

# FTA

FEDERAL TRANSIT ADMINISTRATION

## CTAA Expo State DOT Roundtable

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U.S. Department of Transportation  
Federal Transit Administration

# FY19 Review Status

- The FY19 State Management Reviews are now underway
  - They were significantly delayed this year due to government shut-down and transition to a new contract
- On-site workshops planned for all recipients receiving an SMR
- Site visits may extend into the next fiscal year

# FY19 SMRs

| FTA Office | State | Recipient Name  | Review           |     |
|------------|-------|---|------------------|-----|
| TRO-01     | CT    | Transportation, Connecticut Department Of             | State Management | TSC |
| TRO-01     | MA    | Transportation, Massachusetts Executive Office Of     | State Management | TSC |
| TRO-03     | MD    | Maryland Department of Transportation                 | State Management | TSC |
| TRO-03     | DE    | Transportation, Delaware Department Of                | State Management | TSC |
| TRO-03     | WV    | Transportation, West Virginia Department Of           | State Management | TSC |
| TRO-04     | SC    | Transportation SC Dept.                               | State Management | TSC |
| TRO-04     | AL    | Transportation, Alabama Dept. Of                      | State Management | TSC |
| TRO-04     | FL    | Transportation, Florida Department Of                 | State Management | TSC |
| TRO-05     | IN    | Transportation, Indiana Department Of                 | State Management | TSC |
| TRO-05     | MN    | Transportation, Minnesota Department Of               | State Management | TSC |
| TRO-06     | AR    | Arkansas Department Of Transportation                 | State Management | TSC |
| TRO-07     | MO    | Transportation, Missouri Department of                | State Management | TSC |
| TRO-08     | MT    | Transportation, Montana Department Of                 | State Management | TSC |
| TRO-09     | CA    | Transportation, California Department Of              | State Management | TSC |
| TRO-10     | AK    | Transportation And Public Facilities, Alaska Depar... | State Management | TSC |

# Oversight Tracking System (OTrak)

- FTA is modernizing its Oversight Tracking System (OTrak)
- For the first time, FTA recipients will have access to the system to complete key oversight tasks to include:
  - Updating recipient contact information/operations profile
  - Uploading information request responses
  - Submitting corrective actions
  - Requesting closure of findings
- Recipients will also be able to view the status and progress of a review, as well as determine the status of findings and corrective actions

