



Board Report

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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)

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Los Angeles County
Metropolitan Transportation Authority
Office of the Inspector General

Review of Metro
Standard Operating Procedures

Report No. 21-AUD-04

February 10, 2021



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Review of Metro Standard Operating Procedures

Office of the Inspector General

Report No. 21-AUD-04

DATE: February 10, 2021

TO: Metro Board of Directors
Metro Chief Executive Officer

FROM: Yvonne Zheng, Senior Manager, Audit
Office of the Inspector General

SUBJECT: Final Report on Review of Metro Standard Operating Procedures (SOP)
(Report No. 21-AUD-04)

INTRODUCTION

The Office of the Inspector General (OIG) performed a review of Metro standard operating procedures (SOPs). The review did not include some newly created cost centers, or Operations because that 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

Standard Operating Procedures (SOPs)

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.

Each SOP should include relevant policies, tasks, timelines, sources of materials, practices, and people involved by title or role to give a clear understanding of the impact each procedure has on the accomplishment of department objectives and the agency mission. Departments have flexibility in deciding the best way to convey information to their staff such as written SOPs, training videos, online training, what they call story boards, and one-on-one training. However, SOPs are a key element that can be supplemented by these other methods because they provide the requirements in writing, are easy to maintain and update, and allow users to easily look up steps. Different people learn in different ways. SOPs join hands on and auditory training with written training, which makes for holistic learning to address all the likely methodologies by which people learn. Talent Development agrees that it is critical for Metro departments to consider documenting critical tasks in writing. They have issued advisories to encourage that practice.

Benefits of SOPs

- Provide new and existing employees with the ability to replicate processes with consistency, accuracy, and predictability.
- Protect the agency from any knowledge loss due to employee attrition.
- Document the standards for performing a particular job duty for the purposes of measuring accurate job performance and preparing performance evaluations against fair and objective standards.
- Can be important training tools and reduce the learning curve for employees newly assigned to perform a function.

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.

Maintenance of SOPs

SOPs should be maintained in a centralized and readily accessible location where department employees are able to access them throughout their work day. Clear but detailed titles with numbers and dates of revisions of SOPs help employees save time locating the desired information. SOPs can be centralized in a department's share drive or in Metro's SharePoint collaboration platform.

Succession Planning Tool Kit

Over 40 percent of Metro's workforce is eligible to retire, and eventually, these employees will leave, taking years of knowledge and expertise with them. It is important that critical tasks and procedures are documented before employees leave to ensure that subsequent or interim staff are able to continue operations effectively. To ensure knowledge is transferred during workforce turnovers, Talent Development has established a succession program with several components, which includes a succession planning strategy where departments are encouraged to identify critical practices and create SOPs to document and place SOPs online where they can be accessed and reviewed by any employee.

The Tool Kit helps departments create:

- SOPs
- Business storytelling videos and
- Metro Career Pathways, Employee Development, Department 101 training

For Succession Planning Toolkit, Instructions for Writing an SOP, see Attachment A of this report.

OIG Lessons Learned Program

The Office of the Inspector General created and continues to develop the Lessons Learned Program, a project management best practice that captures knowledge gained from experience, past failures and successes.

Components of the Lessons Learned Program includes things like written SOPs to capture knowledge, and a Masters Class where retired employees, chief executive officers and board members are interviewed to discuss the lessons they learned while working at Metro and their careers. The program also includes the development and implementation of an expanded knowledge management software database to capture lessons on a daily basis, catalogue them, and sort for easy access. A lesson learned may be positive, as in a communication technique that successfully kept stakeholders informed, or negative, as in a mishap or failure. Capturing these events for a Lessons Learned/Knowledge Management system benefits the organization by reducing costs and risks through avoiding past mistakes and building on prior successes. Lessons Learned focuses on real experiences others can learn from. Both successes and failures can teach and prepare others for similar tasks or projects. Departments can learn from each other as they face the same challenges by reviewing content from a Lessons Learned Program. Benefits such as reducing costs by avoiding past mistakes and increasing the possibility of repeating prior successes enhances organizational knowledge, reduces institutional risks and improves the chances for a continued organizational success.

It is important to understand that knowledge gained and reported as a lesson learned should be shared openly and honestly. Users of a Lessons Learned Program need the ability to self-analyze and self-criticize in a safe atmosphere that will not cast blame but contribute to a more effective and efficient organization.

A Lessons Learned Program may contain copies of written reports, electronic messages, forums, blogs, briefings and websites that populate an electronic repository that is shared internally amongst the organization. The electronic collection system should be a structured database accessible by individual departments who have lessons learned to share.

