



# Yellow Book Management Audit Final Report - Appendices C, D & E

# **DRPA Yellow Book Management Audit Final Report**

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# Appendix C. CGR Recommendations by Program

Audit recommendations are sorted by the program categories in Section 6.0. For smaller projects, an allowance is provided that recognizes that most projects will entail some extra cost for internal or external resources. The rules for assigning one time costs are in Section 6.0. Major projects like ERP are excluded from these estimates. Recurring cost additions are associated with recommended staff additions, benefit additions, and training. Subtotals are provided for each category. The total one time and recurring costs are shown below.

The program designators are the following:

A -- Governance Planning    B -- Organizational Responsibilities Accountability    C -- Enterprise Processes Technology  
 D -- Local Process Improvement    E -- Public Safety/Homeland Security    F -- Non-Project Recommendations    G -- Zero Cost/No Action Required

Count:     One Time Total Cost:     Annual Cost:

*Name* *Section* *Area/Department*

## A Governance & Planning

Count:     One Time Cost:     Annual Cost:

**Division: Administrative**

Count: 1

**BA1      Focus on Key Position Turnover      4.2.4      Benefits Administration**

With HRS, formally assess the risk in turnover in key positions. Use a range of assumptions to better quantify the Authority's exposure. Prepare appropriate prevention and mitigation plans and include them in an overall succession plan.

One Time Estimated Cost:     Estimated Annual Cost:

*Name*

*Section*

*Area/Department*

**Division: Executive**

Count: 4

**COM2 Develop Communications Plan**

**4.1.4**

**Corporate Communications**

Corporate Communications should develop a communications plan as part of or in concert with the strategic plan. The plan should have both internal and external components.

One Time Estimated Cost:

Estimated Annual Cost:

**COM3 Prepare Crisis Communications Plan**

**4.1.4**

**Corporate Communications**

Corporate Communications should lead a formal planning process for crisis management communications, develop standard procedures, and conduct drills on the resulting crisis management plan.

One Time Estimated Cost:

Estimated Annual Cost:

**GR1 Tie Government Relations Plan to Strategic Plan**

**4.1.2**

**Government Relations**

Develop a government relations plan that is a component of or is consistent with the strategic plan.

One Time Estimated Cost:

Estimated Annual Cost:

**OIG4 Track Audit Recommendation Status**

**4.1.1**

**OIG**

Develop and implement formal tracking procedures for the implementation of audit recommendations.

One Time Estimated Cost:

Estimated Annual Cost:

**Division: Finance**

Count: 3

**IS1 Increase IS Department's Role**

**3.3**

**Information Services**

Assign IS to provide expert counsel and services related to information technology to each department and across all departments.

One Time Estimated Cost:

Estimated Annual Cost:

<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>IS2</b> <b>Establish a Formal IT Governance Structure</b>  Put in place a formal IT Governance structure in order to direct priorities across the organization for investments in Information Technology, starting with a review of the absolute priority being given to ERP.	<b>3.3</b>	<b>Information Services</b>
One Time Estimated Cost: <input type="text" value="\$10,000"/>	Estimated Annual Cost: <input type="text"/>	
<b>IS4</b> <b>Develop IT Strategic Plan</b>  Develop an IT Strategic Plan to proactively identify projects required over the next 3 to 5 years.	<b>3.3</b>	<b>Information Services</b>
One Time Estimated Cost: <input type="text" value="\$10,000"/>	Estimated Annual Cost: <input type="text"/>	

**Division: General Areas**

Count: 8

<b>GD1</b> <b>Use Project Management Practices</b>  Use project management standard processes to execute audit recommendations and strategic approaches in Strategic Plans. The standards address portfolio, program, and project management. All three apply to DRPA. These complement the Tollgate approach used in Lean Government process improvement projects. Implement the following: <input checked="" type="checkbox"/> Train selected staff in project management practices <input checked="" type="checkbox"/> Cluster like items into single projects or programs to reduce coordination and focus accountability <input checked="" type="checkbox"/> Set priorities and assuring funding if needed <input checked="" type="checkbox"/> Assign accountability for implementation <input checked="" type="checkbox"/> Generate Board reporting on progress quarterly or more frequently <input checked="" type="checkbox"/> Add project status to planned dashboards; include status in Board reporting.	<b>3.1</b>	<b>Governing Documents</b>
One Time Estimated Cost: <input type="text" value="\$10,000"/>	Estimated Annual Cost: <input type="text"/>	
<b>GD2</b> <b>Adjust Strategic Plan Timetables</b>  DRPA shouldn't update Strategic Plan Goals and Objectives annually. Strategic Approaches and Initial Tasks should be incorporated into formal project plans that are updated quarterly.	<b>3.1</b>	<b>Governing Documents</b>
One Time Estimated Cost: <input type="text" value="\$10,000"/>	Estimated Annual Cost: <input type="text"/>	

	<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>GD3</b>	<b>Incorporate Customer/User Requirements into Strategies</b>	<b>3.1</b>	<b>Governing Documents</b>
<p>Document customer/user requirements as integral to the planning process. Use surveys, Citizens Advisory Committee inputs, complaints/ compliments, and public meeting inputs.</p> <p>Set priorities for the requirements. Recognize differences in requirements, if they exist, for different bridges and user segments.</p> <p>Review the completeness of strategic plans to assure fulfillment of customer requirements.</p> <p>Consider the impact of strategic initiatives on fixed costs. Lowering fixed costs provides reduces the risk of deficits when revenues ebb due to external factors like economic conditions.</p>			
<p style="text-align: right;">One Time Estimated Cost: <input type="text" value="\$10,000"/> Estimated Annual Cost: <input type="text"/></p>			
<b>GD4</b>	<b>Address Master Plan Deficiencies</b>	<b>3.1</b>	<b>Governing Documents</b>
<p>Clarify the needs of the audiences for the Master Plan, necessary content, and accountability for producing and maintaining Master Plans.</p>			
<p style="text-align: right;">One Time Estimated Cost: <input type="text" value="\$10,000"/> Estimated Annual Cost: <input type="text"/></p>			
<b>GD5</b>	<b>Expand Lean Government Approaches</b>	<b>3.1</b>	<b>Governing Documents</b>
<p>Use Lean Government Six Sigma project management approaches when applicable to implement audit recommendations and Strategic Plan approaches. Section 6.0 describes a methodology.</p>			
<p style="text-align: right;">One Time Estimated Cost: <input type="text" value="\$10,000"/> Estimated Annual Cost: <input type="text"/></p>			
<b>LG3</b>	<b>Manage Capacity for Delivering Project Results</b>	<b>3.2</b>	<b>Lean Government</b>
<p>A problem with similar initiatives like Total Quality Management has been to take on too many projects. Restrict the number of authorized projects to the Authority’s capacity to implement them. Not all projects will be amenable to Six Sigma approaches. Others will require customized project plans.</p>			
<p style="text-align: right;">One Time Estimated Cost: <input type="text" value="\$10,000"/> Estimated Annual Cost: <input type="text"/></p>			

<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>LG4 Provide Board Level Tracking of Projects</b> Report regularly – at least twice a year – to the Board on the progress and successes and challenges in implementing Lean Government projects	<b>3.2</b>	<b>Lean Government</b>
One Time Estimated Cost: <input type="text" value="\$10,000"/>	Estimated Annual Cost: <input type="text"/>	
<b>PM1 Implement the Dual Operating System Approach</b> Use the Dual Operating System described in Section 6.0 as a framework for implementing audit recommendations and other improvement initiatives.	<b>6.1</b>	<b>Project Management</b>
One Time Estimated Cost: <input type="text" value="\$10,000"/>	Estimated Annual Cost: <input type="text"/>	

## B Organizational Responsibilities & Accountability

Count:       One Time Cost:       Annual Cost:

**Division: Administrative**

Count: 11

<b>BA2 Selectively Restore Benefits</b> Use cost benefit analysis to decide which benefits to reinstate and new ones that are required. Provide analysis to the Board for consideration.	<b>4.2.4</b>	<b>Benefits Administration</b>
One Time Estimated Cost: <input type="text" value="\$25,000"/>	Estimated Annual Cost: <input type="text" value="\$500,000"/>	
<b>CSCR1 Realign Customer Service/Community Relations</b> Realign Customer Service and Community Relations as part of the Corporate Communications function to enhance the Authority’s ability to communicate effectively with its publics, to build its brands, and to manage its image.	<b>4.2.5</b>	<b>Customer Service/Community Relations</b>
One Time Estimated Cost: <input type="text" value="\$25,000"/>	Estimated Annual Cost: <input type="text"/>	

<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>CSCR2</b>	<b>4.2.5</b>	<b>Customer Service/Community Relations</b>

Consider the needs of the Customer Service/ Community Relations department in addressing upgrades of Master Plan reporting.

One Time Estimated Cost:  Estimated Annual Cost:

<b>HRS2</b>	<b>4.2.8</b>	<b>Human Resource Services</b>
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Continue implementing the Workstream Performance System. Use metrics instead of DPRA's corporate values as measurements. Change the performance measurements to individual job specifications and duties instead of corporate values. Provide managers, supervisors and chiefs with a unified view of all their talent management information (e.g., performance reviews, 360 assessments, compensation planning, development data, and succession planning).

