

FTA

FEDERAL TRANSIT ADMINISTRATION

State DOT SMR/Triennial Review Historical Data and 2019 Reviews

**SPT Annual Meeting
May 2019**



U.S. Department of Transportation
Federal Transit Administration

OVERVIEW

- State DOT's with FY 19 reviews
- Total of Open Findings for State DOTs
- Highest Review Area
- Highest Finding Area
- Trending Finding Area over the years
- Fiscal Year 19 Triennial/SMR Reviews
- New Section: Transit Asset Management

STATE DOTs

- Georgia Department of Transportation (GDOT)
- Kentucky Transportation Cabinet (KYTC)
- Puerto Rico Highway and Transportation Authority (PRHTA)
- Georgia Department of Human Services (GDHS)
- Mississippi Department of Transportation (MDOT)
- North Carolina Department of Transportation (NCDOT)
- **South Carolina Department of Transportation (SCDOT)**
- Tennessee Department of Transportation (TDOT)
- **Florida Department of Transportation (FDOT)**
- **Alabama Department of Transportation (ALDOT)**
- Virgin Islands Department of Public Works (VIDPW)

FY 2019 SMR/Triennial Reviews

- FY 2019 Review Guide:
 - <https://www.transit.dot.gov/fy19-comprehensive-review-guide>
 - The reformatting of the Comprehensive Review Guide (beginning in FY18) is part of FTA's ongoing commitment to the transit industry to improve consistency and transparency in its oversight reviews.
 - FTA anticipates that these changes will result in a more efficient review process that provides our recipients with a clearer understanding of what is expected during a Triennial or State Management Review, how FTA reviewers determine compliance, and why a finding of deficiency is made.

FY 2019 SMR/Triennial Reviews

- Each question in the review guide includes:
 - *Basic Requirement*: The minimum requirement to which all applicable recipients are expected to comply – directly tied to a law, regulation, circular, master agreement, or other binding guidance.
 - *Applicability*: Broad identification of the recipients to which the requirement applies.
 - *Explanation for Recipient*: A recipient-focused, expanded explanation of the basic requirement.
 - *Indicators of Compliance*: The questions FTA reviewers will answer to determine a recipient's compliance with the basic requirement.
 - *Instructions for Reviewer*: Specific instructions to FTA's reviewers about what and how to evaluate for compliance with each indicator.
 - *Potential Deficiency Determinations*: Condition(s) under which a recipient could be deficient along with suggested corrective action.
 - *Governing Directives*: Specific citations from law, regulation, circular, master agreement or other binding agreements that form the basis of the requirement for which a deficiency may be found.
 - *Areas of Concern for FTA Awareness*: Issues and concerns from reviewers for FTA awareness that may indicate a need for additional review and/or technical assistance.

FY 2019 SMR/Triennial Reviews

- New Section!
 - Section 6: Transit Asset Management
- Purpose of the this Review Area
 - Recipients must comply with 49 CFR part 625 to ensure public transportation providers develop and implement transit asset management (TAM) plans.
- FTA TAM
 - <https://www.transit.dot.gov/TAM/>

Transit Asset Management

QUESTIONS TO BE EXAMINED

- Has the recipient developed a TAM plan?
- Did the recipient develop the appropriate tier plan and does the plan have the required elements?
- Have TAM responsibilities been assigned to an accountable executive?
- Has the group plan sponsor fulfilled its obligations in the development of the group TAM plan?
- Have group plan participants fulfilled their obligations in the development and implementation of the group TAM plan?
- Has the recipient set performance targets annually?
- Does the recipient share its TAM plan, any supporting records or documents, performance targets, investment strategies, and annual condition assessment report with the state and/or metropolitan planning organization (MPO) that provides funding?
- Does the recipient monitor subrecipients for compliance with TAM requirements?

Transit Asset Management

INFORMATION NEEDED FROM RECIPIENT (RIR)

- *Recipients with individual TAM plans and group TAM plan sponsors*
 - TAM plan
 - National Transit Database (NTD) target report
 - Documentation of performance measures and targets
 - Documentation of the performance measures applied to the recipient's assets
 - Position and job description for Accountable Executive
 - Record of when the recipient's TAM plan, any supporting records or documents, performance targets, investment strategies, and the annual condition assessment report were provided to the state(s) and/or MPO that provide the recipient funding.

Transit Asset Management

INFORMATION NEEDED FROM RECIPIENT (RIR)

- *Group TAM plan sponsors*
 - Documentation of coordination with group plan participants
 - Notification from each group plan participant's accountable executive that the participant approves the group plan
 - A list of subrecipients that have opted out of a group plan and copies of all group plan opt-out letters
 - Documentation of the group plan sponsor making the TAM plan available to all participants in an easily accessible format
- *Group TAM plan participants*
 - Evidence that the recipient is participating in a group TAM plan, such as a listing of group plan Participants
- *Recipients with Tier I subrecipients or Tier II subrecipients who opted out of the group plan and are not direct recipients of FTA funds*
 - Oversight tools (checklists, site visit questionnaires) relating to TAM plans