

Materials and documents request list for Transit Operator TDA Performance Audit

As of 10/9/18

Below is an initial list of documents for the triennial performance audit. From our experience, we may be collecting additional data as the audit progresses. If documentation is available electronically (e.g. PDF, Excel, Word, etc.), that would be preferred. Weblinks to documents available on the internet would be fine as well.

If any item does not apply, just indicate so.

The Michael Baker International eFTP Secure File Transfer System is available to upload materials. The eFTP site address is <https://eftp.mbakerial.com/>. Users must register before using. (See screenshots of the eFTP pages attached).

Email of data files is also fine if they are relatively smaller (<10 MB total per email).

Thanks,

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1. State Controller's Annual Transit Operator Report for FYs 2014-15, 2015-16, 2016-17, and 2017-18 (4 fiscal years).
2. Annual Financial and Compliance Audits for FYs 2014-15, 2015-16, 2016-17, and 2017-18 (4 fiscal years).
3. Federal National Transit Database (NTD) Reports for 2014-15, 2015-16, 2016-17, and 2017-18 (4 fiscal years).
4. Most recent FTA Triennial Performance Audit and FTA comments/response letters.
5. Annual Transit Budgets for FYs 2014-15, 2015-16, 2016-17, and 2017-18 (4 fiscal years).
6. Annual CHP Safety Compliance Report/Terminal Record Update, Carrier Inspection, and Equipment Inspection Reports for 2014-15, 2015-16, 2016-17, and 2017-18 (4 fiscal years).
7. Copies of CHP unsatisfactory inspections of terminal, vehicles and equipment during same time frame. (if applicable)

8. Copy of JPA, by-laws and other governance documents establishing authority of the transit agency. (if applicable)
9. Copy of transit service agreements/MOUs between jurisdictions for service (e.g. between operator and city, city and county, etc.) (if applicable)
10. Other MOUs/agreements with local entities/other transit providers (e.g. fare transfer agreements, emergency services, shared facilities, etc.)
11. Copy of disabled rider certification application for Dial-A-Ride eligibility.
12. Performance productivity reports or dashboard reports (monthly or annual for ridership, miles, hours, etc.) for FYs 2014-15, 2015-16, 2016-17, and 2017-18 (4 fiscal years).
13. Vehicle operations data including on-time performance, preventable accidents, roadcalls, vehicle failures, Dial-A-Ride no-shows, and customer complaints for FYs 2014-15, 2015-16, 2016-17, and 2017-18 (4 fiscal years).
14. Vehicle fleet inventory showing year, make, model, seating capacity, and ambulatory and/or wheelchair accessible. Also if vehicle is assigned to certain service, please make note.
15. Short Range Transit Plan/Comprehensive Operations Analysis and other transit plans.
16. If operations (e.g. drivers, dispatchers, maintenance) are contracted, copy of service contract during FYs 2014-15, 2015-16, 2016-17, and 2017-18 (4 fiscal years). (if applicable)
17. Sample monthly reports from the contract operator (preferably reports that also contain year-end data for FYs 2014-15, 2015-16, 2016-17, and 2017-18 (4 fiscal years). (if applicable)
18. Sample of recent two or three days of manual entry or software generated driver trip sheets and manifests.
19. Sample of marketing products during FYs 2014-15, 2015-16, 2016-17, and 2017-18 (4 fiscal years) (brochure, map, timetables, flyers etc.).
20. Evidence of capital grants management (internal spreadsheets, financial tracking, etc.).
21. Organization and Staffing Chart as of June 2018.
22. Full time and part time employee count and annual work hours for 2014-15, 2015-16, 2016-17, and 2017-18 (4 fiscal years). Include all employees associated with transit system.
23. Labor agreements/MOUs in effect over the audit review period. (if applicable)
24. Responses to prior performance audit recommendations.

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