One Time Estimated Cost:  Estimated Annual Cost:

<b>RM1</b>	<b>4.2.2</b>	<b>Risk Management</b>
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Design and implement an Enterprise Risk Management (ERM) function. The Strategic Plan and 2010 TransTech audit have already recognized the need. This would be an executive management level function with a Commission subcommittee counterpart that would extend beyond traditional insurance to the consideration of the risk of major issues and initiatives.

In addition to the Standard & Poor's criteria, the Committee of Sponsoring Organizations of the Treadway Commission (COSO) has published guidelines for an Integrated Framework for Enterprise Risk Management. The guidelines define the function as follows: Enterprise Risk Management is a process, effected by an entity's board of directors, management and other personnel, applied in strategy setting and across the enterprise, designed to identify potential events that may affect the entity, and manage risk to be within its risk appetite, to provide reasonable assurance regarding the achievement of entity objectives.

The COSO guidelines would be a starting point for the DRPA discussions on developing an Enterprise Risk Management function. The function would contribute to strategic planning in evaluating the risks of potential initiatives. Examples of past potential risks ERM could have addressed include interest rate swaps; entering new businesses such as the ferry, cruise terminal; expansions like the Glassboro-Camden Line; and borrowing for economic development efforts.

In forming the ERM function, consider alternative departmental reporting relationships.

One Time Estimated Cost:  Estimated Annual Cost:



	<b>Name</b>	<b>Section</b>	<b>Area/Department</b>
<b>RM2</b>	<b>Track Risk Management Total Cost</b>	<b>4.2.2</b>	<b>Risk Management</b>
<p>Consolidate risk management related costs into a “total cost” report at least quarterly. The report should include insurance premiums, deductibles paid, self-insurance claims paid, workers compensation costs, outside counsel costs, in-house counsel costs and any other identifiable risk related costs. This report should guide the DRPA in making adjustments over time to minimize the total cost of risk related costs.</p>			
<p style="text-align: right;">One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text"/></p>			
<b>SA1</b>	<b>Establish Annual Cascading Safety Targets</b>	<b>4.2.1</b>	<b>Safety</b>
<p>Set annual DRPA-wide goal for safety performance with complementary appropriate cascading goals to individual divisions and work units. Work units with greater risk exposure would have higher targets than less dangerous work units. The targeted improvement each year should be realistic and supported by chartered and adequately resourced improvement initiatives that can be reasonably expected to achieve the targeted improvement.</p>			
<p style="text-align: right;">One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text"/></p>			
<b>SA2</b>	<b>Integrate Cascading Safety Targets into Employee Performance Plans</b>	<b>4.2.1</b>	<b>Safety</b>
<p>Integrate the achievement of the relevant targeted safety improvements into employee performance plans for each executive, manager and supervisor. Base a significant portion of the employee’s evaluation on whether or not targeted safety performance is achieved. In addition, include the accomplishment of each safety improvement initiative in the relevant executive’s, manager’s, supervisor’s and professional’s performance plan.</p>			
<p style="text-align: right;">One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text"/></p>			
<b>SA3</b>	<b>Utilize Progressive Employee Disciplinary Processes for Safety Violations</b>	<b>4.2.1</b>	<b>Safety</b>
<p>Encourage managers and supervisors to follow the established progressive disciplinary process for employees who violate safety rules.</p>			
<p style="text-align: right;">One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text"/></p>			

	<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
SA4	<b>Charge Safety Related Cost to Departments</b>	<b>4.2.1</b>	<b>Safety</b>
Charge the costs of employee injuries back to the work unit responsible for the employee injured.			
One Time Estimated Cost: <input type="text" value="\$25,000"/>		Estimated Annual Cost: <input type="text"/>	
SA5	<b>Include Safety in Risk Management Function</b>	<b>4.2.1</b>	<b>Safety</b>
Consider DRPA Safety organizational reporting in the event an Enterprise Risk Management (ERM) function is established.			
One Time Estimated Cost: <input type="text" value="\$25,000"/>		Estimated Annual Cost: <input type="text"/>	
<b>Division: Executive</b>			Count: 3
COM1	<b>Assign Communications Responsibility</b>	<b>4.1.4</b>	<b>Corporate Communications</b>
The Corporate Communications Department should be given clear responsibility and authority for developing and defending the DRPA's brands and image. This should include brand management and the oversight of all external and internal communications, including: DRPA and PATCO brand management, published document formats, websites, intranet and social media. Corporate Communications should set standards for brand management and document formats and be responsible for assuring consistency across the Authority.			
One Time Estimated Cost: <input type="text" value="\$25,000"/>		Estimated Annual Cost: <input type="text"/>	
ENG5	<b>Provide Technical Career Path for Engineers</b>	<b>4.1.5</b>	<b>Engineering</b>
The organization of the Department should be reviewed with an eye to providing a professional engineering career path to the highest grades, without the necessity for professional engineers to take a management position.			
One Time Estimated Cost: <input type="text" value="\$25,000"/>		Estimated Annual Cost: <input type="text"/>	
LCC1	<b>Establish Labor Relations Function</b>	<b>4.1.3</b>	<b>Labor Contract Compliance</b>
Consider designating a DRPA Labor Relations function with broad responsibility, authority and accountability for labor relations. The incremental annual cost is estimated at \$150,000. Also refer to Recommendation GC2.			
One Time Estimated Cost: <input type="text" value="\$25,000"/>		Estimated Annual Cost: <input type="text"/>	

*Name*

*Section*

*Area/Department*

**Division: Finance**

Count: 5

**FN5 Raise Approval Levels**

**4.4.9**

**Finance**

Approval levels should be raised, in multiple steps if necessary, as the Board feels the Authority is becoming more transparent, efficient, and accountable.

One Time Estimated Cost:

Estimated Annual Cost:

**FN8 Reduce Unnecessary Requirements**

**4.4.9**

**Finance**

Eliminate contracting requirements for low value, high cost demands on contractors that are currently built into the Authority's requirements, for example, insurance requirements.

One Time Estimated Cost:

Estimated Annual Cost:

**IS10 Fill Needed Business Analyst Positions**

**3.3**

**Information Services**

Fill the planned Business Analyst position as soon as possible, and recruit additional Business Analysts if Information Services adopts the necessary role of assisting all departments and the enterprise to improve business processes.

One Time Estimated Cost:

Estimated Annual Cost:

**IS12 Develop Retention Policy for Electronic Files**

**3.3**

**Information Services**

Develop a retention policy for electronic files.

One Time Estimated Cost:

Estimated Annual Cost:

**IS5 Develop IT Project Management Structure**

**3.3**

**Information Services**

Develop a formal structure for project management.

One Time Estimated Cost:

Estimated Annual Cost:

*Name*

*Section*

*Area/Department*

**Division: General Areas**

Count: 2

**HRS3      Review Pay Differentials      4.2.8      Human Resource Services**

Through Compensation Committee sponsorship, review the pay differential between first line supervisors and represented employees. Consider the findings from the compensation survey reported in this report and other data. Assess risks arising from compensation compression and create or adjust policies accordingly.

One Time Estimated Cost:       Estimated Annual Cost:

**HRS6      Charge Out Employee Service Expenses (ESE)      4.2.8      Human Resource Services**

Charge out Employee Service Expenses assigned to HRS to the user cost centers.

One Time Estimated Cost:       Estimated Annual Cost:

**Division: General Counsel**

Count: 4

**CA2      Assign Costs to Departments      4.3.2      Contract Administration**

Charge claim payments back to the unit that caused the cost.

One Time Estimated Cost:       Estimated Annual Cost:

**CA3      Change Claims Administration Reporting      4.3.2      Contract Administration**

Consider transferring Claims Administration to the Risk Management function, particularly if an Enterprise Risk Management unit is formed.

