

FTA

FEDERAL TRANSIT ADMINISTRATION

2017 Joint SSO and RTA Workshop

Breakout Session 2: Transit Grant Cycle

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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)
 - 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

Comprehensive Reviews

Triennial Review

- Assesses how recipients of Urbanized Area Formula Program funds meet Federal and program requirements. Includes urbanized area recipients of 5307, 5310 and 5329 funds

State Management Review

- Assesses how recipients of Rural Area Formula Program funds meet Federal and program requirements. Includes state recipients of 5311, 5310 and 5329 funds

Enhanced review modules

- Available when needed, to address key oversight areas of: Financial Management, Financial Capacity, Technical Capacity, Procurement, Maintenance, ADA, Title VI, and DBE.

Specialized Reviews

Financial Management Oversight Reviews

- External, independent assessment for FTA, in accordance with established public accounting standards, on the effectiveness of the grantee's internal control environment for the management of Federal funds.

Procurement System Review

- Assesses 56 standard elements to determine if FTA grantees are meeting Federal procurement requirements.

Civil Rights Compliance Reviews (Four Review Programs)

- Americans with Disabilities Act Disadvantaged Business Enterprise
- Equal Employment Opportunity Title VI of the Civil Rights Act

FTA Oversight in Context

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

- Strengthens the capacity of FTA funding recipients to improve public transit for America's communities
- Required in legislation
- Fulfills FTA's fiduciary responsibility to prevent and identify improper payments and to ensure every dollar counts toward improving public transit
- Confirms and promotes grantee compliance with FTA requirements
- Helps address Congressional and public questions about the use of federal funds

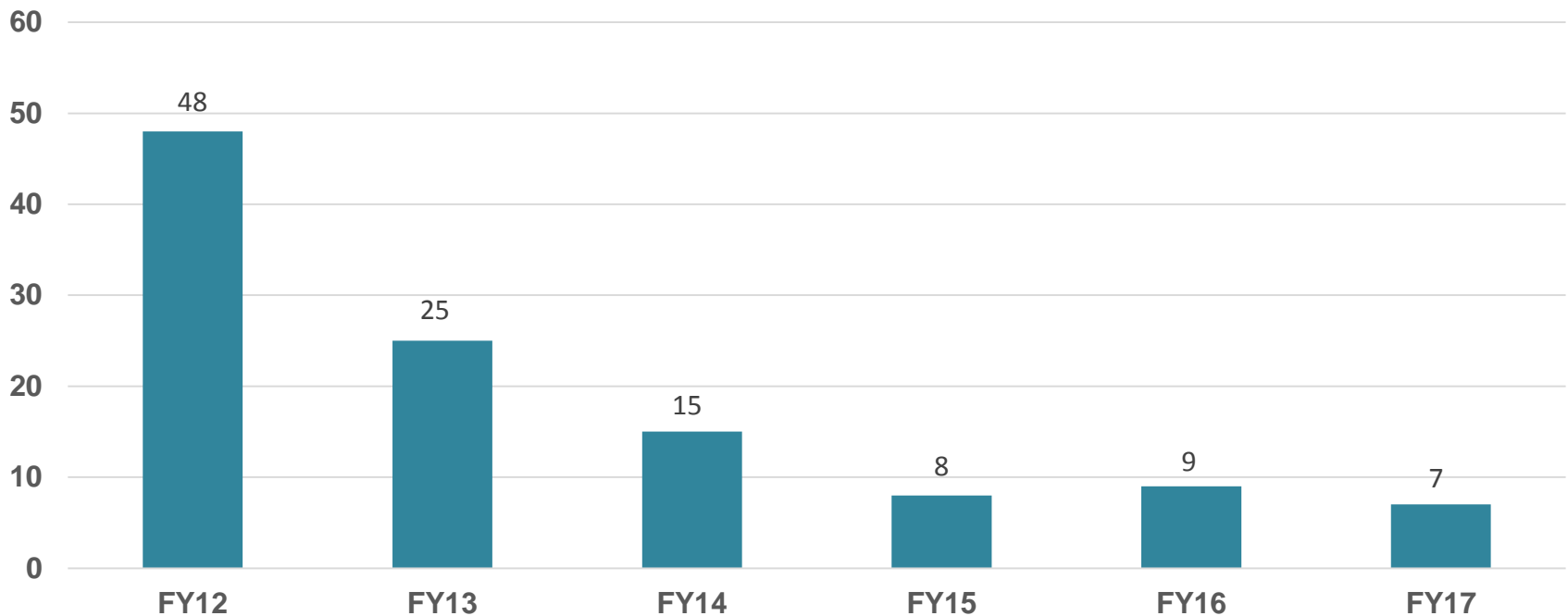
Review Planning and Coordination

The Program Oversight Lifecycle is a framework and schedule for program oversight reviews that helps:

- Provide grantees with better consistency in timing/scheduling
- Allow FTA to better coordinate reviews to avoid overlap, conflicts, and overburdening grantees
- Guide FTA workflow and provide holistic view of dependent processes
- Promote efficient use of contractor and FTA staff time and help balance work throughout the year
- Major lifecycle milestones include:
 - Material Updates (Spring)
 - Information Requests (early Fall)
 - Workshops (mid-Fall)
 - Deconfliction (January)
 - Site Visits (February – September)
 - Report Development and Issuance

Review Planning and Coordination

FTA Grantees with Multiple Reviews
in one Fiscal Year, FY12-17



Drug and Alcohol and State Safety Oversight reviews were added to the Deconfliction process in FY16

Comprehensive Review Steps

Review Process	Target Date
Information Requests to Recipients	Fall
Oversight Workshops	Fall
Information Requests Due	Early Winter
Scoping Meetings	Mid-Late Winter
Site Visits	Early Spring – Early Fall
Final Reports	45 business days after site visit

Comprehensive Review Areas

Review Area	Triennial Review	State Management Review
Financial Management & Capacity	✓	✓
Technical Capacity: Award Management, Program Management, Project Management	✓	✓
Procurement	✓	✓
Asset Management: Maintenance, Satisfactory & Continuing Control	✓	✓
School & Charter Bus	✓	✓
Legal	✓	✓
Program Requirements (5307, 5310, 5311)	✓	✓
Drug Free Workplace/Drug & Alcohol Program	✓	✓
Civil Rights (ADA, Title VI, DBE, EEO)	✓	✓

How a Review Finding is Made

- Review contractor identifies a potential findings of deficiency at any point during the review process.
- FTA regional staff review and determine preliminary findings prior to exit conference.
- If regional staff determine necessary, consultation with review program manager and subject matter experts (SMEs).
- Prior to draft report issuance, FTA regional staff and SMEs review and approve findings and corrective action language.
- Draft report issued to grantee for comment. Preliminary findings become official once approved by FTA.
- Final report issued.

How a Finding is Resolved

- Recipient submits documentation prescribed in the corrective action description in the review report.
- FTA regional staff review documentation. SMEs are called upon when additional expertise is needed. Contractor corrective action review support also available upon request.
- FTA may extend the grantee's due date if needed.
- Once FTA determines the recipient has satisfied the requirements of the corrective action and sufficiently addressed the compliance issue, FTA will close the finding and provide official notification to the recipient.

Questions?

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