

# **City Services Auditor**

**SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY  
BOARD OF DIRECTORS  
POLICY AND GOVERNANCE COMMITTEE**

**Audit and Project Updates  
January 20, 2017**



# Presentation Overview

- Audits
  - Absence Management Audit
- City Performance
  - Language Assistance and Public Participation Plans – Closeout Activities
  - Muni Customer Service Review – Findings and Opportunities for Improvement



# **Audits Unit**

## **SAN FRANCISCO MUNICIPAL TRANSPORTATION AGENCY:**

**Absence Management Efforts Can Be Enhanced  
Through Improved Organizational Culture and More  
Effective Program Management Tools**

**Issued 12/22/2016**



# Audits Unit

## SFMTA Absence Management Audit

### Why We Conducted the Audit

- This audit was performed at the request of SFMTA management.

### How We Did the Audit

- Assessed the effectiveness of SFMTA's absence management policies, procedures, and oversight
- Determined strategies for SFMTA to measure, mitigate, and manage employee absences, including leading practices
- Held 12 focus group sessions and administered surveys on participants' perspectives and experiences related to absence management
- Interviewed SFMTA management
- Reviewed applicable laws and regulations, surveyed other jurisdictions, analyzed payroll and leave data, conducted file reviews, and assessed SFMTA's leave management processes

# Audits Unit

## SFMTA Absence Management Audit

### What We Found

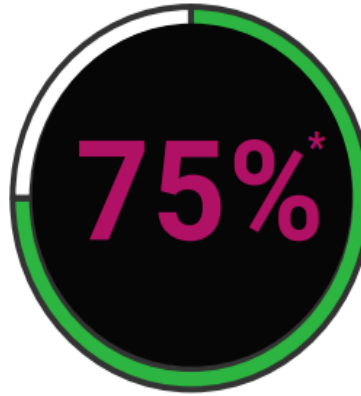
The Majority of SFMTA Focus Groups Expressed That Three Elements of Organizational Culture Need Improvement to Enhance Employee Engagement and Improve Attendance

#### RESPECT



Respectful treatment of all employees and respect for their ideas are leading contributors to job satisfaction and a sense of belonging at work.

#### COMMUNICATION



Effective communication requires management to engage employees by soliciting participation and feedback.

#### ACCOUNTABILITY



Increased accountability and commitment can be achieved through compassionate leadership and effective communication.

\*Percentage of SFMTA employee focus groups expressing the need for professional respect and compassionate leadership, better communication, and increased accountability.