OBJECTIVE, METHODOLOGY AND SCOPE OF REVIEW

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

To achieve the review objective, we:

- Reviewed all 653 non-contract job positions posted on the Metro Intranet;
- Identified primary tasks for each job position according to the job descriptions;
- Sent Microsoft Forms surveys to all 94 affected cost centers;
- Received and reviewed 56 cost center survey responses;

- Analyzed answers provided for 371 job positions; and
- Reviewed SOPs and other related documents provided by 30 cost centers.

This survey is not an audit. Thus, Government Audit Standards are not strictly applied in this review.

RESULT OF REVIEW

1. Summary of OIG's Standard Operating Procedures Survey Result

Metro currently has approximately 653 non-contract unique job positions assigned to 94 cost centers. We sent our OIG surveys to 94 cost centers and received 56 responses pertaining to 371 job positions.

OIG created Microsoft Forms surveys for each cost center. We listed all non-contract job positions and identified the primary job duties according to the posted job descriptions. Each job position listed in the survey included five options to select from and one follow up question for each position if the respondent had further details regarding the primary duties for the job descriptions. We were flexible concerning the format or method for any SOP. We sent the corresponding survey links to each Senior Leadership Team member on July 30, 2020. We followed up at least three times with survey recipients requesting a response. For the 371 job positions surveyed, 92% (343/371) of the responses had not produced all primary job duties listed in the survey to an SOP of some kind.

For the primary job duties described in the job descriptions, only 8% (28/371) had SOPs for the positions listed. An agency-wide project to update all job descriptions was conducted recently. Yet, based on our survey, 10% of the survey respondents did not agree with the job duties in the job descriptions.

According to our survey results:

- **A** - 8% (28/371 job positions) of those who responded indicated that their cost center agrees with the primary job duties listed in the survey and they can provide an SOP or other related materials for all other tasks.
- **B** - 35% (130/371 job positions) of those that responded indicated that their cost center agrees with the primary job duties and they are able to provide SOPs or other related documents but just for some of the duties.
- **C** - 47% (176/371 job positions) of those that responded indicated that their cost center agrees with the primary duties listed but they are not able to provide SOPs.

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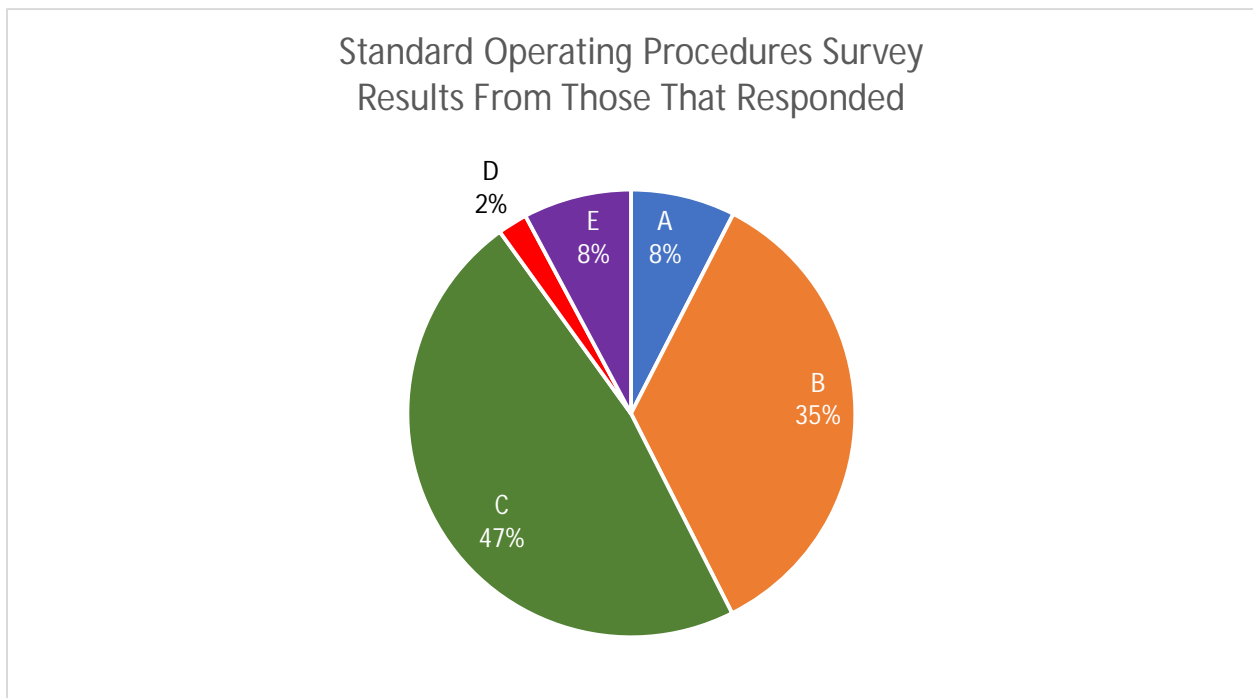
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- **D** - 2% (8/371 job positions) of those that responded indicated that their cost center did not agree with the primary duties listed but they can provide some documents to describe how to perform them.
- **E** - 8% (29/371 job positions) of those that responded indicated that the cost center did not agree with the job duties and they do not have anything to describe the accurate job duties.

