

# **NEW RECIPIENT WEBINAR**

## **Module 1**

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### **FTA Programs, Processes, and Resources**

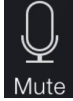

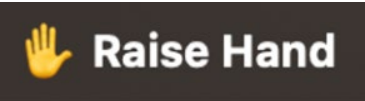


# Agenda

- Introductions
- Navigating this platform
- Purpose of FTA oversight
- Oversight process highlights
- The Contractors Manual
- Preparing for a review
- Resources
- Q&A



# Navigating this Platform

- Mute your microphone  unless you have a question or comment
- You are welcome to keep your webcams on
- Open the Chat box  feature for important posts
- You may use Chat to submit questions, or if you prefer
- Raise your hand  when you would like to speak
- Closed Captioning is available

# Purpose of FTA Oversight

- Ensure awarded federal funds are properly used for public transportation
- Confirm and promote recipient compliance with program requirements
- Provide technical assistance to correct identified deficiencies
- Help address Congressional and public questions about the use of federal funds



# FTA Program Requirements and Governing Directives

- Federal authorizing legislation (Bipartisan Infrastructure Bill)
- US DOT and FTA regulations
- OMB Circular 2 CFR parts 200 and 1201 (Uniform Guidance)
- FTA circulars
- “Dear Colleague” letters

# Comprehensive Reviews

- Triennial Reviews
- State Management Reviews
- Combined Triennial/State Management Reviews

# Program-Specific Reviews

- Financial Management Oversight Reviews (FMO)
- Procurement System Reviews (PSR)
- Buy America
- Civil Rights
  - Disadvantaged Business Enterprise (DBE)
  - Title VI
  - Americans With Disabilities Act (both fixed-route and complementary paratransit)
  - Equal Employment Opportunity (EEO)



# Program-Specific Reviews (continued)

- Safety and Security
  - Drug and Alcohol Program Audit
  - State Safety Oversight
  - Security Readiness Review
- Real Estate





# Project-Level Reviews

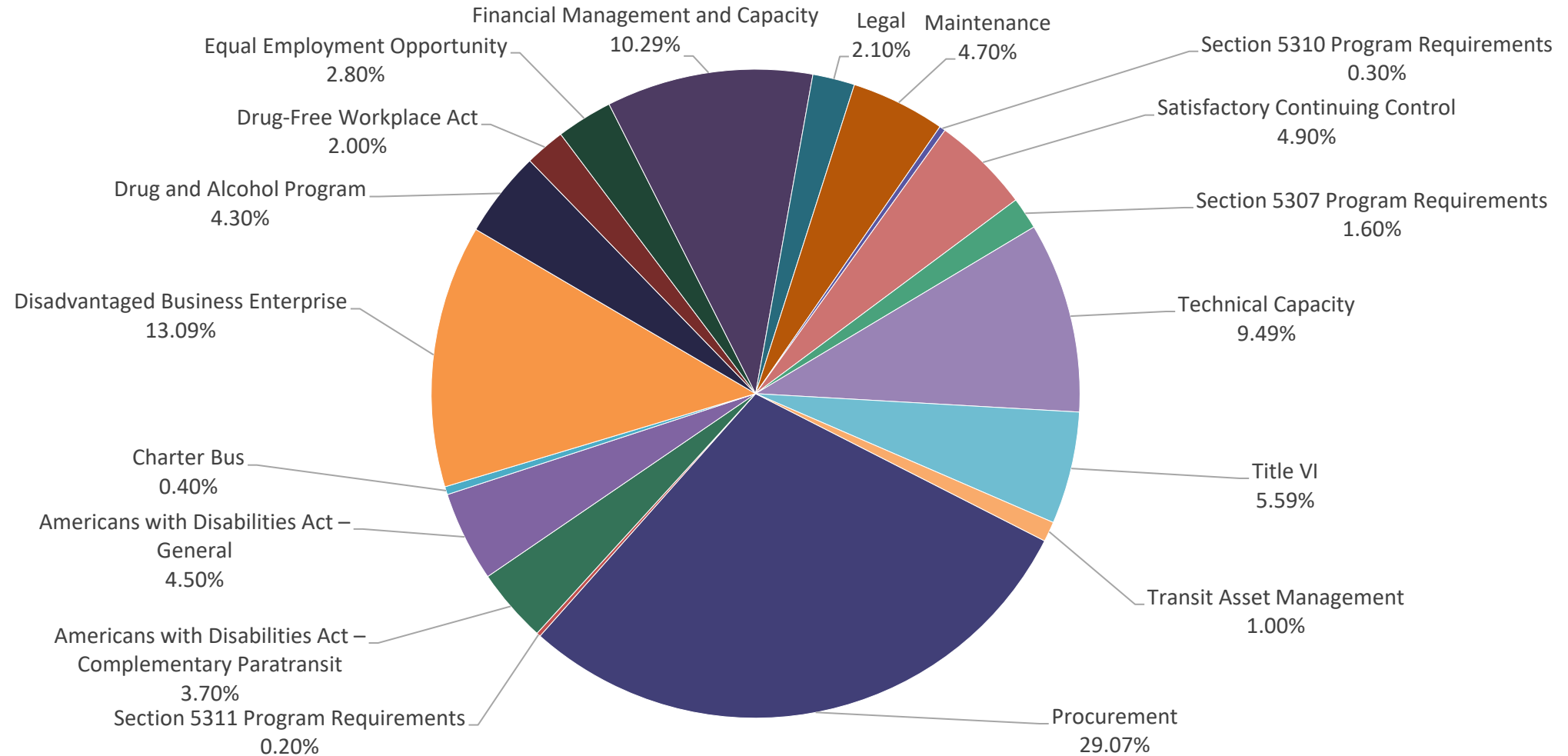
- Project Management Oversight (PMO)
- Financial Capacity Assessment