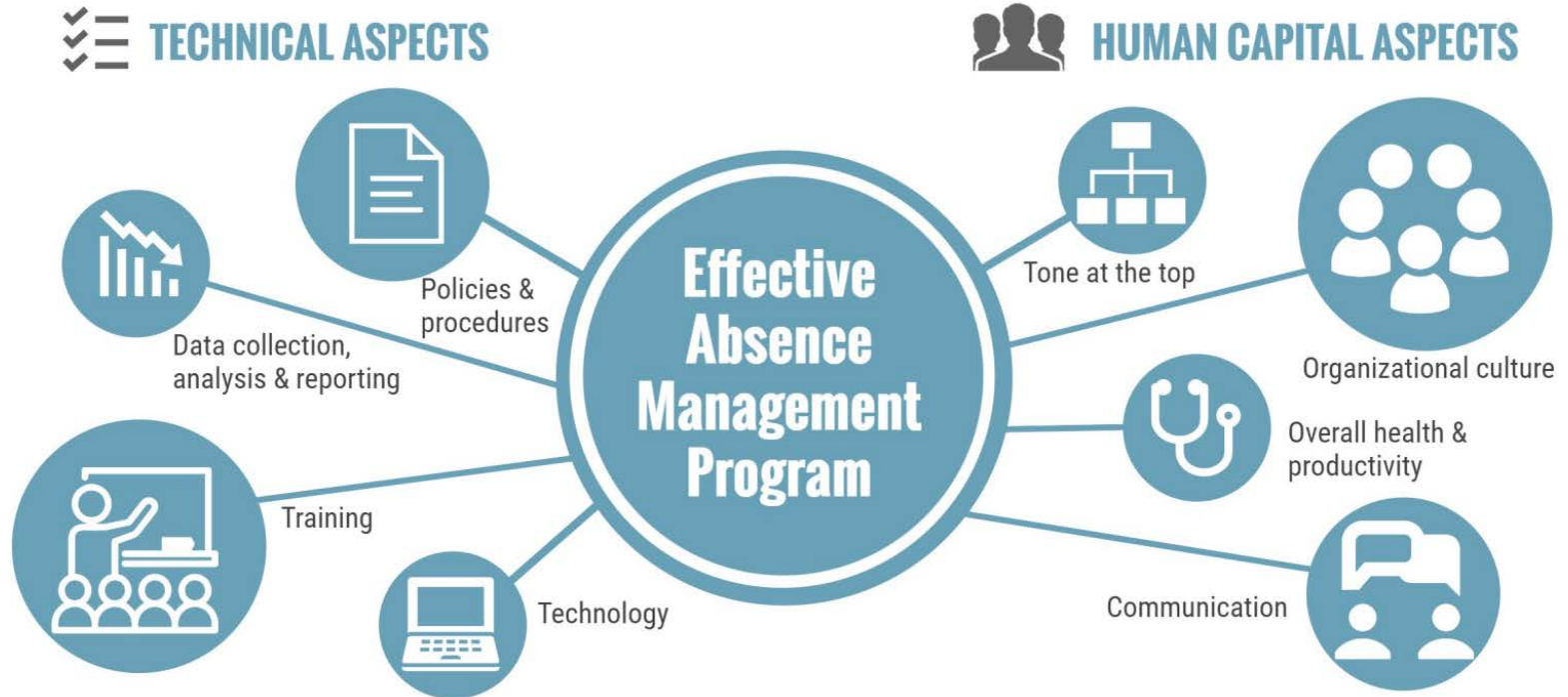


# Audits Unit

## SFMTA Absence Management Audit

### Why It Matters

An Effective Absence Management Program Encompasses Aspects of Human Capital and Technical Elements



# Audits Unit

## SFMTA Absence Management Audit

### Why It Matters

High Levels of Employee Engagement Are Driven by Six Elements of Organizational Culture



Constructive  
Performance  
Conversations



Career  
Development &  
Training



Work-Life  
Balance



Inclusive Work  
Environment



Employee  
Involvement



Communication  
from Management

# Audits Unit

## SFMTA Absence Management Audit

### What We Recommend

- Establish a managerial training policy that is consistent with developing core competencies in leadership skills and that will provide tools to foster a respectful, collaborative, and accountable organizational culture.
- Develop a comprehensive communication strategy that considers multiple avenues to connect with employees, including in-person and online, and that allows for two-way communication.
- Seek external expertise or hire an employee dedicated to assessing, enhancing, and further implementing the agency's workforce engagement strategy.
- Strengthen and formalize the employee recognition and reward program throughout the agency to acknowledge and recognize employee achievements and accomplishments.
- Ensure that the agency provides a work environment that promotes employee health, work-life balance, and employee productivity.
- Establish an absence management policy for the agency.



# Audits Unit

## SFMTA Absence Management Audit

### SFMTA's Key Efforts

#### *Implemented*

- Established an Organizational Development (OD) and Learning Team—position appointments in November 2016
- Developed a Culture Change Initiative, including 23 Outstanding Workplace Initiatives
- Updated its annual employee engagement survey questionnaire to include the areas of work-life balance, safety culture, training and support, and classification-specific responses
- Refined its survey deployment methods to include direct mail in an effort to improve response rates among field, operations, and maintenance staff
- Developed a departmental absence management policy for miscellaneous and safety-sensitive employees (under review by City Attorney)

#### *In Progress*

- Phase Two of developing absence tracking management tools (First Quarter, 2017).
- Best practices internal resource for communications (Second Quarter, 2017).

