employees	Management Letter 21-02	Facilities	9/24/2021	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.	• Reviewed CI projects from the last two biennia • Discussed findings and recommendations with the Facilities Steering Team	Completed	Closed
Modular Housing for Regional Employees	Management Letter 21-02	Facilities	9/24/2021	Define the desired outcome in terms of size, building standards, and level of quality and allow either site-built or modular construction.	• Facilities wrote future bid documents for employee housing to allow either on-site stick built or modular construction	Completed	Closed
Modular Housing for Regional Employees	Management Letter 21-02	Facilities	9/29/2022	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.	• Discussed procurement methods with OPO • Worked to avoid procurements at the end of the biennium • Improved communications with the bidding community to maximize competitiveness • Actions have been taken and will be on-going for Facilities	Completed	Closed
Modular Housing for Regional Employees	Management Letter 21-02	Facilities	9/24/2021	Explore methods that would allow carryover of CI funds into the following biennium and determine whether any are worth pursuing.	• Researching methods to carryover CI funds into the following biennium	Completed	Closed
Modular Housing for Regional Employees	Management Letter 21-02	Facilities	9/24/2021	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.	• Facilities will not accept inaccurate schedule and values documents from contractors and will have them correct the documents prior to accepting them • Developed new documents that clarify the scope of work and accurate budget accounting for projects	Completed	Closed

A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	6/4/2021	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.	• As necessary, returned incomplete requests with instructions on what needs to be completed and tools that can be used to complete them • Provided training on guidelines for writing the SOW and A&E construction administration	Completed	Closed
A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	6/4/2021	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.	• On hold pending actions on other recommendations	Completed	Closed
A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	6/4/2021	Communicate goals to staff and ensure proper monitoring of procurements to hold staff accountable to timelines.	• Communicating with Project Managers on how new tools are to be used • OPO is establishing a performance metric to monitor internal review time • New tools implemented to aid staff in developing a procurement	Completed	Closed
A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	6/4/2021	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.	• Developed tool that uses a numbering system to track work • Developed cost estimating tool that allows Contract Administrators to develop levels of internal effort prior to contract negotiations	Completed	Closed
A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	6/4/2021	Work with DOJ to determine steps that can be taken to align wording expectations and address inconsistent feedback from attorneys on SOW language.	• Worked with DOJ on the use of templates • OPO sought further exemptions from DOJ to avoid unnecessary handoffs and reviews	Completed	Closed
A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	6/4/2021	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.	• Statewide Project Delivery Branch implemented a Standardized SOW initiative • Developed DocuGen tool to allow Contract Administrators to select project discipline and generate SOW based on their selection	Completed	Closed
A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	6/4/2021	Work with ACEC to determine what actions can be taken to improve practices during the procurement process.	• Worked with the ACEC Steering Procurement Subcommittee to determine and implement improvements	Completed	Closed
A&E Procurement Impacted by Slowdowns	Report 21-01	Delivery and Operations	6/4/2021	Ensure consultants provide completed DBE commitment forms before executing the contract.	• 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	Completed	Closed
ODOT's Liquidated Debt audit results	Management Letter 21-01	Financial Services	3/9/2021	No recommendations issued.		Not applicable	Closed
Follow up Service Transformation Program Contract Payments	Management Letter 20-03	DMV	2/2/2021	Document the processes used to review project expenses and the Cost Methodology in written procedures.	• Wrote up process used to review project expenses. An updated Cost Methodology with the documented process was approved	Completed	Closed
Follow up Service Transformation Program Contract Payments	Management Letter 20-03	DMV	2/2/2021	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.	• There are no QA contracts in place. DMV will clarify language in future contracts.	Not applicable	Closed
