

Federal Transit Administration Office of Program Oversight Updates

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FY23 Program Oversight Updates

- FY23 Triennial (TR) and State Management Reviews (SMR)
 - Recipient Information Request - sending by 12/2/22; due 2/3/23; webinars forthcoming
 - Contractor Manual – 12/1/22
 - Workshops
- Technical Assistance – Top findings webinars, new recipient workshops, and targeted recipient assistance
- COVID-19 Financial Spot Reviews – Round 3 and beyond
- Oversight Tracking System (OTrak) – Recipient Pilot
- Findings Management Standard Operating Procedure (internal) – Move old TR/SMRs findings to current review

FY22 Oversight Activities Summary – 11/4/22

Oversight Activity	FY22* Total	Exit Conference Complete	Draft/ Preliminary Report Issued	Reports Issued	Findings Issued
Triennial Review (TR)	214	209	208	196	1,078
State Management Review (SMR)	13	12	12	11	73
Combined TR/SMR	3	2	2	2	27
Procurement System Review	2				
Financial Management Review	7				
Civil Rights Review	10				
State Safety Oversight Audit	11	6	3	2	12
COVID-19 Financial Reviews	69	N/A	23	30	33
<u>Total</u>	<u>329</u>	<u>229</u>	<u>248</u>	<u>241</u>	<u>1,223</u>

FY22 TR/SMR Average Number of Findings

Region	TR			SMR			All Reviews		
	FY19	FY21	FY22*	FY19	FY21	FY22*	FY19	FY21	FY22*
TRO-01	7.4	3.2	11.1	8.0	3.0	11.5	7.5	3.2	11.2
TRO-02	2.5	3.1	0.0	–	–	0.0	2.5	3.1	0.0
TRO-03	5.4	5.5	3.6	8.0	10.0	–	5.9	5.9	3.6
TRO-04	6.5	4.9	6.9	10.3	4.0	7.0	6.7	4.8	6.7
TRO-05	6.6	4.1	5.5	4.5	36.0	2.7	6.5	4.9	5.3
TRO-06	12.1	4.6	4.3	9.0	13.0	2.5	12.0	5.2	4.2
TRO-07	9.9	2.7	3.1	4.0	2.5	29.0	9.1	2.6	6.0
TRO-08	4.6	4.6	5.3	9.0	13.3	6.0	5.1	7.0	5.4
TRO-09	5.5	1.9	7.1	38.0	9.5	–	6.6	2.8	7.1
TRO-10	5.8	0.3	1.2	6.0	2.0	7.5	5.8	0.4	2.0
Total	6.9	3.8	5.5	9.7	8.8	7.7	7.1	4.3	5.6

FY22 Top Findings

Review Area	Finding	TR	SMR
Procurement	P11-1 - Missing FTA clauses	✓	✓
Disadvantaged Business Enterprise	DBE5-1 - DBE uniform reports contain inaccuracies and/or are missing required information	✓	✓
Procurement	P4-1 - Responsibility determination deficiencies	✗	
Procurement	P10-2 - Lacking required cost or price analysis	✓	✓
Procurement	P5-1 - Incomplete written documentation of procurement history	✗	
Procurement	P10-1 - Lacking independent cost estimate	✓	✓
Title VI	TVI2-1 - Language Assistance Plan implementation deficiencies	✗	
Disadvantaged Business Enterprise	DBE6-1 - DBE goal achievement analysis and corrective action plan not completed	✓	✓
Technical Capacity – Award Management	TC-AM2-1 - Incorrect FFR reporting	✗	
Financial Management and Capacity	F1-1 - Lacking/missing required written financial management policies and procedures	✗	
Technical Capacity – Program Management and Subrecipient Oversight	TC-PgM6-1 - FFATA reporting deficiencies		✗
Procurement	P21-1 - Insufficient oversight of subrecipient procurements		✗
Disadvantaged Business Enterprise	DBE12-1 - Insufficient documentation of monitoring DBE compliance of contractors		✗

FY23 SMRs

Region	Recipient
TRO-01	Connecticut Department of Transportation*
	Massachusetts Executive Office of Transportation
TRO-03	Delaware Department of Transportation*
	Maryland Department of Transportation*
	West Virginia Department of Transportation
TRO-04	SC Dept Transportation
	Alabama Department of Transportation*
	Florida Department of Transportation*

