



Metropolitan Transportation Commission
Administration Committee
October 3, 2007

**FY2007
TDA Triennial Performance
Audit of MTC**

Mundt & Associates, Inc.

Audit of MTC

- § Audit Period: FYs 2003-04, 2004-05 & 2005-06
- § MTC's role and responsibilities as a regional transportation planning agency (RTPA).
- § Areas examined:
 - TDA-STA Administration
 - Regional Transit Coordination
 - RTP Development

Audit of MTC

Audit Approach

Two Phases:

“Audit Survey”

- Description of MTC Organization and Programs.
- Identify statutory and regulatory requirements.
- Administer TDA partner survey.
- Review responses to prior audit recommendations.

“Detailed Audit”

- Examine statutory and regulatory compliance (review MTC policies and practices; sampling of allocations).
- Examine performance against goals and objectives, and relevant OWP work elements (tasks, work products, resource allocation).

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Responses to Prior Audit Recommendations

MTC fully implemented three of the five prior audit recommendations.

One recommendation was partially implemented:

- § Reexamine the process for developing strategic plan goals and revise goals as necessary in order to provide a logical flow from the strategic plan goals to the overall work program.

One recommendation was not implemented:

- § Ensure that an appropriate public participation process is conducted annually in the northern counties.

Audit of MTC TDA Partner Survey

Survey Questionnaire

- § TDA-STA Administration.
- § Agency Staff Relationships with MTC Staff.
- § Regional Coordination.

Surveyed Agencies (sampling size 32)

- § TDA Article 3 Claimants and Countywide Coordinating Agencies
- § Other Partners: Transit Operator Claimants, County Congestion Management Agencies, County PCC Chairs and PCC Staff, and Regional Partner Agencies (including Caltrans)

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TDA Partner Survey – Selected Results

	<u>TDA/STA</u>	<u>Article 3</u>
Annual time spent on allocations		
– 10 hours or less	12%	20%
– 10-40 hours . . .	35%	53%
– 40-80 hours . . .	12%	20%
– More than 80 hours . . .	36%	7%
 “It’s too time-consuming to request an allocation”		
– Strongly agree . . .	18%	0%
– Somewhat agree . . .	29%	13%
– Did not agree . . .	35%	80%
– No opinion . . .	12%	7%

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TDA Partner Survey – Selected Results

	<u>TDA/STA</u>	<u>Article 3</u>
“MTC staff provide adequate information”		
– Strongly agree . . .	65%	53%
– Somewhat agree . . .	18%	27%
– Did not agree . . .	6%	0%
– No opinion . . .	6%	20%
“MTC staff responded to inquiries in a timely manner”		
– Strongly agree . . .	65%	67%
– Somewhat agree . . .	12%	7%
– Did not agree . . .	12%	0%
– No opinion . . .	6%	27%

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TDA Partner Survey – Selected Results

	<u>TDA/STA</u>	<u>Article 3</u>
“MTC disbursement instructions are clear”		
– Strongly agree . . .	47%	67%
– Somewhat agree . . .	18%	27%
– Did not agree . . .	12%	0%
– No opinion . . .	18%	7%
“Disbursement requests are processed timely”		
– Strongly agree . . .	24%	53%
– Somewhat agree . . .	35%	3%
– Did not agree . . .	24%	0%
– No opinion . . .	6%	33%

Audit of MTC Statutory & Regulatory Compliance

Twenty requirements identified in five areas:

- A. Apportionments and Allocations
- B. Public Participation and Outreach
- C. Productivity Improvement Program Projects
- D. Fiscal and TDA Audits
- E. Transit Coordination/Regional Objectives

Audit of MTC Statutory & Regulatory Compliance

No instances of non-compliance.

Partial compliance in two areas:

1. Lacking verification of public participation in Northern Counties to obtain input on needs from transit dependent and disadvantaged persons.
2. Changed the timing of the PIP adoption cycle to improve usefulness of the process; resulted in no PIP adoption in FY2005.

Audit of MTC

Audit Recommendations

1. Develop agency-wide goals and objectives that encompass all functions within the MTC organization.
2. Examine internal and external communication protocols to enhance information flow between MTC and the operators, particularly when circumstances result in a delay or reduction in the operators' funding expectations.
3. Ensure that an appropriate public participation process is conducted annually in the northern counties.