# Oversight Tracking System (OTrak)

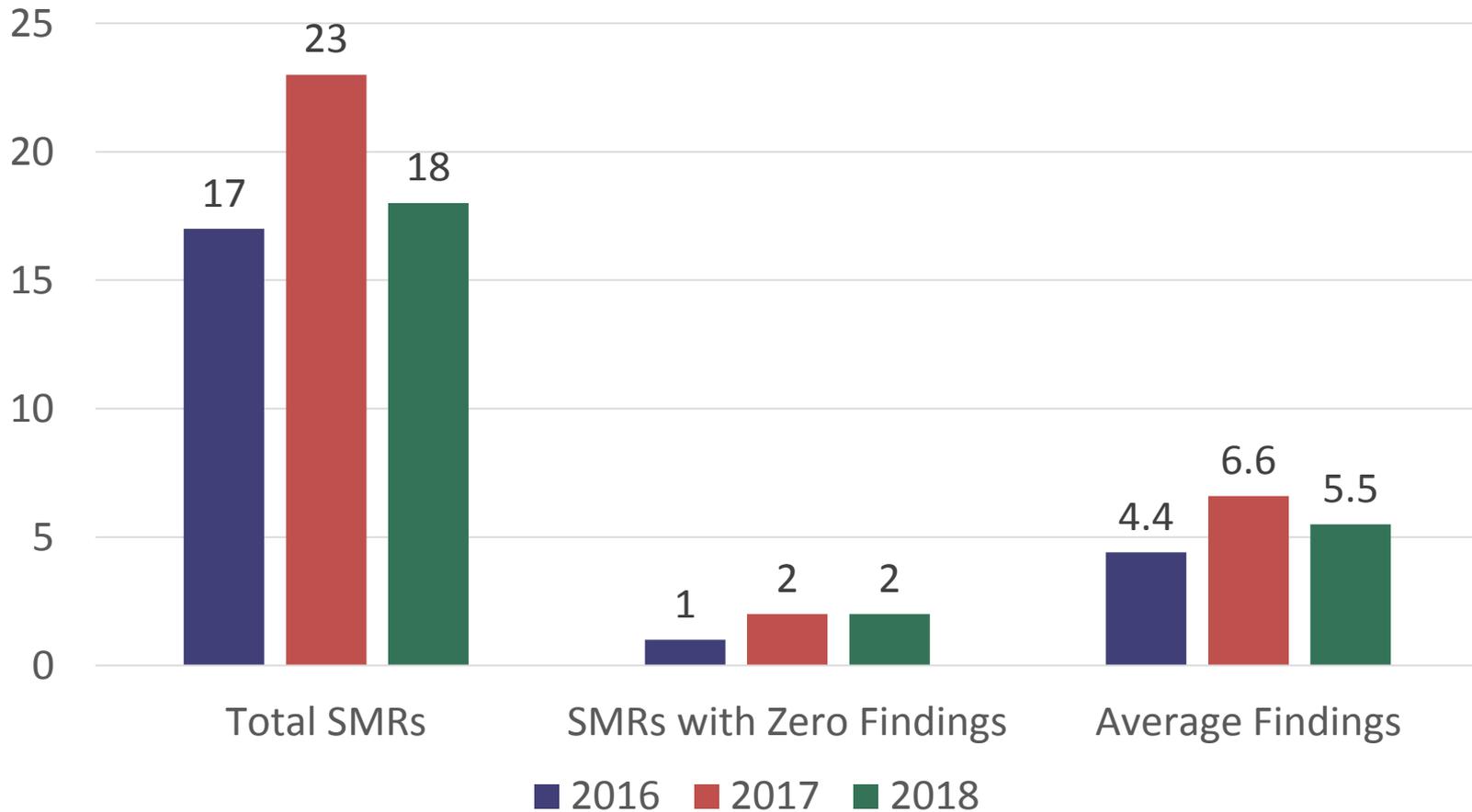
- FTA is targeting recipient access during the FY 2021 review cycle
- Over the next year we plan to gather additional requirements, conducts demos, and test the new system at various industry and partner events
  - Summer 2019: Virtual Focus Group
- Recipient training is scheduled beginning next summer via webinars, TR/SMR workshops, and hands-on review contractor training