Region	Recipient
TRO-05	Indiana Department of Transportation
	Minnesota Department of Transportation
TRO-06	Arkansas Department of Transportation
TRO-07	Missouri Department of Transportation
TRO-08	Montana Department of Transportation
TRO-09	Arizona Department of Transportation
	California Department of Transportation
	Nevada Department of Transportation
TRO-10	Alaska Department of Transportation and Public Facilities

FY22 COVID-19 Spot Reviews – Round 2

Region	Recipient
TRO-03	Maryland Department of Transportation
	West Virginia Department of Transportation
TRO-04	Florida Department of Transportation
	Kentucky Transportation Cabinet
	Mississippi Department of Transportation
	North Carolina Department of Transportation
	Tennessee Department of Transportation

Region	Recipient
TRO-06	Arkansas Department of Transportation
TRO-07	Iowa Department of Transportation
	Kansas Department of Transportation
TRO-09	Arizona Department of Transportation
	California Department of Transportation
	Nevada Department of Transportation

FY22 COVID-19 Spot Reviews – Round 2 Results

- As of 11/8/22, 20 Spot Reviews have a total of 33 deficiencies
 - ECHO Procedures – 19
 - Eligibility of Expenses – 12
 - Financial Management Systems – 2
- 14 State DOTs receiving reviews in Round 2
 - As of 11/8/22, 3 State DOTs have 4 deficiencies
 - ECHO Procedures – 2
 - Eligibility of Expenses – 2

What is the Oversight Tracking System (OTrak)?

- FTA's official system of record for program oversight data.
 - Ex: State Management Reviews (SMRs)
- Launch/Rollout:
 - Launched for FTA staff and contractors April 26, 2021
 - Federal Fiscal Year (FY) 2023 Recipient Pilot Program planned
 - Sub-set of Triennial Review (TR) and State Management Review (SMR) recipients
 - Full recipient use expected for Federal FY 2024 review cycle

Additional information about OTrak: <https://www.transit.dot.gov/OTrak>

Recipient Actions / Feature Expectations

- **Recipient – Actions**

- Submit FY23 corrective action documentation
- Request FY23 corrective action due date extensions

- **Oversight Activity – Features**

- Contacts (FTA Manager(s) and Contracting Company)
- Process stages/events (view only)
- Findings / corrective actions
- Documents (view only)
 - » Final reports

- **Homepage – Features**

- Access to training materials / FAQs
- View-only basic details of past activities
- FY23 activity details
 - » Quick access links to FY23 activities
 - » Notifications/Tasks (homepage and email):
 - Approaching corrective action due dates
 - FTA decisions on closure requests
 - FTA decisions on extensions requests
 - Final report uploads

FY23 Pilot Group

- **Potential State Participants:**





- Alabama DOT
- Arizona DOT
- Delaware DOT
- Minnesota DOT (*confirmed*)
- Montana DOT (*confirmed*)
- South Carolina DOT
- West Virginia DOT

- **Implementation and Outreach:**

- **Feb 2023:** Kick off recipient pilot group, recipient user management training
- **Mar-May 2023:** Begin review entrance conferences, conduct recipient pilot group training
- **May-Oct 2023+:** Recipient pilot group uses OTrak, Office Hours

NOTE: List is subject to change. Preliminary outreach to recipients is being coordinated with the regions.

FY23 Pilot Group Outcome Goals

-  Gather experience feedback
-  Refine training materials
-  Confirm system meets all requirements for FY24 go-live decision
-  Inform enhancements to the system

Questions

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FTA Mission, Vision, Values

MISSION

Improve America's Communities through Public Transportation



VISION

A Better Quality of Life for All Built on Public Transportation Excellence



VALUES



SERVICE	Provide reliable, transparent, responsive, and anticipatory services to meet stakeholder needs
INTEGRITY	Commitment to the highest professional and ethical standards
INNOVATION	Foster new ideas, concepts, and solutions for improved outcomes
SUSTAINABILITY	Optimize decisions, resources, and systems to make long-term positive impacts on the environment, infrastructure, and safety
EQUITY	Remove barriers for systemically underserved communities to access all aspects of economic, social, and civic life