In addition to these, for the 40% (38/94) cost centers that did not respond, we assume they have no SOPs for the purposes of this Report.

The following pie chart is the summary of OIG’s Standard Operating Procedures Survey Result.



The pie chart above represents a total of 371 positions in 56 cost centers for which answers were provided out of 653 positions surveyed in 94 cost centers.

2. Responsive Departments/Cost Centers to OIG Survey

There were 56 responsive cost centers to our survey on 371 positions sent on 7/30/2020. The details of our survey responses are shown below.

Department	Cost Center #	Cost Center Name	Number of Job Positions Surveyed
Accounting	5110	Accounting	9

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Department	Cost Center #	Cost Center Name	Number of Job Positions Surveyed
TAP Operations	3020	TAP	18
Office of Management and Budget	4430	Local Programming	11
Congestion Reduction	2220	Congestion Reduction	9
Motorist Services	3351	SAFE	4
	3352	Freeway Patrol	4
Board Relations, Policy and Research Service	2410	Board Relations, Policy and Research	5
Procurement & Supply Chain Management	6320	Acquisition Management Services	10
	6330	Inventory Management	5
	6350	Logistics	7
	6940	Procurement/Contract Administration	7
	6925	Administration Policy	4
	6915	Executive Administration	5
	2514	Contract Support Pre-Qualification Office	2
	6951	Client Services/Administration Business Services	8
	2130	Diversity and Economic Opportunity	12
Systems Security and Law Enforcement	2611	System Security and Law Enforcement Emergency Management	1
	2610	Systems Security and Law Enforcement	13
Risk/Safety and Asset Management	5310	Risk Management	17
	6810	Corporate Safety	15
	6821	Enterprise Transit Asset Management	8

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Department	Cost Center #	Cost Center Name	Number of Job Positions Surveyed
Office of Extraordinary Innovation	2031	Office of Extraordinary Innovation	12
Civil Rights	2413	Civil Rights	7
Management Audit Services	2510	Management Audit	10
Information Technology Services	3198	Information Security/IT	5
	3961	Transit Operation Security	9
	9210	Information Management	11
	9220	Operations and Service Delivery	3
	9230	Systems Architecture and Technology Integration	13
	9240	IT Project Office & Admin	10
Executive Office Countywide Planning and Development	9250	Digital Strategy and Innovation	5
	4010	Executive Office Countywide Planning and Development	4
	Transportation Demand Management	3046	Parking Management/Transportation Demand Management
4320		Bike Share/Transportation Demand Management	4
4510		Executive Office of Real Estate/Transportation Demand Management	2
4540		TDM Policy and Regional Shared Mobility	5
Real Estate	4520	Real Estate/Union Station Operating and Management	2
	6520	Real Property and Asset Management	5
Transit Oriented Communities	2210	Transit Oriented/Joint Development	3

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Department	Cost Center #	Cost Center Name	Number of Job Positions Surveyed
	4330	Transit Oriented Communities/Systemwide Design	3
	4340	Transit Oriented Communities First/Last Mile Planning	4
	4530	Transit Oriented Communities	6
Long Range Transportation Plan	4210	Long Range Planning Admin	2
	4220	Long Range Transportation Plan Team 1	7
	4230	Technical Services Team 1	6
Connectivity Programs	4240	Mobility Corridors Team 4	4
	4360	Mobility Corridors Team 3	5
Mobility Corridors	4310	Mobility Corridors Team 1	5
	4315	Exec Office, Long Range & Mobility Corridors	3
	4350	Special Projects/Mobility Corridors	2
	4370	Mobility Corridors Team 2	6
Grants Management and Oversight	4440	Grants Management and Oversight	9
Federal/State Policy and Programming	4420	Federal/State Policy and Programming	8
Strategic Financial Planning	4410	Strategic Financial Planning	6
Chief Executive Office	2010	Office of the CEO	4
Ethics	1120	Ethics	4
		Total of 56 Cost Centers Responded	371 Job Positions Surveyed

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3. Non-Responsive Departments/Cost Centers to OIG Survey

There were 38 non-responsive cost centers to our survey(s) sent on 7/30/2020. The details are shown below.