# **Audits Unit**

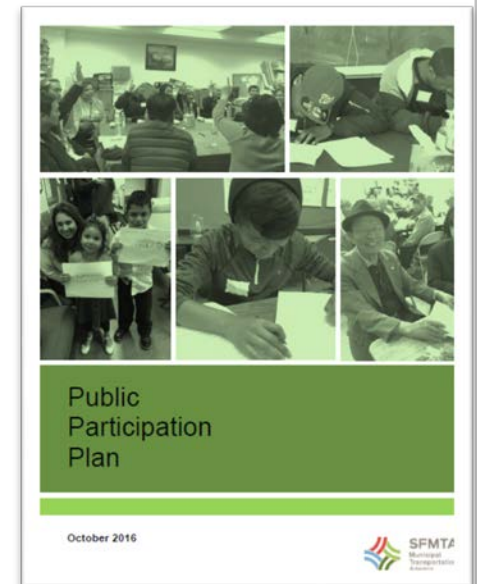
## **SFMTA Absence Management Audit**

**Questions and Discussion**



# City Performance - Language Assistance & Public Participation Plans

- The LAP and PPP are complete and were presented to the SFMTA Board on 11/1/16.
- SFMTA is awaiting FTA approval
- Consultant contract ended on-time and within budget
- LBE Prime Consultant; additional 15% LBE subcontractor participation rate
- Presentation and discussion with SFMTA outreach staff on research findings and available resources
- Updating all data collection tools with lessons learned
- Project Team:
  - SFMTA: Kathleen Sakelaris, Deanna Desedas
  - CSA City Performance: Corina Monzón, Julia Salinas
  - Consultant Team: Barbary Coast Consulting (prime), FM3, InterEthnica, JBR



# **City Performance Muni Customer Service Review**

## **AS-IS REPORT AND OPPORTUNITIES FOR PROCESS IMPROVEMENT**

### **Controller's Project Team**

Corina Monzón

David Weinzimmer

Jeff Pomrenke



# Muni Customer Service Review



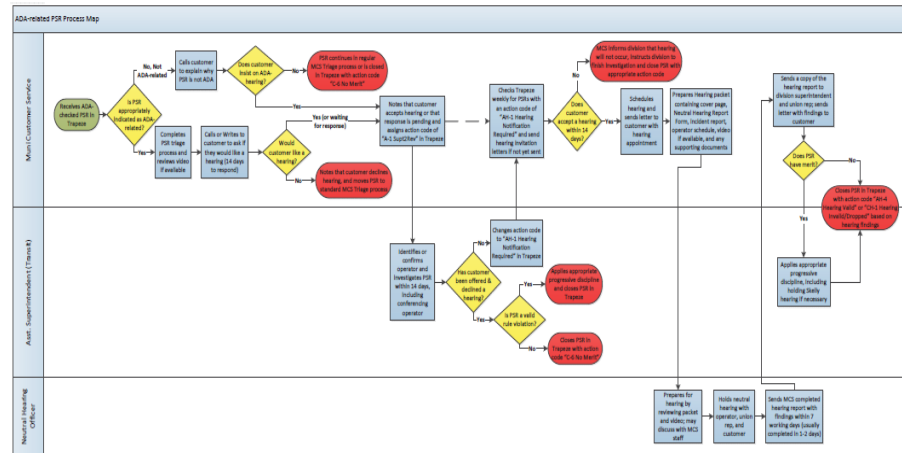
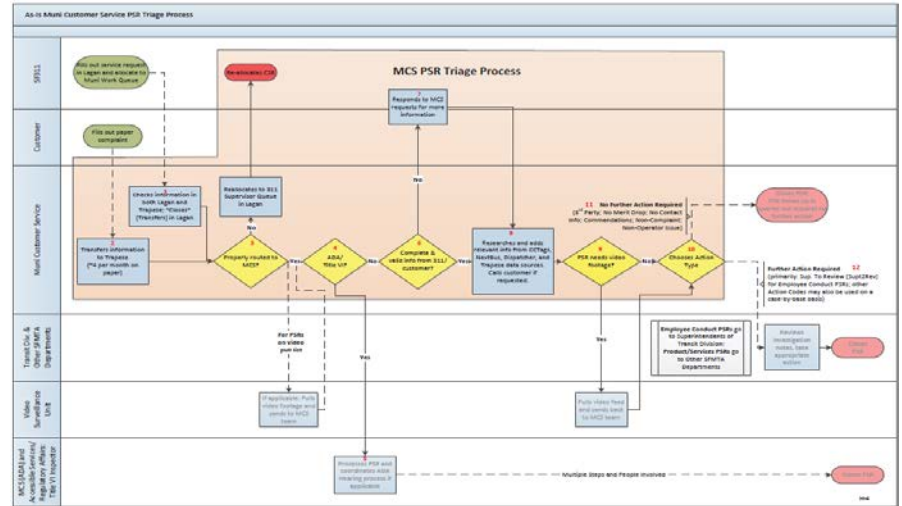
23 Interviews  
16 Depts., Divisions, and Agencies



