



# Kansas RTAP Fact Sheet

A Service of the Kansas Rural Transit Assistance Program — for Transit Agencies

## Guidance for Preparing for KDOT Triennial Reviews

By Janellys Long

### Introduction

The Federal Transit Administration (FTA) offers a variety of tools and resources to help agencies maintain their compliance with FTA regulations.

Triennial Reviews were created to monitor how well recipients of federal programs comply with various areas of FTA requirements. A Triennial Review can also deliver support to agencies through explanations of technical items, clarifications of requirements, and assistance with reporting data to various government groups.

### Requirements

Kansas 5310 and 5311 sub-recipients each have their own interview guides provided at <http://www.ksdot.org/burtransplan/pubtrans/index.asp> under the “Triennial Reviews” heading. These guides must be completed prior to the scheduled compliance review. The guides consist of FTA requirements. Kansas 5310 and 5311 sub-recipients must abide by these requirements. The interview guides also feature procedures for evaluating the recipients’ level of compliance.

Kansas 5310 and 5311 sub-recipients must include the following information in the document introduction: description of agency, description of all services, and required documentation. Kansas 5311 sub-recipients must also include in the introduction the highlights of any new projects.

The interview guide for Kansas 5310 and 5311 sub-recipients includes questions divided in to the following areas of FTA requirements:

- eligibility
- management
- financial
- general ADA
- maintenance
- safety and security

These sections are categorized in four segments:

- eligibility questions
- response
- documents provided before site the visit
- documents to be addressed at the site visit

### On-Site Review

KDOT has retained Olsson Associates to perform the on-site triennial reviews. We spoke with Jon Moore, an associate planner at Olsson who works on the Triennial Review team. Moore provided the following information:

A consultant with Olsson Associates will contact each transit agency approximately four-to-six weeks prior to the on-site visit and request that the agency complete a portion of the review prior to the visit. The transit agency is asked to return the completed documents within two weeks of this initial contact.

A consultant from Olsson Associates arrives for the on-site review approximately two weeks after the completed documents have been received. During the review, the consultant systematically conducts the review with a designated transit agency employee(s), to ensure the questionnaire is filled out as thoroughly as possible.

Afterward, the consultant will send a letter outlining any identified deficiencies, a copy of the interview questions and answers, a copy of the documentations provided by the transit agency regarding compliance, and the steps the transit agency needs to take to become compliant if it is not.

The non-compliant transit agency has 45 days to correct any deficiencies. If the deficiencies are corrected within 45 days, KDOT is notified. If the deficiencies are not corrected within 45 days, KDOT and the transit agency are notified that the deficiencies have not been corrected in the given time period. At that point, KDOT will establish a Plan of Action with the transit provider to bring them back into compliance. Agencies that remain non-compliant risk funding and program access.

## Agency Support

The FTA offers agency support for triennial reviews in the form of workshops and workbooks. The Grantee Oversight Workshop (GOW) is an annual workshop held nationwide with the intent of thoroughly explaining to agencies the federal rules and regulations such as requirements of FTA funding programs. The GOW is tailored for the agency staff members who are directly responsible for handling funding tasks such as submitting FTA grant applications, overseeing projects financially supported by federal funds, and implementing transit services.

## Conclusion

The purpose of triennial reviews is to ensure that agencies that receive federal funds through KDOT are compliant with federal regulations. The process is an opportunity to learn more about federal provisions and maintain compliance with KDOT and federal requirements.

### Sources for this article

“Interview Guide for Kansas 5310 Sub-recipients” Kansas Department of Transportation, January 2019, [http://www.ksdot.org/Assets/wwwksdotorg/bureaus/burTransPlan/pubtrans/pdf/5310%20Interviewer%20Guide\\_2019.pdf](http://www.ksdot.org/Assets/wwwksdotorg/bureaus/burTransPlan/pubtrans/pdf/5310%20Interviewer%20Guide_2019.pdf)

“Interview Guide for Kansas 5311 Sub-recipients”, Kansas Department of Transportation, January 2019, [http://www.ksdot.org/Assets/wwwksdotorg/bureaus/burTransPlan/pubtrans/pdf/5311%20Interviewer%20Guide\\_2019.pdf](http://www.ksdot.org/Assets/wwwksdotorg/bureaus/burTransPlan/pubtrans/pdf/5311%20Interviewer%20Guide_2019.pdf)

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Interview with Jon Moore, Olsson, (October 24, 2018).