Senior Business Unit/Department Name	Cost Center #	Cost Center Name
Communications	7140	Marketing
	7010	Executive Office, Communications
	7119	Metro Art & Design
	7120	Art Program
	7121	Signage and Environmental Graphic Design
	5420	Customer Programs and Services
	7170	Customer Relations
	7110	Public Relations
	7130	Government Relations
	7160	Community Relations
Program Management	2415	Regional Rail
	4710	Highway Capital
	4720	Highway Programs A
	4730	Highway Programs B
	4740	Highway Programs ITS
	8010	Project Management, Transit
	8110	Quality Assurance/Compliance
	8310	Engineering Management
	8320	Project Engineering Facilities
	8330	Systems Engineering
	8380	Bus Capital Facilities
	8410	Construction Management
	8420	Environment Compliance/Sustainability
	8430	Third Party Administration
	8610	Program Control
Finance & Treasury	5210	Treasury
	5610	Office of Management & Budget

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Senior Business Unit/Department Name	Cost Center #	Cost Center Name
TAP Operations	5440	Revenue Collection
Information Technology	6440	Research & Records Information Management
Planning & Development	6510	Right of Way/Asset Management
Human Capital & Development	2420	Employee & Labor Relations
	5211	Pension & Benefits
	2465	EO, HC &D
	6010	Workforce Services
	6410	General Services Administration
	6430	Building Services
	6220	Talent Development
	6240	Talent Acquisition
	Total non-responsive cost center:	38

Requested SOPs

As part of our review, we also requested those departments who had SOPs or other related materials to upload copies to Metro’s SharePoint site as instructed in the survey. We received several SOPs from 30 different cost centers. However, we are missing SOPs from 13 cost centers that answered they were able to provide written documentation for at least one of the job positions listed but failed to do so. Based on the survey results, 21 cost centers selected survey options stating they did not have SOPs to provide for any of the job positions listed. The SOPs we received included several formats. We did not impose any strict requirements on the format, design or even content of SOPs submitted. We were flexible.

Types of SOPs Received

We placed no minimum requirement on the length, format, content or quality of their SOPs. We made it clear that we were open to any sort or type of an SOP that documents the task or function and provides a reasonable amount of detail to satisfy the purpose described herein. Talent Development previously emailed all departments encouraging them to create SOPs and they included helpful links and information on how to write them. We believe an SOP is only useful if

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sufficient details specifically describe a process so that a person with no prior knowledge of the function could completely perform the work with only the SOP to rely upon. We received SOPs that followed, *Succession Planning Instructions for writing an SOP* provided by Talent Development (See *Attachment A*). Cost centers provided SOPs in the form of:

- manuals
- memos
- guidebooks
- PowerPoints presentations
- catalogues and reference materials

Based on the survey results and the documents provided to us, we found Accounting, Civil Rights, Ethics, Risk/Safety & Asset Management, System Security & Law Enforcement, VCM and Human Capital & Development (HC&D) seemed more prepared for the VSIP.

For a detailed look at the gathered data relating to cost centers' participation, see Attachment B.

Non-Responsive Departments

Some departments did not provide any copies of their SOPs because they either stated in the survey that they were not able to provide any or failed to complete our survey and request.

The departments were considered non-responsive if they did not respond to our survey or stated they were not able to provide SOPs. We sent multiple reminders to the Senior Leadership Team (SLT) asking them to respond and provide any SOPs and other related documents they may have to be included in the survey data. It is reasonable to infer that those departments that did not respond may have nothing to provide.

To facilitate departments or cost centers to provide us information, we created a convenient SharePoint page where cost centers were able to upload different types of documents to their appropriate cost center folder. We also made ourselves available and encouraged anyone with questions or concerns to reach out to us. We assisted those cost centers who contacted us for assistance and had questions regarding the surveys and uploading data.

Although HC&D did not respond to our survey, they did provide access to a shared drive that contained several files covering SOPs for each cost center. For Cost Center 6510, Right of Way/Asset Management, they notified us they did respond to our survey, however, we were unable to view their responses due to a technical error. Planning and Development did have regular communication with us regarding our requests.

CONCLUSION

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 SOP less prepared for the VSIP although Talent Development is encouraging and supporting department 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 Voluntary Separation Incentive Program (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 Talent Development 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.

Although time and resources may be an obstacle for many departments to follow succession planning, there is a potential greater loss of time and resources if people retire or leave their positions and interim staff or new hires struggle to perform tasks because there are no documented procedures. SOPs document how long-term staff perform their tasks, which may include sage advice that can be passed on to new employees. SOPs provide structure and consistency, which reduces errors while performing critical tasks.

Well-crafted SOPs facilitate a smooth transition between a tenured and an incoming employee and reduce the risk of losing institutional knowledge. Metro has issued repeated warnings that a high percentage of employees are eligible for retirement and the recent introduction of the VSIP will hasten the departure of tenured employees with their knowledge. The absence of effective SOPs for any department's job positions and critical tasks, like those created by Metro Operations, make the concern of employees exiting via VSIP even greater. Metro's CEO created the Metro Career Pathway for employee development, which requires all departments to conduct Metro Department 101 training including having SOPs. Compliance with that directive can be achieved in part by acting on the recommendations in this report. It is time to make SOPs a requirement for the agency.