# Enhanced Review Focus Areas

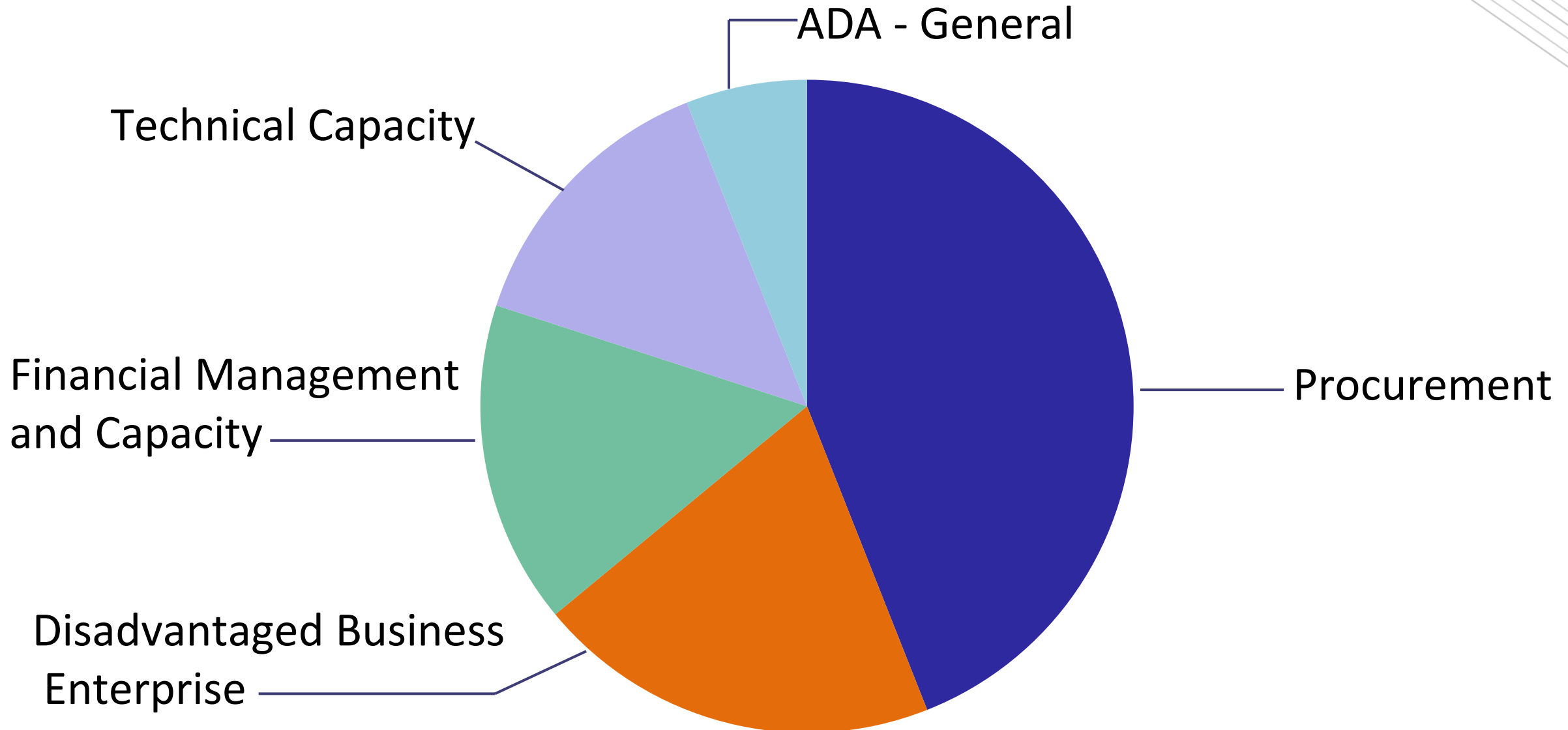
- May be requested by FTA in any of the 23 review areas
- Involves additional questions and documentation
- Completed by a Subject Matter Expert (SME)