One Time Estimated Cost:       Estimated Annual Cost:

	<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>GC1</b>	<b>Implement Department Chargebacks</b>	<b>4.3.1</b>	<b>General Counsel &amp; Corporate Secretary</b>
Implement (division or work center level) charge backs from the shared and support services including outside counsel fees and claims and settlements paid.			
One Time Estimated Cost: <input type="text" value="\$25,000"/>		Estimated Annual Cost: <input type="text"/>	
<b>GC2</b>	<b>Establish a Labor Relations Function</b>	<b>4.3.1</b>	<b>General Counsel &amp; Corporate Secretary</b>
Establish a DRPA labor relations function. A related recommendation is included in the TransTech audit report and Labor Contract Compliance recommendations. The estimated incremental recurring cost is \$150,000. Also refer to Recommendation LCC1.			
One Time Estimated Cost: <input type="text" value="\$25,000"/>		Estimated Annual Cost: <input type="text" value="\$150,000"/>	
<b>Division: Public Safety</b>			Count: 8
<b>PS12</b>	<b>Develop Alternatives for Construction-Related Traffic Control</b>	<b>5.2</b>	<b>Public Safety</b>
The Public Safety Department should work with the Engineering Department to identify alternatives for the policing of construction projects on the four bridges. One alternative which is used successfully in other municipalities is to make the contractor responsible for construction related traffic duties.			
One Time Estimated Cost: <input type="text" value="\$25,000"/>		Estimated Annual Cost: <input type="text"/>	
<b>PS19</b>	<b>Assign Emergency Response to Public Safety</b>	<b>5.2</b>	<b>Public Safety</b>
Realign responsibilities to make the Public Safety Department responsible for the development of the Authority's emergency management plans in the event of a major natural disaster or act of terrorism.			
One Time Estimated Cost: <input type="text" value="\$25,000"/>		Estimated Annual Cost: <input type="text"/>	

	<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>PS20</b>	<b>Assign Public Safety COP Incident Commander Role</b>	<b>5.2</b>	<b>Public Safety</b>
Designate the Chief of Police, or his designee, as the “Incident Commander” in the event of a major unusual occurrence, and make Public Safety responsible for developing a comprehensive response plan, interacting with other law enforcement agencies, and directing the unified response of all involved Authority resources.			
One Time Estimated Cost: <input data-bbox="1144 316 1333 365" type="text" value="\$25,000"/>		Estimated Annual Cost: <input data-bbox="1659 316 1860 365" type="text"/>	
<b>PS21</b>	<b>Assign Homeland Security Department Roles</b>	<b>5.2</b>	<b>Public Safety</b>
Assign to the Homeland Security Department the gathering of intelligence information from federal, state and local law enforcement agencies throughout the country, disseminating that information to the appropriate entity(s) within the Authority, pursuing various funding sources and grants to support the Authority’s emergency preparedness efforts.			
One Time Estimated Cost: <input data-bbox="1144 584 1333 633" type="text" value="\$25,000"/>		Estimated Annual Cost: <input data-bbox="1659 584 1860 633" type="text"/>	
<b>PS3</b>	<b>Undertake a Pilot Program for Non-Sworn Officers</b>	<b>5.2</b>	<b>Public Safety</b>
The Public Safety Department should undertake a pilot program to evaluate the feasibility of incorporating non-sworn officers into their transit unit policing strategy. If successful, the current number of Public Safety sworn officers impacted by civilianization should be either re-assigned or reduced through attrition.			
One Time Estimated Cost: <input data-bbox="1144 852 1333 901" type="text" value="\$25,000"/>		Estimated Annual Cost: <input data-bbox="1659 852 1860 901" type="text"/>	
<b>PS4</b>	<b>Establish a Single Field Personnel Reporting Relationship</b>	<b>5.2</b>	<b>Public Safety</b>
The current organization and reporting structure is not fully effective. The Public Safety Department should change its structure and assign all field personnel under the line supervision of a single commanding officer.			
One Time Estimated Cost: <input data-bbox="1144 1088 1333 1136" type="text" value="\$25,000"/>		Estimated Annual Cost: <input data-bbox="1659 1088 1860 1136" type="text"/>	

<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>PS5 Provide Additional IS Department Support</b>	<b>5.2</b>	<b>Public Safety</b>
<p>Use the DRPA Information Services Department to do the process analysis and technical development work needed to maintain current systems and provide new systems.</p> <p>Appoint a full time civilian employee with a background in computer technology to liaise with the DRPA Information Services group, manage the introduction of new technology within the Public Safety Department and act as front line support for the department's technology-based systems.</p>		
One Time Estimated Cost:	<input type="text" value="\$25,000"/>	Estimated Annual Cost: <input type="text"/>

<b>PS6 If Accreditation is Pursued, Acquire Outside Resource</b>	<b>5.2</b>	<b>Public Safety</b>
<p>Appoint a full time civilian employee or outside contractor with a background in the CALEA accreditation process to assist with CALEA accreditation.</p>		
One Time Estimated Cost:	<input type="text" value="\$25,000"/>	Estimated Annual Cost: <input type="text"/>

## C Enterprise Processes & Technology

Count:       One Time Cost:       Annual Cost:

**Division: Finance**

Count: 4

<b>FN4 Pursue Process Automation</b>	<b>4.4.9</b>	<b>Finance</b>
<p>Pursue purchase-to-pay, inventory management, time recording, and accounting software and take any interim, cost-effective steps to improve access to information and eliminate duplicate data entry. For example, electronic document management is needed by Contract Administration.</p>		
One Time Estimated Cost:	<input type="text"/>	Estimated Annual Cost: <input type="text"/>

<b>IS11 Implement Drawing Management System</b>	<b>3.3</b>	<b>Information Services</b>
<p>Implement a Drawing Management System as a priority.</p>		
One Time Estimated Cost:	<input type="text"/>	Estimated Annual Cost: <input type="text"/>

<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>IS14</b>	<b>3.3</b>	<b>Information Services</b>
<b>Implement Document/Record Management System</b>		
Implement a Document and Record Management System as a priority.		
One Time Estimated Cost:	<input type="text"/>	Estimated Annual Cost: <input type="text"/>

<b>IS3</b>	<b>3.3</b>	<b>Information Services</b>
<b>Review ITIL Practices</b>		
Review the Information Technology Infrastructure Library as a blueprint for generally accepted good practices and plan to obtain training in the framework for IT staff.		
One Time Estimated Cost:	<input type="text"/>	Estimated Annual Cost: <input type="text"/>

**Division: General Counsel**

Count: 1

<b>GC3</b>	<b>4.3.1</b>	<b>General Counsel &amp; Corporate Secretary</b>
<b>Acquire a Document Management System</b>		
Study the feasibility of acquiring and implementing a document management system at least for the General Counsel's office and possibly all of the Authority.		
One Time Estimated Cost:	<input type="text"/>	Estimated Annual Cost: <input type="text"/>

**Division: Public Safety**

Count: 2

<b>PS8</b>	<b>5.2</b>	<b>Public Safety</b>
<b>Generate Project Plans for Public Safety Technologies</b>		
Use a proactive approach to the development of automated systems and participate in the recommended DRPA-wide Information Services Strategic Planning project and the recommended electronic document and records management system project. Written project plans should also be developed for each technology project undertaken by the Public Safety Department.		
One Time Estimated Cost:	<input type="text"/>	Estimated Annual Cost: <input type="text"/>



<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
PS9 <b>Complete the Planned Radio System Upgrade</b>	<b>5.2</b>	<b>Public Safety</b>

Complete the planned improvements to standardize on 800 MHz radios.

One Time Estimated Cost:

Estimated Annual Cost:

## D Local Process Improvement

Count:

One Time Cost:

Annual Cost:

**Division: Administrative**

Count: 3

BA3	<b>Track Employee Inquiry Handling Service</b>	<b>4.2.4</b>	<b>Benefits Administration</b>
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Establish quantitative goals for a response time level of service for e-mail responses to be provided to fellow employees. Measure and track actual response time and compare against what employees require the objective. If a gap exists then apply Six Sigma process improvement approaches.

Analyze types of inquiries; then publish answers to employees through a Frequently Asked Questions (FAQs) section on the website.

One Time Estimated Cost:

Estimated Annual Cost:

<b>Name</b>	<b>Section</b>	<b>Area/Department</b>
<b>HRS1 Flowchart HRS Processes</b> Flowchart HRS Processes As recommended in the 2010 TransTech audit, develop a clear and comprehensive set of flowcharts for key personnel processes. This is a first step to assuring that these critical processes are well designed and have performance parameters that can be used for monitoring and controlling the process. <input type="checkbox"/> The hiring/selection process <input type="checkbox"/> Retention process <input type="checkbox"/> Succession planning process <input type="checkbox"/> Compensation/compression tracking and risk analysis including factors such as staff turnover, promotion turn-downs, and openings <input type="checkbox"/> Performance review process <input type="checkbox"/> Training process Leverage best practice documented processes from professional Human Resource organizations (e.g., Society for Human Resource Management (SHRM) and PIRA (Personnel and Industrial Relations Association). Work with the Lean Government Six Sigma team to document HR processes. Include training how to flow chart a process. Gain Compensation Committee approval of process designs.	<b>4.2.8</b>	<b>Human Resource Services</b>

One Time Estimated Cost:  Estimated Annual Cost:

<b>HRS7 Approve Software Applications</b> Pursue software applications for automating hiring processes.	<b>4.2.8</b>	<b>Human Resource Services</b>
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One Time Estimated Cost:  Estimated Annual Cost:

**Division: Executive**

Count: 6

<b>ENG1 Measure Engineering Staff Performance</b> Immediate attention should be paid to measuring and analyzing staff utilization, productivity, and performance, even though the extent to which this can be done may be limited by the current paper-based processes.	<b>4.1.5</b>	<b>Engineering</b>
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One Time Estimated Cost:  Estimated Annual Cost:

	<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>ENG2</b>	<b>Improve Engineering Project Controls</b>	<b>4.1.5</b>	<b>Engineering</b>
<p>Project scope, cost and schedule control should be initiated for internal Engineering management purposes, in addition to the annual budgeting and monthly reporting used to control project expenditure within annual budgets. Baselines for each project should be established at the conclusion of preliminary engineering and used for control throughout the project. The guidelines set out in the Federal Transit Administration (FTA) Construction Project Management Handbook, or other similar guidelines, should be followed.</p>			
<p style="text-align: right;">One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text"/></p>			
<b>ENG3</b>	<b>Establish Engineering Program Office</b>	<b>4.1.5</b>	<b>Engineering</b>
<p>A central function or Program Office should be set up under the auspices of the Office of the Chief Engineer within the Engineering Department to attend to common issues across all projects. As this is an essential prerequisite for significant improvements in the Department, outside consultants should be employed until suitable replacement employees are recruited or assigned. At least three suitable staff will be required in the Engineering Program Office, even if the Information Services section develops a capability to support process improvements in Engineering as well as attending to the ERP project replacing existing DRPA and PATCO computer applications. Work of the Program Office could include:</p> <ul style="list-style-type: none"> <li>Modernize processes. The modernization of processes should be closely coordinated with Information Services and adopt compatible standards.</li> <li>Reduce the amount of paper used and make information retrieval easier.</li> <li>Initiate project scope, cost and schedule control with proactive, event-driven management reporting.</li> <li>Set and maintain utilization, productivity and performance targets.</li> <li>Minimize distractions for project staff.</li> <li>Take over the extension and maintenance of an on-line Engineering Procedures Manual.</li> <li>Assist with preparing a Strategic Plan for Engineering. The Plan should be prepared as soon as possible by outside consultants, and be used as a basis for right-sizing the staffing of the Department.</li> <li>Help to increase the quality assurance of design work before construction</li> </ul>			
<p style="text-align: right;">One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text" value="\$125,000"/></p>			
<b>ENG6</b>	<b>Maintain Engineering Project Dashboard Internally</b>	<b>4.1.5</b>	<b>Engineering</b>
<p>The processing of the monthly dashboard, currently done by an outside contractor, should be brought in-house.</p>			
<p style="text-align: right;">One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text"/></p>			

<b>Name</b>	<b>Section</b>	<b>Area/Department</b>
<b>GR3 Track Grant Funding</b>	<b>4.1.2</b>	<b>Government Relations</b>

Develop and implement government funding tracking to show the grants applied for, received and expended by project by quarter. Set annual targets for government funding of the DRPA and PATCO projects.

One Time Estimated Cost:  Estimated Annual Cost:

<b>OIG2 Continue OIG Procedure Documentation</b>	<b>4.1.1</b>	<b>OIG</b>
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Continue to develop and document Standard Operating Procedures for the Office of the Inspector General, particularly the investigations function. Update Internal Audit Procedures Manual to reflect changes or include Internal Audit procedures in the new OIG SOPs.

One Time Estimated Cost:  Estimated Annual Cost:

**Division: Finance**

Count: 10

<b>FN1 Continue Lean Government Initiatives</b>	<b>4.4.9</b>	<b>Finance</b>
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Continue to implement Lean Government process improvement recommendations including:

- Streamlining Procurement Card (P-Card) Expense Reporting
- Improving the Authority's Budget Process,
- Month -End Close Process
- Introducing Change into DRPA/ PATCO IS Systems Environment
- Fixed Asset Closeout
- The Authority's Contracts and Purchasing Approval Process
- Using the Authority's Procurement Process
- Process for Developing Performance Metrics and Targets at the Authority.

One Time Estimated Cost:  Estimated Annual Cost:

<b>FN2 Address Finance Policies</b>	<b>4.4.9</b>	<b>Finance</b>
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Clarify, revise, and document policies for DRPA and PATCO cost sharing, payroll policies regarding time entry, use of project codes, and employee benefits, as well as policies for Revenue Audit E-Z Pass and special request processing.

One Time Estimated Cost:  Estimated Annual Cost:

<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>FN3 Update Standard Operating Procedures</b> Update SOPs for General Ledger, Fixed Assets, Payroll, Revenue Audit, E-Z Pass, A/P, A/R, Bid Security, and the new Budgeting Process using a standard format.  One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text"/>	<b>4.4.9</b>	<b>Finance</b>
<b>FN6 Eliminate the Necessity to Bid All Contracts</b> Low value contracts should not always require a bid.  One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text"/>	<b>4.4.9</b>	<b>Finance</b>
<b>FN7 Reduce the Cost of Producing Purchase Orders</b> The cost of producing purchase orders appears to be higher than at comparable organizations. This finding needs to be confirmed by analysis of cost data on all the functions of the purchasing section and, if confirmed, staffing levels need to be adjusted.  One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text"/>	<b>4.4.9</b>	<b>Finance</b>
<b>IS13 Permit IS Staff to Travel for Training</b> Permit IS staff to undertake technical training that requires travel, if the training is necessary to provide adequate internal support for a specific technology.  One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text" value="\$25,000"/>	<b>3.3</b>	<b>Information Services</b>
<b>IS6 Adopt a Change Control Process</b> Adopt a formal process for system change control and configuration management.  One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text"/>	<b>3.3</b>	<b>Information Services</b>

<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>IS7</b> <b>Continue Desktop Computer Refresh</b> Proceed with the planned desktop computer refresh on an annual basis to eliminate performance issues with older desktop computers. One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text"/>	<b>3.3</b>	<b>Information Services</b>
<b>IS8</b> <b>Focus on Process Improvement</b> Place focus on process improvement of current IT processes so that the processes are documented, consistent and repeatable. One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text"/>	<b>3.3</b>	<b>Information Services</b>
<b>IS9</b> <b>Update IS Procedures</b> Update the IS Standard Operating Procedures to make them current. One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text"/>	<b>3.3</b>	<b>Information Services</b>

**Division: General Areas**

Count: 2

<b>LG1</b> <b>Formalize Project Deliverable Alternatives</b> Take action to assure that no project is started without a commitment to implement justified recommendations. Successful changes should consider the needs of each situation. The best principle is to avoid “red tape” or elaborate, hard to maintain written procedures if possible. A “hierarchy” for assuring compliance is useful. <input checked="" type="checkbox"/> Fail-Safe. Like a mandatory field on a form <input checked="" type="checkbox"/> Visual and Audible Controls . Flashing light or sound, pop-ups <input checked="" type="checkbox"/> Visual Aids. Includes lines on the floor, pictures, a schedule like that for the budget process <input checked="" type="checkbox"/> Procedures, instructions, manuals. Least effective because of obstacles to preparing, providing access, and maintenance. If used, they should be readily accessible. One Time Estimated Cost: <input type="text" value="\$25,000"/> Estimated Annual Cost: <input type="text"/>	<b>3.2</b>	<b>Lean Government</b>
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<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>LG2 Use the Lean Government Process More Broadly</b>	<b>3.2</b>	<b>Lean Government</b>
<p>Candidates for further improvement include:</p> <ul style="list-style-type: none"> <li>To support appropriate audit recommendation implementation and strategic projects.</li> <li>Supplier contract language for poorly drafted and excessive requirements that have little value.</li> <li>Processes that are candidates for automation or workflow solutions. Pursuit of new enterprise technologies will force changes to processes.</li> <li>Other parts of DRPA and PATCO should also review their operations for candidate projects.</li> </ul>		
	One Time Estimated Cost: <input type="text" value="\$25,000"/>	Estimated Annual Cost: <input type="text"/>

**Division: General Counsel**

Count: 2

<b>CA1 Track Claims and Payments</b>	<b>4.3.2</b>	<b>Contract Administration</b>
Develop summary claim and payment tracking information and report it at least quarterly.		
	One Time Estimated Cost: <input type="text" value="\$25,000"/>	Estimated Annual Cost: <input type="text"/>

<b>GC4 Purge Unnecessary Contract Requirements</b>	<b>4.3.1</b>	<b>General Counsel &amp; Corporate Secretary</b>
Support Lean Government projects to remove overly complex and restrictive requirements from contracts and related documents. For Reform Resolutions consider assigning responsibility to designated senior managers who are overseeing the implementation of the resolutions. A related recommendation is in Section 3.2, Lean Government.		
	One Time Estimated Cost: <input type="text" value="\$25,000"/>	Estimated Annual Cost: <input type="text"/>

**Division: Public Safety**

Count: 2

<b>PS10 Minimize Fare Violators Escort Activity</b>	<b>5.2</b>	<b>Public Safety</b>
Investigate alternatives, such as making cash available through ATM machines, to the practice of escorting fare violators back to New Jersey.		
	One Time Estimated Cost: <input type="text" value="\$25,000"/>	Estimated Annual Cost: <input type="text"/>

<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>PS11</b> <b>Develop an Alternative for Daily Delivery of Logs</b>	<b>5.2</b>	<b>Public Safety</b>
Investigate alternatives, such as electronic transmission or sealed pouches, to the practice of transporting and hand delivering daily logs.		

One Time Estimated Cost:       Estimated Annual Cost:

## **E      Public Safety/Homeland Security**

Count:       One Time Cost:       Annual Cost:

**Division: Public Safety** Count: 7

<b>PS13</b> <b>Abandon Current Accreditation Effort</b>	<b>5.2</b>	<b>Public Safety</b>
Abandon the current effort at accreditation and allow the three year period to lapse. It has already been recommended, see PS5, that when there is organizational commitment to acquire CALEA accreditation, the department should acquire additional expert resources to achieve manage the accreditation process.		