RECOMMENDATIONS

We recommend the CEO office coordinate with Chief Policy Officer and Metro's Senior Leadership Team (SLT) members to direct their respective Strategic Business Unit's 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;

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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 in the IPPs.

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.

MANAGEMENT COMMENTS TO RECOMMENDATIONS

On January 8, 2021, we provided Metro management a draft report with nine recommendations. On February 8, 2021, Metro management sent us their response that summarized their actions as shown in Attachment C.

OIG EVALUATION OF MANAGEMENT RESPONSE

Metro Management's response and actions to be taken are responsive to the findings and recommendations in the report. Therefore, we consider all issues related to the recommendations resolved and closed.

Succession Planning Toolkit, Instructions for Writing an SOP



TALENT DEVELOPMENT

Instructions for writing a SOP

- o **Cover the necessary material:** In general, Standard Operating Procedures will consist of four elements apart from the procedure itself:
- o **Title page:** This includes
 1. The title of the procedure
 2. An SOP identification number
 3. Date of issue or revision
 4. The name of the agency/division/department the SOP applies to
 5. The signatures of those who prepared and approved of the SOP.
- o **Quality Assurance/Quality Control:** A procedure is not a good procedure if it cannot be checked. Have the necessary materials and details provided so the reader can make sure they've obtained the desired results. This may or may not include other documents, like performance evaluation samples.
- o **Reference:** Be sure to list all cited or significant references. If you reference other SOPs, be sure to attach the necessary information in the appendix.



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Succession Planning Toolkit, Instructions for Writing an SOP



Standard Operating Procedure

(SOP)

{Document Title Here}

{Facility Name Here}

Prepared by: Name/Title

Date

Approved by: Name/Title

Date

Effective Date: MM/DD/YYYY



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Succession Planning Toolkit, Instructions for Writing an SOP



Revision History

This page documents the revisions over time to the SOP. The most recent iteration should be listed in the row space, with consecutive versions following. Signatures may be required for revised documents.

Date of Revision	Page(s)/Section(s) Revised	Revision Explanation



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Succession Planning Toolkit, Instructions for Writing an SOP



The following are topics that may be appropriate for inclusion in technical SOPs. Not all will apply to every procedure or work process being detailed. If a particular topic does not apply, leave the topic heading in and insert “Not applicable for this SOP.”

- a) **Scope and Applicability** – describing the purpose of the process or procedure and any organization or regulatory requirements, as well as any limits to the use of procedure.
- b) **Summary of Method** – Briefly summarize the procedure.
- c) **Definitions** – identify any acronyms, abbreviations, or specialized terms used in this SOP.
- d) **Health & Safety Warning** – Indicate any operations that could result in personal injury or loss of life and explaining what will happen if the procedure is not followed or is followed incorrectly; listed here and at the critical steps in the procedure.
- e) **Cautions** – Indicate any activities that could result in equipment damage, degradation of sample, or possible invalidation of results; listed here and at the critical steps in the procedure.
- f) **Interferences** – Describe any components of the process that may interfere with the accuracy of the final product.
- g) **Personnel Qualifications/Responsibilities** – Denote the minimum experience the user should have to complete the task satisfactorily, and cite any applicable requirements, like certifications.



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Succession Planning Toolkit, Instructions for Writing an SOP

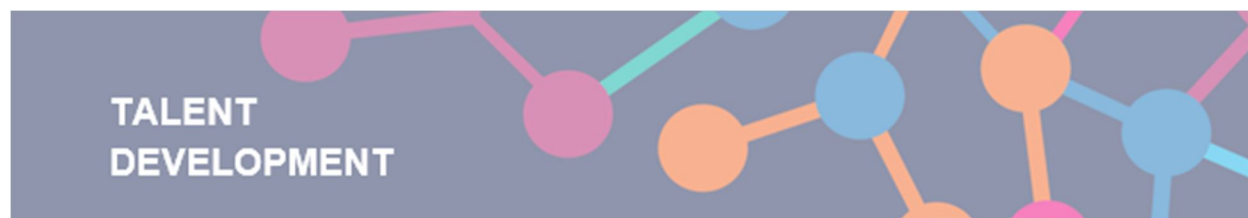


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 - h. Equipment and Supplies
 - i. Step by step procedure
 - Instrument or Method Calibration and Standardization
 - Sample Collections
 - Sample Handling and Preservation
 - Sample preparation and analysis
 - Troubleshooting
 - Data Acquisition, Calculations & Data Reduction Requirements
 - Computer Hardware & Software
 - j. Data and Record Management
4. Quality control and quality assurance section
5. Reference Section