Follow-up to Report 17-02 Road Usage Charge Program	Management Letter 20-02	Office of Innovation	5/28/2020	No recommendations issued.		Not applicable	Closed
Construction Contract Change Order Costs	Report 20-02	Delivery and Operations	6/16/2021	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.	• Updated the Construction Manual. The updates will be included in a larger Construction Manual update	In Process	Open
Construction Contract Change Order Costs	Report 20-02	Delivery and Operations	6/16/2021	Include in the CCO documentation the contractor's written cost estimate when provided.	• Included guidance from Recommendation 1 in regular meetings and new employee training	Completed	Closed
Construction Contract Change Order Costs	Report 20-02	Delivery and Operations	6/16/2021	Provide additional guidance on evaluating cost reduction proposals.	• Documentation and instruction on cost reduction evaluation included in update referred to in Recommendation 1	Completed	Closed
Construction Contract Change Order Costs	Report 20-02	Delivery and Operations	6/16/2021	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.	• Continue reviewing bids on bid day to assess unbalanced bids • Work will be conducted to increased ODOT's ability to monitor unbalanced bids throughout the project's life	In Process	Open
Bid Communications Met Requirements but Timeliness and Consistency Could Be Improved	Report 20-01	Delivery and Operations	11/3/2020	Revise policies to incorporate desired/expected department timeframes for responding to plan holder inquiries.	• Developed memorandum providing guidance on responding to bidder questions • Updated Chapter 6 of the Construction Manual	Completed	Closed
Bid Communications Met Requirements but Timeliness and Consistency Could Be Improved	Report 20-01	Delivery and Operations	11/3/2020	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	Completed	Closed
Bid Communications Met Requirements but Timeliness and Consistency Could Be Improved	Report 20-01	Delivery and Operations	11/3/2020	Work with RE offices to ensure that communications with plan holders are properly archived and retrievable.	• REs completed additional training during quarterly meetings	Completed	Closed
Bid Communications Met Requirements but Timeliness and Consistency Could Be Improved	Report 20-01	Delivery and Operations	11/3/2020	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	Completed	Closed
Commerce and Compliance Division Contract Administration Practices	Management Letter 20-01	Commerce and Compliance *formerly Motor Carrier Division*	2/6/2020	Ensure that all staff performing contract administration duties complete required training.	• Held extensive contract administration trainings for staff	Completed	Closed

Report	Number	Office	Date	Recommendation	Action Taken	Status	Closed
A Look at Right-of-Way Condemnation: Common Justifications and Varied Processing Times	Report 19-04	Delivery and Operations	9/8/2020	Work with regions to determine if reducing the 17-week ROW HQ mandate for the condemnation process to better align it to actual performance for payment files will aid in project management.	• Recommendation addressed in new processes put forth by Statewide Project Delivery Office	Completed	Closed
A Look at Right-of-Way Condemnation: Common Justifications and Varied Processing Times	Report 19-04	Delivery and Operations	9/8/2020	Work with regions to ensure project schedules allow sufficient time for ROW negotiations before files are recommended for condemnation.	• Recommendation addressed in Project Delivery Improvement Workplan Processes implemented in 2019 • Continued to work with Regions to help them maintain project timelines	Completed	Closed
A Look at Right-of-Way Condemnation: Common Justifications and Varied Processing Times	Report 19-04	Delivery and Operations	9/8/2020	Determine if tracking the cost of ROW HQ staff time processing files through condemnation will assist in decision-making.	• Began coding staff time spent on condemnation files	Completed	Closed
DAS Delegation Audit Report	Management Letter 19-02	Procurement Office	3/5/2021	Ensure all contracts issued under the Agreement reference the Agreement;	• Updated Delegation Assessment Tool • Added supporting documentation requirements • Updated ODOT Procurement's Desk Procedure DP-OPO-002	Completed	Closed
DAS Delegation Audit Report	Management Letter 19-02	Procurement Office	3/5/2021	Ensure staff have completed all Agreement-required training and certifications prior to DAS delegation and at the time of providing DAS delegated procurement authority;	• Worked with DAS Procurement to update DAS Tiered Delegation • Added procurement file documentation requirements	Completed	Closed