6 Heard from six transit divisions



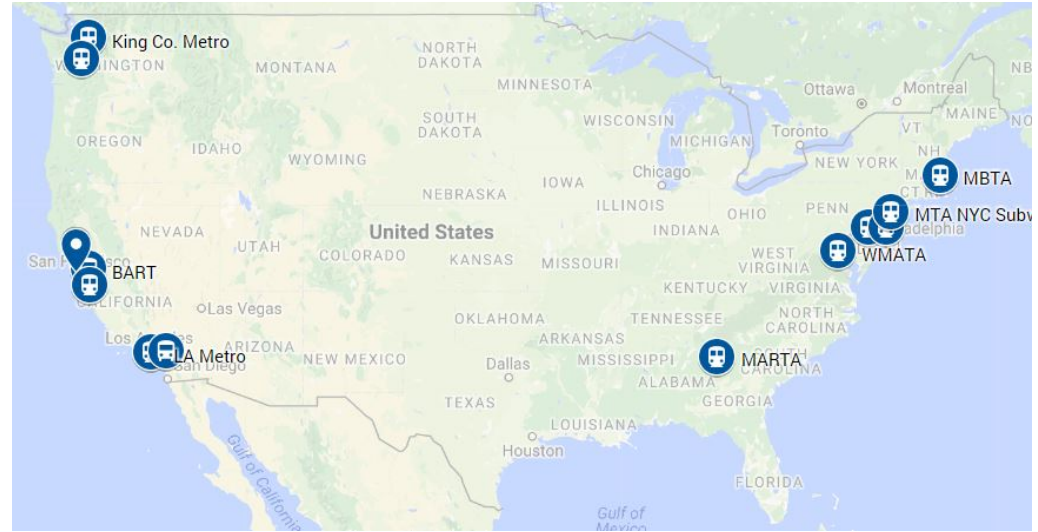
41 Opportunities identified



# Muni Customer Service Review



15  
Customers  
Surveyed



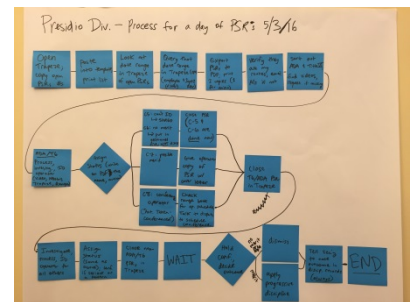
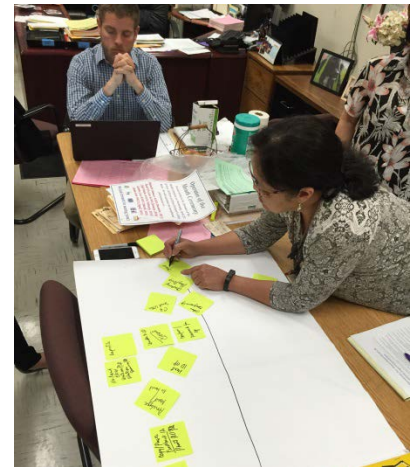
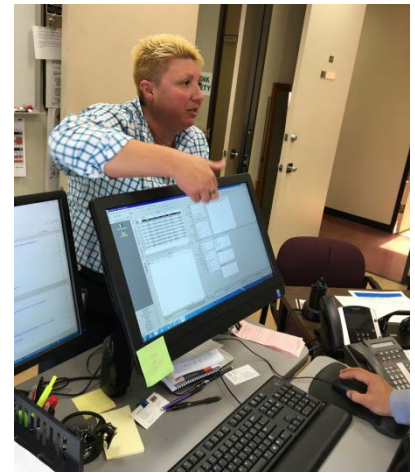
12  
Peer Agencies  
Surveyed

- BART
- King Co. Metro
- NJ Transit
- MBTA
- Sound Transit
- LA Metro
- MTA NYC
- WMATA
- SEPTA
- Omnitrans
- VTA (Santa Clara)
- MARTA



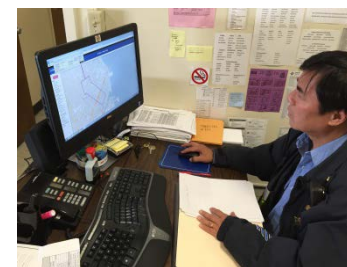
# Lean Methodology

- Interview and map the process with participants from every step in the process (SF311 to MCS to divisions and departments across the SFMTA)
- Create business process maps based on maps from each interview
- Supplement our understanding of the processes with data from SF311 and the SFMTA
- Capture and identify opportunities for improvement mentioned by interviewees



