



U.S. Department of Transportation
Federal Transit Administration

FINANCIAL
MANAGEMENT
SYSTEMS
SEMINARS
1999/2000



U.S. Department
of Transportation
**Federal Transit
Administration**

Administrator

400 Seventh St., S.W.
Washington, D.C. 20590

OCT 29 1998

C-98-29

Dear Colleague:

The Federal Transit Administration (FTA) is pleased to announce a new schedule of Financial Management Systems seminars. Contained in this brochure are the dates and locations for the 1999/2000 seminars. This seminar schedule is for a two-year period based on feedback received from seminar participants requesting advance notification of seminars for internal planning. We feel that the new two-year schedule of seminars will meet your needs.

For 1999, the seminars will be located in the following cities: Chicago, Los Angeles, New York City and Washington, DC. For the year 2000, locations include: Boston, Dallas and Seattle. These seminars are another part of our ongoing oversight efforts to enhance financial management systems throughout the transit industry, consistent with the objectives of our Financial Management Oversight program.

The 1999/2000 seminars include a new training module on Financial Capacity Assessments. These reviews are conducted to assess the grantee's financial capacity to meet Full Funding Grant Agreement obligations on major investment projects prior to or after committing Federal funds.

The two-day seminar provides a forum for assessing financial and operating risks, as well as learning about good internal control concepts and the importance of internal audit departments. Working together, we can help ensure a better understanding of how to establish and maintain financial management systems that meet the requirements of the Common Rule (49 CFR, Part 18).

The FTA encourages chief financial officers, internal auditors, and financial, project and grant managers to take advantage of these seminars. To assure attendance at the seminar of your choice, please complete and return the registration form prior to the deadlines.

Sincerely,



Gordon J. Linton



OVERVIEW

The Federal Transit Administration (FTA) is responsible for administering billions of dollars worth of financial assistance to the transit industry each year. Through its Financial Management Oversight (FMO) program, the FTA seeks to help grantees improve their financial management of FTA grants. The FTA is sponsoring this series of seminars to prepare grantees for FMO reviews and to enhance and refine their financial management systems to meet the standards established by the Common Rule. The seminars will begin with introductory remarks by key FTA personnel and training instructors followed by a description of the FMO review process. The instructors will also lead a review of sound internal control concepts and will provide the participants with exercises and case studies patterned after actual FMO reviews. A section has also been added that addresses Financial Capacity Reviews.

Some of the best instruction comes during the exercises and case studies when participants have opportunities to share their own experiences. Response from the first series of seminars indicates these to be the most informative sessions during the two days.

The seminar will also address particular areas of financial management concern including the financial status reporting process, budget changes and grant amendments, cash management issues, and cost allocation plans.

The seminar format provides for individual questions throughout the sessions with additional time after sessions and during breaks. FTA will provide a workbook and other training materials at each seminar.

SEMINAR SCHEDULE 1999/2000 WHO SHOULD ATTEND?

GRANTEES WITH FEWER THAN 300 VEHICLES:

- Executive Director/ General Manager
- Chief Financial Officer
- Controller
- Director of Accounting
- Director of Grants Management
- Director of Project Management
- Director of Budget and Planning

SESSION 1
Chicago, IL
December 17 & 18, 1998

SESSION 2
Los Angeles, CA
February 10 & 11, 1999

SESSION 3
New York, NY
June 30 & July 1, 1999

SESSION 4
Washington, DC
August 25 & 26, 1999

SESSION 5
Boston, MA
November 17 & 18, 1999

SESSION 6
Dallas, TX
March 1 & 2, 2000

GRANTEES WITH MORE THAN 300 VEHICLES:

- Chief Financial Officer
- Director of Finance
- Controller
- Director of Accounting
- Accounting Supervisor
- Director/Managers of Internal Audit
- Director of Grants Management
- Director of Project Management
- Director of Budget and Finance
- Director of Planning

NOTE!
YOU MUST
PRE-REGISTER FOR THE SEMINAR OF
YOUR CHOICE.
A LIMITED NUMBER OF SEATS ARE
AVAILABLE FOR EACH SESSION.
REGISTER
EARLY TO ENSURE
ACCEPTANCE.

SESSION 7
Seattle, WA
May 10 & 11, 2000

SPEAKERS

Edward Fleischman—Director, Office Oversight—FTA. Mr. Fleischman is responsible for all aspects of the FTA oversight programs including engineering, project management, and oversight reviews. He has over 25 years experience in transportation planning, engineering, and administration.

Marvin Futrell—Chief, Oversight Review Division—FTA. Mr. Futrell's responsibilities include triennial and state management reviews, financial management oversight reviews, procurement systems reviews, and audit resolution. He also has over 25 years experience in transportation management, planning, and engineering.

Nydia Picayo—Program Manager, Financial Management Oversight—FTA. Ms. Picayo's responsibilities include all program management functions of the financial management oversight program. Before joining the FTA headquarters' staff in 1991, she was responsible for the financial management of grants including project close-outs and audits in FTA's region IX. She also served as the regional internal controls specialist.

INSTRUCTORS

John Milligan—Owner, The Firm of John Milligan CPA (JMCPA). Mr. Milligan started his accounting firm in 1985. Prior to this, he worked over nine years at Coopers & Lybrand, an international accounting firm. Mr. Milligan has served as project manager for numerous Financial Management Oversight (FMO) reviews since 1991. Several of these reviews have included the nation's largest transit operators. Mr. Milligan performed various special reviews for the FTA over the past several years, including the financial capacity reviews. Mr. Milligan has lectured on the FMO process and on third party contracting requirements of 4220.1D. Mr. Milligan has also been involved with triennial reviews.

