

# National Fraud Awareness Conference

Stewardship and Oversight Best  
Practices

July 30, 2008

# Overview

- Specifications
- FHWA Oversight
- When Issues are Identified
- Resolution Options

# Specifications

- Substitutions
- Minor deviation from specifications
- Error and Omissions in the plans
- FHWA authority

# Oversight

- Contractors responsible for quality
- Consultant inspection
- States set up processes
- FHWA reviews and approves processes

# Oversight

- Risk Management
- Identify Priorities and Risks
- Environment, Planning, Design, ROW, Civil Rights, Construction, Operations, etc.
- Process Reviews, Specific Project Reviews, Review of Targeted Issues, and Spot Checks

# Issues Identified

- System Circumvented
- Collusion
- Whistleblowers
- Enforcement Agency

# Issues Identified

- Enforcement Agencies
  - Trained in interviewing and following leads
  - Power to retrieve documents
- Team effort
- FHWA's role
  - Identify issues and inform others
  - Explain technical aspects
  - Advise on merits
  - Amount of damages

# Resolution Options

- Not Criminal
  - Refer to FHWA
  - Administrative settlement
  - Settlement not possible
  - FHWA has funding removal options

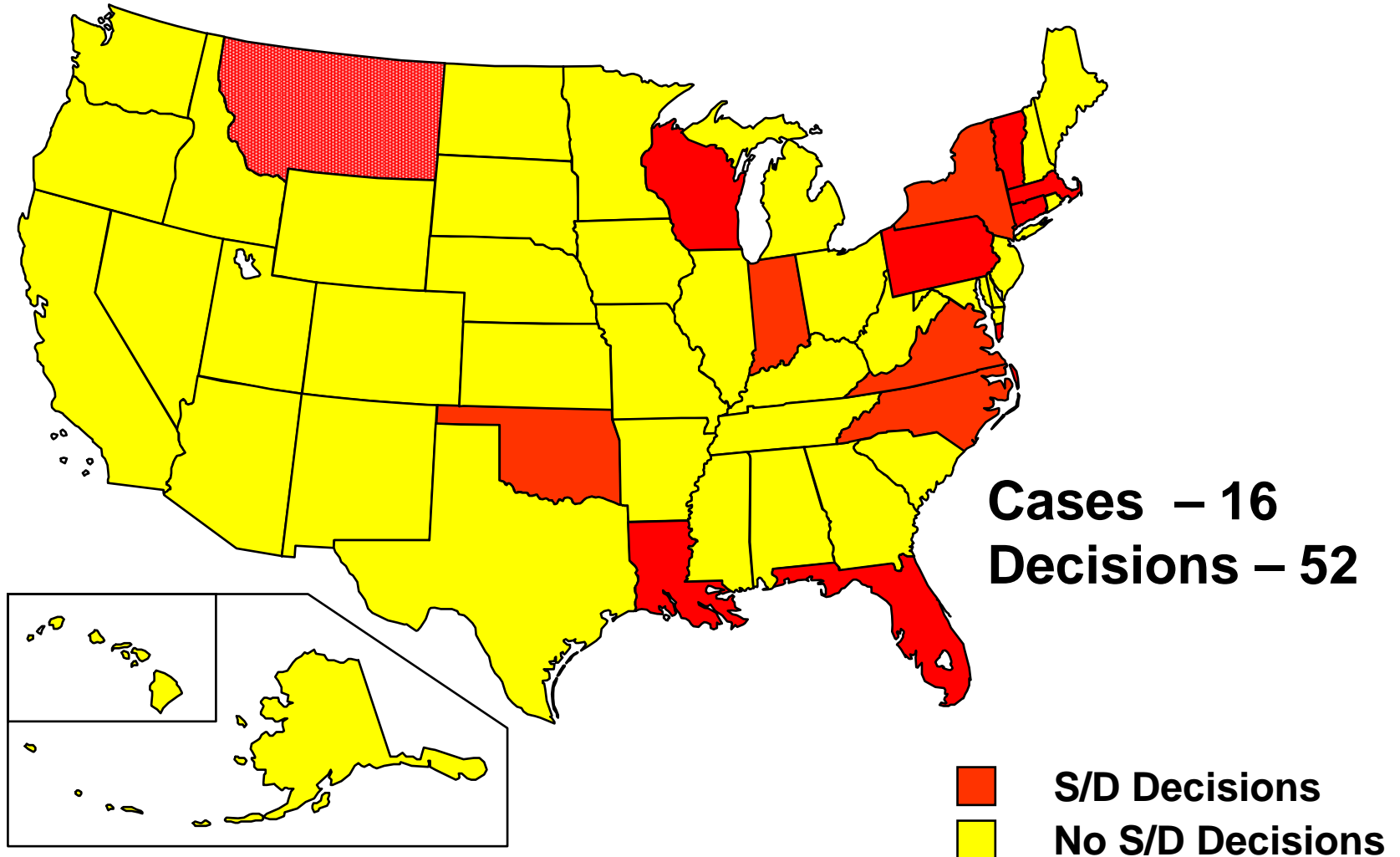
# Resolution Options

- Criminal
  - Enforcement agencies can settle
  - Saves resources
  - Strength of case
  - Criminal charges and court cases an option

# Resolution Options

- FHWA Options
  - Suspension upon indictment
  - Debarment
    - Conviction
    - Admittance of guilt
    - Three year maximum
    - Government wide

# FHWA Suspension & Debarment CY 2007 Decisions



“Decisions” include not debarring