DAS Delegation Audit Report	Management Letter 19-02	Procurement Office	3/5/2021	Ensure all Agreement-required documentation be provided in procurement files; and	• Listed existing procedures and resources that addressed the recommendation	Completed	Closed
DAS Delegation Audit Report	Management Letter 19-02	Procurement Office	3/5/2021	Work with DAS to clarify the Agreement as to how managers and position level under fills are evaluated with respect to Exhibit A requirements, updating applicable delegation orders as appropriate.	• Worked with DAS Procurement to update DAS Tiered Delegation • Updated Delegation Orders for ODOT Procurement staff with DAS procurement authority	Completed	Closed
Selected Information on Construction Change Orders	Report 19-03	Delivery and Operations	7/23/2019	No recommendations issued.		Not applicable	Closed
Statewide Transportation Improvement Program (STIP) Amendment Process Not Shown to Measurably Delay Projects	Report 19-02	Delivery and Operations	10/22/2020	Review the process for building the STIP and how programming decisions are made to determine if changes are necessary for setting a project's schedule and funding.	• Implemented tools to enhance reliability of project schedules, manage project risk, clarify project types in STIP and collect needed data before identifying the scope, schedule and budget of proposed projects • Formed three task forces to address cost estimating, scheduling and project risk management	Completed	Closed
Statewide Transportation Improvement Program (STIP) Amendment Process Not Shown to Measurably Delay Projects	Report 19-02	Delivery and Operations	10/22/2020	Review the project controls for scheduling and funding within the project development stage to determine if additional rigor is needed.	• Implemented formal project change management process to document and approve changes. • Added two formal phase gates to the project development process to assess project readiness • Made real-time project progress reports and performance measures (on-time and on-budget) available • Created a Project Development Section consisting of a Project Management Office, Project Controls Office, Programs Development Office and a Technology Data Unit	Completed	Closed
Statewide Transportation Improvement Program (STIP) Amendment Process Not Shown to Measurably Delay Projects	Report 19-02	Delivery and Operations	10/22/2020	Work with Metropolitan Planning Organizations (MPOs), the Oregon Transportation Commission (OTC), and Federal Highway Administration (FHWA) to identify opportunities to streamline the STIP amendment process.	• Worked with FHWA and MPOs to streamline amendment process	Completed	Closed
Information Asset Classification and Security Follow-up	Report 19-01	Business and Performance Services	6/28/2019	Revise the IA Handling Requirements to include the requirement that IA at all classification levels be protected from "unauthorized changes;" and provide more clarity on how business units can meet the handling requirements of at least two layers of control for Level 3 assets when not in use.	• Updated IA Handling Requirements	Completed	Closed
Information Asset Classification and Security Follow-up	Report 19-01	Business and Performance Services	6/28/2019	Update information asset classification guidance documents to align the definitions for information owner and information custodian with ODOT Policy ADM 07-11.	• Updated Policy ADM 07-11 • Normalized use and definition of terms "owner" and "custodian"	Completed	Closed
Information Asset Classification and Security Follow-up	Report 19-01	Business and Performance Services	6/28/2019	Determine if current training on IA classification and security meets agency needs and goals in terms of content and frequency. Revise as needed.	• Reviewed content and frequency of training • Worked with Human Resources to include training in 2020 curriculum	Completed	Closed
Design Quality Control	Management Letter 19-01	Delivery and Operations	9/29/2022	Ensure that region QC practices align to the QC plan and that there is statewide consistency across regions.	• Disciplines published statewide quality plan • Tech Center and Discipline Quality Plan templates have been published • Developed Operational Notice for Project Delivery QA/QC Program.	Completed	Closed
Design Quality Control	Management Letter 19-01	Delivery and Operations	9/29/2022	Ensure going forward that region QC practices meet agency expectations for performing QC. Regular quality assurance reviews would provide ongoing assessments of region practices.	• Published guidance on quality standards of practice • Published Project Delivery Quality Program Manual • Additional quality training webinars with staff and ACEC partners held	Completed	Closed
Procurement Timeliness	Management Letter 18-11	Procurement Office	11/5/2018	No recommendations issued.		Not applicable	Closed
