



March 26, 2025

To: Finance and Administration Committee

From: Darrell E. Johnson, Chief Executive Officer

Janet Sutter, Executive Director
Internal Audit

Subject: Transit Field Supervision, Internal Audit Report 25-508

Overview

The Internal Audit Department of the Orange County Transportation Authority has completed an audit of transit field supervision. Based on the audit, field supervision activities are effectively performed and recorded, and in accordance with guidelines and standards set by management.

Recommendation

Receive and file Transit Field Supervision, Internal Audit Report No. 25-508, as an information item.

Background

Field supervision is within the Operations Division of the Orange County Transportation Authority (OCTA). Field supervisors manage OCTA's on-street transit environment using real-time service management to ensure safe, courteous, and reliable service for all bus passengers. Field supervisors are the first responders to any accident, incident, or circumstance impacting bus operations. As such, they coordinate with other providers within and outside of OCTA to correctly identify, evaluate, and communicate conditions and situations affecting bus operations. Field supervisors provide support to coach operators to resolve customer issues in the field and respond to planned and unplanned detours. Field supervisors work 24 hours a day, seven days per week, including holidays, and rotate through all shifts on a quarterly basis aligning with pay periods.

Management communicates guidelines for handling various duties on a quarterly basis. Management also sets standards for performance of duties and evaluates field supervisors' performance against these standards.

Discussion

Field supervisors are provided with the necessary tools, equipment, and guidelines to ensure timely and effective assistance in the field. Field supervisors observed were knowledgeable of requirements and provided professional and respectful assistance to both coach operators and customers.

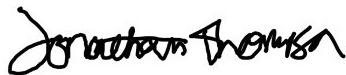
Summary

The Internal Audit Department has completed an audit of Transit Field Supervision.

Attachment

A. Transit Field Supervision, Internal Audit Report No. 25-508

Prepared by:



Jonathan Thompson
Internal Auditor
(714) 560-5930

Approved by:



Janet Sutter
Executive Director, Internal Audit
(714) 560-5591

ORANGE COUNTY TRANSPORTATION AUTHORITY INTERNAL AUDIT DEPARTMENT



Transit Field Supervision

Internal Audit Report No. 25-508

February 19, 2025



Performed by Jonathan Thompson, Internal Auditor *Jonathan Thompson*
Janet Sutter, CIA, Executive Director

Distributed to: Johnny Dunning, Chief Operating Officer,
Damon Blythe, General Manager, Transit
Sergio Hernandez, Tim Beseau

**ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Transit Field Supervision
February 19, 2025**

Table of Contents

Conclusion	1
Background	1
Objectives, Scope, and Methodology	2
Audit Comment, Recommendation, and Management Response.....	3
Noteworthy Accomplishments	3

ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Transit Field Supervision
February 19, 2025

Conclusion

The Internal Audit Department (Internal Audit) of the Orange County Transportation Authority (OCTA) has completed an audit of transit field supervision activities. Based on the audit, field supervision activities are effectively performed and recorded, and in accordance with guidelines and standards set by management.

Background

Field supervision is within the Operations Division of OCTA. Field supervisors manage OCTA's on-street transit environment using real time service management to ensure safe, courteous, and reliable service for all bus passengers. Field supervisors are the first responders to any accident, incident, or circumstance impacting bus operations. As such, they coordinate with other providers within and outside of OCTA to correctly identify, evaluate, and communicate conditions and situations affecting bus operations. Field supervisors provide support to coach operators to resolve customer issues in the field and respond to planned and unplanned detours. Field supervisors work 24/7, including holidays, and rotate through all shifts on a quarterly basis aligning with pay periods.

Field supervisors are assigned a special service vehicle, currently 2020 Ford Explorer hybrids, to carry out their responsibilities. These vehicles are equipped with a radio for communication with OCTA dispatchers, a docking station for connection of their assigned laptop, various tools, safety equipment, and signage for responding to issues in the field. Field supervisors use the TopCar system to record the location and timing of their activities. Management communicates guidelines for handling various duties on a quarterly basis. Management also sets standards for performance of duties and evaluates field supervisors' performance annually against these standards.

Field supervisors perform a variety of duties, including managing service delivery by observing coach operator driving skills, bus speed, on-time pullout, schedule adherence, routing, running times, stops, and layovers, and provide coach operator mentoring, as appropriate. They also perform observations of transit centers for unsafe activities, unattended items, and/or damage or graffiti and initiate repairs and clean-up, as necessary. Field supervisors respond to reports of bus collisions and passenger falls and coordinate the filing of incident reports in the Origami risk management system. They also minimize disruption or loss of service by completing minor repairs in the field, such as securing loose panels, tightening mirrors, and repairing malfunctioning fareboxes.

ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Transit Field Supervision
February 19, 2025

Objectives, Scope, and Methodology

The objectives were to evaluate and test the adequacy and performance of field supervision activities.

The methodology consisted of observations of field supervisor activities against documented performance and duty guidelines, as performed by five of 15 field supervisors, testing a haphazard sample of 50 entries from field supervisor daily activity logs against information on time and location per the global positioning system installed on the respective vehicles, testing a haphazard sample of 20 incidents requiring field supervisor response from the central communications dispatch system against supervisor activity logs, F-18 reports entered into the Origami risk management system for accuracy and timeliness of reporting, and confirming all quarterly communications from management outlining duty and performance guidelines.

The scope was limited to field supervision activities. The scope period for observations included dates in December 2024 and January 2025, and the scope period for all other tests was from December 1, 2022 to November 30, 2024. Since the samples selected were non-statistical, any conclusions are limited to the sample items tested.

We conducted this performance audit in accordance with Generally Accepted Government Auditing Standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

**ORANGE COUNTY TRANSPORTATION AUTHORITY
INTERNAL AUDIT DEPARTMENT
Transit Field Supervision
February 19, 2025**

Audit Comment, Recommendation, and Management Response

Noteworthy Accomplishments

Field supervisors are provided with the necessary tools, equipment, and guidelines to ensure timely and effective assistance in the field. Field supervisors observed were knowledgeable of requirements and provided professional and respectful assistance to both coach operators and customers.