

Manual of Administrative Procedures

ENTERPRISE RISK MANAGEMENT BUREAU



NEW YORK STATE DEPARTMENT OF TRANSPORTATION

What We Do

➤ Design, construct, repair and maintain:

- State Highway System
- Federal Interstate System
- Bridges on both systems



What We Do

- Ensure compliance with Federal regulations governing Federal aid for:
 - Local roads and bridges
 - Mass Transit Systems
 - Railways
 - Airports



What We Do

➤ Maintain and Improve Traffic Flow

- New York MOVES: Intelligent Transportation System (ITS)
- Innovative Interchange Designs
- 511 Traffic Alert System
- Variable Electronic Messaging Signs
- Statewide Incident Command Center (STICC)



How We Do It

- Develop, Communicate and Coordinate Transportation:
 - Policy
 - Planning
 - Financing



How We Do It

➤ Coordinate and Collaborate

- Federal Agencies
- State Agencies
- Metropolitan Transportation Planning Organizations (MPO)
- Municipalities
- Industry Associations
- General Public



How We Do It

➤ Considerations that support the Accomplishment of Objectives

- Legal
- Reasonable
- Internal Controls



Official Issuance System

- Official Orders
- Delegation Memos
- Organization Charts
- MAPs – Policies and Procedures



Official Orders

- Delegate Commissioner's powers and duties
 - Signing Contracts
 - Other duties assigned in law or regulation



Official Orders

- Provide official legal notification
 - Highway maintenance takeover, discontinuance or abandonment
 - Bridge and culvert maintenance
 - Bridge closings
 - Designate Detours
- Provide notice of the jurisdictional transfer of real property




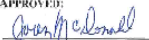
Official Orders

➤ How do we vet these documents?

- Commissioner
- Program Areas: Review for Relevant Content
- Legal Affairs: Legal Sufficiency and Statutory Citation
- Office of Audit: Coordinates, Reviews and Posts to the Official Issuance System



Official Orders

 NEW YORK STATE DEPARTMENT OF TRANSPORTATION OFFICIAL ORDER	NUMBER: 1716 SUPERSEDES: 1713, dated August 30, 2012
APPROVED:  John McDonald COMMISSIONER	DATE: 12/13/2012 SUBJECT: Delegation of Authority to the Assistant Commissioner for Legal Affairs and Chief Counsel

AUTHORITY: Pursuant to Section 16 of the Transportation Law, the Commissioner of Transportation ("Commissioner") hereby delegates authority to the Assistant Commissioner for Legal Affairs and Chief Counsel (Assistant Commissioner) for the Department of Transportation (Department).

- I. The Assistant Commissioner is delegated the following authority:
 - A. Serve as Chief Legal Advisor to the Commissioner and the Department and perform the duties of Chief Legal Officer of the Department, as directed by the Commissioner, including, without limitation, providing legal advice and counsel relative to policy-making matters.
 - B. Provide general direction, supervision and control over the Division of Legal Affairs and the activities of the organizations assigned to that Division.
 - C. Furnish opinions and recommendations on all legal matters affecting the operation of the Department; prepare legal interpretations of various laws, rules and regulations affecting the Department; and generally provide legal advice, counsel and services to the Department.
 - D. Prepare or review testimony and briefing material for the Commissioner to present at Congressional and Legislative hearings and conferences. Represent the Commissioner in discussions regarding transportation with Federal, State and local officials.
 - E. Prepare proposed Department rules and regulations and process them through the Department of State.
 - F. Direct investigations and the assembling of all data to be used in representing the interests of the Department in connection with actions and judicial and administrative proceedings.
 - G. Direct investigations related to Department activities and employees, and liaison role with the Office of the State Inspector General and other State and Federal investigators.
 - H. On behalf of the Commissioner, approve settlements of contract claims arising from work performed for the Department.



Delegation Memoranda

- Delegates authority for functional efficiency
 - Assistant Resident Engineers
 - Regional Administrative Officers
- Delegates authority for special circumstance
 - Unforeseen absence
- Cites the related Official Order
- Does not require clearance



Delegation Memoranda



MEMORANDUM
Department of Transportation

TO: Christopher Magin, Purchase Unit
FROM: Peter J. Snyder, Administrative Services Division *Peter J. Snyder*
SUBJECT: Delegation of Signatory Authority
DATE: December 10, 2012

Pursuant to Official Order 1675, you are hereby delegated authority to execute all Purchase Orders, Service Contracts, Revenue Contracts, and Purchase Awards enumerated under Section 1 of the order that are within the authority of the Director of the Administrative Services Division up to a value of \$3,000,000.

