



COLORADO

Department of
Transportation



TRAC (SMR Update)

July 13, 2018

1:00 PM



Agenda

- State Management Review 2015:
 - Overview
 - Findings
 - How did we address
- State Management Review 2018:
 - Recipient Information Request (RIR)
 - Site Visit





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2015 State Management Review (August 2015)



2015 State Management Review

- Review August 4-7, 2015
 - Visited RFTA (5311) and Via (5310)
- 13 Review Areas:
 - 23 Deficiencies in 10 Review Areas
- 40 Corrective Actions:
 - Closed Corrective Actions: February 2017.



2015 FTA Finding	Action	2018 Issue?
State Management Plan (SMP) Out of Date	Staff wrote an updated SMP, submitted to FTA in Oct 2017, Still not Approved	Possibly as the FTA has not approved the 2017 SMP
Inadequate Oversight of Subrecipients	Created the Subrecipient Information Request (SIR), conduct 16-20 Review Per Year	Documentation is Key to FTA
Ineligible Section 5310 Subrecipient	More robust Application, Award, and Grant Agreement Process	Documentation is Key
Progress Reports Lack Required Information	Created Program Measure Reports (PMRs) for 5310 in 2016, and Quarterly Reports for 5311 in 2018.	PMRs have been posted to TrAMS every quarter, and Milestones are tracked quarterly
Inactive Grants/Untimely Grant Closeouts	Have closed many grants, created the Grant Closeout form in COTRAMS	Many FTA Grants only have one project remaining, tracking grants and closing.
Incorrect FFR Reporting	Started Reporting the new FTA Represented Requested	Documentation is Key
No process to collect Lobbying Certifications and Disclosures	Every FTA Grant Agreement contains a Lobbying Certification, all FTA grantees must submit Annual Certs and Assurances in COTRAMS	Documentation is Key

2015 FTA Finding	Action	2018 Issue?
FFATA Reporting Deficiencies	All FTA Grants are reported in FFATA	Documentation is Key
No procedures for technical inspection/supervision of work in progress (vehicle grant)	Procurement Module (PCR, PA, NA, SA) Reimbursement Module, Grant Closeout, and Disposition Module all in COTRAMS	Documentation is Key
Procurement (No FTA Clauses)	Procurement Module (PCR, PA, NA, SA) used to track all procurements	Documentation is Key
Insufficient Oversight of Procurement	Procurement Module (PCR, PA, NA, SA) used to track all procurements (Grant Coordinators Provide Guidance)	Documentation is Key, State Price Agreements
Inadequate Designation of DBE Officer	DBE Liaison designated on CDOT Org. Chart.	Documentation is Key. Working closely with Civil Rights.
No Transit Vehicle Manufacture (TVM) Certification	Complete TVM survey for all FTA Procurement (at PA), require all FTA Procurement to select from TVM	Documentation is Key. Only award ADA vehicles, and contracts to TVMs.
DBE Public Participation Process Deficiencies	Meet DBE Goal	DBE threshold was increased, and threshold was met.

2015 FTA Finding	Action	2018 Issue?
DBE Uniform Reports, not submitted semi-annually	Semi-annual DBE Surveys conducted and Reports Submitted	Documentation is Key
DBE Policy Not Updated	DBE Policy Up to Date, including DBELO	Documentation is Key
Inadequate Control of Real Property	COTRAMS Inventory, Development Plan, and Transit Asset Management Plan	Need to collect Incidental Use
Facility/Equipment Maintenance Plan Lacking or Inadequate	All Federal Funded Facilities must have a Maintenance Plan, All Vehicle Operators submitting Maintenance Plan with SIR	Documentation is Key, in Application, SIR, and Program Document Requirements.
Warranty Claims Not Pursued Effectively	Grant Agreements require Warranty Claims, Part of SIR	Documentation is Key
Charter Bus Reporting Issues	Charter Activity Reported Every Quarter	Documentation is Key
Insufficient Oversight of School Bus	Part of the SIR, Annual Certs & Assurances, Technical Assistance	Documentation is Key

