

Insights from FTA Program Oversight Director

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Office of Transit Safety and Oversight (TSO)**

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U.S. Department of Transportation
Federal Transit Administration

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







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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



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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

Review previous Triennial/State Management Review Reports



- Document corrective action implementation
- Avoid repeat deficiencies

Conduct a self-assessment in non-review years



- FTA updates the Contractors 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 non-compliance
 - Suggested Corrective actions for each finding of deficiency

Questions?



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Thank you!

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