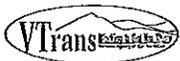


RIGHTS CONTRACT
 BUDGET DBE
 Hardware
 DavisBacon Constructioncontracts
 Applications Helpdesk
 On-the-job-training
 Vantage
 AUDIT
 Personalservicescontracts
 ADMINISTRATION FAA
 Grantsmanagement
 SoftwareStars
 FederalRegulations
 LABOR EXPENSES
 FHWA Accounting
 Revenues
 CIVIL
 StateRegulations
 COMPLIANCE
 Records
 Vision
 FTA
 ServiceDivision
 FINANCES
 Mainframe

Vermont Agency of Transportation
 Finance and Administration Division



I. Audit: (Cathy Hilgendorf, Chief)

The VTrans Audit Section consists of a supervisor, 3 auditors and an administrative assistant. The section's roles and responsibilities are as follows:

- Analyze financial statements and overhead schedules of all prospective consultants to ensure fiscal viability and conformance with all relevant state and federal regulations.
- Conduct pre award reviews of most consultant contracts and grants issued by the agency.
- Audit or cause to be audited all Architectural and Engineering consultant contracts and some grants for compliance with Generally Accepted Accounting Principles (GAAP) and all federal and state laws, rules and bulletins.
- Act as liaison for the Agency with the State Auditor of Accounts Office and their contracted Certified Public Accountant (CPA) firms to facilitate the annual Comprehensive Annual Financial Report (CAFR) and federally-required single audits.
- Perform assigned internal reviews of various practices and procedures to assess their effectiveness and efficiency as well as compliance with laws, regulations and generally accepted practices.
- Promote robust internal controls and risk management agency-wide.

II. Budget and Financial Operations: (Lenny LeBlanc, CFO)

Budget and Federal Programming: (Marv Kingsbury/Carmen Neveau)

The Budget and Federal Programming Section is made up of 5 employees and includes the Budget Office and Federal Programs Unit. The section's roles and responsibilities are as follows:

- Coordinates the Agency's budget submission in Vantage Budget Development System and in the VISION financial system.
- Troubleshoots and resolves financial issues on an as needed basis.
- Oversight and maintenance of the STARS (State Transportation Accounting & Reporting System) financial system.
- Ensures STARS data integrity, including audits of STARS security and payment reviews.
- Enters all initial capital projects accounting information into STARS.
- Oversight and maintenance of the Vermont Information and Navigation System (VPINS). All VTrans' projects are entered into this system, which tracks a variety of project information.
- Develop and produce the annual Transportation Program for submission to the Legislature.
- Programs and manages all Federal Highway Administration (FHWA) financial obligations in FHWA's Financial Management Information System (FMIS).
- Actively manage FHWA obligations throughout the federal fiscal year.
- Collaborates with FHWA to ensure optimal use of federal funds and that VTrans doesn't lapse any funds.
- Completes ad hoc financial and management analyses as needed.

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Financial Operations: (Renea Bordeau)

Financial Operations (FinOps) is comprised of 37 financial and administrative professionals. FinOps provides agency wide oversight in accounting, purchasing, revenue, and expenditures are provided agency wide by this section. FinOps oversees budget functions, payments, grant, and contract accounting for two Agency Divisions – Finance and Administration (F&A) and Policy, Planning and Intermodal Development (PPAID). The section is comprised of five units with the following roles and responsibilities.

• **Accounting: (Martin Churchill)**

- The reconciliation of the financial systems, STARS and VISION.
- Final reconciliation on projects and prepares for final voucher
- Processing and review of all grants and contracts for two divisions.
- Capital assets accounting for the Agency.
- Financial reporting for the Agency.
- Agency procedures documentation.

• **Accounts Receivable: (Debbie Morse)**

- Processes all agency billings. This includes all federal and special funds (local and other 3rd parties).
- Lease accounting for Air and Rail agreements.
- Project accounting for the Agency including tracking project overruns (modifications) and final voucher entry of all projects.
- All deposits for the Agency other than Department of Motor Vehicle (DMV).

• **Internal Services/Business Office (Joan Stewart)**

- Property management for National Life facility.
- Liaison with Buildings and General Services (BGS) for facility related issues.
- Purchasing commodities and inventories.
- Administers Agency assigned fleet vehicles.
- Process all expenses for approval by expense coordinator for F&A.
- Performs Business Office functions for F&A.