OPO Architectural and Engineering (A&E) Contract Administration Practices Follow-up	Report 18-01	Procurement Office	1/9/2019	Require ODOT contract administrators to complete OPO contract closeout and invoice review training courses to supplement required training from DAS.	• Worked to incorporate OPO's invoice and contract-closeout training components into required training for contract administrators	Completed	Closed
OPO Architectural and Engineering (A&E) Contract Administration Practices Follow-up	Report 18-01	Procurement Office	1/9/2019	Update the OPO Invoice Requirements Guide to improve clarity on what information invoices are required to have prior to payment approval and when a revised invoice is needed.	• Updated OPO Invoice Requirements to clarify what information is required and when a revised invoice is needed	Completed	Closed

Audit	Report/Letter	Division	Date	Recommendation	Actions Taken	Status	Disposition
OPO Architectural and Engineering (A&E) Contract Administration Practices Follow-up	Report 18-01	Procurement Office	1/9/2019	Continue efforts to establish a monitoring process for completing consultant evaluations and using evaluations in selecting consultants for future contracts.	• Established monitoring process for the collection of completed consultant evaluations • Helped establish a process for the use of consultant evaluations	Completed	Closed
OPO Architectural and Engineering (A&E) Contract Administration Practices Follow-up	Report 18-01	Procurement Office	1/9/2019	Implement a monitoring process to ensure contracts with federal funding are closed out in alignment with OPO guidance.	• Updated Contract Closeout Requirements Resource • Notified agency that OPO will conduct closeout reviews for federally-funded projects	Completed	Closed
Maintenance and Operations Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-10	Maintenance & Operations	10/31/2018	Work with OPO to take necessary actions that address exceeding the noncontingency contract NTE.	• Documented that work was authorized by the written notice to proceed was not completed in a note in the contract file	Completed	Closed
Maintenance and Operations Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-10	Maintenance & Operations	10/31/2018	Ensure consultants include invoice information that demonstrates the work was done in alignment with contract terms and specifications.	• Requested that invoices include overhead and profit amounts • Reviewed the Invoice Requirement Guide and updated it to clarify requirements	Completed	Closed
Maintenance and Operations Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-10	Maintenance & Operations	10/31/2018	Update the contract closeout checklist used by staff to include providing notice to the consultant project manager that all services have been performed, deliverables have been received, and there are no outstanding payments to be made.	• Updated process to ensure that the agency provided notice to the consultant	Completed	Closed
Technical Services Branch Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-09	Engineering and Technical Services *formerly Technical Services Branch*	1/9/2019	Ensure contract closeout is completed for A&E contracts and documentation is retained in the contract file.	• Drafted procedures and tools to address contract closeout deficiencies	Completed	Closed
Technical Services Branch Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-09	Engineering and Technical Services *formerly Technical Services Branch*	1/9/2019	Ensure invoices approved for payment are for services performed within the authorized contract period.	• Drafted invoice processing procedures and recommended staff roles • Provided financial tracking spreadsheets to help monitor all invoicing and tracking	Completed	Closed
Technical Services Branch Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-09	Engineering and Technical Services *formerly Technical Services Branch*	1/9/2019	Ensure consultants include invoice information that demonstrates the work was in alignment with contract terms and specifications.	• Same as above	Completed	Closed
Region 1 Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-08	Region 1	2/7/2019	Ensure payments are made for services that are provided within the authorized contract period and in compliance with all other contract and OAR requirements.	• Confirmed all individuals managing contracts have completed all contract management training • Identified appropriate contract management training for new employees and ensured the training was completed	Completed	Closed
Region 1 Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-08	Region 1	2/7/2019	Ensure consultants include required invoice information per contract invoice requirements.	• Established consistent methods for discipline managers to track open contracts • Developed contract scopes of work that allowed for contingency tasks and reduced the need to develop contract amendments	Completed	Closed