The Delegation of Signatory Authority memo of June 2, 2011 is hereby rescinded.

cc: David Cherubin, Chief Counsel
John Samaniuk, Director of Audit
Joseph Moscatello, Audit

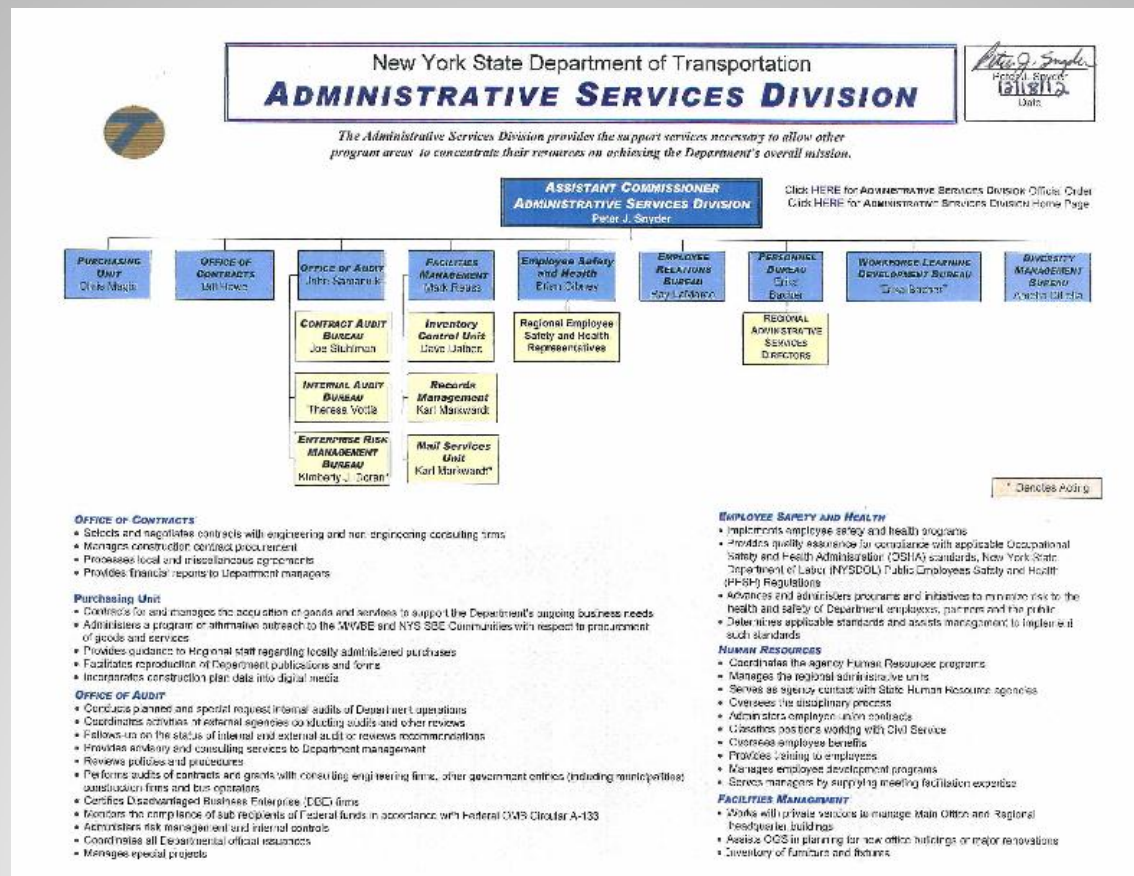


Organization Charts

- Standard Format Across the Department
- List Functions of Program Area
- Linked to Official Order which establishes Authority and Responsibility
- Linked to Program Area's IntraDOT page



Organization Charts



Manual of Administrative Procedures

➤ Hard Copy to Electronic Format

- Chapter 1: Introduction
- Chapter 2: Administrative Management
- Chapter 3: Financial Management
- Chapter 4: Human Resources Administration
- Chapter 6: Disaster Preparedness
- Chapter 7: Functional Operating Procedures



