



Here for the journey.

# Operations Policies and Procedures Management

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**Policy – Sets out your Position on an issue or set of issues to guide decision making. It should be a higher level statement of direction.**

**Procedure – Sets out specific responsibilities and processes required to implement a particular areas of policy. Supporting documentation such as work instructions and templates, are as detailed as necessary to enable policy implementation**

**Transit Agencies must have solid Policy and Procedures. However, they must:**

- 1) Inventory and Standardize them**
- 2) Regularly Review Them**
- 3) Train Employees and ensure they have access**
- 4) Create New and Retire Old as needed**

30B

Documents are used  
in United States

85%

Are Never Retrieved

50%

Are Duplicates

60%

Are Obsolete

\$1

Spent on Creation

\$10

Spent on  
Management

15%

Of Annual Revenue

# DOCUMENT MANAGEMENT OBJECTS

Creation

Method for envisioning, initiating, and collaborating

Distribution

Into the hands of intended parties

Location

Physical Location – one version of the truth

Retrieval

Method to Find documents – index/query

Approval

Vetting process before official

Security

Methods to ensure integrity and security of document

Workflow

Steps to pass document from individual to individual

Retention

Policies and practises that inform everyone how documents are retained

Filing

Traditional or Electronic – Meta Data is Key

Archiving

Long-term retention policy after active life has ended

# DDoc – Description Documents

- Describe the Documents:
  - Focus
  - Content
  - Keyword Descriptions
  - Content Ownership
  - Security
- Time Consuming (and seemingly unnecessary)
- Creates
  - Consistency for Creation, Management, and Expiration
  - Ensures that Documents are Findable and consistent with Laws, Rules, and Regulations
- Ensures
  - Documents are adequately described and categorized so they are Findable (if you can't find it, it might as well not exist)


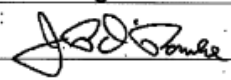
# Operationalize the Policy/Procedure

- Provide method to utilize the policy in Operation – Tools, Systems, and Applications
- Ensure Users have access to and ability to find policy or procedure
- Ensure Users are trained on how to apply policy or procedure
- Ensure Policy or Procedure is detailed enough to leave no room for interpretation
- Provides consistent application of policy or procedure
- Reduces possible liability and/or violation of rules, laws, or regulations



# Example – King County Metro – Transit Operations Procedures

- Up Front Index and Bookmarks – with Policy/Procedure number and description
- Each Procedure Document describes the Subject, Approval, Date of Issue, Revision Date, and an Overview – Meta Data
- Contains Step by Step procedure and flow regarding specific implementation and decision tree
- Even Contains the Procedure for Creation and Revision of Procedures!
- <https://atu587.org/wp-content/uploads/2015/02/PoliciesProceduresManual2015-04-06.pdf>

 <b>Transit Operations Procedures</b> #69	
Subject: <b>Creating or Revising Policies (Pg. 1 of 2)</b>	
Approval by Manager: 	
Issue Date: 11/18/09	Revision Date: 11/30/09

Periodically a current policy is revised or a new policy is created. The following procedure should be used when creating or making changes to official King County Metro Transit Operations policies.

- 1. Request to create or change a policy**  
When a request is made to create or change a policy that request should be forwarded to an Operations supervisor for an initial evaluation. If warranted, the Operations supervisor then begins the process of revising a current policy or creating a new policy.
- 2. A draft of the revised or new policy is created**  
The Operations supervisor writes, or assigns another person to write, the language to the revised policy or the language for a new policy.
- 3. The draft policy is sent to supervisors for review**  
Once a draft of a new or revised policy is completed the draft is sent to all Operations supervisors, the Assistant Operations Manager and Transit Human Resources for review. Usually a deadline for comments is established.
- 4. The draft is accepted or further modifications are suggested**  
If further changes are indicated by the comments, edits and suggestions of supervisors reviewing the draft, a second rewrite of the revised or new policy is undertaken. New changes are made and the document is again distributed to all Operations supervisors and the Assistant Operations Manager for review. This process continues until a consensus is reached regarding the language in the revised or new policy. At that point a final draft is completed.
- 5. The final draft is sent to the Manager for review**  
The final draft of the revised or new policy is sent to the Operations Manager for review. The Operations Manager reviews the policy and either accepts it as written or returns it to the Operations supervisors, with comments, for further revision.
- 6. Once a final draft is accepted by the Operations Manager it is sent to the policies & procedures editor to be formatted for signature**  
The policies and procedures editor formats the revised or new policy into the standard policy template with appropriate headers, revision dates and text styles. A printed copy is made and given to the Operations Manager for signature.
- 7. The final draft policy is sent to ATU 587 for review.**  
Once the policy is in final draft form, the ATU 587 is sent a copy along with a letter requesting comments and a deadline for responding. If the union comments lead to another revision, the