# PSR Process: Key Findings

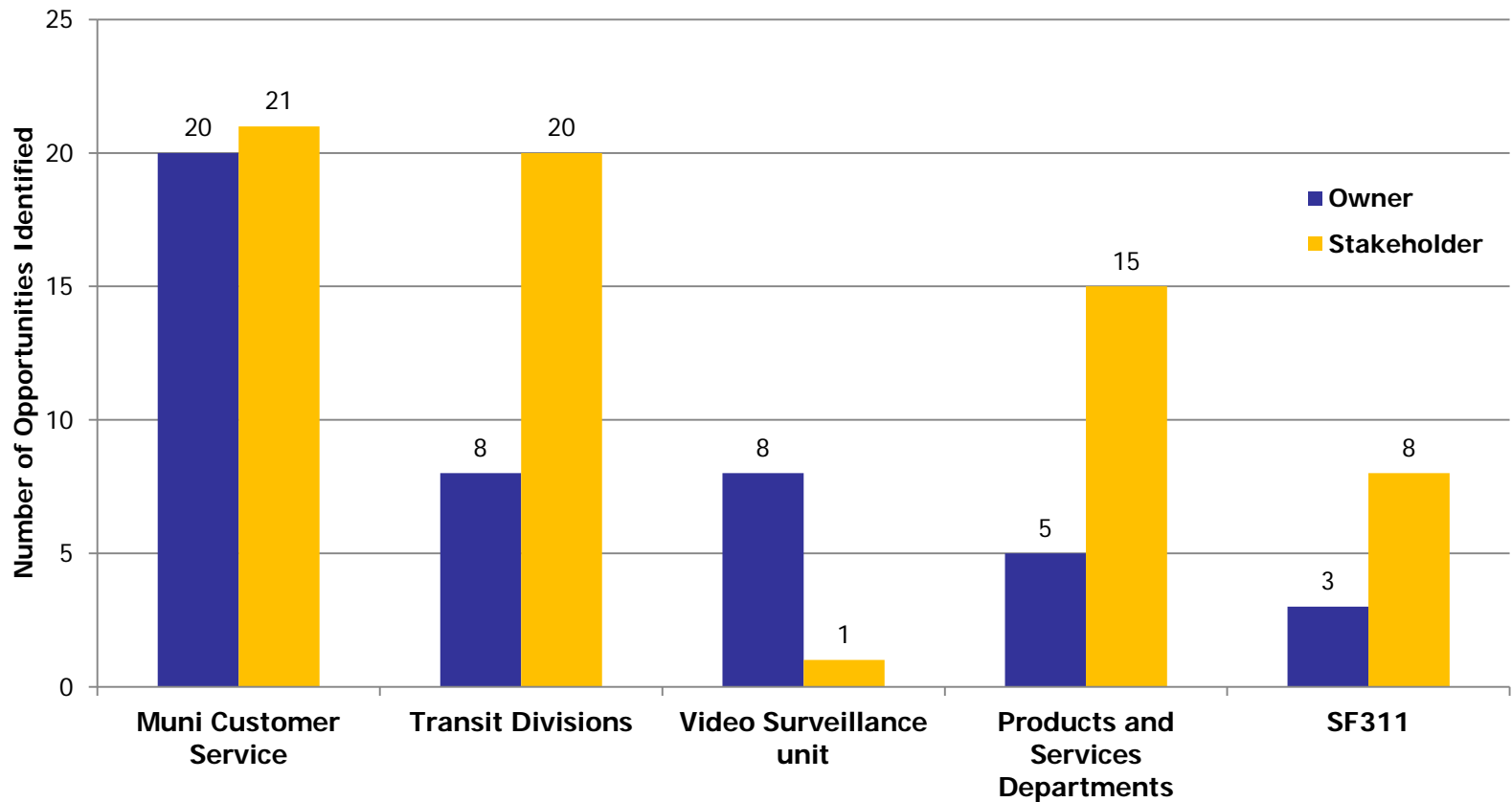
- The SFMTA spends over 10,000 hours/yr. processing, investigating and taking action on PSRs
- Depts. across the agency value receiving specific and actionable feedback from customers
- MCS should be empowered to close more PSRs
  - In 2015, 39% of PSRs closed by transit divisions because the operator cannot be identified with information provided or the complaints were found to not be rule violations
- While customers surveyed expect a response from the agency, the likelihood of receiving a response depends on customer request and type of complaint





# Opportunities for Process Improvement

Opportunities for improvement were identified by interviewees from every stage of the PSR process.