One Time Estimated Cost:       Estimated Annual Cost:

<b>PS14</b> <b>Reapply for Certification after New Commitment</b>	<b>5.2</b>	<b>Public Safety</b>
Reapply for CALEA certification when substantial progress is being made against the plan for CALEA accreditation and the progress against the plan indicates an estimate to complete that is substantially within the accreditation window.		

One Time Estimated Cost:       Estimated Annual Cost:

<b>PS17</b> <b>Ensure Loaned Officers Report Regularly</b>	<b>5.2</b>	<b>Public Safety</b>
Ensure that the loaned officers report back to the department regularly.		

One Time Estimated Cost:       Estimated Annual Cost:



	<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>PS22</b>	<b>Designate Public Safety Homeland Security Coordinator</b>	<b>5.2</b>	<b>Public Safety</b>
Designate one of its two administrative Lieutenants as the department’s “Homeland Security” coordinator.			
One Time Estimated Cost: <input data-bbox="1144 243 1333 300" type="text" value="\$10,000"/> Estimated Annual Cost: <input data-bbox="1659 243 1848 300" type="text"/>			
<b>PS23</b>	<b>Establish Interdepartmental Reporting System</b>	<b>5.2</b>	<b>Public Safety</b>
Establish a mandatory reporting system wherein the Chief of Police, as well as the Director, Homeland Security be required to interact routinely, either in person or by way of written report, with the Deputy CEO, or his designee.			
One Time Estimated Cost: <input data-bbox="1144 479 1333 535" type="text" value="\$10,000"/> Estimated Annual Cost: <input data-bbox="1659 479 1848 535" type="text"/>			
<b>PS24</b>	<b>Continue Staffing to the Current Deployment Report</b>	<b>5.2</b>	<b>Public Safety</b>
The current staffing strategy should be re-assessed to ensure that it incorporates all current information. The Deployment Report should be updated on a regular basis.			
One Time Estimated Cost: <input data-bbox="1144 714 1333 771" type="text" value="\$10,000"/> Estimated Annual Cost: <input data-bbox="1659 714 1848 771" type="text"/>			
<b>PS7</b>	<b>Create a Senior Dispatcher Supervisory Role</b>	<b>5.2</b>	<b>Public Safety</b>
Designate the senior dispatcher as the shift supervisor with responsibility for the dispatch center in the event of a major public safety incident.			
One Time Estimated Cost: <input data-bbox="1144 950 1333 1006" type="text" value="\$10,000"/> Estimated Annual Cost: <input data-bbox="1659 950 1848 1006" type="text"/>			

Name

Section

Area/Department

## F Non-Project Recommendations

Count:

10

One Time Cost:

\$250,000

Annual Cost:

\$200,000

**Division: Administrative**

Count: 4

<b>HRS5</b>	<b>Implement Employee Quantitative Survey</b>	<b>4.2.8</b>	<b>Human Resource Services</b>
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Implement an internal HRS quantitative satisfaction survey.

One Time Estimated Cost: \$25,000

Estimated Annual Cost:

<b>HRS8</b>	<b>Increase Awareness of Training Programs</b>	<b>4.2.8</b>	<b>Human Resource Services</b>
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Consider taking steps to increase employee awareness of Authority-sponsored education and training opportunities.

One Time Estimated Cost: \$25,000

Estimated Annual Cost:

<b>EEO1</b>	<b>Shorten Affirmative Action Training Intervals</b>	<b>4.2.3</b>	<b>OBD&amp;EO</b>
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Reduce the two year gap that exists for Affirmative Action training when someone is hired and after the training cycle is complete. This would require more frequent training sessions.

One Time Estimated Cost: \$25,000

Estimated Annual Cost:

<b>EEO2</b>	<b>Test Employee Satisfaction Levels</b>	<b>4.2.3</b>	<b>OBD&amp;EO</b>
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Include in the employee satisfaction survey, a question to female employees to gauge their satisfaction levels.

One Time Estimated Cost: \$25,000

Estimated Annual Cost:

<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>Division: Executive</b>		Count: 5
<b>ENG4 Continue to Recruit Technical Staff</b>	<b>4.1.5</b>	<b>Engineering</b>
Recruiting, already initiated, to replace retiring staff and fill open positions should be continued without waiting for the Engineering Department Strategic Plan.		
	One Time Estimated Cost: <input type="text" value="\$25,000"/>	Estimated Annual Cost: <input type="text"/>
<b>GR2 Increase Grant Administration Staffing</b>	<b>4.1.2</b>	<b>Government Relations</b>
Restore the appropriate Grant Administration resource level to fully capitalize on grant opportunities.		
	One Time Estimated Cost: <input type="text" value="\$25,000"/>	Estimated Annual Cost: <input type="text" value="\$100,000"/>
<b>OIG1 Increase OIG staff</b>	<b>4.1.1</b>	<b>OIG</b>
The OIG has many current responsibilities that will expand if the recommendations in this and other audits are implemented. The skills and numbers added should be coordinated with the development of priorities and plans to address those priorities. Care should be given to the need for competitive salaries for the skills being sought. The estimated additional annual cost is \$100,000.		
	One Time Estimated Cost: <input type="text" value="\$25,000"/>	Estimated Annual Cost: <input type="text" value="\$100,000"/>
<b>OIG3 Start &amp; Maintain an Annual Audit Program</b>	<b>4.1.1</b>	<b>OIG</b>
Develop and document a comprehensive annual Audit Program including a Risk Assessment. Implement the Audit Program once approved by the Audit Committee/ Board.		
	One Time Estimated Cost: <input type="text" value="\$25,000"/>	Estimated Annual Cost: <input type="text"/>
<b>OIG5 Provide OIG Support for Other Initiatives</b>	<b>4.1.1</b>	<b>OIG</b>
Include the OIG staff in the planning and, as warranted, the execution of Strategic Plan and Lean Government projects. OIG contributions will also be necessary to support major systems efforts like ERP.		
	One Time Estimated Cost: <input type="text" value="\$25,000"/>	Estimated Annual Cost: <input type="text"/>

*Name*

*Section*

*Area/Department*

**Division: General Areas**

Count: 1

**HRS4 Document Salary Freeze Policies**

**4.2.8**

**Human Resource Services**

Document policies regarding the salary freeze. CGR has not received a document that established the policy. Conditions for exceptions and ending the freeze should be established.

One Time Estimated Cost:

Estimated Annual Cost:

**G Zero Cost/No Action Recommended**

Count:

One Time Cost:

Annual Cost:

**Division: Executive**

Count: 1

**ENG7 Continue Use of Construction Project Contractors**

**4.1.5**

**Engineering**

Balanced with an appropriate increase in staff for essential staff roles, the increased use of outside GEC's and PMA's should be continued to deliver the projects planned for the next five years.

One Time Estimated Cost:

Estimated Annual Cost:

**Division: Public Safety**

Count: 5

**PS1 Retain Current Public Safety Functions**

**5.2**

**Public Safety**

The DRPA should retain a police department and should not consider outsourcing the functions currently carried out by the Department of Public Safety to the New Jersey and Pennsylvania State police departments.

One Time Estimated Cost:

Estimated Annual Cost:

	<i>Name</i>	<i>Section</i>	<i>Area/Department</i>
<b>PS15</b>	<b>Retain All of the Special Units</b>	<b>5.2</b>	<b>Public Safety</b>
	Retain All of the Special Units. These include the High Angle Rescue Team, Honor Guard, Commercial Vehicle Unit, Training Unit, and the Marine Unit.		
	One Time Estimated Cost: <input type="text" value="\$0"/>	Estimated Annual Cost: <input type="text"/>	
<b>PS16</b>	<b>Continue to loan officers to the two task forces.</b>	<b>5.2</b>	<b>Public Safety</b>
	These tasks forces are the FBI Joint Terrorism Task Force and the High Intensity Drug Trafficking (HIDT) task force.		
	One Time Estimated Cost: <input type="text" value="\$0"/>	Estimated Annual Cost: <input type="text"/>	
<b>PS18</b>	<b>Retain the court liaison position.</b>	<b>5.2</b>	<b>Public Safety</b>
	The function is cost effective.		
	One Time Estimated Cost: <input type="text" value="\$0"/>	Estimated Annual Cost: <input type="text"/>	
<b>PS2</b>	<b>Retain Transit Patrol</b>	<b>5.2</b>	<b>Public Safety</b>
	The Authority should retain the Transit Unit to patrol the PATCO High Speed line.		
	One Time Estimated Cost: <input type="text" value="\$0"/>	Estimated Annual Cost: <input type="text"/>	

# Appendix D. Status of Prior Initiatives

Recommendation Count: 178

This report uses functions in the TransTech report.