# Decision Support in Edmonton

Incidents

▼ Pri...	Incident	Time/Date	Type	Source	Trigger
98	Limited Idling Active	10:00:58 06/07/2016	West...	Edmonton Blatc...	Weather
98	Emergency - Collision	07:51:21 06/07/2016	Vehicle	BIAB1	Emergen
95	Security - ROBBERY / THEFT	10:17:10 06/07/2016	Vehicle	BIAB1	Security
90	Collision - Unreported Damage	13:26:18 06/07/2016	Vehicle	BIAB1	Collision
85	Service Delay - Traffic Blockage ...	13:20:05 06/07/2016	Vehicle	BIAB1	Service D
85	Mechanical - Equipment Related ...	08:56:41 06/07/2016	Vehicle	BIAB1	Mechanic
80	Service Delay - Weather (Rain, ...	10:09:51 06/07/2016	Vehicle	BIAB1	Service D
75	Roadway / ETS Property - Bus S...	07:32:49 06/07/2016	Vehicle	BIAB1	Roadway

Lock

Unlock

Owner: Row Count: 8

Action Plan

More Plans ▼ Security Workflow

	Completed	Instruction	Link	Notes
▶ 1	<input checked="" type="checkbox"/>	Acknowledge Operator Tracked In UAT	<a href="#">Text Message R...</a>	Autom
2	<input type="checkbox"/>	Acknowledge Operator by Radio or Text M...	<a href="#">Text Message</a>	
3	<input type="checkbox"/>	Track Vehicle	<a href="#">Map</a>	
4	<input type="checkbox"/>	* Live Video Request	<a href="#">Video Request</a>	
5	<input type="checkbox"/>	* Create or Open Existing Incident Report	<a href="#">Incident Report</a>	
6	<input type="checkbox"/>	Request EMS, Fire, EPS, Other		
7	<input type="checkbox"/>	* Notify Security / LRT Control		
8	<input type="checkbox"/>	Dispatch Inspector	<a href="#">Manual Event</a>	
9	<input type="checkbox"/>	Internal Service Delay Notice - Issue With ...	<a href="#">Service Notice</a>	
10	<input type="checkbox"/>	Create Service Adjustment	<a href="#">Service Adjustm...</a>	
11	<input type="checkbox"/>	* Superintendent Notification-Email IR		
12	<input type="checkbox"/>	Email Video Request by Investigating Insp...	<a href="#">Send e-mail</a>	
13	<input type="checkbox"/>	Confirm Close Event		

Action Plans Built are into OCC Software

This ensures that Policies and Procedures as they relate to Incidents are Operationalized

# Take Aways

- Create Policies and Procedures Framework
  - Focus and Content
- Review each Policy and Procedure and ensure it is up to date and “Findable”
- Creation a Searchable and Useful tool to disseminate Policies and Procedures
- Ensures that Documents are consistent with Laws, Rules, and Regulations
- Determine who will use Policies and Procedures and ensure they have appropriate tools to retrieve and apply them
- Ensure Policies and Procedures are Operationalized
- Understand that creating Policies and Procedures is just as important as understanding how you will manage them and ensure they persist



# THANK YOU

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