



# U.S. Department of Transportation Federal Transit Administration

## Oversight: State Management Reviews

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State Programs Team Semi-Annual Meeting  
Charlotte, NC





# Overview

- SMR Overview
- SMR Process
- FY 2008 Update
- Summary of Substantive Changes
- FY 2007 SMR Findings





# SMR Overview

- State management reviews assess state management practices and program implementation of the Formula Grants for Special Needs of Elderly Individuals and Individuals with Disabilities Program (5310), the Formula Grants for Other than Urbanized Areas Program (5311), the Capital Investments Grants Program (5309), the Formula Grants for Job Access and Reverse Commute Program (5316) and the Formula Grants for the New Freedom Program (5317) to ensure that they are being administered in accordance with Federal Transit Administration (FTA) requirements and are meeting program objectives.





# SMR Overview

- Program guidance for the Section 5310, 5311, 5316, and 5317 programs requires that, starting in Fiscal Year 2008, State Management Reviews be conducted every three years.
- Section 5316 (Job Access Reverse Commute Program) and Section 5317 (New Freedom Program) are new to the SMR process as of fiscal year 2008.





# SMR Process

- FTA Headquarters develops list of states subject to SMR
- FTA selects SMR contractor
- Desk Reviews – FTA Region Offices
- Agenda Packages
- Review/Draft Report
- Final Report/Corrective Action





# SMR Process

1. Program Management
2. Grants Administration
3. Selection and Eligibility of Subrecipients and Projects
4. Financial Management and Monitoring
5. Intercity Bus Program – Section 5311(f)
6. Rural Transit Assistance Program (RTAP)
7. Satisfactory Continuing Control
8. Maintenance
9. Competitive Procurement
10. Buy America
11. Debarment and Suspension
12. Restrictions on Lobbying
13. Planning and Coordinating
14. Transportation Services for Individuals with Disabilities
15. Civil Rights
16. FTA Drug & Alcohol Program and Drug-Free Workplace
17. Charter Bus Protection
18. School Bus Protections
19. State Safety Oversight - Rail Fixed Guideway Systems





# FY 2008 Update

## Region IV States for SMRs in FY 2008:

- Tennessee DOT
  - North Carolina DOT
  - Kentucky Transportation Cabinet
  - Mississippi DOT
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- Future SMRs
    - FY 2009 – Puerto Rico
    - FY 2010 – ALDOT, FDOT, SCDOT





# FY 2008 Update

- FY 2008 SMR Handbook will be available on the FTA website by the end of the month
- FY 2008 SMR Contractors selected by May 2008
- Coordinate SMR Workshop in Atlanta with next State Programs Team Meeting in September
- Website for information:
  - [http://www.fta.dot.gov/funding/oversight/grants\\_financing\\_98.html](http://www.fta.dot.gov/funding/oversight/grants_financing_98.html)





# Summary of Substantive Changes

- General
  - Background, guidance and citations for Section 5309, 5316 and 5317 have been added throughout the review and provided in the Handbook





# Summary of Substantive Changes

- Grants Administration
  - New NTD reporting requirements for Section 5311
- Selection & Eligibility
  - Inclusion of background on those states that can use 1/3 of their 5310 apportionment for operations
  - Eligible subrecipients and matching requirements for Section 5316 and 5317 programs
  - States process for evaluation and selection of Section 5316 and 5317 programs





# Summary of Substantive Changes

- Intercity Bus
  - New requirement for consultation with affected intercity bus providers and certification process
- Civil Rights
  - Limited English Proficiency requirements
  - Public Notice to Beneficiaries
  - Triennial submission of the Title VI Plan
- In the FY 2008 Workbook:
  - New Appendix A – Sample Site Visit Agenda Package
  - New Appendix B – Sample Site Visit Report





# FY 2007 Findings

- Procurement
  - FTA clauses missing in contracts
- Satisfactory Continuing Control
  - No inventory of federally funded facilities and real property or schedule to develop an inventory
- Americans with Disabilities
  - Lack of policy that personal care attendants right at no charge
  - No policy for persons with portable oxygen tanks





# FY 2007 Findings

- Civil Rights
  - Missing approved EEO plan
  - DBE goals not established in contracts
- Maintenance
  - No procedures for preventative maintenance scheduling of federally funding rolling stock





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