Insights from FTA Program Oversight Director

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Agenda

- FTA Program Oversight
- Review Preparation
- Recipient Findings & Compliance
- Q&A





FTA Program Oversight

- Strengthens the capacity of FTA funding recipients to improve public transit for America's communities.
- Meets statutory requirements.
- Fulfills FTA's fiduciary responsibility to prevent and identify improper payments and to ensure every dollar counts toward improving public transit.
- Confirms and promotes recipient compliance with FTA requirements.
- Provides technical assistance to correct identified deficiencies.
- Helps address Congressional and public inquiries about the use of federal funds.

Review Preparation





Preparing for your Triennial Review

Readiness



Use the Recipient Information Request and the CORTAP Manual as preparation tools



Download the new CORTAP Manual every year and note changes



Review the questions, applicability and indicators of compliance



If you have questions about applicable requirements, contact your Regional Office

Best Practices



Think of the Triennial Review as an open book test



Participate in peer-to-peer reviews and exchanges



Examine single audit or internal audit findings



Attend FTA workshops and webinars

Preparing for your Triennial Review

Pre-Review

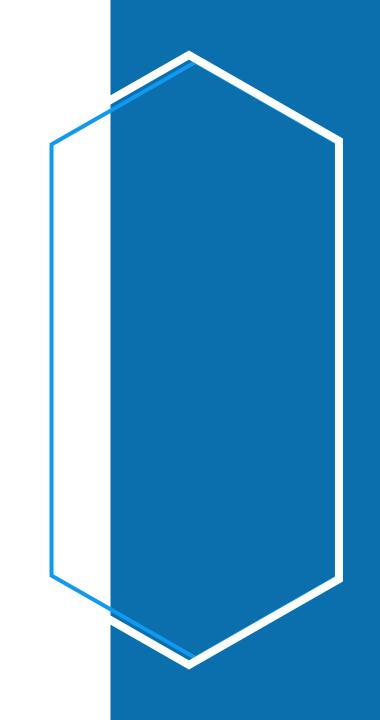
- Use the regional office and other recipients as technical resources
- Train staff in requirements
- Monitor requirement changes and adjust processes accordingly

Post-Review

- Implement corrective actions
- Submit documentation to FTA regional office BY THE DUE DATE

Recipient Findings & Compliance





FY 2022-2024 Top 10 Small Urban Recipient Findings

Review Area	Finding
Procurement	P11-1 - Missing FTA clauses
Disadvantaged Business Enterprise	DBE5-1 - DBE uniform reports contain inaccuracies and/or are missing required information
Technical Capacity - Award Management	TC-AM2-1 - Incorrect FFR reporting
Procurement	P4-1 - Responsibility determination deficiencies
Disadvantaged Business Enterprise	DBE6-1 - DBE goal achievement analysis and corrective action plan not completed
Procurement	P10-1 - Lacking independent cost estimate
Procurement	P12-2 - Lobbying certifications not included in procurement solicitations or signed by bidders
Procurement	P5-1 - Incomplete written documentation of procurement history
Financial Management and Capacity	F1-1 - Lacking/missing required written financial management policies and procedures
Procurement	P10-2 - Lacking required cost or price analysis

Overall Tips for Compliance

Document corrective action Review previous Triennial/State implementation **Management Review Reports Avoid repeat deficiencies Conduct a self-assessment in FTA updates the Contractors** non-review years **Manual annually** FTA's email subscription Sign up for GovDelivery

What Happens When There is a Finding?

A Finding of Non-Compliance should not come as a surprise

- During the review, the reviewer will ensure the recipient understands:
 - The non-compliance issue
 - The action needed to correct the non-compliance issue
 - The due date for the corrective action submission to FTA

To Avoid Receiving a Non-Compliance Finding

- Review the CORTAP Manual questions to prepare for your Triennial Review
 - The Manual lists the questions you will be asked
 - The documents you will be required to submit
 - Instructions to the reviewer on how to determine compliance or noncompliance
 - Suggested Corrective actions for each finding of deficiency



Questions?



Thank you!

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