Region 1 Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-08	Region 1	2/7/2019	Ensure contract closeout is completed timely and documentation is retained for each A&E contract.	• Worked with procurement staff to pursue options for streamlining the contract amendment process • Worked with procurement staff to pursue more flexible contract types	Completed	Closed
Transit Compliance Reviews Second Follow-up	Management Letter 18-07	Public Transportation	5/18/2018	No recommendations issued.		Not applicable	Closed
Transportation Development Division Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-06	Policy, Data & Analysis Division *formerly Transportation Development Division*	1/17/2019	Ensure invoices approved for payment are for services performed within the contract timeframe.	• Instituted review of TDD's contract paperwork to ensure compliance with procurement guidelines	Completed	Closed
Transportation Development Division Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-06	Policy, Data & Analysis Division *formerly Transportation Development Division*	1/17/2019	Ensure consultants include invoice information that demonstrates the work was in alignment with contract terms and specifications.	• Same as above	Completed	Closed
Transportation Development Division Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-06	Policy, Data & Analysis Division *formerly Transportation Development Division*	1/17/2019	Ensure contract closeout is completed for A&E contracts and documentation is retained in the contract file.	• Same as above	Completed	Closed
Region 4 Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-05	Region 4	1/14/2019	Complete timely contract closeout for A&E contracts and retain documentation in the contract file.	• Identified a single point of contact from Region 4. This person will develop a tracking process for all A&E contracts	Completed	Closed
Region 4 Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-05	Region 4	1/14/2019	Hold consultants to include required invoice information per contract invoice requirements.	• A single point of contact tracks invoice requirements • All staff administering contracts are trained in invoice requirements	Completed	Closed
Region 2 Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-04	Region 2	12/6/2018	Hold consultants to include required invoice information per contract invoice requirements.	• Improved procedures, policies and training to strengthen alignment with guidelines and procedures for invoice review and contract closeout	Completed	Closed
Region 2 Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-04	Region 2	12/6/2018	Ensure contract closeout for all A&E contracts is being completed timely and documentation is retained.	• Same as above	Completed	Closed
DMV Service Transformation Program (STP) Contract Payment Processes	Management Letter 18-03	DMV	6/20/2018	Work with DAS in amending the QA consultant contract to remove the conflict regarding the basis of compensation.	• Removed the conflict regarding the basis of compensation	Completed	Closed
DMV Service Transformation Program (STP) Contract Payment Processes	Management Letter 18-03	DMV	6/20/2018	Related to the first recommendation, assure that the QA consultant invoices contain the information necessary for DMV to confirm the amount due given the basis of compensation specified in the contract.	• Ensured QA consultant invoices contain the correct amount of information	Completed	Closed
DMV Service Transformation Program (STP) Contract Payment Processes	Management Letter 18-03	DMV	6/20/2018	Document mutual agreement of any changes to the contracts using allowed means.	• Documented any verbal agreements with consultants in writing	Completed	Closed
DMV Service Transformation Program (STP) Contract Payment Processes	Management Letter 18-03	DMV	6/20/2018	Issue change orders that establish the cost of a deliverable when required under a contract or subsequent amendments.	• Change orders are issued to establish the cost of a deliverable, as needed	Completed	Closed

Audit	Letter	Division	Date	Recommendation	Action	Status	Closed
DMV Service Transformation Program (STP) Contract Payment Processes	Management Letter 18-03	DMV	6/20/2018	Determine the desired level of transparency regarding STP administration and align practices to meet that target. Such steps may include the following: a. Assure that invoice review check lists are completely filled out. b. Document the reasons for including or excluding categories of costs from reported STP costs. c. Document effective dates for STP cost allocation decisions. d. Update the Cost Methodology and related documents to reflect all project decisions that affect STP cost allocation. e. Periodically review selected transactions for alignment with the adopted cost allocation methodology.	• Implemented steps to enhance transparency, such as ensuring each signer reviews the invoice for completeness and adding file notes to clarify costs • Updated Cost Methodology document to align with practices • Periodically reviews transactions to ensure alignment with Cost Methodology	Completed	Closed