CC -- Compact Compliance

EN -- Engineering

FM -- Fleet Management

FN -- Finance

HR -- Human Resources

IT -- Information Technology/Systems

OM -- Organization Management

PA -- PATCO

PS -- Public Safety

RM -- Risk Management

TP -- Tolling Practices

Recommendation sources included the following:

TransTech Audit 2010 (Doc 20)

DRPA Strategic Plan (Doc 36)

Lean Government Documents

KPMG - 2001 (Doc 79) (Includes prior audit items)

Kroll Report - 2006 (Doc 82)

Kroll Supplemental Report -- 2008 (Doc 81)

DRPA managers who were interviewed during the audit assigned Priorities and Status Codes to some of the recommendations.

Priorities:

A -- Critical, Urgent

B -- Important, Non-Urgent

C -- Deferrable

D -- Unneeded, duplicative

? -- Not Known

Status:

1 -- In Progress, Complete

2 -- Not Started, Accountability Assigned

3 -- In Queue to be Done

4 -- Unlikely to be Done

? -- Not Known

Under audit status: Green is complete; Yellow is in progress; Red is not started or will not be done. Not all recommendations are evaluated.

## KPMG - 2001 (Doc 79)

Count: 23

### Managers and Staff Accountability

125	Y	A1	
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Description: Hold managers and staff accountable through performance management system. DRPA introduced an enterprise-wide performance review system, used annually since 1997. As a next step, KPMG recommends a reinforcing system of performance measures for business units supported by performance goals for employees.

Status: This recommendation is substantially similar to those in the current strategic plan. It is considered an important initiative. This is the earliest recommendation in the Document reviewed as part of the audit. HRS has acquired or has requested software that can be adapted to include evaluation criteria.

### Budget Status Monitoring

126	R	A3	
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Description: Monitor budget status relative to Strategic Business Plan, and communicate results to frontline managers. DRPA prepares monthly and quarterly reports of variance against budget. The logical next step is to link performance measures to the Strategic Business Plan.

Status: DRPA managers, the Deputy CEO and Manager, Special Projects, indicated that improvements and responsibility for the Strategic Plan and its processes are still required. This is the reason for the "3" evaluation. There is a need to have the Strategic Plan drive management decisions and the budget. The current situation is the reverse.

### Documented Professional Services Contracts (hold over from prior audit)

121	G	A1	
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Description: Developing documented professional services contracting policies and procedures that promote open, qualification-based selection decisions.

Status: Reported done. (Int 54)

ID	Audit Status	Priority	Responsibility
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**Annual Review of Insurance Contracts (hold over from prior audit)**

122	G	A1	
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Description: Annually reviewing and approving insurance contracts to ensure they are appropriate and cost effective

Status: Reported done. (Int 54)

**Consistent, Aligned Salary Schedules (hold over from prior audit)**

124	Y	A1	
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Description: Adopting consistent salary schedule and aligning salary levels with second quartile comparative salary statistics.

Status: This item is affected by a four-year salary freeze for exempt staff. It is causing compression between represented workers and their supervisors. This has the consequence of making higher level jobs less attractive to current employees. (Int 55)  
 Doc 489. KPMG-2001 Audit (Doc 79)  
 ID#124-“Consistent, aligned salary schedules”-This was given a priority/status code of B1-“Important, Non-Urgent”. Given the current compression issues here at the Authority and the high level of employee dissatisfaction with their current salaries, HRS respectfully submits that the priority/status for this item be changed to A1-“Critical, Urgent/In Progress. (CGR made this change from B1 to A1.

**IS Department Organization & Operation**

127	Y	A1	
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Description: There are four IS recommendations:

1. Organizing T&MIS department into three sections: Systems Development and Support, Application Development, and End User Support
2. Operationalizing the MIS strategic plan by budgeting, tasking, and scheduling, and monitoring the highest priority projects and initiatives, as defined by the user community and within available staff or consultant resources.
3. Increasing opportunities for interaction between the T&MIS Department and the user community through the functioning of DRPA Strategic Management Committee and user group liaisons.
4. Focusing T&MIS Department on facilitating and coordinating systems development and implementation efforts leveraged through the use of outside systems consultants.

Status: Status needs to be ascertained. Rating comes from Int 54.



**ID      Audit Status      Priority      Responsibility**

**Transform DRPA IT**

180	<b>R</b>	C3	
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Description: Move DRPA to a higher level of functionality in IT, a key transformational area of management. Status was provided as part of the task report.

Status: Status was provided as part of the task report.

**Develop IS Framework**

181	<b>R</b>	C3	
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Description: Move DRPA to a higher level of functionality in IT, a key transformational area of management. Status was provided as part of the task report.  
Develop, adopt, and support a rigorous IS process framework.

Status: Status was provided as part of the task report.

**IS Strategy**

182	<b>R</b>	C3	
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Description: Develop an IS strategy. Status was provided as part of the task report.

Status:

**IS Procedures**

183	<b>G</b>	A1	
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Description: Document IS procedures. Status was provided as part of the task report.

Status:

**Telephony/WAN RFP**

184	<b>G</b>	A1	
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Description: Proceed with rigorous telephony/WAN RFP issuance to meet infrastructure needs. Status was provided as part of the task report.

Status:

**ID      Audit Status      Priority      Responsibility**

**Technology Spending**

185	Y	A1	
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Description: Increase spending on technology as a proportion of overall spending. Status was provided as part of the task report.

Status:

**Consolidate Competing Applications/Platforms**

186	Y	A1	
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Description: Consolidate platforms and applications. Status was provided as part of the task report.

Status:

**Cross Train IS Staff**

187	Y	A1	
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Description: Cross train staff. Status was provided as part of the task report.

Status:

**e-Government Efforts**

188	Y	B1	
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Description: Increase self-service e-Government efforts over web marketing and communications. Status was provided as part of the task report.

Status:

**IS Program Management Office**

189	R	C3	
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Description: Create an IS program management office/officer and implement project management standards. Status was provided as part of the task report.

Status:

**ID      Audit Status      Priority      Responsibility**

**Traffic Management Center**

190	G	A1	
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Description: Finalize the technology to be used in the traffic management center. Status was provided as part of the task report.

Status:

**E-Z Pass Customer Service Center**

191	Y	A1	
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Description: Leverage existing technology used by the E-Z Pass Customer Service Center to develop a system that would ticket violators. Status was provided as part of the task report.

Status:

**Banner User Training**

192	Y	A1	
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Description: Provide initial training to all Banner users and require annual periodic refresher courses. Status was provided as part of the task report.

Status:

**Toll Audit Process Systems**

193	Y	A1	
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Description: Evaluate information systems used in the toll audit process and make the necessary changes to make the process more efficient. Status was provided as part of the task report.

Status:

**TransCore System Upgrades**

194	Y	A1	
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Description: Ensure that the TransCore System (Electronic Toll Collection) receives the required upgrades and can produce the required information efficiently. Status was provided as part of the task report.

Status:

**ID      Audit Status      Priority      Responsibility**

**Computerized Record Keeping**

195	<b>R</b>	A1	
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Description: Develop a computerized record keeping system, using scanning technology. Status was provided as part of the task report.

Status:

**Streamlined Staffing Levels (hold over from prior audit)**

123	<b>G</b>	A1	
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Description: Streamlining staffing levels across DRPA and eliminating up to 150 positions

Status: This was accomplished by layoffs. (Int 54)

## Kroll Report -- 2006 (doc 82)

Count: 36

**Department of Public Safety Mission Statement (page 3)**

128	<b>G</b>		CEO and others
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Description: Beyond the DRPA's general mission statement, there is no specific definition of Public Safety's precise role within the organization and in serving the larger community. This lack of a clearly defined mission has created disagreement internally as to how Public Safety should deploy and allocate its resources, and directly impacts the entire organization and the community. Accordingly, Kroll recommends that the DRPA clearly establish the goals, objectives and mission of Public Safety. This should involve the careful and thoughtful formulation of policy for Public Safety directed by the CEO, with input from other departments within DRPA, including the Chief Operating Officer, the Chief Legal Officer, the Chief Financial Officer and the Chief of Public Safety. The mission statement should be used to guide Public Safety's operational and budgetary decisions going forward.

Status:

**Public Safety Jurisdiction (page 3)**

129	R		
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Description: Kroll is concerned that Public Safety may at times be acting beyond the DRPA's mission, and sometimes beyond its jurisdiction. Kroll recommends that the DRPA's Chief Legal Officer conduct a full assessment of all written policy and existing practices concerning Public Safety's jurisdiction. Once there is a complete understanding of what policy and practice truly exists. Kroll recommends that the DRPA develop a Standard Operating Procedure (SOP) on Public Safety's jurisdictional boundaries and limitations.

Status: 2. Develop Standard Operating Procedures: Was lost in the "legal Section", DRPA; (Red)

**Agency Partnerships (page 3)**

130	Y		
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Description: The DRPA needs to continue its effort and expand its working partnerships to include other public safety professionals in the local jurisdictions (EMS, fire, police) to leverage resources. There is a need to have scalable capabilities for all-crimes and all-hazards first response and information sharing. This can be accomplished through cross-training, the use of technology, identified best practices, and defined business practices and work flows. While aiding other police departments, agencies and the community in times of need is recommended, there needs to be clear definitions, understandings and limitations.