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Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
Treasury	Treasury	5210	9	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Accounting	Accounting	5110	9	1	8	SOPs/Documents/Data Provided: Fiduciary Accounting, Financial Information System, General Ledger, Project Accounting, Accounts Receivable, Credit-Collections, Accounts Payable, Payroll documents
TAP Operations	TAP	3020	19	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
TAP Operations	Revenue Collection	5440	19	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
Office of Management and Budget	Local Programming	4430	11	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Office of Management and Budget	Office of Management and Budget	5610	13	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Congestion Reduction	Congestion Reduction	2220	9	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Motorist Services	SAFE	3351	4	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Motorist Services	Freeway Patrol	3352	4	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
Board Relations, Policy and Research Service	Board Relations, Policy and Research	2410	5	1	4	SOPs/Documents/Data Provided: Office of the CEO Board Relations Communications, Board Box Procedures, EVC Summary Guidelines, List of Board Report Review Checklist
Supply Chain Management (VCM)	Acquisition Management Services	6320	10	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Supply Chain Management (VCM)	Inventory Management	6330	5	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Supply Chain Management (VCM)	Logistics	6350	7	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Procurement (VCM)	Procurement/Contract Administration	6940	7	1	0	This cost center responded to our Survey

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
						but did not provide us with an SOP or related documents.
Procurement and Supply Chain Management (VCM)t	Administration Policy	6925	4	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Procurement and Supply Chain Management (VCM)	Executive Administration	6915	5	1	65	SOPs/Documents/Data Provided: Introduction to Vendor/Contract Management's "I AM VCM", VCM Reference Materials/Policies Procedures Trainings
Procurement and Supply Chain Management (VCM)	Contract Support Pre-Qualification Office	2514	2	1	65	SOPs/Documents/Data Provided: Introduction to Vendor/Contract Management's "I AM VCM", VCM Reference Materials/Policies Procedures Trainings
Procurement and Supply Chain	Client Services/Administration Business Services	6951	8	1	65	SOPs/Documents/Data Provided: Introduction to Vendor/Contract

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
Management (VCM)						Management's "I AM VCM", VCM Reference Materials/Policies Procedures Trainings
Procurement and Supply Chain Management (VCM)	Diversity and Economic Opportunity	2130	12	1	65	SOPs/Documents/Data Provided: Introduction to Vendor/Contract Management's "I AM VCM", VCM Reference Materials/Policies Procedures Trainings
Systems Security and Law Enforcement	System Security and Law Enforcement Emergency Management	2611	1	1	6	SOPs/Documents/Data Provided: Emergency Management Policy, Homeland Security Exercise and Evaluation Program, LA Metro Enterprise wide COOP Plan, National Incident Management System, National Infrastructure Protection Plan, National Response Framework

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
Systems Security and Law Enforcement	Systems Security and Law Enforcement	2610	13	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Risk/Safety and Asset Management	Risk Management	5310	17	1	9	SOPs/Documents/Data Provided: Principal Risk Analyst, Risk Management Public liability/ Property Damage, Preservation of Evidence, Workers Compensation Claims Administration, PLPD Claims Handling Policy, Claim Investigations Checklist- Bus/Rail Incidents, PLPD Chargeback, Workers' Compensation Bill Payment Protocols, Special Investigations Unit Operational Manual

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
Risk/Safety and Asset Management	Corporate Safety	6810	15	1	18	SOPs/Documents/Data Provided: Conducting a FOF, Fire Prevention during welding/cutting/ other, Testing and Management of Electrical Insulating Equipment, Ergonomics, Environmental Cleaning and Disinfecting, Rail-Accident Investigation, Refrigerant Management, Wipe-Cleaning of Non-Revenue Vehicles/CEA Units, Handling and Storage of Flammable Liquids and Compressed Gas, Responding to Infectious Diseases, SAFE-7 System User Guide

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
Risk/Safety and Asset Management	Enterprise Transit Asset Management	6821	8	1	1	SOPs/Documents/Data Provided: Enterprise Transit Asset Management- Statement on SOPs
Regional Rail	Regional Rail	2415	10	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Highway Project Delivery	Highway Capital	4710	4	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Highway Project Delivery	Highway Programs	4720	5	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Highway Project Delivery	Highway Project Delivery Programs	4730	5	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Highway Project Delivery	Highway Programs ITS	4740	3	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
Program Management, Transit	Transit Executive Office/Project Management	8010	9	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Program Management, Transit	Quality Management Assurance	8110	6	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Program Management, Transit	Engineering Management	8310	3	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Program Management, Transit	Project Engineering Facilities	8320	6	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Program Management, Transit	Systems Engineering	8330	7	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Program Management, Transit	Bus Capital Facilities	8380	7	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
Program Management, Transit	Construction Management	8410	9	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Program Management, Transit	Environment Compliance/Sustainability	8420	7	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Program Management, Transit	Third Party Administration	8430	4	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Program Control	Program Control	8610	13	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Office of Extraordinary Innovation	Office of Extraordinary Innovation	2031	12	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Civil Rights	Civil Rights	2413	7	1	7	SOPs/Documents/Data Provided: Chief Civil Rights Officer, Director of Civil Rights

