



F E D E R A L T R A N S I T A D M I N I S T R A T I O N

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)

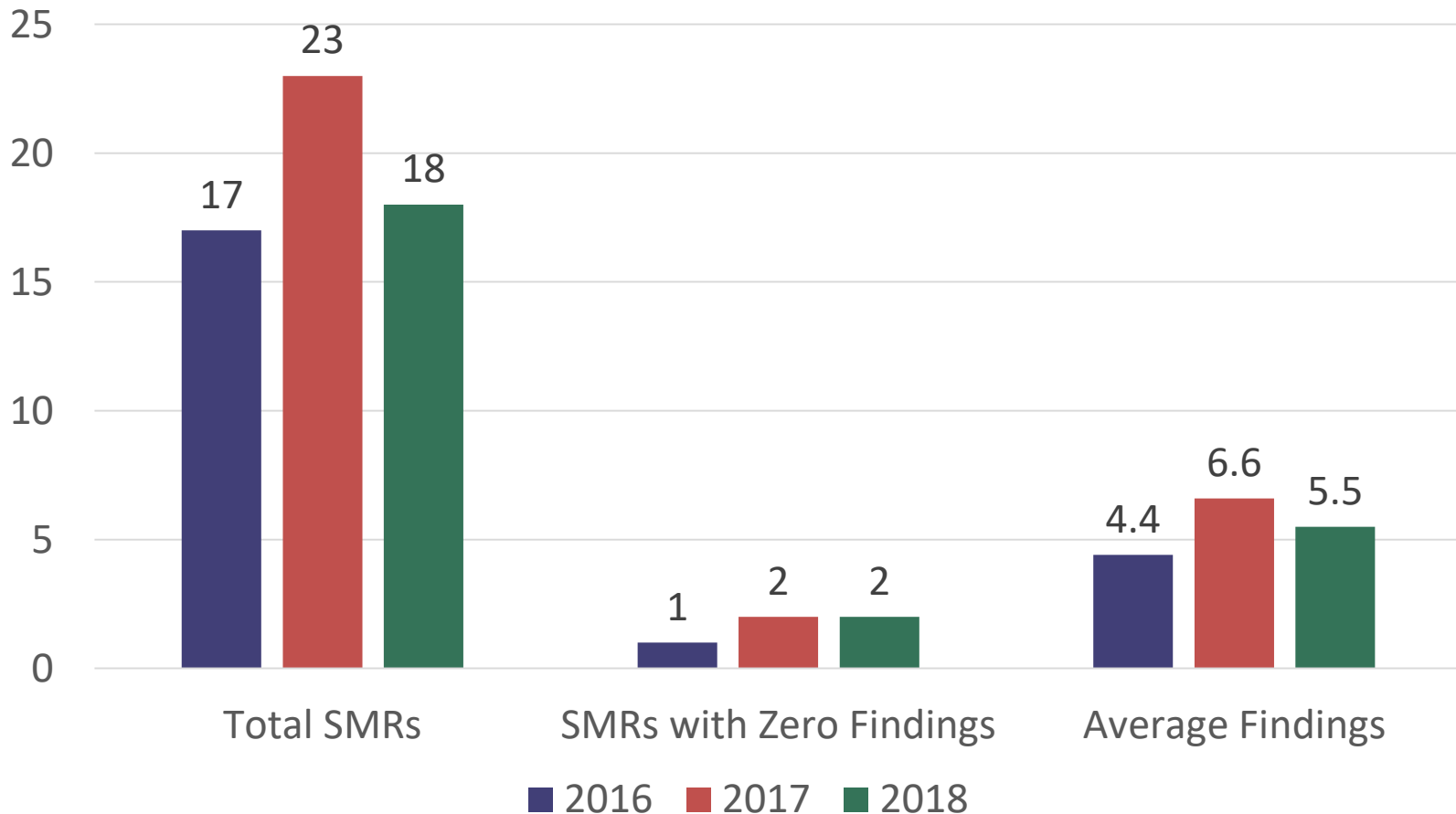
- FTA is targeting recipient access during the FY 2021 review cycle
- Over the next year we plan to gather additional requirements, conducts demos, and test the new system at various industry and partner events
 - Summer 2019: Virtual Focus Group
- Recipient training is scheduled beginning next summer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

