

# APTA's TRANSform Conference & EXPO

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U.S. Department of Transportation  
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# FY 2021 Triennial and State Management Review Findings and Observations

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Federal Procedures Subcommittee Meeting



# FY 21 Triennial and State Management Reviews

Region	Triennial	State Management Reviews	Region Total
TRO-01	11	2	<b>13</b>
TRO-02	10		<b>10</b>
TRO-03	20	2	<b>22</b>
TRO-04	47	5	<b>52</b>
TRO-05	39	1	<b>40</b>
TRO-06	26	2	<b>28</b>
TRO-07	12	2	<b>14</b>
TRO-08	8	3	<b>11</b>
TRO-09	31	4	<b>35</b>
TRO-10	12	1	<b>13</b>
<b>Review Total</b>	<b>216</b>	<b>22</b>	<b>238</b>

# Average Number of Findings

Region	TR			SMR			All Reviews		
	FY18	FY19	FY21	FY18	FY19	FY21	FY18	FY19	FY21
TRO-01	8.6	7.0	2.6	2.5	8.0	3.0	7.7	7.1	2.7
TRO-02	5.1	2.5	3.1	4.0	0	0	4.9	2.5	3.1
TRO-03	3.7	6.1	5.9	2.0	8.0	10.0	3.6	6.4	6.2
TRO-04	4.8	6.7	5.0	4.5	10.3	4.0	4.8	6.9	4.9
TRO-05	11.0	6.6	4.1	12.5	4.5	36.0	11.1	6.5	4.9
TRO-06	8.4	12.1	3.7	0.5	9.0	1.0	7.8	12.0	3.5
TRO-07	13.1	9.9	2.7	5.0	4.0	2.5	12.2	9.1	2.6
TRO-08	9.3	4.6	4.6	7.0	9.0	13.3	8.8	5.1	7.0
TRO-09	5.7	5.4	2.5	11.5	38.0	9.5	5.9	6.5	3.3
TRO-10	3.5	5.8	0.4	3.5	6.0	2.0	3.5	5.8	0.5
<b>Average Findings</b>	<b>6.9</b>	<b>7.0</b>	<b>3.8</b>	<b>5.5</b>	<b>9.7</b>	<b>7.7</b>	<b>6.8</b>	<b>7.2</b>	<b>4.1</b>

# Top Ten Review Findings

Finding	FY21	FY19
<b>Procurement</b> - Missing FTA clauses	X	X
<b>Procurement</b> - Lacking required cost/price analysis	X	X
<b>Procurement</b> - Responsibility determination deficiencies	X	
<b>Procurement</b> - Incomplete written documentation of procurement history	X	
<b>Procurement</b> - Lacking independent cost estimate	X	X
<b>Financial Capacity</b> - Missing, insufficient, or out of date financial operating procedures	X	X
<b>Financial Capacity</b> - ECHO documentation deficient	X	
<b>Disadvantaged Business Enterprise</b> - DBE uniform reports contain inaccuracies and/or are missing required information	X	X
<b>Maintenance</b> - Late vehicle/vessel preventive maintenance	X	
<b>Technical Capacity</b> - Incorrect FFR reporting	X	X



# FY 21 Review Observations

## Observations

- Average number of FY21 Triennial Review findings **decreased by 42%**. Possible reasons include:
  - Some questions omitted from the Review due to on-site requirements
  - Increase in technical assistance
  - Virtual atmosphere allows for more flexibility

## Comments

- Regions and recipients – Positive feedback, especially with decrease in findings
- Contractors – Indicated an increased level of effort for virtual reviews



# Questions?



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