



Board Report

File #: 2020-0896, **File Type:** Informational Report

Agenda Number: 10.

FINANCE, BUDGET AND AUDIT COMMITTEE FEBRUARY 17, 2021

SUBJECT: OFFICE OF INSPECTOR GENERAL (OIG) FINAL REPORT ON REVIEW OF METRO STANDARD OPERATING PROCEDURES

ACTION: RECEIVE AND FILE

RECOMMENDATION

RECEIVE AND FILE Office of Inspector General (OIG) Final Report on the Review of Metro Standard Operating Procedures

ISSUE

The Office of the Inspector General (OIG) performed a review of Metro standard operating procedures (SOPs). The review did not include Operations because the unit has extensive SOPs related to the department's job positions and critical tasks. This review was conducted as part of our ongoing effort to assist Metro in providing responsive, accountable, trustworthy governance within the Metro organization and to build and nurture a diverse, inspired, and high-performing workforce. Having a skilled, knowledgeable, effective workforce can ultimately affect the quality of service the Metro customers experience.

BACKGROUND

The objective of our review was to determine whether Metro has adequate SOPs in each of the key job functions to capture institutional knowledge to effectively manage succession planning.

SOPs are documented processes, consisting of step-by-step instructions on how to execute tasks or functions. The primary goal of an SOP is to achieve efficiency, produce quality output, document minimum standards, facilitate training, accomplish knowledge capture, and promote uniformity of performance.

Using SOPs not only ensures a more accurate and consistent workflow, it also helps to smooth and reduce the time to achieve proficiency and common stresses associated with a new job for employees' assuming and transiting into new roles.

DISCUSSION

Findings

Our review found that Metro lacks adequate SOPs in some of the key job functions, which may restrain overall succession planning and make those departments without any SOPs less prepared for the Voluntary Separation Incentive Program (VSIP) although Human Capital and Development (HC&D) is encouraging and supporting departments to try to accomplish knowledge capture and transfer for those departments that have employees leaving via VSIP.

Metro should continue to make an effort to assist departments to develop their SOPs, especially with Metro's recently introduced VSIP that will cause a surge in losing long-term employees with institutional knowledge. The VSIP states employees must complete the knowledge transfer process, and representatives from the HC&D team will assist. HC&D has published guidance on capturing legacy knowledge, instructions for writing an SOP and web links to LinkedIn Learning courses to create SOPs with specificity that are sufficiently useful.

Well-crafted SOPs facilitate a smooth transition between a tenured and an incoming employee and reduce the risk of losing institutional knowledge

Recommendations

We recommend Metro's Senior Leadership Team (SLT) members direct their respective staff to:

1. Continue to create or improve SOPs with top priority given to those positions where employees choose to leave the agency through participation in the VSIP;
2. Develop SOPs for all positions and critical tasks for departments lacking SOPs;
3. Improve and update SOPs for departments that have SOPs but lack workable details that allow employees to follow instructions and execute tasks effectively;
4. Work with and develop SOPs for departments that have limited documentation, to achieve results similar to SOPs;
5. Hire consultants, assign an entry level trainee or reassign department resources to create SOPs for the departments that need assistance to create SOPs;
6. Further review or evaluate the lack of SOPs throughout the agency;
7. Assign each employee to provide input or assist to write up an SOP draft for their own job duties as part of their objectives.

Human Capital & Development should:

8. Reach out to departments listed on section 3 of this report (Communications, Program Management, Finance & Treasury, TAP Operations, and ITS) that were non-responsive to the SOP survey, and offer to assist them to start an SOP writing project.
9. Have Strategic Business Units spend the time and resources needed for successful succession planning including creating SOPs.

FINANCIAL IMPACT

There is no financial or budgetary impact by accepting the report, but compliance with the recommendations would allow Metro to achieve increased efficiency and more effective succession planning.

IMPLEMENTATION OF STRATEGIC PLAN GOALS

The recommendations in this report support Metro's Strategic Plan Goal 5, "Provide responsive, accountable, and

trustworthy governance within the Metro organization”.

NEXT STEPS

Metro management should consider adoption of the recommendations proposed in this report.

ATTACHMENTS

Attachment A: Report on the Review of Metro Standard Operating Procedures (Report No. 21-AUD-04)

Prepared by: Lorena Martinez, Administrative Analyst, (213) 244-7345
Yvonne Zheng, Senior Manager, Audit, (213) 244-7301
George Maycott, Sr. Director, Inspector General-Audit (Interim), (213) 244-7310

Reviewed by: Karen Gorman, Inspector General, (213) 922-2975