

**CERTIFICATION ACCEPTANCE TRAINING
MODULE 3**

Understanding CA Oversight & Monitoring (O&M)

Presented by:

Local Public Agency Process Section, O&M Group

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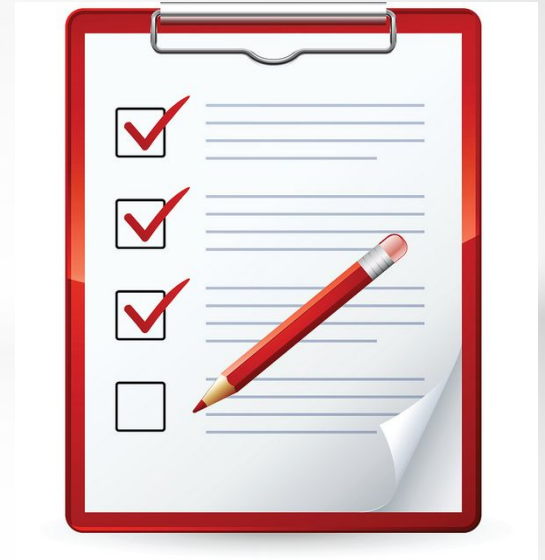
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Why do we do Oversight & Monitoring?

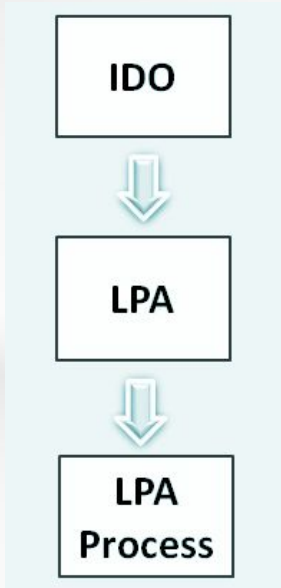
- Stewardship
- Oversight
- Monitoring
- Compliance



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Who are we?



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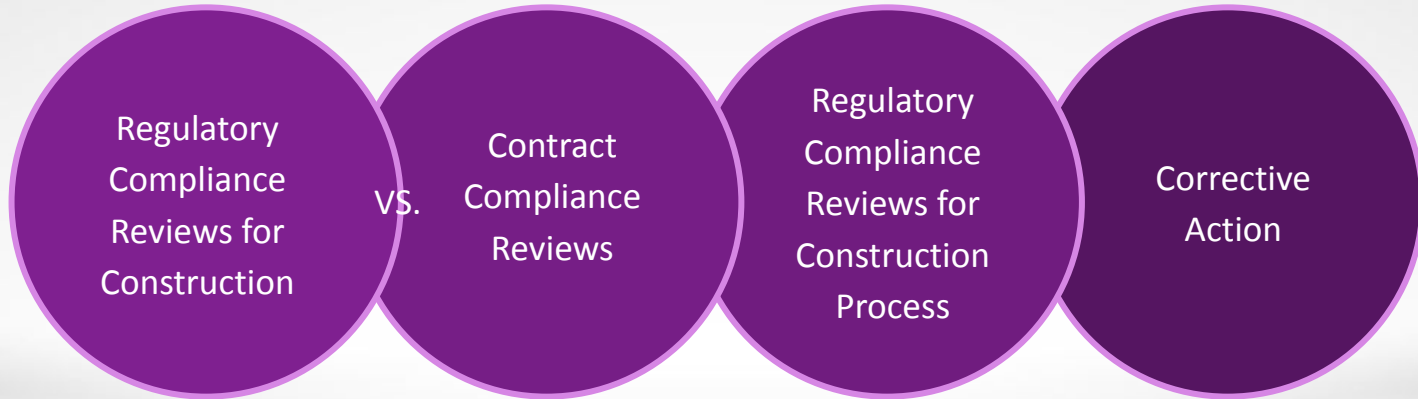
What we do?

