**Goal:** To update and maintain administrative polices and procedures.
Recommendations
Vision - Organizational Alignment

Organization Mission
We deliver quality, affordable transit services that link people, jobs and communities.

Business Requirements
Deliver service, maintain infrastructure, communicate with customers, hire personnel, purchase materials, monitor service quality, comply with applicable laws and regulations, etc.

Policies
Customer service guidelines, purchasing guidelines, employment and benefits rules, financial management policies, employee conduct rules, etc.

Procedures
Handling customer complaints, requisition for materials, hiring activities, travel reimbursement, employee discipline, building access, etc.

Tools & Forms
Technology systems/applications, job posting forms, travel reimbursement forms, ID cards, etc.

Execution/Management
Execution of procedures (including use of tools and forms), any activity undertaken within the scope of policy to support business requirements, etc.

Goal: To align day-to-day management with the CTA’s mission through effective policies and procedures.

Purpose of Establishing Policies and Procedures:
1) Protect business operations
2) Protect financial integrity
3) Protect intellectual property
4) Comply with Laws and regulations
5) Define the Culture of an organization

Source: Forrester Research, Inc.
Recommendations
Vision - Policy and Procedure Management

Policy Area

Process 1 (incl. goals & metrics)
Procedure AP
Procedure OP

Process 2 (incl. goals & metrics)
Procedure AP
Procedure OP

Process 3 (incl. goals & metrics)
Procedure AP
Procedure OP

AP&Ps will be cataloged (existing & new) and managed through a centralized online repository

Policy Area

Administration, Communication, and Compliance Functions

Maintenance Functions

Maintenance Cycle
Review
Draft
Consult
Revise
Approve

Prioritization

Mission Critical
Level 2
Level 3

Internal and External References

1. Business Requirements
2. Board Ordinances
3. Federal/State Regulations
4. Union Contracts
5. Industry Associations
6. Technology/Systems

Unscheduled Maintenance

7. Regulatory changes
8. Union contract decisions
9. Board decisions
10. New technology projects

Scheduled Maintenance Functions

Unscheduled Maintenance

• Regulatory changes
• Union contract decisions
• Board decisions
• New technology projects
Recommendations
Vision – Governance Organization

Board

President

Executive Vice President
Management/Performance

Review Committee
Representation for Transit Operations, Construction/Engineering, Management/Performance, and Safety/Security

Governance
Management & Performance

Project Controls (QA/QC)
Construction, Engineering, & Facilities

- Legal Control - General Counsel
- Financial Control – VP/Comptroller
- Technology Control – VP Tech Mgmt

Consultation/Facilitation with Stakeholder Departments

- Transit Operations
- Management & Performance
- Construction, Engineering, & Facilities Maintenance

Training
Transit Operations
(Responsibility for SOP's)

Program Management

External Resources

CTA Confidential
Recommendations
Phase II – Workplan Overview

Accelerated One-Year Time Frame

Q2 2007  Q3 2007  Q4 2007  Q1 2008

Policy Area Development


Goal: To complete a substantial update within one year.
Recommendations
Phase II – Prioritization of Efforts

Importance to CTA Operations
Model developed to stratify policy areas by level of importance to CTA operations

- 70 high priority areas
- 212 medium priority area
- 208 low priority areas
- (other areas still to be defined)

Key Initiatives
Initial review of key CTA initiatives and the policy areas that affect/support those initiatives

- Funding Issues
- Construction Projects
- Schedule-to-Pay
- ERP & MMIS
- Bus Tracker

Identified Opportunities
Cost savings, efficiency gains, morale improvements, or other opportunities identified

- Absenteeism
- Vacation & Leave
- Litigation
- Payroll accuracy
- Corrective Action Guidelines

Project Considerations
Resource availability, funding availability, dependencies between policy/procedure areas, work completed to date, etc.

- Internal Resources
- External Expertise (RFP)
- PMO Resources
- Approvals pending
- Funding

Goal: To allocate resources efficiently, to support key initiatives, and to generate benefits quickly.

Initial and On-going Prioritization of Efforts
Initial prioritization will be determined as part of the launch of the program management function and administered on an on-going basis by the new Governance group

Key Participants:
- Board
- Executive Management
- Policy & Procedure Review Committee
- Governance Group
## Recommendations

### Project Overview - Next Steps

<table>
<thead>
<tr>
<th>Activity</th>
<th>Time Frame</th>
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<tbody>
<tr>
<td>• <strong>Adoption of Future State Vision and proposed Roadmap</strong></td>
<td>Complete</td>
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<tr>
<td>• Confirm consensus</td>
<td></td>
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<tr>
<td>• <strong>Initiate Phase II</strong></td>
<td>TBD</td>
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<tr>
<td>• Establish program management function</td>
<td></td>
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<tr>
<td>• Organize CTA resource participation</td>
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<tr>
<td>• Prioritize and launch efforts</td>
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<tr>
<td>• Begin detail planning for Governance group</td>
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<tr>
<td>• Procure professional services</td>
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<tr>
<td>• <strong>Quarterly Board Updates</strong></td>
<td>TBD</td>
</tr>
<tr>
<td>• Review of project progress and participation</td>
<td></td>
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<tr>
<td>• Review of key policies</td>
<td></td>
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