Region 3 Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-02	Region 3	7/17/2018	Ensure contract closeout is completed timely and documentation is retained for each A&E contract.	• DAS Public Services Contract Administration Training required for all staff with potential to be a contract administrator	Completed	Closed
Region 3 Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-02	Region 3	7/17/2018	Ensure consultants include required invoice information per contract invoice requirements.	• Conducted internal review to ensure compliance with OPO contract administration guidelines	Completed	Closed
Facilities Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-01	Facilities	12/5/2018	Ensure invoice payments are for work that occurs after the contract amendment is executed and the notice to proceed is issued.	• Created written procedures, forms and tools for project managers to use for A&E contracts	Completed	Closed
Facilities Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-01	Facilities	12/5/2018	Ensure invoices approved for payment include documentation demonstrating the work is in alignment with the contract terms and specifications.	• Updated A&E Contract Administration and Project Completion checklists • Conduct periodic checks to ensure documentation is complete	Completed	Closed
Facilities Architectural and Engineering (A&E) Contract Administration Follow-up	Management Letter 18-01	Facilities	12/5/2018	Ensure efforts continue on implementing contract closeout steps as recommended by OPO best practices.	• Added additional documentation for contract closeout completion	Completed	Closed
Railroad Gross Revenue Fee (GRF) Follow-up	Management Letter 17-06	Public Transportation	12/12/2017	No recommendations issued.		Not applicable	Closed
SPOTS Purchase Card Program FY 2016	Management Letter 17-05	Financial Services	1/22/2018	Develop a risk-based monitoring strategy to identify whether cardholders are consistently using mandatory price agreements. Items to focus on could include: a. High dollar spend cardholders b. High transaction volume cardholders c. Vendors with items more likely available on price agreement	• Implemented new review methodology that ensures all cardholders will have their transactions reviewed at least once per fiscal year • Implemented process to ensure corrective action has taken place when transactions are found to be in question	Completed	Closed
SPOTS Purchase Card Program FY 2016	Management Letter 17-05	Financial Services	1/22/2018	Develop corrective actions, as appropriate, for cardholders identified as not using mandatory price agreements.	• Held discussions regarding mandatory use of price agreements when making purchases • Prepared email advisory addressing use of mandatory price agreements	Completed	Closed
SPOTS Purchase Card Program FY 2016	Management Letter 17-05	Financial Services	1/22/2018	Update cardholder training with additional materials and content for using price agreements, and consider if additional training classes should be required related to price agreements.	• Updated financial standards with specific language on price agreements • Updated online SPOTS training	Completed	Closed
SPOTS Purchase Card Program FY 2016	Management Letter 17-05	Financial Services	1/22/2018	Update the Travel Reimbursement Claim form to require that travelers indicate whether a SPOTS card was used to pay for travel expenses.	• Will update online reimburse application to specify whether a SPOTS card was used for travel expenses	Not applicable	Closed
SPOTS Purchase Card Program FY 2016	Management Letter 17-05	Financial Services	1/22/2018	Cardholder managers should ensure cardholders have access to mandatory price agreement details and are held accountable to use them for SPOTS card purchases when appropriate.	• SPOTS Manager addressed concerns regarding access to details and accountability	Completed	Closed
Transit Compliance Reviews Follow-up	Management Letter 17-04	Public Transportation	10/17/2017	Determine how to include management of expenditures in the assessment of subrecipient segregation of duties.	• Completed through follow-up audit. See issued Management Letter 18-07 for details	Completed	Closed
Transit Compliance Reviews Follow-up	Management Letter 17-04	Public Transportation	10/17/2017	Ensure that RLS fills out the review checklists consistent with the report content.	• Completed through follow-up audit. See issued Management Letter 18-07 for details	Completed	Closed