• **Accounts Payable/Financial Support Services (Emily Mascitti)**

- Processes all payments for two divisions: F&A and PPAID and preps all Agency payments (matching to Invoice Tracking Document (ITD's)) for scanning into agency's document imaging system (OnBase)
- Monitors and makes corrections for the interface between STARS and VISION
- Processes payroll for two divisions: F&A and PPAID.
- Perform table maintenance on vendors and new vendor set up in STARS and VISION.
- Processes daily edit reports and makes corrective action

• **Records Management (Mark Giguere)**

- Central records repository for financial documents
- Digital imaging and records retention
- Scanning and Quality Control of Documents put into OnBase
- Agency's Public Information Officer (PIO) for public information requests
- Chairs Records & Information Management (RIM) Board and OnBase Governing Body

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- Liaison to Vermont State Archives & Records Administration (VSARA) for all agency documents
- Operates the Agency's Reprographics process

Grants Unit: (Coleen Krauss)

Contract and Grants unit is comprised of 3 permanent positions and two temporary summer employees. This Unit was developed to centralize all grants that flow through the Agency of Transportation. Contract and Grants provides oversight for grant subrecipient monitoring and A-133 Audits. The department works with towns and program management to oversee the implementation of policies and procedures that coincide with the Super Circular (2CFR Part 200) and State regulation and policy. The Unit also evaluates grantee compliance against appropriate standards.

- Single Audit Reviews
- Schedule of Expenditures of Federal Awards (SEFA) Reporting
- Vision Grants Tracking Module
- Federal Funding Accountability and Transparency Act (FFATA)
- Subrecipient Monitoring
- Process Grant Agreements
- Irene FEMA payments and Tracking
- Special Projects

III. Civil Rights and Labor Compliance: (Lori Valburn, Chief)

The Civil Rights Section is comprised of 6 in-house staff (a Chief, a Deputy Chief/EEO Program Manager, three Program Specialists, and an Administrative Assistant), who administer all Civil Rights and Labor Compliance programs. The Chief serves as liaison to federal officials regarding civil rights matters. The Section networks extensively within VTrans and with the Agency's sub-recipients and contractors, with other state and federal agencies in Vermont, with non-profit and community-based organizations, service providers, private industry, and the general public. Additional information can be found at: <http://vtranscivilrights.vermont.gov>.

As a recipient of federal funds from the United States Department of Transportation, the Vermont Agency of Transportation (VTrans) is required to administer a multitude of internal and external nondiscrimination and equal opportunity programs, as summarized below.

External Programs:

- **Title VI Program:** The VTrans Title VI Program is a system of policies and procedures designed to ensure nondiscrimination in the provision of benefits and services resulting from federal highway programs and activities. Mandatory program components include the issuance of policy statements and compliance assurances, a complaint procedure for processing external discrimination issues, and the collection and analysis of data.
- **DBE Program (Disadvantaged Business Enterprises):** Mandatory program for the certification and active promotion of minority and women-owned businesses. Requires

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extensive data collection and tracking of DBE participation and compliance with prompt pay requirements, semi-annual and annual reporting, annual goal setting, maintenance of registry and bidders list data, networking and technical assistance.

- **On the Job Training (OJT Program):** Mandatory training and employment program for women and minorities in highway construction. Supportive services include outreach, recruitment, assessment, pre-employment training, CDL-B, job placement, site visits and case management.
- **EEO/Labor & Contract Compliance Program:** Inspections and reviews of the Agency's contractors and subcontractors on all federally assisted construction projects, including construction project site visits and representation of VTrans at preconstruction conferences. Provides technical assistance on all EEO/AA and labor & wage regulations, monitors payrolls for Davis-Bacon compliance, conducts investigations and project and contract compliance audits and reviews.

Additional External Civil Rights Programs: VTrans has implemented a number of federally authorized and federally funded youth outreach programs, including the VTrans Youth Corps Program, the Summer Transportation Institute Program, and a diverse range of school-to-work programs that are designed to introduce young people to career opportunities in the transportation industry.