Status: 3. Expand working relationship with other public safety professionals: (Yellow)

**Jurisdiction on Walt Whitman Bridge (page 4)**

131	G		
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Description: Because it will directly impact manpower and staffing at Public Safety and the PSP, Kroll recommends that the DRPA and the Governor's Office of the Commonwealth of Pennsylvania determine which organization should have primary responsibility for highway and traffic patrol on Interstate 76 from Passyunk Avenue in Philadelphia to the base of the Walt Whitman Bridge.

Status: 5. Interstate 76 responsibility: Public Safety currently patrols this highway. (Green)

**Jurisdictional MOUs (page 4)**

132	Y		Public Safety
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Description: Kroll recommends that the DRPA enter into intergovernmental agreements or memoranda of understanding (MOU) to agree upon and define jurisdictional limits with various local, state and federal law enforcement agencies and departments, including, but not limited to, New Jersey State Police, Pennsylvania State Police, Camden City Police Department, Philadelphia Police Department, Federal Bureau of Investigation (FBI), New Jersey Transit (NJT), New Jersey Department of Transportation (NJDOT), SEPTA, and Pennsylvania Department of Transportation (Penn DOT). This was assigned to a lieutenant who is no longer with the department.

Status:

**Emergency Management MOUs (page 4)**

133	Y		Public Safety
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Description: Kroll recommends that the DRPA enter into MOUs to formally partner with county/regional emergency management agencies or committees. Public Safety should participate in emergency management planning monthly coordination meetings and implement regional incident management and response protocols.

Status:

**Radio Interoperability MOUs (page 4)**

134	R		Public Safety
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Description: Kroll recommends that the DRPA enter into MOUs with local law enforcement, EMS, fire departments, hospitals, and other transit providers in the region to address the Radio interoperability System to link Public Safety's communications system with the entire region.

Status:

**Grant Compliance (page 4)**

135	R		Public Safety
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Description: The DRPA should fully examine its responsibility under certain grants that require it to enter into some form of MOU with certain local municipalities. The DRPA should also examine whether entering into certain types of MOUs will make it eligible for more grant money. This review should be coordinated among the Legal Department, the Grants Department, and Public Safety.

Status: Chief Borelli did not respond to this recommendation.

ID	Audit Status	Priority	Responsibility
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**Public Safety Structure (page 4)**

136	G		Public Safety
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Description: Kroll reviewed the most recent organizational chart and analyzed the structure of Public Safety to determine if the organization and structure was impeding the efficiency of the force, and if any communication lines between staff could be improved. This review has caused Kroll to recommend that the DRPA alter and streamline Public Safety's organization and structure to bridge roles and responsibilities that require the oversight of multiple groups. Instead of three Inspectors, Kroll believes Public Safety would function more efficiently with two: an Inspector of Patrol, and an Inspector of Administration.

Status:

**Patrol Inspector Role (page 4)**

137	G		Public Safety
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Description: Kroll recommends that the Inspector of Patrol become primarily responsible for overseeing the specialty units, and overseeing the five primary facilities from a central command, working with the Lieutenants to adequately and evenly staff patrol 24 hours a day, 7 days a week. The Lieutenants would patrol all five primary facilities, rather than handle only one facility, and work with the Inspector to deploy resources both from patrol to the specialty units, and vice versa.

Status: Related to other recommendations on staffing and responsibilities.

**Administrative Inspector Role (page 4)**

138	Y		Public Safety
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Description: The Inspector of Administration would oversee the budget, the Lieutenant of Administration, and the Lieutenant of Investigations. The Lieutenant of Administration would be responsible for areas such as procurement, training, awards, dispatch, technology, court liaison, SOP Reviews, and Anti-Terrorism functions. This Lieutenant would have three civilians reporting to him, including a Civilian Technology Officer, Civilian Court Liaisons (for New Jersey and Pennsylvania), and Civilian Dispatch Supervisors (now that dispatch is moving toward being primarily civilian staffed.) This Lieutenant would also help oversee and rely on an administrative secretary assigned to Central Records. The Lieutenant of Investigations would, as before, be responsible for internal and external investigations, processing new hires and evidence retention, and Kroll recommends, also be responsible for a newly created position of "Intelligence Analyst." This analyst would help track trends and alerts and also work closely with the Lieutenant of Administration on anti-terrorism monitoring.

Status: The Court Liaison role has been civilianized; the technology responsibility remains filled by a sworn officer.

**ID      Audit Status      Priority      Responsibility**

**Civilianization of Roles (page 5)**

139	Y		Public Safety
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Description: Kroll recommends that several positions be changed from sworn officers to civilians to free up manpower for patrol. This recommendation includes reassignment of certain high ranking officers from current positions to patrol.

Status:

**Training Focus and Documentation (page 5)**

140	G		Public Safety
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Description: After the DRPA clearly establishes Public Safety's goals, objectives and mission, it should reassess the kinds of training Public Safety should receive to most effectively meet the same. Kroll also recommends a more accurate and consistent approach in recording training.

Status: 12. Establishment of goals and agency specific training. (Green)

**Standards for Emergency Management (page 5)**

141	Y		Public Safety
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Description: Public Safety officers perform a critical and essential role, responding to and managing emergencies that occur on the mass transit system and bridges. Kroll notes the DRPA's accomplishment in becoming compliant with national and uniform emergency management standards, and recommends the DRPA's continued diligence to stay compliant with relevant standards designed for all-hazards of the first responder community with operational responsibilities during emergencies and disasters.

Status: Ranked green by Captain Borelli, yellow by Captain Stief.

**Multi-Agency Incidents (page 5)**

142	Y		Public Safety
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Description: Kroll recommends that the DRPA develop specific capabilities in Unified Command for Multi-Agency and Catastrophic Incidents in the event there is a need to assume an ICS command or general staff position during a multi-agency operation. The goal is for the DRPA to develop a better understanding of the complexities of multi-agency incidents and the skills necessary to operate in such environment in compliance with national and uniform emergency management standards.

Status: Rankings: (Green, Chief Borelli), (Yellow, Capt. Stief)



**CALEA Certification (page 5)**

143	R		Public Safety
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Description: Kroll recommends that Public Safety enhance and improve its operations and stature by becoming certified by the Commission on Accreditation for Law Enforcement Agencies, Inc. (CALEA®). The purpose of CALEA's Accreditation Programs is to improve the delivery of public safety services, primarily by: maintaining a body of standards, developed by public safety practitioners, covering a wide range of up-to-date public safety initiatives; establishing and administering an accreditation process; and recognizing professional excellence. CALEA's standards seek to establish the best professional practices, focusing on "what" agencies should be doing, but not "how" they should be doing it. Kroll believes that Public Safety's voluntary commitment to CALEA certification will bring benefits to the entire DRPA organization, including, among other things: greater accountability within Public Safety and in reporting to the CEO; reduced risk and liability exposure; a stronger defense against civil lawsuits. Accreditation will also provide objective evidence of Public Safety's commitment to excellence in leadership, resource management, and service-delivery. This will greatly benefit the executive management team of the bi-state authority, its board of Commissioners, and its respective Governors from Pennsylvania and New Jersey by providing these executives and government officials with more confidence in Public Safety's ability to operate efficiently and meet community needs.

Status:

**Public Safety Staffing (page 6)**

144	G		Public Safety
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Description: Certain senior management executives at the DRPA and in Public Safety have argued that the Department is understaffed, and have based their argument for more staffing in part on the fact that the number of officers is well under the budgeted amount. Kroll searched and did not find a thorough analysis of data, however, that supported the budgeted number of officers. Kroll also believes that Public Safety has, to some extent, staffed its operations inefficiently. Certain types of training, preparation and attendance at ceremonial events, and emphasis on certain community outreach, while important, seem to be out of proportion and Kroll believes, have taken away too much of officers' time policing. The number of patrol officers employed by the DRPA has remained the same as it was five years ago. With the recent hiring of 12 civilian employees to handle dispatch operations, Public Safety and PATCO now have 12 officers available for patrol on the bridges and PATCO that were not available for patrol five years ago, due to the need for those patrol officers to man dispatch operations prior to the hiring of civilian dispatchers. In terms of coverage by patrol officers actually out on the bridges and rail lines, Public Safety's staffing numbers available for coverage on patrol compare favorably at this time with the historical number of patrol officers that existed five years ago. At this point, Public Safety seems adequately staffed to meet the challenges of its apparent mission. If the DRPA adopts and implements Kroll's recommendations to change Public Safety's organization and structure, additional officers will become available for patrol. Moving forward, to account for attrition, the DRPA may need to hire several officers to keep Public Safety's numbers steady.