Henry G. Kirschenmann—SGI. Mr. Kirschenmann was formerly the deputy assistant secretary for procurement, assistance, and logistics for the U.S. Department of Health and Human Services. For over twenty years, Mr. Kirschenmann has played a key role in the development and issuance of policies and procedures related to grants and contracts awarded by the Federal government.

Charles Holmes, CPA—The Firm of John Milligan CPA (JMCPA). Mr. Holmes has over 12 years of diversified public accounting experience. Prior to joining JMCPA, he worked at Coopers and Lybrand for five years. Mr. Holmes has served as senior manager for over 20 FMO reviews including NJT, MBTA and NORTA. Mr. Holmes has also performed various special project reviews for the FTA.

AGENDA

DAY ONE (8:30AM–4:30PM)

- ▣ Registration
coffee and pastries
- ▣ Opening remarks and introductions
- ▣ Common Rule financial management standards
- ▣ Break
coffee and soft drinks
- ▣ The Financial Management Oversight process
- ▣ Single Audit versus FMO
- ▣ Lunch
on your own
- ▣ Review of financial management system controls
- ▣ Break
coffee and soft drinks
- ▣ Case studies–group discussions
- ▣ Summary of day

DAY TWO (8:30AM–3:30PM)

- ▣ *Coffee and pastries*
- ▣ Circular A-87
- ▣ Break
coffee and soft drinks
- ▣ Risk Assessment
- ▣ Internal Audit
- ▣ Lunch
on your own
- ▣ Financial Status Reports
- ▣ Budget Changes
- ▣ Cash Management
- ▣ Break
coffee and soft drinks
- ▣ Cost Allocation Plans
- ▣ Force Account
- ▣ Financial Capacity Reviews
- ▣ Summary of seminar
- ▣ Course evaluation

To register for a seminar, complete the attached registration form located in the back of this brochure and submit it by facsimile to Bonnie Miller at (215) 496-0980. Within 48 hours, you will receive a confirmation letter. Registrations should be received no later than four weeks before the seminar dates. SPACE FOR EACH SEMINAR IS LIMITED AND WILL BE FILLED ON A FIRST COME, FIRST SERVED BASIS.

A block of rooms at special seminar rates is available at each of the hotels. Once registered for the seminar, contact the listed hotel for your personal room reservations. When making reservations, mention the FEDERAL TRANSIT ADMINISTRATION FINANCIAL MANAGEMENT SYSTEMS SEMINAR. The special rates are available to seminar attendees up to four weeks prior to the seminar.

If you should need further information regarding registration, please call Bonnie Miller (215) 496-9100, x160. ATTENDANCE AT EACH SEMINAR WILL BE LIMITED TO 50 PARTICIPANTS TO ENCOURAGE DISCUSSION AND INTERACTION.

Registration will be accepted on a first come, first served basis; however, priority may be given to grantees with pending FMO reviews. PLEASE NOTE: Each agency may be limited to two persons to accommodate as many agencies as possible. Please submit a separate registration form for each participant.

SESSION 1

CHICAGO, IL
 The Westin Michigan Avenue
 909 N. Michigan Avenue
 Chicago, IL 60611
 1-312-943-7200
 Rate \$103 + tax
 (Deluxe Single)
 \$133 + tax
 (Tower Single)
 Reservations by 11/22/98

SESSION 2

LOS ANGELES, CA
 The New Otani
 120 S. Los Angeles Street
 Los Angeles, CA 90012
 1-213-629-1200
 Rate \$109 + tax
 Reservations by 1/26/99

SESSION 3

NEW YORK, NY
 Crowne Plaza
 1605 Broadway
 @ 49th Street
 New York, NY 10019
 1-212-088-4000
 Rate \$198 + tax
 Reservations by 5/30/99

SESSION 4

WASHINGTON, DC –
 METRO AREA
 The Ritz-Carlton
 Pentagon City
 1250 South Hayes Street
 Arlington, VA 22202
 1-703-415-5000
 Rate \$115 + tax
 Reservations by 7/24/99

SESSION 5

BOSTON, MA
 Swissôtel
 One Avenue de LaFayette
 Boston, MA 02111
 1-617-451-2600
 Rate \$103 + tax
 Reservations by 10/16/99

SESSION 6

DALLAS, TX
 DoubleTree
 Campbell Centre
 8250 North Central Expy
 Dallas, TX 75206
 1-214-691-8700
 Rate \$94 + tax
 Reservations by 2/15/00

SESSION 7

SEATTLE, WA
 Renaissance Madison Hotel
 515 Madison Street
 Seattle, WA 98104
 1-206-583-0300
 Rate \$116 + tax
 Reservations by 4/10/00

REGISTRATION FORM

I am interested in attending the Financial Management Systems Seminar. Please register me for the following session:

- SESSION 1—Chicago, IL: December 17-18, 1998
- SESSION 2—Los Angeles, CA: February 10-11, 1999
- SESSION 3—New York, NY: June 30-July 1, 1999
- SESSION 4—Washington, DC: August, 25-26, 1999
- SESSION 5—Boston, MA: November, 17-18, 1999
- SESSION 6—Dallas, TX: March 1-2, 2000
- SESSION 7—Seattle, WA: May 10-11, 2000

Name: _____

Title: _____

Agency: _____

Address: _____

City/State/Zip: _____

Phone No: _____ Fax No: _____

*Please fax this registration form to (215) 496-0980
attention: Bonnie Miller for immediate action
(Note: One form per participant, please.)*

Registration will be confirmed within 48 hours of receipt of your form. Please ensure telephone and fax numbers are provided.

Call Bonnie Miller at (215) 496-9100, x160 if you need additional information regarding the seminars.

How did you find out about this seminar?

- ___ Brochure mailing
- ___ APTA ad
- ___ FTA website
- ___ Other _____