



COLORADO

Department of
Transportation



TRAC (SMR Update)

September 14, 2018

1:00 PM



Agenda

- State Management Review 2015:
 - Overview
 - Findings
- State Management Review 2018:
 - Recipient Information Request (RIR)
 - Site Visit
 - Draft Findings
 - Draft Corrective Actions





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2015 State Management Review



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.





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2018 State Management Review (SMR)
(September 2018)



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

- Review September 10-13, 2018
 - Visit 1 – 5311, and 1 -5310 (SRDA and SCCOG)
- 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

- Recipient Information Request (RIR)
 - 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!)



2018 State Management Review

- RIR 2.0
 - Responded to the Site Visit Notification Package
 - Revised Site Visit Notification Package – Received August 24th.
 - 182 MB of more data – Submitted: September 7th
- RIR 3.0
 - Week of Site Visit
 - Reviewers requested another 49 MB of data.



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So, How did it go?



2018 State Management Review

- Review: September 10th – 13th, 2018
 - Visited SCCOG and SRDA
- 20 Review Areas:
 - 8 Draft Deficiencies in 3 Review Areas
- 14 Draft Corrective Actions:
 - To Close by February 14, 2019.



Area	2018 FTA Finding	Corrective Actions
Maintenance	<p>Inadequate oversight of subrecipient, contractor or lessee maintenance activities</p> <p>Inadequate Oversight of Subrecipients</p>	<p>Submit to the FTA regional office improved oversight procedures that include documentation of the review of preventive maintenance records and the maintenance of ADA features.</p>
		<p>Submit to the FTA regional office documentation that the updated oversight procedures were implemented.</p>
Procurement	<p>Responsibility determination deficiencies</p>	<p>Submit to the FTA regional office documentation of an implemented process to make adequate responsibility determinations for professional services contracts prior to award of a contract.</p>
		<p>For the next professional services procurement, submit to the FTA regional office documentation that adequate responsibility determinations were made prior to award of a contract..</p>

Area	2018 FTA Finding	Corrective Actions
Procurement	No verification that excluded parties are not participating	Submit to the FTA regional office procedures for making excluded party determinations before entering into professional services contracts.
		For the next applicable professional services contracts procurement, submit to the FTA regional office documentation that the required excluded party determinations were made before entering into applicable transactions.
	Lacking required justification and documentation for single-bid award	Submit to the FTA regional office evidence of an implemented policy to ensure that future single bid professional services procurements are properly documented.

Area	2018 FTA Finding	Corrective Actions
Procurement	Missing FTA clauses	Submit to the FTA regional office revised procurement procedures that address inclusion of all FTA-required third party contract clauses through use of a clause checklist or other mechanism for professional services contracts.
		For the next professional services procurement, submit to the FTA regional office documentation that the required contract clauses have been included.
	Lobbying certifications not included in procurement solicitations or signed by contractors or subcontractors	Submit to the FTA regional office procedures for obtaining signed lobbying certifications for professional services procurements.
		Submit to the FTA regional office copies of the signed lobbying certifications for the professional services FTA-funded procurements reviewed during the site visit.

Area	2018 FTA Finding	Corrective Actions
Procurement	Insufficient oversight of subrecipient procurements	<p>Submit to the FTA regional office documentation that CDOT has implemented a program to monitor its subrecipients' procurement process to ensure compliance with applicable requirements.</p>
		<p>Submit to the FTA regional office documentation that CDOT has implemented its oversight procedures to monitor subrecipient's procurement processes.</p>
Americans with Disabilities Act (ADA) - General	Insufficient oversight of subrecipients for ADA requirements	<p>Submit to the FTA regional civil rights officer procedures for ensuring that subrecipients' websites comply with the relevant US DOT ADA requirements including complaint process and reasonable modification and evidence of implementation. This information must be easily available on the websites..</p>



Comments/Questions?



THANK YOU!