

FTA's Top Triennial Review Findings

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What is Program Oversight?

FTA is responsible for conducting oversight activities to help ensure that recipients of Chapter 53 grants use the funds in a manner consistent with their intended purpose and in compliance with regulatory and statutory requirements.

We do this through Comprehensive Reviews (Triennial & State Management) which:

- Occur every three years
- Forward-looking instead of reactive
- Assess management practices and program implementation

Specialized Reviews (Financial, Procurement, & Civil Rights):

- Occur at FTA's discretion
- Focus on specific areas of Federal compliance



FTA Oversight in Context

Oversight is necessary and beneficial for recipients, the public, and FTA

- Strengthens the capacity of FTA funding recipients to improve public transit for America's communities
- Meets legislation 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
- Helps address Congressional and public questions about the use of federal funds

FY22 Program Oversight Activities Summary

Oversight Activity	FY22 Total	Reports Issued	Findings Issued
Triennial Review	214	161	881
State Management Review	13	7	56
Combined TR/SMR	3	1	22
Financial Management Review	11	–	–
Procurement System Review	2	–	–
COVID-19 Financial Reviews	69	–	–
<u>Total</u>	<u>312</u>	<u>178</u>	<u>959</u>

Triennial Review: FY18 – FY22

Fiscal Year	Review	Finding	Avg. Finding
2022	214	881	5.47
2021	212	808	3.81
2019	196	1,358	6.93
2018	223	1,529	6.86

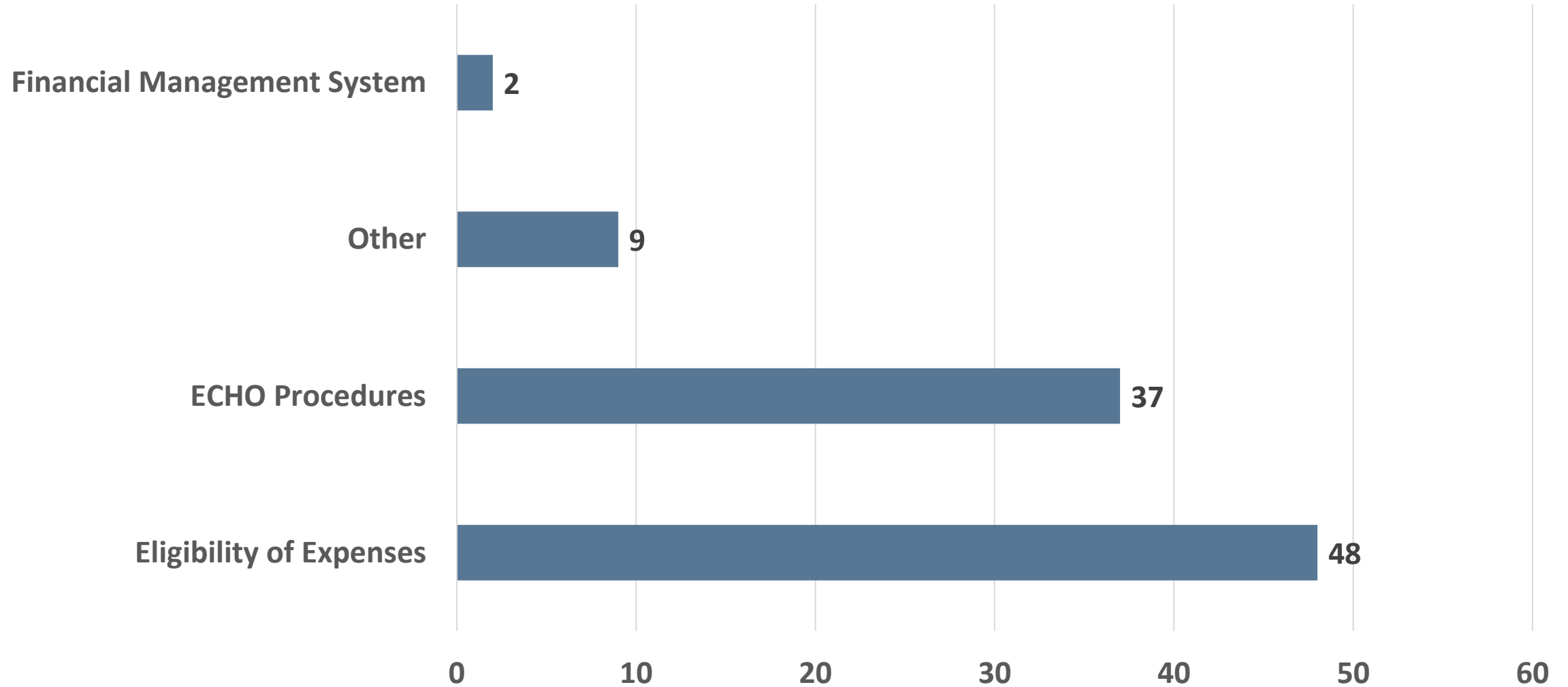
**As of 9/22/2022, 161 TR Final Reports issued*