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
						Programs, Accessibility Program Manager, Accessibility Analyst, Senior EEO Program Investigator, Civil Rights Compliance Administrator, Administrative Analyst
Management Audit Services	Management Audit	2510	10	1	6	SOPs/Documents/Data Provided: Audit Support Manager- Audit Report Tracking, Closeout of Audit Recommendations, TeamMate Admin Procedures, Consulting Onboarding, Consultant Resumes, CPE Tracking, Board Report Procedures
Information Technology Services	Information Security/IT	3198	5	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
Information Technology Services	Transit Operation Security	3961	9	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Information Technology Services	Research and Records Information Management	6440	8	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Information Technology Services	Information Management	9210	11	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Information Technology Services	Operations and Service Delivery	9220	3	1	1	SOPs/Documents/Data Provided: Help Desk
Information Technology Services	Systems Architecture and Technology Integration	9230	13	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Information Technology Services	IT Project Office & Admin	9240	10	1	0	This cost center responded to our Survey but did not provide us

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
						with an SOP or related documents.
Information Technology Services	Digital Strategy and Innovation	9250	5	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Marketing	Marketing	7140	22	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Executive Office, Communications	Executive Office, Communications	7010	4	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Creative Services	Metro Art & Design	7119	5	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Creative Services	Art Program	7120	4	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
Creative Services	Signage and Environmental Graphic Design	7121	4	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Creative Services	Customer Programs and Services	5420	2	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Creative Services	Customer Relations	7170	6	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Public Relations	Public Relations	7110	6	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Government Relations	Government Relations	7130	5	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.
Community Relations	Community Relations	7160	12	0	0	This cost center did not respond to our survey or send in any form of SOP or related document.

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
Executive Office Countywide Planning and Development	Executive Office Countywide Planning and Development	4010	4	1	4	SOPs/Documents/Data Provided: Director, Secretary, Senior Analyst, Senior Manager
Transportation Demand Management	Parking Management/Transportation Demand Management	3046	3	1	1	SOPs/Documents/Data Provided: Parking Management
Transportation Demand Management	Bike Share/Transportation Demand Management	4320	4	1	1	SOPs/Documents/Data Provided: Dispatching Balancers
Transportation Demand Management	Executive Office of Real Estate/Transportation Demand Management	4510	2	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Transportation Demand Management	TDM Policy and Regional Shared Mobility	4540	5	1	1	SOPs/Documents/Data Provided: Metro Rideshare/Shared Mobility
Real Estate	Real Estate/Union Station Operating and Management	4520	2	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
Real Estate	Right of Way/Asset Management	6510	8	0	0	Technical error, cost center did complete it but we were not able to view responses.
Real Estate	Real Property and Asset Management	6520	5	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Transit Oriented Communities	Transit Oriented/Joint Development	2210	3	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Transit Oriented Communities	Transit Oriented Communities/Systemwide Design	4330	3	1	2	SOPs/Documents/Data Provided: Standard Operating Procedures Flow Chart, Systemwide Station Design Team-Primary Responsibilities by Position
Transit Oriented Communities	Transit Oriented Communities First/Last Mile Planning	4340	4	1	0	This cost center responded to our Survey but did not provide us

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
						with an SOP or related documents.
Transit Oriented Communities	Transit Oriented Communities	4530	6	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Long Range Transportation Plan	Long Range Planning Admin	4210	2	1	0	This Cost Center responded to our Survey but did not provide us with an SOP or related documents.
Long Range Transportation Plan	Long Range Transportation Plan Team 1	4220	7	1	1	SOPs/Documents/Data Provided: Long Range Transportation Plan Department
Long Range Transportation Plan	Technical Services Team 1	4230	6	1	1	SOPs/Documents/Data Provided: LA Metro Procedure Guide-Travel Demand Modeling Mapping and Spatial Analysis Survey Research
Connectivity Programs	Mobility Corridors Team 4	4240	4	1	0	This cost center responded to our Survey

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
						but did not provide us with an SOP or related documents.
Connectivity Programs	Mobility Corridors Team 3	4360	5	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Mobility Corridors	Mobility Corridors Team 1	4310	5	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Mobility Corridors	Exec Office, Long Range & Mobility Corridors	4315	3	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Mobility Corridors	Special Projects/Mobility Corridors	4350	2	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Mobility Corridors	Mobility Corridors Team 2	4370	6	1	0	This cost center responded to our Survey

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
						but did not provide us with an SOP or related documents.
Grants Management and Oversight	Grants Management and Oversight	4440	9	1	2	SOPs/Documents/Data Provided: Metro Grants Management and Oversight Processes and Procedural Manual, Metro Grant Subrecipient Guidebook
Federal/State Policy and Programming	Federal/State Policy and Programming	4420	8	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Strategic Financial Planning	Strategic Financial Planning	4410	6	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Labor/Employee Services	Employee and Labor Relations	2420	5	0	5	Shared drive link was provided to OIG with department's SOPs and other related data.

