

## LOCAL AGENCY PROGRAMS PRE-AWARD SELF-COMPLIANCE CHECKLIST

This form applies to local agency projects where the local agency proposes to use federal transportation funds for Early Preliminary Engineering (EPE), Preliminary or Design Engineering (PE), Construction Engineering (CE), Operations (OPS), Right of Way (ROW) or Force Account (FA) phases of a project.

The Local Agency person designated as being in responsible charge of these phases (Local Agency Responsible Charge) is responsible for completing this form and forwarding it to the appropriate MDOT Local Agency Program (LAP) Area Engineer, along with the completed program application form.

MDOT and FHWA require that this form be completed before the federal funds are obligated, to demonstrate the Local Agency's compliance with 2 CFR 200.

<b>LOCAL AGENCY INFORMATION</b>			
LOCAL AGENCY NAME	JOB NUMBER	UNIQUE ENTITY IDENTIFIER (UEI)	
ROUTE	LIMITS		
RECEIVING FEDERAL FUNDS FOR			
PRELIMINARY ENGINEERING (PE)	CONSTRUCTION ENGINEERING (CE)	FORCE ACCOUNT (FA)	
EARLY PRELIMINARY ENGINEERING (EPE)	OPERATIONS (OPS)	RIGHT OF WAY (ROW)	

### CHECKLIST

**YES    NO    N/A**

Does the agency have prior experience with 2 CFR 200 guidelines and federal transportation funding?

**If Yes** - Has the agency complied with timely submission of applications, amendments, fiscal reporting, drawdowns, financial closeout, and budgets/revisions by all required deadlines? Provide any comments related to compliance in the comment box below.

Does the agency have documented operating procedures and internal controls? You may be asked to provide documentation upon request and be subject to monitoring by MDOT and FHWA.

Has the agency complied with the 2 CFR 200.501 audit requirements?

Has the agency been found in non-compliance or is the agency aware of potential audit findings?

Has the agency received federal transportation funds as a direct recipient?

Are there any reasons to conclude that the agency could not effectively comply with the requirements of this current funding award?

Has the agency's project management or financial systems been changed or updated within the last two years?

Does the agency have knowledgeable staff to manage the funding program requirements?

ADDITIONAL COMMENTS

### RESPONSIBLE CHARGE CERTIFICATION

As Local Agency Responsible Charge for this project, I certify that the agency has established procedures and controls to effectively implement statutory, regulatory, or other requirements imposed to administer federal funds.

PRINTED NAME	E-SIGNATURE	DATE
POSITION	E-MAIL ADDRESS	PHONE NUMBER

## **LOCAL AGENCY PROGRAM GUIDANCE MDOT FORM 2665 - LOCAL AGENCY PROGRAMS PRE-AWARD SELF-COMPLIANCE CHECKLIST**

In 2021, a process review was completed which identified a need for increased compliance with administering federal funds directly to a Local Agency (subrecipient). Completion of MDOT [Form 2665](#) will improve adherence to Subrecipient Monitoring and Management ([2 CFR 200.332](#)). The following explains what information is needed for submission of a form to the Michigan Department of Transportation (MDOT) Local Agency Program (LAP).

If a Local Agency will be utilizing Federal Funds for Early Preliminary Engineering (EPE), Preliminary Engineering (PE), Construction Engineering (CE), Operations (OPS), Right of Way (ROW) or Force Account (FA) Work, submittal of the "Checklist" will be required for each project.

A Local Agency must submit an MDOT 2665 form to the [LAP Project Manager](#) with the following information ([LAP Staff Information](#)):

1. Local Agency Name
2. MDOT Job Number. If multiple job numbers are being packaged together, include **ALL** job numbers
3. Unique Entity Identifier (UEI), obtained from [Sam.gov](#) and a completed SAM.gov registration is required for each local agency
4. Project Route Name and Limits (Point of Beginning and Point of Ending)
5. **Name, e-mail, position title for Local Agency Responsible Charge completing the form. eSignature of Responsible Charge will be required**

By signing the "Checklist", the Responsible Charge is confirming that the Federal award will be used in accordance with Federal statutes, regulations and the terms and conditions of the Federal award.

A link to the Code of Federal Regulations (CFR), CFR 200 Title 2, is provided above, and on the form. Please familiarize yourself with the CFR to ensure compliance.

Within Part 200, Subpart D, other requirements are noted such as the Local Agency shall permit MDOT and auditors to have access to the Local Agency's records and financial statements if requested.

#### Digital Signatures:

- Local Agency and/or consultant signatures and seals must utilize MDOT's approved digital signature solution.
- For questions on digital signatures please see [LAP Advisory 2020-08](#) , visit [Digital Signatures with MDOT](#) , or e-mail [DTMB-NoReply-MIMDOT@Michigan.gov](mailto:DTMB-NoReply-MIMDOT@Michigan.gov).