# Key Opportunities

The report identified 41 opportunities for process improvement, either from interviewees or between departments/agencies.

Examples include:

- **Improve customer experience:**  
Close the loop with customers; work with PSR investigators to develop customizable scripts for frequent types of PSRs.
- **Improve staff tools and processes:**  
PSRs should be closed and responded to by MCS when downstream PSR investigators would not be able to provide better information or take action.  
  
Make video pull status available to all PSR investigators.
- **Make technical improvements:**  
Allow SF311 service requests to be transferred directly from other SF311 queues without manual entry.

# Key Opportunities

Expand performance metrics with suggested new metrics such as:

- Percent of Customers Receiving an Acknowledgement from MCS within Five Days
- Percent of All PSRs Closed Within Performance Threshold
- Percent of Operator-related PSRs with Vehicle ID or Employee ID Reported by Customer
- Percent of PSRs Closed by Muni Customer Service
- Customer Satisfaction with MCS
- Complaints per Service Mile

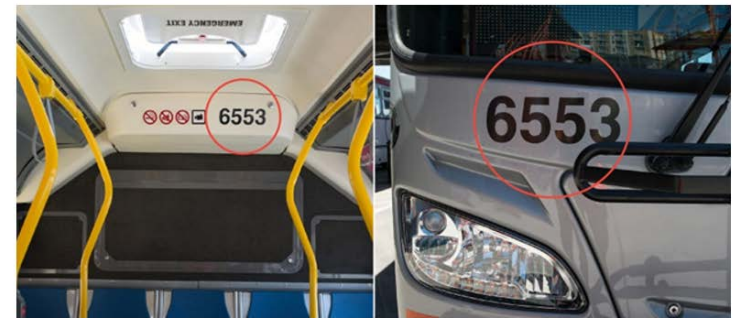
## Locating the Vehicle Number

Each Muni bus or train has a unique number printed in various places. Below is a list with correspond

For customers with visual impairments, each bus and light rail vehicle has a tactile vehicle number in Braille characters. These are installed on a panel behind the operator's compartment. On historic vehicles, the vehicle number is also printed on the front of the vehicle.

### Muni Buses

On the inside of each Muni bus, the four-digit number is printed on the back wall and on the front



### Muni Metro

Muni Metro light rail vehicles (on the J, K, L, M, N & T lines) are identified by four digit numbers written on the side of the train car, next to the operator's compartment.

On the outside of an LRV, the numbers are above the doors on either end.



# Prioritization of Opportunities

- The report includes a table of all opportunities discussed in detail in the previous chapters
- Each opportunity includes identification of owners and stakeholders, and a high-level estimate of impact/effort

ID #	Process Owner(s)	Process Stakeholder(s)	Obstacle(s) Addressed
25	Transit Divisions	MCS	Unused Talent
	<p><b>Use of Operator ID field:</b> Ensure that reliable information on operator PSR patterns is available to transit division management by always using the Operator ID field in Trapeze for operator-related PSRs that are identified. This will improve the utility and reliability of Trapeze in applying the agency's progressive discipline guidelines.</p> <p>Effort: <span style="color: green;">●</span> L Impact: <span style="color: green;">●</span> H See Chapter 4.</p>		
26	Transit Divisions	MCS	Mistakes
	<p><b>Standardized materials:</b> Standardize materials used in the PSR process to ensure consistency across divisions in implementation of the PSR process.</p> <p>Effort: <span style="color: green;">●</span> L Impact: <span style="color: red;">●</span> L See Chapter 4.</p>		
27	Transit Divisions, SFMTA IT	MCS	Extra Work
	<p><b>Automating letters:</b> Explore opportunities to automate portions of the process for sending letters to operators regarding a PSR with possible merit. This improvement will save division staff time.</p> <p>Effort: <span style="color: yellow;">●</span> M Impact: <span style="color: yellow;">●</span> M See Chapter 4.</p>		

# Contact Information

## City Performance, Controller's Office

Corina Monzón, Project Manager

[corina.monzon@sfgov.org](mailto:corina.monzon@sfgov.org) 415-554-5003

David Weinzimmer, Performance Analyst

[david.weinzimmer@sfgov.org](mailto:david.weinzimmer@sfgov.org) 415-554-7656

Jeff Pomrenke, Performance Analyst

[jeffrey.pomrenke@sfgov.org](mailto:jeffrey.pomrenke@sfgov.org) 415-554-5365

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