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★ Favorites Web Slice Gallery

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Page Safety Tools

Manual of Administrative Procedures

Select a Chapter:

Select a Status:

Search All MAPs:

All Chapters						
Sorted by: code						
CODE ↓	SUBJECT ↓	STATUS ↑	SUPERSEDES ↑	DATE ↓	RECERT. DATE ↑	ORG.RESPONSIBLE ↑
1.0	Introduction to Manual of Administrative Policies and Procedures(MAP)	Current Recertified 5/2011	1.0 dated 11/19/1976	07/24/2008	06/30/2014	Audit and Civil Rights Division
1.0-1	Internal Control Documents for the Policy & Planning Division	Current	NONE	04/29/2009	06/30/2012	Policy & Planning Division
1.0-2	Internal Control Documents for the Information Technology Division	Superseded	NONE	03/25/2009		Information Technology Division
1.0-2	Internal Control Documents for the Information Technology Division	Current	1.0-2 dated 3/25/2009	05/02/2012	06/30/2015	Information Technology Division
1.0-3	Internal Control Documents for the Audit and Civil Rights division	Current	NONE	04/01/2009	06/30/2012	Audit and Civil Rights Division
1.0-4	Internal Controls Document for the Engineering Division	Current	NONE	12/06/2007	12/06/2010	Engineering Division
1.0-5	Internal Controls Documents for the Administrative Services Division	Superseded	NONE	02/14/2008		Administrative Services Division
1.0-5	Internal Control Documents for the	Current	1.0-5 dated	11/10/2009	12/31/2012	Administrative Services

Done

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Inbox - Microsoft Out... Microsoft PowerPoint... http://axim22.nysdot...

Local intranet

100%

8:38 AM Tuesday 7/17/2012



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➤ MAP provides

- Policy statements
- Procedures impacting 2 or more Program Areas




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➤ MAP provides:

- Forms
- Authoritative and Reference Documents
- Repository of Historical Documents



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 NEW YORK STATE DEPARTMENT OF TRANSPORTATION PROCEDURE	CODE: SUPERSEDES: TITLE: <u>PROCEDURE TEMPLATE</u>
	ORGANIZATION RESPONSIBLE FOR INTERPRETATION:
APPROVED: _____ CHIEF ADMINISTRATIVE OFFICER DATE	

I. PROCEDURE OVERVIEW

In this section, state the procedure subject and

- A. answer the question of why the procedure is needed (the purpose),
- B. state the aim, goal or objective to be met by using the procedure, and
- C. presents an overview.

If a procedure includes a policy statement, the first section should be "Policy Statement", with the "Overview" following as Section II.

II. PROCEDURE DEFINITIONS AND ROLES OF PARTICIPANTS

- A. Explain any terms which require uniform and consistent understanding by everyone working with the issuance, and
- B. Describe authority and responsibilities of all people or organizations involved.

III. PROCEDURAL GUIDELINES

Use this section to present general information or information that complements procedure steps. For example, if a procedure step requires preparation of a form or an analysis, describe the form's contents or the analysis items in *PROCEDURAL GUIDELINES*, rather than *STEPS IN PROCEDURE*.



IV. STEPS IN PROCEDURE

- A. When writing a procedure step, combine related tasks into a single step. For example, an author preparing a procedure researches and writes the procedure contacts ARMS to discuss certain matters and then sends the procedure out for review.
- B. Include the position or organization responsible for the step in a heading [bolded, italicized, centered, all caps] over each step, or group of steps.

Because the heading identifies the position or organization taking the actions which



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 NEW YORK STATE DEPARTMENT OF TRANSPORTATION INTERIM POLICY	CODE: 6.2-13 SUPERSEDES: 6.2-13 dated 3/21/1995 TITLE: MASS GATHERING POLICY
APPROVED:  CHIEF OPERATING OFFICER DATE: 2/4/02	ORGANIZATION RESPONSIBLE FOR INTERPRETATION: OFFICE OF OPERATIONS MANAGEMENT

I. POLICY STATEMENT

The Department will work with the "mass gathering" Event Promoter and other potentially impacted State agencies and local municipal officials to minimize the impact on the State's transportation network. The following will be required by most, if not all, "mass gathering" events:

- A. Review of the Event Promoter's plans for transportation arrangements, identify potential concerns/issues, and provide those concerns/issues to the Event Promoter and the State Department of Health;
- B. Determination that all appropriate transportation-related and law enforcement agencies are involved;
- C. Participation in meetings of agencies with transportation concerns, including identifying potential alternate routes, potential traffic problems, signing to advise motorists, etc.;
- D. Development of DOT traffic management plans, including overview of site accessibility from major corridors; estimates of increased travel by time of day, week, and direction, which can be overlaid on ordinary traffic volume information; potential problems that will be created by capacity limitations; mitigating actions that will promote smooth traffic flow, such as remote parking, special signing, special temporary access, etc.; and all potential contingencies (i.e., parking lot full due to weather, insufficient buses, inadequate number of trained parking lot attendants, incident(s) that restricts traffic or closes a road, etc.);
- E. May be requested to "certify" that the Event Promoter's traffic control plan is satisfactory;
- F. Determination that only bus companies and other carriers with adequate capability and holding the appropriate operating authority and valid vehicle inspectors will be allowed to provide transportation services related to the event;
- G. Activation of the appropriate Incident Command System (ICS) organizations for both the Main Office and the appropriate Region(s);
- H. Development of DOT operational plans, including all potential contingencies (i.e., additional staffing needed, communications failure(s), additional signing needed, need for additional traffic control assistance, need to increase traffic monitoring capability, etc.);



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- How are MAPs created?
 - ERM manages MAP process
 - MAP for creating MAP
 - MAP Template



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➤ Who creates the MAP?

- Program Area responsible for interpretation of Policy or Procedure
 - Reach out early to all affected and those knowledgeable on the subject



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- What is considered before creating a MAP?
 - Is the policy or procedure needed?
 - What are the tangible or intangible benefits?
 - How will it affect resources and workload?



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➤ What to consider while creating a MAP

- Do program areas agree on responsibility?
- Are consequences of non-compliance outlined?
- Are terms or concepts well defined?
- Does the guidance or instructions exceed State or Federal requirements? If yes, why?



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➤ Other considerations when creating a MAP:

- Does the MAP include adequate internal controls?
- Is the MAP written clearly and simply?
- Ensure Consistency
 - Existing Policies and Procedures and all other related guidance



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➤ Final considerations:

- Remember the needs of the audience
 - Write in the active voice for clarity
- Finishing touches
 - Simplify complex procedures
 - Informative Overview



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➤ If improving an existing process, consider:

- Can the MAP be implemented as written?
- Can the process be done more efficiently?
- Are all of the steps needed?



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➤ What is included in a MAP?

- Policy
 - Policy statement
 - Policy scope and guidance
 - Related policy and authoritative sources



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➤ What else is included in a MAP?

- Procedures
 - Procedure Overview
 - Definitions and roles of participants
 - Procedural guidelines
 - Steps in the Procedures
 - Forms used in the Procedure
 - Authoritative Sources



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Code: 1.0-3

Date: 4/1/2009

Page: 3

Subject: Internal Control Documents for the Audit and Civil Rights Division

III. RELATED AUTHORITATIVE SOURCES

- [Executive Law, Article 45: Internal Control Responsibilities of New York State Agencies](#) (Governmental, Accountability, Audit and Internal Control Act of 1999)
- [Item B-350, Budget Policy and Reporting Manual: Governmental Internal Control and Internal Audit Requirements](#)
- [Managers Guide: Testing Requirements with Internal Control Requirements](#)
- [Item B-1185, Budget Policy and Reporting Manual: Annual Internal Control Summary and Certification](#)
- [New York State Internal Control Act Implementation Guide: Strengthening Compliance with the Act and Standards](#)
- [Standards for Internal Control in New York State Government](#)
- [Internal Control - Integrated Framework](#)
- [Standards for the Professional Practice of Internal Auditing](#)
- [Government Auditing Standards \(Yellow Book\)](#)
- [AASHTO Uniform Audit and Accounting Guide](#)
- [OMB Circular A-133: Audits of States, Local Governments and Non-Profit Organizations](#)
- [Title 23 Highways, Chapter 1 Federal-Aid Highways, Section 112 Letting of Contracts](#)



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➤ How are MAPs reviewed and cleared?