# FY18 Program Oversight Activities

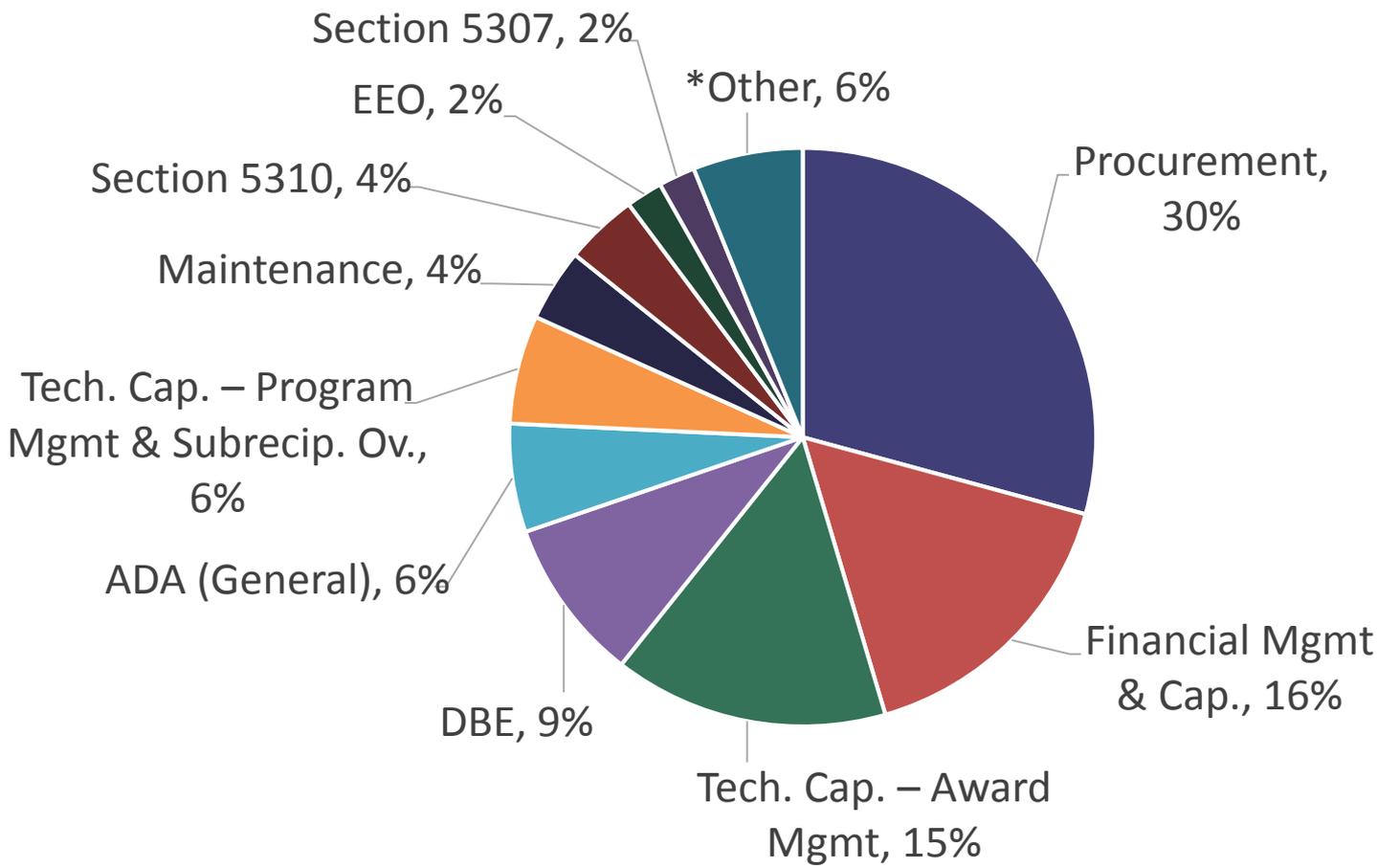
| <b>FY18 Comprehensive Reviews &amp; Technical Assistance</b> | <b>Qty</b> |
|--|------------|
| Triennial  | 227        |
| State Management   | 18         |
| Technical Assistance   | 11         |
|  | <b>256</b> |

| <b>Specialized Reviews Occurring in FY18</b> | <b>Qty</b> |
|--|------------|
| Civil Rights                                 | 10         |
| Financial Management Oversight               | 21         |
| Procurement                                  | 7          |
|  | <b>38</b>  |

