U.S. Department of Transportation
Federal Transit Administration

FTA OVERSIGHT
PROGRAMS

FTA Region IV 2008 Conference
Session Outline

• Annual Grantee Assessment
• Oversight Activities
  – Reviews (General, Program Specific, Project Level)
  – Seminars
• Triennial Review
• Financial Management Oversight (FMO) Reviews
• Project Management Oversight Program
• Lessons Learned Highlights
  – Realistic Cost Estimates, Schedules, and Funding Scenarios
  – Demonstrate Readiness: Tie Up All Loose Ends
Annual Grantee Assessment

- **FTA Annual Assessment**
  - Performed by the Regional Offices
  - Determines Level of Oversight

- **Assessment Areas**
  - Grant Administration
  - Grantee Profile
  - Property Management
  - Financial Management
  - Procurement Management
Annual Grantee Assessment

- **Assessment Areas (cont’d)**
  - Technology Deployment
  - Safety and Security
  - Planning
  - Civil Rights

- **Rating Determines Level of Oversight**
  - Low, Medium or High
  - Program Specific Reviews May Result
Oversight Activities

- **General Reviews**
  - Triennial Review
    - Mandated by Law
    - Covers Broad Range of Requirements
  - State Management Review
    - Conducted on States only
    - Used to determine States compliance with FTA Requirements

- **Program Specific Reviews**
  - Procurement System
  - Financial Management
Oversight Activities

- **Program Specific Reviews (cont)**
  - **Safety and Security**
    - Drug and Alcohol Program
    - Security – Readiness Assessment
    - State Safety
  - **Civil Rights**
    - Americans with Disabilities Act (ADA)
      - Key Station
      - Fixed Route
      - Complementary Paratransit
    - Disadvantaged Business Enterprise
    - Equal Employment Opportunity (EEO)
    - Title VI
Oversight Activities

• **Project Level Reviews**
  - Project Management Oversight
  - Financial Capacity Assessments
Seminars

- Triennial Review Workshop
- State Management Review Seminar
- Financial Management Oversight Seminar
- Third Party Procurement Seminar
- National Transit Database Seminar
- Drug and Alcohol Program Seminar
Triennial Review

• Conduct Desk Review
• Prepare Site Visit Agenda Package
  - Part A: Grantee Profile
  - Part B: Level of Effort
  - Part C: Documents Needed
  - Part D: Questions for the Review
• Receive Grantee Input
  - Copies of Documents
  - Written Answers to Questions
Triennial Review

- Finalize Site Visit Schedule
- Conduct Site Visit
- Prepare Draft Report
- Review of Draft Report*
- Finalize Draft Report
- Prepare Final Report

* during Site Visit Exit Conference
Financial Management Oversight

**FMO Program**
- Initiated in 1991
- Contractor-Assisted Program
- Following Independent Professional Standards
FMO Reviews

- Full Scope Systems Review
- Follow-up Review
- Special Assignment
- Financial Capacity Assessments
• Overview of FTA’s Project Management Oversight Program
• How much technical and management capability is needed . . And when ?
• What’s a Project Management Plan ?
• What’s a Fleet Management Plan ?
• Lessons Learned
PMO Program Elements

• PMO Contractor an Extension of FTA Staff:
  - Project Management
  - Construction Management
  - Technical Capacity

• PMO Monitors Project Progress:
  - Schedule and Budget
  - Conformance with Design Criteria
  - Construction to Approved Specifications

• PMO Also Provides Technical Guidance to Grantee
Program Management Plan

- Document prepared by grantee defining all tasks and responsibilities necessary to implement project
- Draft required for preliminary engineering approval
- Updated throughout project development, and required for final design approval
Key Components of the PMP

- Project Organization and Staffing
- Grants and EEO/DBE Administration
- Project Management and Control
- Contracts/Procurement Management
- Real Estate Acquisition Program
- Design and Construction Management
- System Testing and Start-up
- Safety and Environmental
- Quality Assurance/Quality Control Program
- Risk Management and Insurance
- Public Relations
- FTA Coordination
Fleet Management Plans

- **Rail Fleet Management Plan** required for all agencies with an existing rail system or in the New Starts approval process.
- **Bus Fleet Management Plan** required for all agencies in the New Starts approval process to ensure that bus service not degraded during design, construction, and in-service.
- Developed during **PE**, and required for **Final Design** approval.
• Planned System and Service Expansions
• Demand for Revenue Vehicles
  - Ridership
  - Operating Policies
• - Peak Vehicle Requirements
• - Spare Ratio and Justifications
• Supply of Revenue Vehicles
• Revenue Vehicle Supply/Demand Balance
• Fleet Reliability and Maintenance
Bus Fleet Management Plan

• Acquisition and maintenance plan for bus fleet and facilities for current and projected level of service and ridership
• Quality of service measures and adequate monitoring of bus service
• Capital and operating funding requirements for projected bus services
Oversight Activities

Lessons Learned

Highlights:
• Realistic Capital Cost Estimates and Assumptions
• Reasonable Contingencies (related to phase of planning and project development)
• System and Project Capital Replacement and Annual Operating and Maintenance Costs
• System and Project Operating Plan
• Avoid Overly-Ambitious, Unrealistic Schedules
• Careful Assumptions on Total and Annual New Starts Funding (Review Historical Levels)
Demonstrate Readiness: Tie Up All Loose Ends

- All NEPA Work Completed
- Compliance with Metropolitan Planning and Air Quality Conformity Requirements
- Environmental Justice Issues Addressed
- Right-of-Way Issues Resolved
- Technical Capability Demonstrated
- Compliance with other Federal Requirements
- Confidence in Cost Estimates/Engineering
- Guard Those Local Funding Sources
- Maintain Local Consensus