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
Labor/Employee Services	Pension & Benefits	5211	6	0	76	Shared drive link was provided to OIG with department's SOPs and other related data.
EO, HC& D	EO, HC& D	2465	7	0	6	Shared drive link was provided to OIG with department's SOPs and other related data.
Workforce Services	Workforce Services	6010	7	0	9	Shared drive link was provided to OIG with department's SOPs and other related data.
Workforce Services	General Services Administration	6410	6	0	35	Shared drive link was provided to OIG with department's SOPs and other related data.
Workforce Services	Building Services	6430	5	0	17	Shared drive link was provided to OIG with department's SOPs and other related data.
Talent Management	Talent Development	6220	8	0	17	Shared drive link was provided to OIG with department's SOPs and other related data.

Schedule of Surveys Sent/Responses Received and SOPs Collected

Department (SBU)	Cost Center	Cost Center No.	Number of Job Positions Surveyed	# of Survey Responses Recorded	# of SOP's/Other Related Documents Recorded	Notes
Talent Management	Talent Acquisition	6240	12	0	28	Shared drive link was provided to OIG with department's SOPs and other related data.
Chief Executive Office	Office of the CEO	2010	4	1	0	This cost center responded to our Survey but did not provide us with an SOP or related documents.
Ethics	Ethics	1120	4	1	79	This cost center provided 79 SOPs for all job positions listed in survey.
Total			653 job positions surveyed	56 survey responses	30 cost centers provided SOPs	

Note: 30 out of 56 cost centers provided us with an SOP or related document. 20 of the 56 responded but did not provide any SOPs. Human Capital and Development as well as Procurement and Supply Chain Management (VCM) provided links with several files for their corresponding cost centers. Human Capital and Development provided a share drive that covered cost centers 2420, 5211, 2465, 6410, 6430, 6220, and 6240 containing 184 files in total. The Procurement and Supply Chain Management provided us with a document that included 65 links for SOP's and other related documents that covered cost centers 2130, 2514, 6915, and 6951.

Management Comments to Draft Report



Metro

Interoffice Memo

Date	February 8, 2021
To	Yvone Zheng, Senior Manager, Audit Office of Inspector General (OIG)
From	Nadine Lee, Chief of Staff Elba Higueros, Chief Police Officer
Subject	Response to OIG Audit Report No. 21-AUD0-04: Review of Metro Standard Operating Procedures

On behalf of the departments reviewed by the OIG, the Office of the CEO (OCEO) has received and reviewed the Audit Report No. 21-AUD-04: Review of Metro Standard Operating Procedures (SOPs), dated January 8, 2021. The report makes nine recommendations related to the creation and continuous improvement of Standard Operating Procedures (SOPs) to assist in knowledge transfer and succession planning for the Metro organization.

Management agrees with the following points, summarized from the OIG report:

1. SOPs are needed to ensure smooth knowledge transfer, most urgently due to the retirements resulting from the Voluntary Separation Incentive Program.
2. A way to create this knowledge transfer is to have SOPs for all departments across the organization.
3. SOPs can take many forms and can be unique to the cost center or function within the organization.
4. The recommendations in the OIG report reflect the varying states of SOP development within the reviewed departments.

OCEO, in partnership with the Human Capital & Development Department, will work with the reviewed departments to develop the SOPs in the best form to facilitate the transfer of knowledge through staff transitions and onboarding of new employees.

Final Report Distribution

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Chief Program Management
Chief Risk, Safety & Asset Management Officer
Chief System Security & Law Enforcement Officer
Chief Vendor/Contract Management Officer
Executive Officer, Administration
Executive Officer, Congestion Reduction
DEO, General Services
Audit Support Manager
Manager, Records & Information Management

Review of Metro Standard Operating Procedures (SOP)

OIG Report No. 21-AUD-04

Karen Gorman, Inspector General

February 2021



Objectives

The objectives of the review were to determine whether:

- Metro has adequate standard operating procedures (SOPs).
- Departments are prepared for knowledge capture of persons who leave Metro.



Results & Recommendations

- For the 371 job positions we surveyed, 92% (343/371) of the responses did not have complete SOPs for the primary job duties for positions.
- We found Accounting, Civil Rights, Ethics, Risk/Safety & Asset Management, System Security & Law Enforcement, Vendor/Contract Management, and Human Capital & Development had the most SOPs and seemed more prepared for employee turnover.
- We made 9 recommendations for Metro to create or improve SOPs and processes.

