Enterprise Risk Management

FHWA-NC Division

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2020 NCDOT AGC Workshop
Discussion Points

• The FHWA 2019-2022 Strategic Plan
• 2015 FHWA/NCDOT Stewardship and Oversight Agreement
• Risk Based Oversight
  – FHWA-NC Division Office Organization
  – Oversight Actions on Federal-aid Projects
  – Responsible Charge
  – USDOT OIG Hotline and Fraud Awareness Training
FHWA Strategic Framework

**Safety**
Reduce transportation-related fatalities and serious injuries across the transportation system.

**Infrastructure**
Invest in infrastructure to ensure mobility and accessibility and to stimulate economic growth, productivity, and competitiveness for American workers and businesses.

**Innovation**
Lead in the development and deployment of innovative practices and technologies to improve the safety and performance of the Nation’s transportation system.

**Accountability**
Serve the Nation with reduced regulatory burden and greater efficiency, effectiveness, and accountability.

- **Public Service**
- **Integrity**
- **Respect**
- **Collaboration**
- **Family**
- **Personal Development**

1. Enable and empower the strengthening of a world-class highway system that promotes safety, mobility, and economic growth, while enhancing the quality of life of all Americans.
2. Improve program and project decision-making by using a data-driven approach, asset management principles, and a performance-based program that leads to better conditions and more efficient operations.
3. Increase freight and people mobility and reliability by building effective partnerships and encouraging targeted investments.
4. Enhance the safety and performance of the Nation’s transportation system through research and by accelerating the development and deployment of promising innovative technologies and practices.
5. Modernize or eliminate obsolete, unnecessary, or duplicative policies and regulations to accelerate all phases of project delivery, stimulate innovation, and reduce administrative burdens.
6. Transform the workforce and resource management approach to ensure the agency is properly structured, skilled, and equipped to deliver outstanding customer service to our partners and the traveling public.

Save lives by expanding the use of data-driven systemic safety management systems and increasing the adoption of proven safety solutions by all road owners.
FHWA-NC/NCDOT Agreement Updated 2015
FHWA Risk Based Oversight

1. Compliance Assessment Program (CAP)
2. Projects of Division Interest (PODI)
   - Major Projects, APD, Grants, FHWA-NC Selected
3. Special Reviews
   - Local Projects
   - Prompt Pay
   - USDOT OIG: project procurement to ensure competition
   - *Access for pedestrians in work zones*
   - NCDOT responsible person in charge of the project
   - Emergency Relief Procedure
During Times of Emergency Recovery: Look to the Emergency Relief Manual

- Make sure you are on an eligible route
- Know what repair items are eligible (when in doubt, ask)
- **Emergency repairs** within the first 30-days
- Use of State forces and on-call contracting is OK
- Repair site documentation: labor, equipment, personnel, photographs, measurements
- **Permanent repairs** occur after 30-days
- Pre-approval by the FHWA for resiliency repairs
- That means normal contracting procedures
Responsible Charge

- NCDOT must provide a full-time employee to be in responsible charge of the project (23 CFR 635.105)
  - Full Time State Employee
  - Ability to make decisions concerning the contract
  - Maintains familiarity with day to day project operations
  - Visits/Reviews the project on frequency equivalent to the complexity of the project
  - Project reviews relate to safety, good construction practice, and sufficient documentation to prevent fraud, waste, and abuse
  - Applies to local agencies/projects as well
• Conducts criminal and civil investigations of fraud and other allegations affecting DOT Operating Administrations, programs, contractors, and grantees
• Partner with Federal, State, and local law enforcement agencies and prosecutors

DOT OIG Resources

- Special Agents with Federal law enforcement arrest authority
- Investigative tools (subpoenas, search warrants, undercover ops)
- Expertise in fraud investigations and financial/forensic accounting
- Computer forensics unit
To report fraud, waste, and abuse at DOT, please contact the OIG Hotline

1-800-424-9071
www.oig.dot.gov
www.oig.dot.gov/hotline

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Questions