2015 FTA Finding	Action	2018 Issue?
Insufficient Oversight of Title VI	Reviewed and Approved Title VI Plans, Match to SIR	Documentation is Key
Failure to obtain EEO Plans from Subrecipient	Track EEO, Collect Plans, Part of SIR	Documentation is Key



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**2018 State Management Review (SMR)
(September 2018)**



2018 State Management Review

- Review September 10-13, 2018
 - Visit 1 – 5311, and 1 -5310 (TBD)
- Recipient Information Request (RIR)
 - 20 Review Areas
 - Legal (Lobbying)
 - Financial Management/Capacity
 - Technical Capacity – Award Management
 - Technical Capacity – Program Management
 - Technical Capacity – Project Management
 - Satisfactory Continuing Control
 - Maintenance
 - Procurement
 - DBE
 - Title VI
 - ADA - General
 - ADA – Complementary Paratransit
 - EEO
 - School Bus
 - Charter Bus
 - Drug-Free Workplace Act
 - Drug and Alcohol Program
 - Section 5307
 - Section 5310
 - Section 5311



2018 State Management Review

- Started Grantee Information Request (GIR)
 - March 2017 (Start to Answer 600+ Questions)
 - Team Meetings to Answer GIR Questions (March – August 2017)
 - Blue Team – Planning
 - Brown Team – Technical Capacity
 - Green Team – Financial Capacity
 - Orange Team – Operations
 - Yellow Team – Civil Rights
 - Purple Team – Procurement
- August 2017 – FTA changes SMR procedures from GIR (Questions) to RIR (Documents)
 - Utilize Trello to Compile Documents
- October 31, 2017
 - Receive request from Region 8 for FY 2018 State Management Review



2018 State Management Review

- Grantee Information Request (GIR)
 - 587 MBs of Data
 - Collected Documents, Completed Agency Profile, and Answered Questions
 - Used Google Drive to Collect Documents
 - Assigned individuals areas (30+ Staff Members Involved)
 - Submitted to Reviewer January 30, 2018. (Early!)



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What'cha been doin'?



The Last 3 Years....

- Legal/Lobbying....
 - Required Certification in all Grant Agreements, Annual Certification and Assurances now in COTRAMS
- Financial Management/Capacity
 - All Reimbursement Request are in COTRAMS, Managing 800-1,000 request per year at 25 Days to payment.
- Technical Capacity – Award Management
 - Managing FTA Grants in COTRAMS, reporting Quarterly, Meeting internally Monthly.
- Technical Capacity - Program Management
 - All Applications, Awards, Budgets, Scopes of Work, Procurement, Program Measure/Quarterly Reports, Reimbursement Request, Grant Closeout, Inventory, Disposition, and Program Documents in COTRAMS.
 - Created the SIR Process
 - Since June 2016 Conduct Monthly Transit Calls - Technical Assistance and Capacity Building.



The Last 3 Years....

- Satisfactory Continuing Control
 - All Inventory to be Reported in COTRAMS, SIR Oversight Process, Disposition Module
- Maintenance
 - Multiple Monthly Call Trainings, Provide a Maintenance Plan Template, Tracking Maintenance through SIR,
- Procurement
 - All procurement in COTRAMS (PRC, PA), Require TVM on FTA, State Price Agreements, All documents must be present to receive reimbursement.
- DBE
 - Complete survey every 6 Months, Develop and submit report.
- Title VI
 - Track all Title VI Plans, Review, and send Letters of Concurrence



The Last 3 Years....

- **ADA - General**
 - Review Agencies Website with SIR, Utilize RTAP Funds for Training (Regional, Conferneces and Webinar) Provided Templates,
- **EEO**
 - Tracking all Agencies, Transit Agencies must update profile on yearly basis to indicated number of Transit Related Employees, Collecting EEO Plans, Updating EEO Plans at SIR.
- **School Bus**
 - Utilize RTAP for Training, Assisted a Transit Agencies in acquiring and exemption.
- **Charter Bus**
 - Collect Charter Reports Quarterly, Submit to FTA, Communicate on every Monthly Call.
- **Drug and Alcohol Program**
 - FTA Conducted an Audit in 2016, have closed all findings, offer Technical Assistance through Oversight Agreement with RLS.



Comments/Questions?

Time for a Quiz



THANK YOU!