FY18 Program Oversight Activities

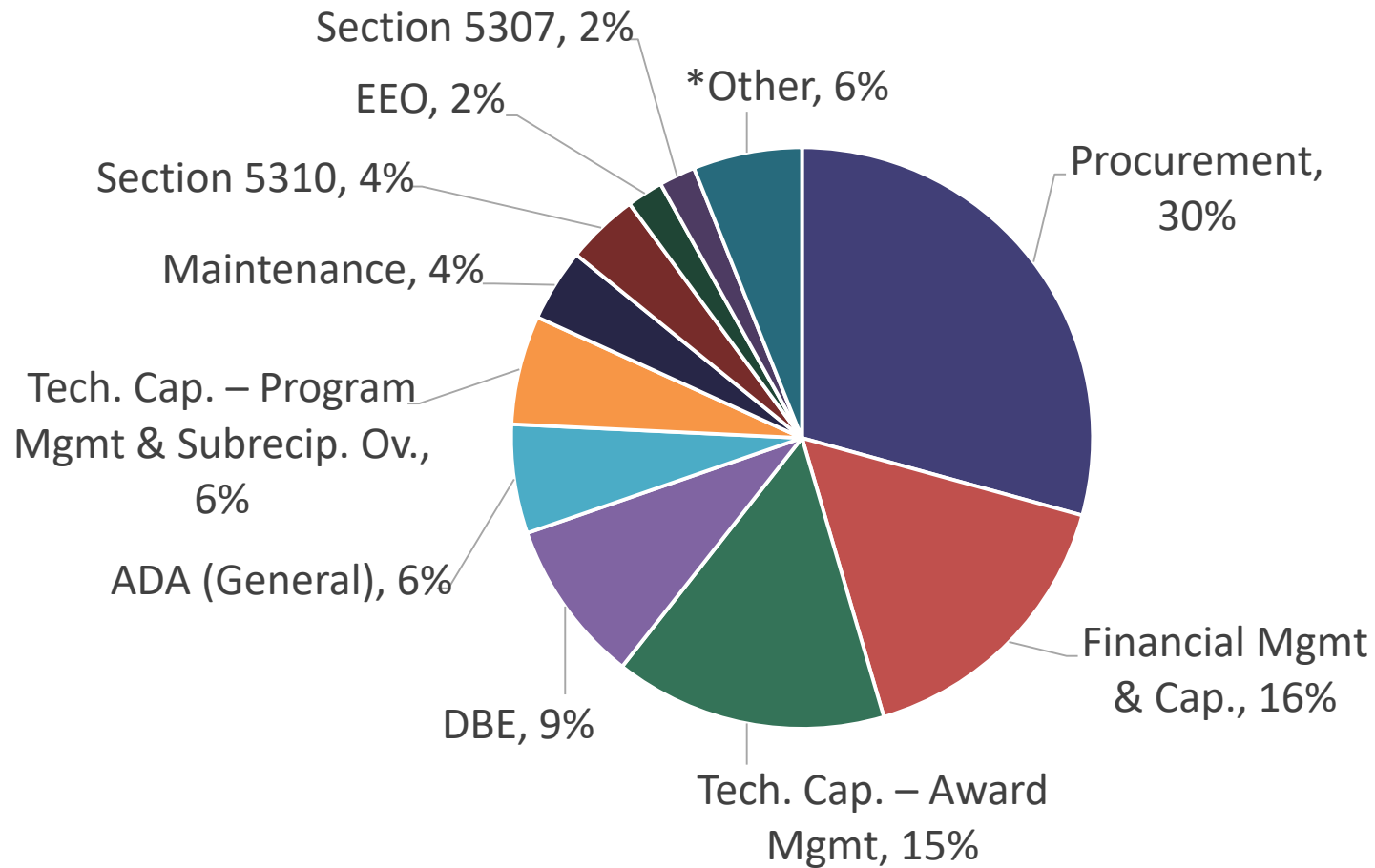
FY18 Comprehensive Reviews & Technical Assistance	Qty
Triennial	227
State Management	18
Technical Assistance	11
	256