- ERM coordinates MAP clearance process
- Distributed electronically for review and comment
- MAP author addresses comments directly with reviewers
- Major revisions requires resubmission to reviewers
- MAP and supporting documentation are submitted to ERM for internal controls and quality assurance



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➤ When are MAPs reviewed?

- New MAPs
- Revised or Recertified



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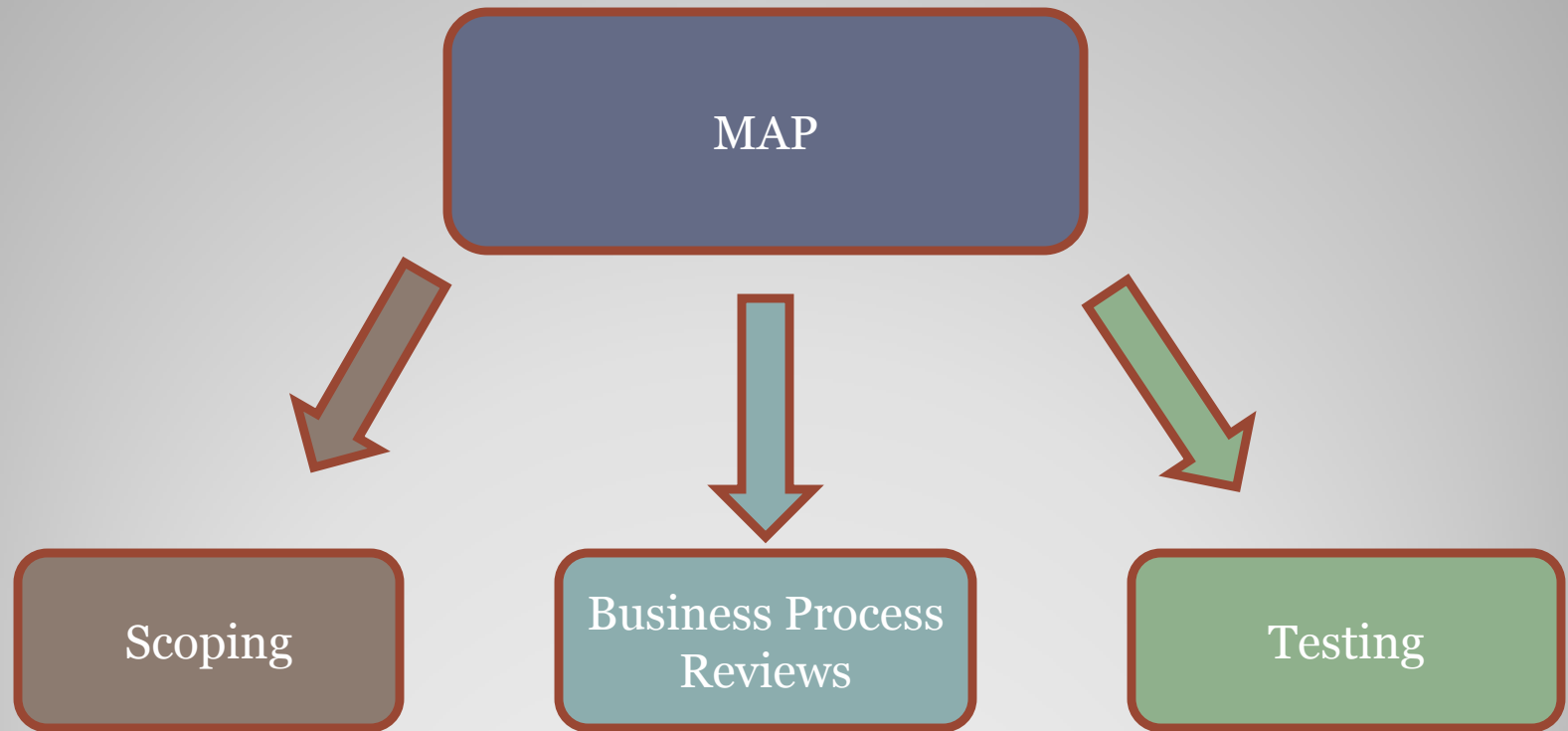