LPA Process Section O&M Activities

- LPA Program Oversight & Monitoring
- Subrecipient Monitoring
- CA and LPA Corrective Action
- CA and LPA Training



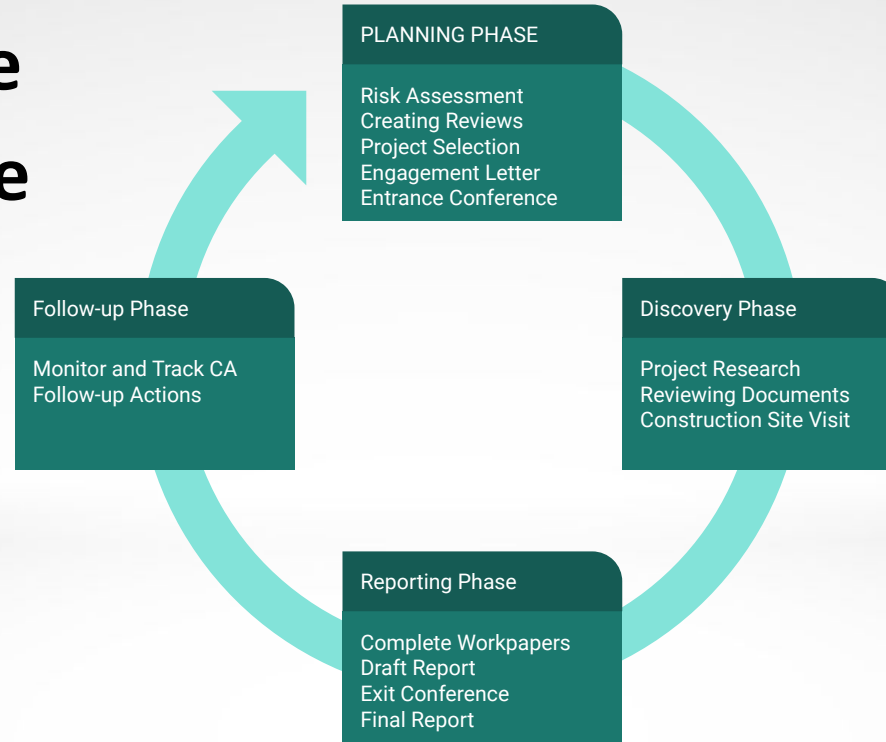
What you will learn today?



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What is the Compliance Review Process?



What is the Planning Phase?

- Risk Assessment
- Creating the Review
- Project Selection
- Engagement Letter
- Entrance Conference



What is the Discovery Phase?

- Project Research
- Reviewing Documents
- Construction Site Visit



What is the Reporting Phase?

- Complete Workpapers
- Draft Report
- Exit Conference
- Final Report



What is the Follow-up Phase?

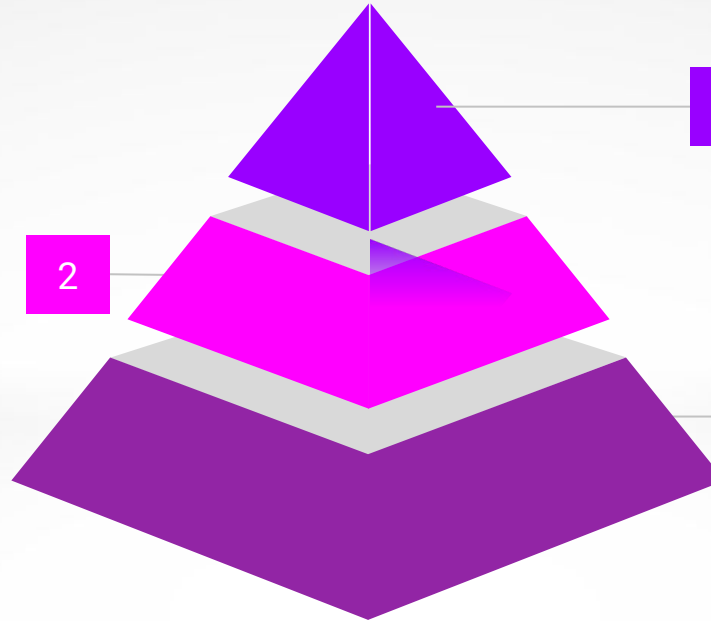
- Monitor and Track Follow-Up



What is Corrective Action?

Probation

- Non-responsive
- Untimely action in correcting unsatisfactory performance
- Repeats the action that placed the CA in unsatisfactory performance
- Egregious action



Unsatisfactory Performance

- Issuance of a notice of unsatisfactory performance

Suspension

- Treated case-by-case
Depends upon the severity and type of violation

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Questions?

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Thank you!