Specialized Reviews Occurring in FY18	Qty
Civil Rights	10
Financial Management Oversight	21
Procurement	7
	38

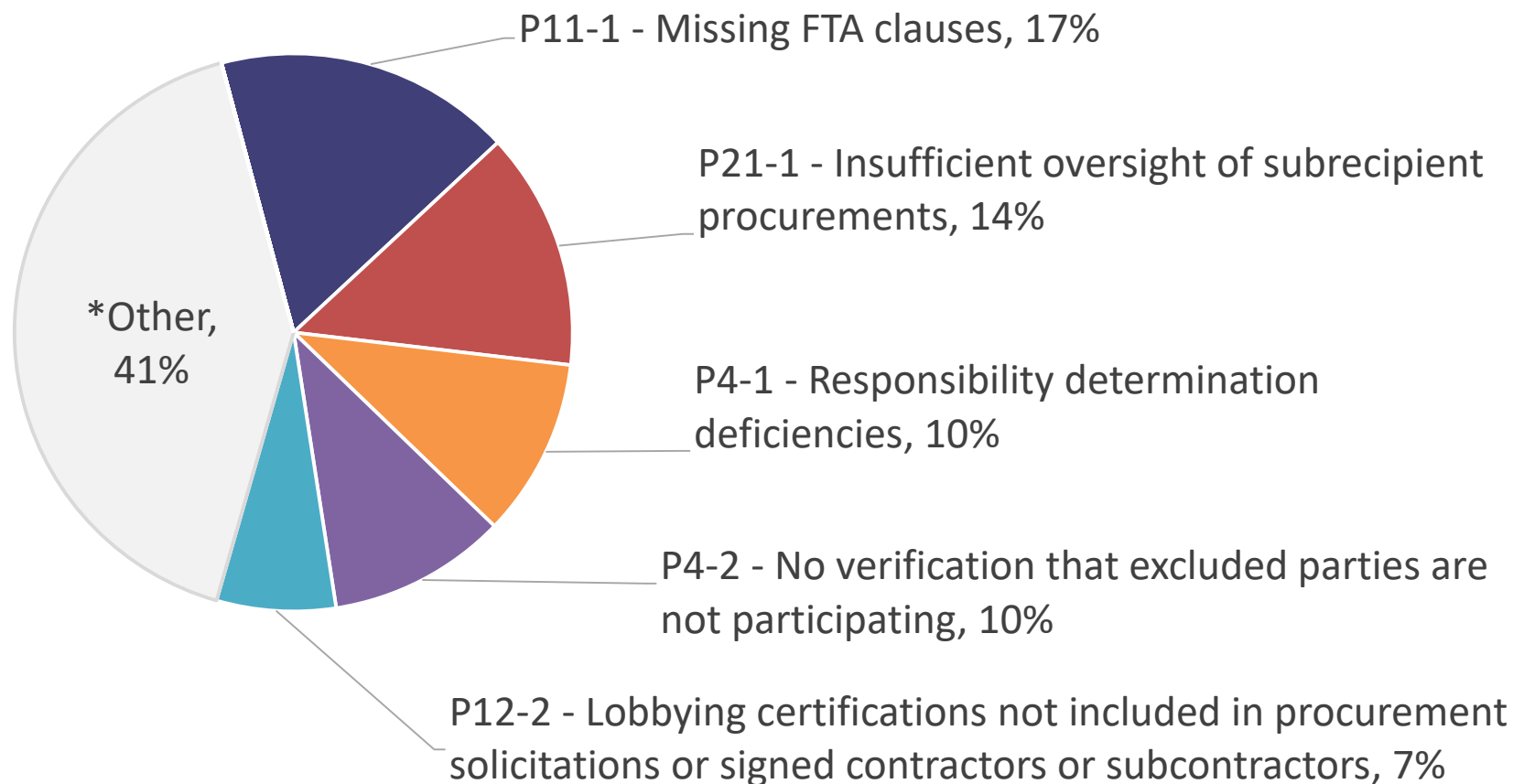
FY16-FY18 State Management Reviews (SMRs)



FY18 SMR Findings by Review Area



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%