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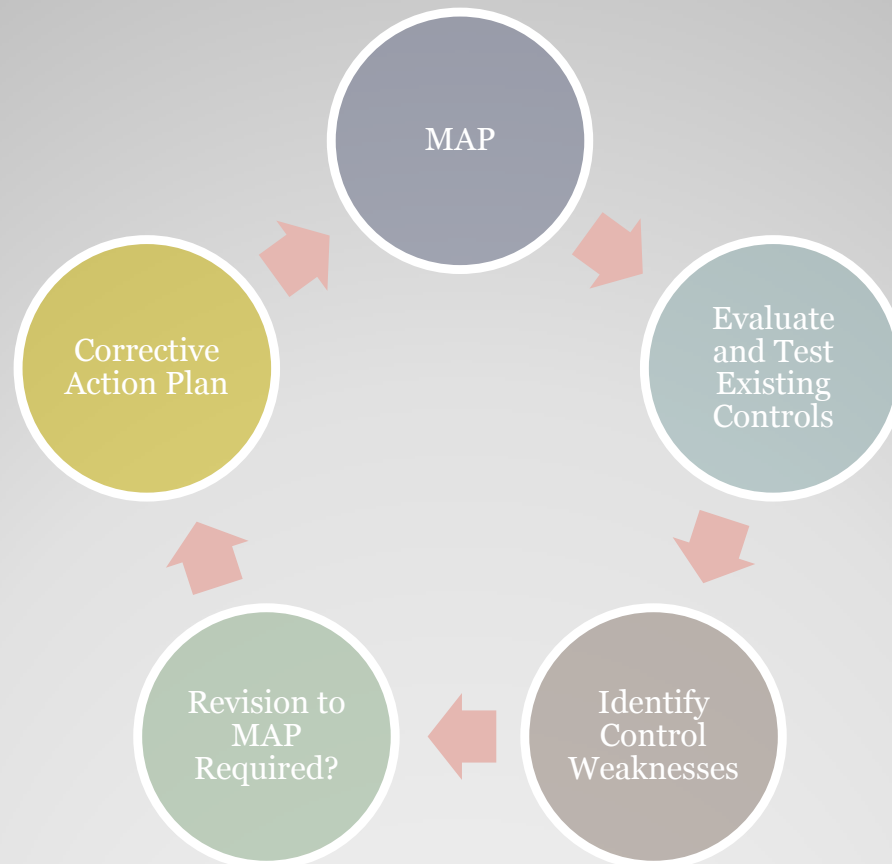
- Any weaknesses to MAP?
 - Maintaining the Official Issuance system takes time
 - Rescinding and superseding MAP
 - Recertification
 - Resources to maintain
 - Coordination takes time and follow-up



How MAP Helps Internal Audit Bureau



How MAP Helps ERM



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- What is not included in MAP?
 - Program Area specific Policy and Procedures
 - Engineering and Consultant Bulletins and Instructions
 - Maintenance Bulletins and Instructions
 - Personnel Bulletins
 - Procedure Manuals



Program Specific Clearance Review

Design Quality Assurance Bureau

New York State Department Of Transportation IntraDOT
Joan McDonald, Commissioner
[Login](#) [Office of Design](#) [Home](#)

Home Staff Manuals **Clearance Review**

Document Description	Date Posted	Review Due	Status
Heavy Post Block-Out, Modified (HPBO MOD.) Corrugated Beam Guide Railing and Median Barrier - CR Memo 606 Standard Sheets Draft EB: HPBO Mod. Standard Sheets Standard Specifications Draft EI: HPBO Mod. Standard Specification Special Specifications Draft EI - HPBO Mod. - Special Specifications	12/11/2012	1/18/2013	Accepting comments
Height Increase for Pier Protection Barriers Cover Memo Draft EB: Pier Protection - Standard Sheets Draft EI: Pier Protection - Design Guidance	11/30/2012	12/31/2012	Comment Period Closed
Highway Design Manual Revision No. 68 - Chapter 2 - Design Criteria Cover Memo Draft EB	11/9/2012	12/21/2012	Comment Period Closed
Revised Traffic Signal Pole Foundations Standard Sheets Cover Memo Draft EB Standard Sheets 680-01 (USC) M680-13R3	11/5/2012	12/7/2012	Comment Period Closed
Cover Memo "Review for Curb, Curb & Gutter, Paved Gutters, and			



Questions?



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Enterprise Risk Management Bureau

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KimberlyJoy.Doran@dot.ny.gov