Transit Compliance Reviews Follow-up	Management Letter 17-04	Public Transportation	10/17/2017	Follow through on plans to monitor subrecipient compliance with applicable requirements for lobbying, ADA complaint reporting, and disposition of real property. Also ensure that subrecipients submit to Transit required annual reports of ADA compliance, changes, and updates.	• Completed through follow-up audit. See issued Management Letter 18-07 for details	Completed	Closed
Single Audit Review	Management Letter 17-03	Public Transportation	10/24/2019	Determine the appropriate role that contracted reviews and the state's single audit review process should play in an overall strategy that assures Transit meets its monitoring obligations outlined in the State Management Plan.	• Determined appropriate role of contracted reviews • Adopted internal process to review single audits	Completed	Closed
Single Audit Review	Management Letter 17-03	Public Transportation	10/24/2019	For contracted reviews, revise the field guide for audit-related tasks to be consistent with the role defined in Recommendation 1.	• Revised field guides to be consistent with roles defined in Recommendation 1	Completed	Closed
Single Audit Review	Management Letter 17-03	Public Transportation	1/31/2022	In conjunction with Recommendation 1, determine how best to assure that STF recipients meet the audit requirements for those funds.	• Consolidated STF program with the STIF program and will utilize STIF procedures	Completed	Closed
Design Exception	Management Letter 17-02	Traffic Roadway	7/26/2017	No recommendations issued.		Not applicable	Closed

DBE Program Shows Progress, Needed Improvements Remain	Report 17-03	Civil Rights	10/12/2017	Continue working to further improve the completion rate, timeliness, and completeness of CUF reports and supporting documentation.	• Evaluated CUF process • Evaluated CUF training format with staff	In Process	Open
DBE Program Shows Progress, Needed Improvements Remain	Report 17-03	Civil Rights	10/12/2017	Review the FHWA Tips on Evaluating a Commercially Useful Function. Add questions that address the following: company markings or emblems on vehicles and equipment; employer of leased equipment operator; and verification of the level of involvement of DBE in various materials management activities. Also add a "Follow-up Needed" checkbox or field and a "Follow-up Conducted" narrative field for the entry of follow-up details and results.	• Reviewed FHWA tips on evaluating CUFs • Added questions to CUF review form • Provided training to staff on any form updates	In Process	Open
DBE Program Shows Progress, Needed Improvements Remain	Report 17-03	Civil Rights	10/12/2017	If PSRs or a future equivalent remain a critical tool in monitoring prompt payments or reporting on DBE participation, take steps to assure that PSRs are complete, accurate on their face, submitted timely in accordance with the contract and other governing guidance, and any notifications required under statute or the contract comply with such requirements.	• Procured electronic systems that allow staff and contractors to monitor payment timeliness	Follow-up Ongoing	Closed
DBE Program Shows Progress, Needed Improvements Remain	Report 17-03	Civil Rights	10/12/2017	Establish criteria and a process to follow up on apparent late payments to subcontractors that documents any late payments identified and the actions taken in response.	• Sought DOJ advice on contractual relationships	Follow-up Ongoing	Closed
DBE Program Shows Progress, Needed Improvements Remain	Report 17-03	Civil Rights	10/12/2017	Establish a process that independently verifies information submitted about payments to subcontractors. Options may include the following: • Provide subcontractors a means to corroborate project payment information related to their firm. • On a periodic and test sample basis, compare submitted payment information with contractor and subcontractor records.	• Sought DOJ advice on contractual relationships	Follow-up Ongoing	Closed
DBE Program Shows Progress, Needed Improvements Remain	Report 17-03	Civil Rights	10/12/2017	Continue to work with COBID to conduct a targeted outreach/recruitment effort toward firms identified as potential DBEs in the 2016 Disparity Study and use results to inform annual DBE participation goal.	• Included topics in monthly ODOT/OCR and COBID meetings	Completed	Closed
DBE Program Shows Progress, Needed Improvements Remain	Report 17-03	Civil Rights	10/12/2017	Continue to explore whether changes to release of retainage processes can better meet ODOT's intended objectives.	• Conducted process evaluation through the 2017 construction season	Completed	Closed
DBE Program Shows Progress, Needed Improvements Remain	Report 17-03	Civil Rights	10/12/2017	Modify the DBE Plan to clarify that the overall goal set in accordance with 49 CFR 26.51 applies only to contractor payments, and not to all Federal aid funds expended.	• Clarified DBE plan	Completed	Closed