# FY16-FY18 State Management Reviews (SMRs)

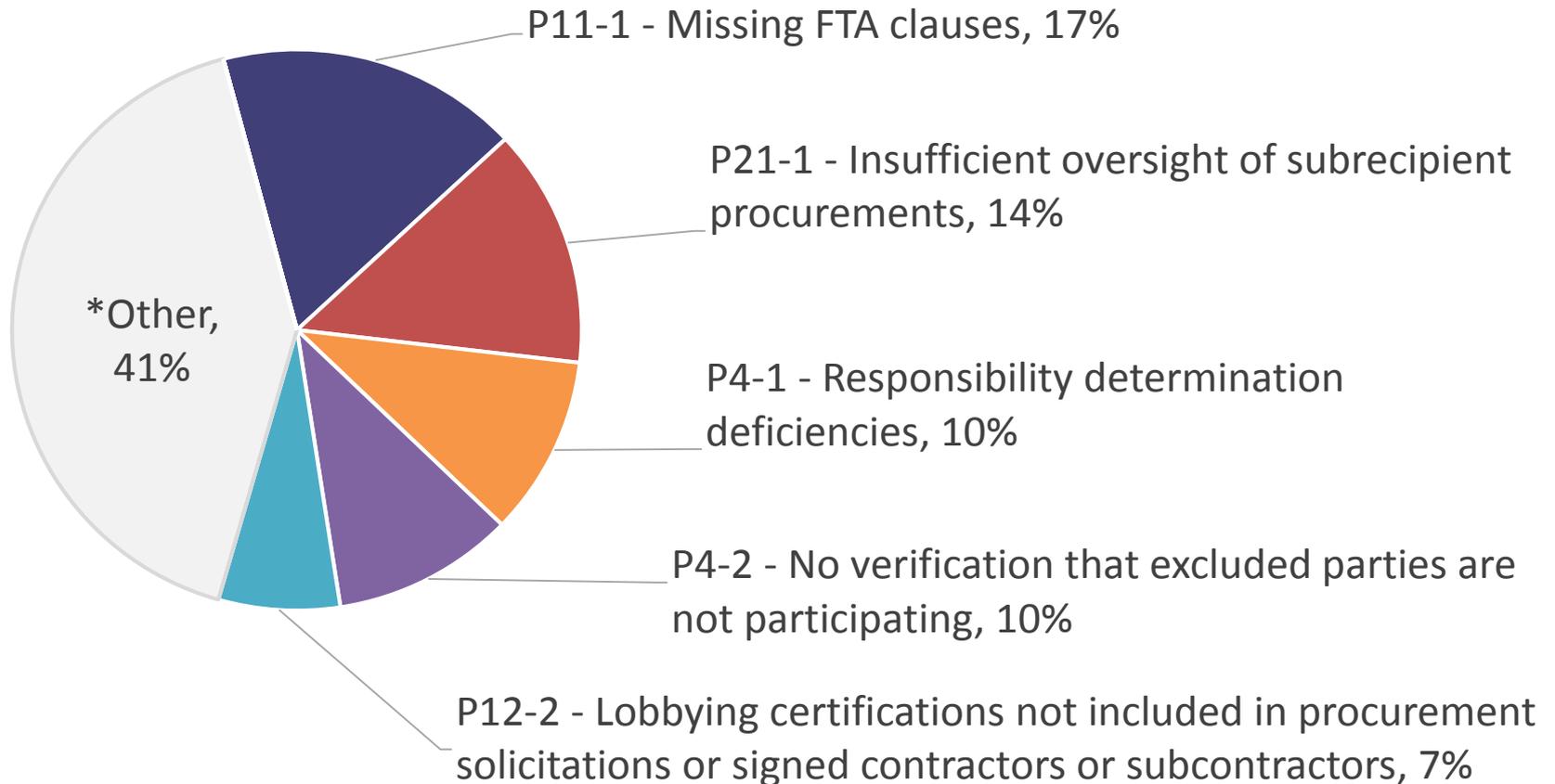


# FY18 SMR Findings by Review Area



\*Other (1% or less): ADA (Compl. Paratransit), Charter Bus, Drug & Alcohol Program, Satisfactory Continuing Control, Tech. Cap. (Project Mgmt), and Title VI.

# Top FY18 SMR Procurement Findings



# FY18 SMR Procurement Findings

| Finding   | # | %   |
|---|---|-----|
| P11-1 - Missing FTA clauses   | 5 | 17% |
| P21-1 - Insufficient oversight of subrecipient procurements   | 4 | 14% |
| P4-2 - No verification that excluded parties are not participating  | 3 | 10% |
| P4-1 - Responsibility determination deficiencies  | 3 | 10% |
| P12-2 - Lobbying certifications not included in procurement solicitations or signed contractors or subcontractors | 2 | 7%  |
| P7-2 - Improper use of geographic preferences   | 1 | 3%  |
| P6-1 - Contract administration system not implemented   | 1 | 3%  |
| P18-1 - No FTA approval for advance payments  | 1 | 3%  |
| P12-4 - Contract files lacking signed Buy America certifications  | 1 | 3%  |
| P18-2 - Federal interest not protected in advance/progress payments   | 1 | 3%  |
| P5-1 - Incomplete written documentation of procurement history  | 1 | 3%  |
| P20-2 - Pre-award and/or post-delivery audits not performed   | 1 | 3%  |
| P7-1 - Lacking full and open competition for one or more methods of procurement                                   | 1 | 3%  |
| P20-3 - Pre-award and/or post-delivery certifications lacking   | 1 | 3%  |
| P8-6 - Lacking required justification(s) and documentation for single-bid award(s)                                | 1 | 3%  |
| P1-1 - Procurement policies and procedures not evident  | 1 | 3%  |
| P2-2 - Incomplete standards of conduct  | 1 | 3%  |