Internal Programs:

- **Title VII Investigations/Complaint Procedures:** Title VII of the Civil Rights Act of 1964 prohibits discrimination in employment on the basis of race, color, sex, religion and national origin. VTrans has a "zero tolerance" policy for all forms of discrimination and harassment. Complaints are investigated in accordance with State of Vermont and federal policies.
- **Internal Affirmative Action and Equal Opportunity Program:** VTrans is required to implement and update triennially its Affirmative Action Plan (AAP), and to collect data and report annually on its workforce demographics. The Agency is required to monitor and evaluate the effectiveness of its AA program with respect to long and short term goals, under-utilization and under-representation, and its practices with respect to recruitment, hiring, training, promotion, etc.
- **Diversity Training and Proactive Initiatives:** The Civil Rights Section partners with the Department of Human Resources to develop and deliver a range of programs and resources, including an Agency-wide diversity training program, a new employee orientation program, and a variety of recruitment and outreach initiatives, including job fairs and career days.

IV. Contract Administration: (Denise Gumpper, Chief)

Contract Administration is a team of 12 professional, technical and contracting specialists with primary responsibility for: Procurement and contracting of the Agency's construction contracts, including alternative delivery methods such as design-build and construction manager/general contractor; personal service contracts; processing of grants, cooperative and maintenance rental

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agreements; pre-qualification of construction contractors and consultants; and the continual advancement and improvement of Agency contracting and pertinent administrative processes and techniques.

The section is comprised of three primary units: Construction Contracting; Alternative Contracting; and, Personal Services and Special Agreements. Prequalification for construction delivery and consultant contracting is part of the Personal Services and Special Agreements unit. In calendar year 2014 Contract Administration advertised over \$180 million in transportation construction contracts.

Brief descriptions of the major functions of Contract Administration follow:

- **Construction Contracting:** Construction Contracting includes: Review of project plans to ensure that they are biddable; Preparation of specifications, general and project special provisions; conducting bid openings; oversight and processing of electronic bidding; electronic posting and transfer of bidding documents; initiating and monitoring the bid analysis process; and, preparation and processing of construction contracts.
- **Alternative Delivery:** Alternative Delivery includes developing, processing and administering the procurement and contracting process for delivery methods including, to date, Design-Build and Construction Manager/General Contractor. Contract Administration works closely with other sections of the Highway Division and our federal partner to develop these delivery methods and explore additional techniques for effective delivery of projects.
- **Prequalification:** Prequalification of construction contractors is administered pursuant to the Agency's *Policies and Procedures on Prequalification, Bidding and Award of Contracts*, included in the *Vermont Standard Specifications for Construction*. The process includes evaluating and assessing contractor ability to bid on specific projects; administering the Agency's Prequalification Committee and keeping all minutes of proceedings. A less formal process is also administered and monitored for consultant prequalification.
- **Personal Services/Special Agreements:** Personal Services/Special Agreements responsibilities include: Preparation and monitoring of Requests for Proposals, oversight and participation in the consultant selection process, including negotiation, and preparation and processing of personal service contracts; preparation and processing of Finance & Maintenance and Rail Agreements; procurement and processing of Maintenance and Rental Agreements; and, preparation and processing of grants, including grants with municipalities and sponsors of enhancement projects.

V. Information Technology: (Tom Hurd, Chief)

Information Technology Section is comprised of 44 information technology (IT) professionals supporting VTrans' computer technology environment. The Section is comprised of 3 enterprise support units: Enterprise Infrastructure Support, Enterprise Application and Development Support, DMV Campus and District Support.

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- **Enterprise Infrastructure Support (Jim Wood)** is responsible for support, and administration of VTrans' Local Area Network (LAN), PCs, and servers (**Jason Boyd**), IT procurement and Help Desk system for 18 sites.
- **Enterprise Application and Development Support (Shawn Nailor)** is responsible for supporting VTrans' Computer Aided Drafting and Design (CADD), Geographic Information System (GIS), and OnBase (document imaging) applications/users, Web administration, enterprise database administration, program development, support of American Association of State Highway and Transportation Officials (AASHTO) Ware products, and provide Finance System Support for the STARS mainframe application. Also all applications outside of Maintenance Operation's Bureau (MOB) and DMV including access based, WEB based and other third parties like Artemis and SignView, plus business to business support like File Transfer Protocol (FTP) and CRASH.
- **The DMV Campus Unit (Dawna Attig)** is responsible for mainframe and Microsoft ACCESS programs that support DMV's work processes.
- **District Support Unit (Betsy Ross-Mobbs)** is responsible for Maintenance Operation Bureau (MOB) PC and MATS systems administration.