Road Usage Charge Program-Additional Steps Needed to Assure Mileage and Fuel Data Accuracy	Report 17-02	Office of Innovation	4/9/2018	Complete the following for technology used in the RUC program: a) Set a baseline amount of testing for account managers and ODOT staff to complete to adequately demonstrate device accuracy. b) Ensure account managers provide complete testing methodology and results to demonstrate device mileage and fuel accuracy. c) Ensure complete documentation of ODOT staff testing results to support device mileage and fuel accuracy. d) Determine how on-going monitoring for device monitoring will be done.	• Added "Testing Requirements and Specifications" section to account manager requirements • Revised certification evaluation and testing processes • Evaluated program compliance processes and procedures to identify gaps in monitoring of mileage and fuel consumption accuracy requirements	Completed	Closed
Road Usage Charge Program-Additional Steps Needed to Assure Mileage and Fuel Data Accuracy	Report 17-02	Office of Innovation	4/9/2018	Ensure account managers are collecting adequate information from volunteers to assign the correct MPG rating for the vehicle.	• Evaluated contracts and decided to assign MPG ratings in-house	Completed	Closed
Road Usage Charge Program-Additional Steps Needed to Assure Mileage and Fuel Data Accuracy	Report 17-02	Office of Innovation	4/9/2018	Have account managers report specification details used to assign the MPG rating for vehicles enrolled in the program to ODOT for improved monitoring.	• Procured VIN decoding tool to evaluate MPG ratings	Completed	Closed
Road Usage Charge Program-Additional Steps Needed to Assure Mileage and Fuel Data Accuracy	Report 17-02	Office of Innovation	4/9/2018	Complete periodic reviews of assigned MPG ratings to ensure they are correct.	• Put procedures in place to periodically review MPG ratings	Completed	Closed
Road Usage Charge Program-Additional Steps Needed to Assure Mileage and Fuel Data Accuracy	Report 17-02	Office of Innovation	4/9/2018	Improve the rigor in detecting occurrences of error and event code 4 that do not align to program requirements.	• Revised account manager requirements to include information on how errors should be handled • Updated use cases to clarify how errors should be handled	Completed	Closed

Road Usage Charge Program-Additional Steps Needed to Assure Mileage and Fuel Data Accuracy	Report 17-02	Office of Innovation	4/9/2018	Require the account manager to complete the SOC-II, type 1 audit and related deliverables as specified in the contract amendment.	• Program held on further action following State CIO review	Completed	Closed
Road Usage Charge Program-Additional Steps Needed to Assure Mileage and Fuel Data Accuracy	Report 17-02	Office of Innovation	4/9/2018	Ensure required contract deliverables are completed prior to making payment to account managers. Deliverables should be in conformance with contract terms and submitted timely.	• Management reviewed the invoice approval process and reiterated with staff the important of deliverables meeting contract requirements • Reviewed and accepted deliverable in question	Completed	Closed
Connect Oregon Project Monitoring Supports Project Completion and Protects Project Funds	Report 17-01	Statewide Programs Unit	1/18/2018	Improve the written guidance for the Connect Oregon project monitoring process to improve transparency and continuity. Specific areas to address include: a) Determining what level of detail should be included in the agreement scope of work; b) What should be included in the project acceptance reports; and c) The role of the oversight committee.	• Improved guidance on scope of work language • Identified best practices for acceptance form. Incorporating best practices into guidance • Started conversation about formalizing the committee and its role	Completed	Closed
Connect Oregon Project Monitoring Supports Project Completion and Protects Project Funds	Report 17-01	Statewide Programs Unit	1/18/2018	Improve the documentation for *Connect* Oregon project related decisions, for example, decisions by the oversight committee or project agreements deviating from applications.	• Established a documented change management process	Completed	Closed
Connect Oregon Project Monitoring Supports Project Completion and Protects Project Funds	Report 17-01	Statewide Programs Unit	1/18/2018	Ensure program guidance is followed for posting meeting materials and minutes during the *Connect* Oregon project selection process.	• Will consider best way to provide consistent and transparent information • Will update guidance as needed	Completed	Closed
Railroad Gross Revenue Fee	Management Letter 17-01	Public Transportation	7/14/2017	Work to ensure that future cell phone charges are accurately allocated.	• Reviewed cell phone ownership, telecommunication transactions and rail payroll • Reviewed templates for all transactions to ensure proper coding	Completed	Closed