# FY 2021 Triennial and State Management Review Deficiencies



# FY 2021 TR and SMR — Top 5 Areas of Deficiencies



# Triennial Review Steps

- Recipient Information Request (RIR)
- Contractor review of RIR responses
- Site visit agenda and follow-up questions
- Site visit – in person or virtual
- Preliminary list of deficiencies
- Draft and final reports
- Corrective action implementation



# The Contractors Manual

- A comprehensive guide to the Triennial and State Management Reviews
- Includes EVERY question that will be asked during the review
- Updated annually
- Includes a summary of changes at the beginning of the manual



# The Contractors Manual – Format

- Purpose of the review area
- Questions to be examined
- Information needed from the recipient
- Questions
- Issues/areas of concern for FTA awareness
- References
- Useful weblinks

# The Contractors Manual – Question Format

- Review Area question
- Basic requirement
- Applicability
- Detailed explanation for reviewer
- Flexibilities and administrative relief (if applicable)
- Indicators of compliance
- Instructions for reviewer
- Potential deficiency determinations
- Governing directives





# Preparing for the Review

- Document, document, document!
- Download the new Contractors Manual every year and note changes
- Hold Mock Reviews
- Examine single audit or internal audit findings
- Participate in peer-to-peer reviews
- Attend FTA workshops and webinars



# Improving Compliance

## Pre-Review:

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

## Post-Review:

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



# Resources – FTA

- FTA Website
  - *Contractors Manual*
  - *Circulars*
  - *Frequently Asked Questions (FAQ)*
  - *Training Opportunities*
  - *Templates*
  - *Comprehensive Reviews*
  - *FTA email updates*
- FTA regional offices



# Resources – Other

- Peers
- State Transit Associations
- State Department of Transportation
- National RTAP
  - FTA 101
  - ProcurementPRO
  - Cost Allocation Calculator
  - Transit Acronym Dictionary
  - Boards that Perform



# Resources – Other (continued)

- Community Transportation Association of America (CTAA)
- American Public Transportation Association (APTA)
- Transportation Research Board (TRB)
  - Transit Cooperative Research Program (TCRP)
  - National Cooperative Highway Research Program (NCHRP)
    - NCHRP 20-65/Task 45, New Small Urbanized Area System: A Guidance Brief New Urban Area
- National Transit Institute (NTI)

# Questions and Answers



# Wrap Up and Thank You

- Use the link in Chat to access the FTA website where the handouts discussed during this webinar are available
- Watch for emails from FTA regarding future webinars for new FTA recipients
- Please stay online and complete the evaluation poll