FY22 TR: Top 10 Findings

Review Area	Finding	FY22*	FY21	FY19	FY18
Procurement	P11-1 - Missing FTA clauses	✓	✓	✓	✓
Disadvantaged Business Enterprise	DBE5-1 - DBE uniform reports contain inaccuracies and/or are missing required information	✓	✓	✓	✓
Procurement	P10-2 - Lacking required cost/price analysis	✓			
Procurement	P10-1 - Lacking independent cost estimate	✓	✓	✓	✓
Title VI	TVI2-1 - Language Assistance Plan implementation deficiencies	✓	✓	✓	
Procurement	P5-1 - Incomplete written documentation of procurement history	✓	✓		
Technical Capacity – Award Management	TC-AM2-1 - Incorrect FFR reporting	✓	✓	✓	
Procurement	P4-1 - Responsibility determination deficiencies	✓	✓		✓
Procurement	P20-3 - Pre-award and/or post-delivery certifications lacking	✓	✓		✓
Financial Management and Capacity	F4-1 - ECHO documentation deficient	✓	✓		

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FY21 COVID-19 FSR: Issues* by Category

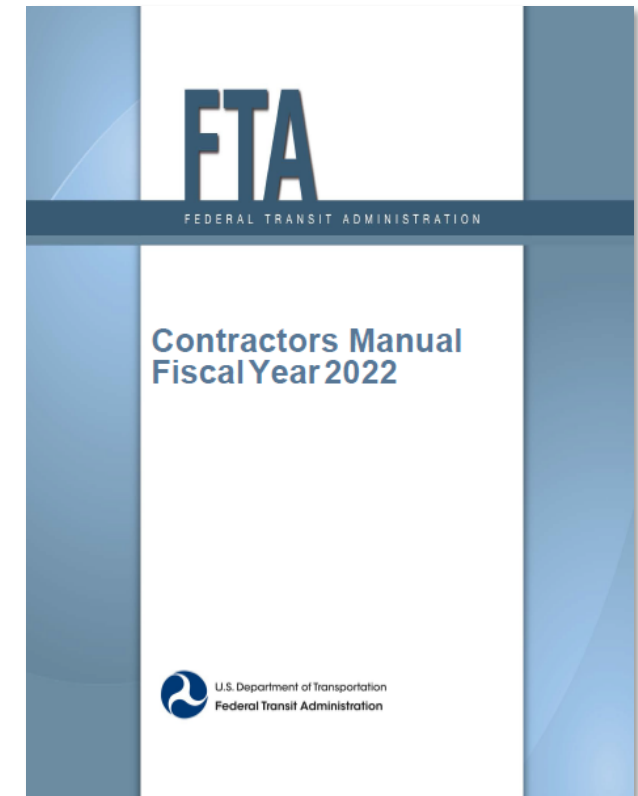


** Issues with multiple recommendations are only counted once*

FTA's Comprehensive Review Manual

Each overarching question has six basic parts:

- 1. Basic Requirement:** High-level, clear statement of what a recipient is required to do
- 2. Applicability:** Recipients to whom the requirement applies
- 3. Explanation:** Detailed description of the basic requirement
- 4. Indicators of Compliance:** How reviewers will assess compliance with the basic requirement
- 5. Determination:** Based on result of indicators
- 6. Governing Directives:** Citation from law, regulation, agreement, or other guidance forming the basis of a potential finding



 [Contractors Manual FY2022](#)

Overall Tips For Compliance

Review previous Triennial Review report

- Document corrective action implementation
- Avoid repeat deficiencies

Conduct a self-assessment in non-review years

- FTA updates the Contractors Manual annually

Understand how information provided for one section of the review provides input for others, such as:

- Procurement lists for DBE
- Inventory lists for Maintenance

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