Status:

### Shift Command - Role of Lieutenants (page 6)

145	G		Public Safety
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Description: Kroll recommends that the DRPA restructure Public Safety to have a centralized command center with one Lieutenant responsible for all five entities at a time, so that there is managerial coverage 24 hours a day, seven days a week. Under this structure, Lieutenants would be assigned as "Patrol Commanders" and oversee all squads on a particular shift, as opposed to being assigned geographically. There will be one Lieutenant in charge of every shift, Monday through Sunday. Lieutenants would be based at their offices at their current respective bridges, but be able to oversee situations by radio, and/or by driving around. All officers would be cross trained on both bridge and PATCO patrol, so the Lieutenant in charge could assign officers as he saw fit, to cover areas of need on a given shift. Better personnel management would reduce overtime by putting excess officers on facilities that are short staffed.

Specifically for this system to work, Kroll recommends that each of the five Lieutenants work three 12-hour shifts, and one four hour shift every week. The four hour shift will be used for administrative work, and the 12-hour shifts will involve oversight of all five facilities. Lieutenants will still work 40 hours a week, but over a four day period. Kroll believes overtime costs should go down as manpower usage becomes more efficient. Kroll believes that this initiative would make the DRPA more efficient, and essentially, would allow for more officers on patrol on the bridges and rails.

Status:

### Sergeants on Special Detail (page 7)

146	Y		Public Safety
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Description: In addition to Patrol Officers and Lieutenants, Public Safety has seven Sergeants assigned to Special Detail including Chiefs Office Support; Investigations; Technology; Traffic Court; Training/Evidence; and Truck Enforcement (two).

Kroll recommends that a more cost efficient approach is to hire civilians or retired police officers for a number of the roles that these Sergeants currently perform. Specifically, Kroll recommends reassigning the Sergeant in charge of Office Support, Technology, and Traffic Court into platoons to better use their expertise as trained police in the field. Each of those positions can be carried out by a well trained civilian, or even retired police officer. Since some of the TEU members are also responsible for traffic court, by replacing the traffic court Sergeants with civilians, and shifting responsibilities, additional man-hours would be available for the TEU.

Status: 11. Civilianization of court liaison and Technology Sergeant; Court Liaison position was civilianized; tech sergeant is still sworn (Yellow)

**Staggered Shifts (page 8)**

147	G		Public Safety
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Description: Kroll recommends that since crime and accidents do not occur equally at all times of the day, Public Safety should continue to stagger the number of officers on the day versus night shift, and to analyze more closely whether or not the bridges and PATCO are meeting their respective minimum and ideal staffing levels, and then shift officers accordingly to even out coverage.

Status: 20. & 21. Distribution of department resources based on time of day and venue: Although the former Chief rejected this proposal Capt. Stief believes it has been implemented as a result of their 2008 deployment plan. (Green)

**Leave Policy for Workload Balancing (page 8)**

148	R		Public Safety
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Description: Kroll recommends that, since there is periodically a decrease in manpower when there is an increase in officer days off, the DRPA should establish a Leave Policy and strictly enforce the rules for when officers can take vacation, holiday, and leave so the DRPA does not have an officer shortage, and there is adequate coverage at all times.

Status:

**MOUs for Special Units (page 9)**

149	Y		Public Safety
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Description: The DRPA should coordinate with other agencies so that the DRPA is helped in situations that call for ERT/SWAT or Marine capabilities, thus making the lack of training a non-issue. The four police agencies that are contiguous to DRPA's jurisdiction all have Conflict Management and Marine Units available. The DRPA is the only agency with a High Angle Rescue Team. What is needed and further recommended is formal MOU's with each of those Agencies, and training opportunities for them to practice responses for DRPA specific high risk situations.

Status:

**Scheduling with Work Load Data - All Functions (page 9-10)**

150	G		Public Safety
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Description: Kroll recommends that the DRPA staff according to work load data, have directed patrol, and consider peak workload demand (for traffic or crime). Kroll recommends implementation of Intelligence-Led Policing, which is a system by which staffing decisions are made by analysis of incidents and risk. With the implementation of the CAD system, the DRPA must collect and track data, such as response time, so that staff may be deployed and operate more efficiently. If this data is collected, there are numerous industry benchmarks that the DRPA can compare itself to and use as a guide in effective policing. Without this data, comparisons are limited, and thus the accuracy of how time is spent is less than it could be. Regarding all the bridges, Kroll saw that Public Safety does not staff based on traffic volume, nor based on seasonal traffic patterns which are evident on all four bridges. Each year, there was a significant decline in the number of vehicles in January and February as well as a large increase in traffic volume from April through September. Accordingly, Kroll recommends that Public Safety staff at the bridges based on vehicle crossings by, for example, putting more officers on-duty at peak traffic times and less officers on-duty at low traffic times. Similarly, Public Safety should staff at PATCO based on the number of riders, so that there are more officers during peak ridership times. Kroll also recommends that PATCO increase security presence by using Security Officers along with Station Managers and/or a volunteer citizens watch program during peak volume periods to create the omnipresence of oversight, security and police personnel.

Status:

**Dispatch Functions (page 10)**

151	G		Public Safety
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Description: An important step has begun in switching dispatch coverage from officers to civilians; however, Kroll recommends going several steps further, by combining all 5 dispatch centers into one state of the art command center, and having more than one dispatcher working at a time. Kroll recommends a phased approach, with an initial step of combining the bridge dispatch centers into one, and keeping the PATCO center. Eventually the DRPA should combine those two centers into one central command. To help aid dispatchers, more security cameras should be installed at the PATCO stations and at places like the toll plazas of the bridges. Kroll recommends that the DRPA also staff PATCO's dispatch center with a civilian instead of a sworn officer. Kroll recommends that DRPA's dispatch operations become CALEA certified to provide it with a formal and rigorous process to systemically review and internally assess operations and procedures, and to voluntarily demonstrate a commitment to excellence.

Status:

**Special Unit Cost-Benefit Analysis (page 11)**

152	Y		Public Safety
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**Description:** During Kroll's review, three of those units were purportedly made inactive, including ERT, CPU, the Honor Guard, and the Marine Unit is apparently currently not fully operational. Kroll believes that the DRPA's decision to de-activate the CPU, ERT, and Honor Guard Units was the correct decision. While Kroll believes the marginal benefit provided by the Marine Unit to the DRPA in policing the river and safeguarding critical infrastructure is far outweighed by the costs associated with maintaining the Unit, and that it should therefore be disbanded, Kroll also believes that this decision should be made by those relevant stakeholders at the DRPA and in NJ and PA after conducting a comprehensive cost benefit analysis. Kroll thus recommends that the DRPA conduct a cost benefit analysis with input from relevant stakeholders including the Governor's Offices, CEO, CFO, Chief Public Safety Officer, and the s at the four bridges. The CFO should conduct a financial analysis evaluating all costs associated with maintenance of the Marine Unit, including, but not limited to, the costs of: staffing bridges and PATCO due to manpower drain; impact on overtime; manpower drain due to Marine Unit specific training; annual expenses for fuel, docking, storage, trailing, winterizing, and maintenance and repairs. If the DRPA accepts this recommendation, Kroll suggests having the Marine Unit available on an emergency as needed basis, but not devoting a full time staff to keep the Unit functioning, until a final decision is made.

**Status:** 34. Deactivate CPU, ERT and Honor Guard. Honor Guard is still active; others have been eliminated: (Yellow)  
The Marine unit has not been deactivated.

**Court Liaison (page 11)**

153	Y		Public Safety
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**Description:** While Kroll believes that the Court Liaison Unit is cost effective and helps reduce overtime, Kroll questions the necessity of using Public Safety officers, especially a Lieutenant assisted by a Sergeant, to handle traffic tickets in NJ. Kroll recommends staffing the position by civilians or retired police officers who are properly trained, thereby providing more officers for patrol in the field.

**Status:** 11. Civilianization of court liaison and Technology Sergeant; Court Liaison position was civilianized; tech sergeant is still sworn (Yellow)

**NJ Certification (page 11)**

154	R		Public Safety
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**Description:** Kroll recommends working with officials at the New Jersey State Training Commission to accept and recognize certification of an officer from Pennsylvania. This would add valuable experience to a force like the DRPA if not only seasoned New Jersey police could easily join but if seasoned Pennsylvania police could as well.

**Status:** Public Safety hasn't received this certification.

**ID      Audit Status      Priority      Responsibility**

**Posting of Public Safety Job Vacancies (page 11)**

155			Public Safety
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Description: Kroll suggests that in addition to posting job vacancies on the internet, the DRPA should take an active role in contacting graduates of police academies that do not have offers when they come out. There are often two to three graduates not linked up with a department upon completion of the training program, and since DPRA officers participate in police academy training, they should have a sense of whom the available graduates are and how well they might fit in at DRPA.

Status:

**Minimum Service for Officers (page 11)**

156	G		Public Safety
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Description: Similar to the policy of the Philadelphia Police Department, Kroll recommends instituting a policy in which new Public Safety officers must commit to a 2 year employment period upon hiring. And if the officer leaves before the two year tenure is up, the DRPA will seek reimbursement from the officer or hiring municipality for the cost of training and salary.

Status: 42. Establish two year post-graduation employment commitment: (Green)

**Discipline Policy (page 11)**

157	G		Public Safety
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Description: Kroll believes that the DRPA should have a formal written process for discipline. Not only should procedure be listed, but a time table should be implemented as well, to ensure speedy and accurate implementation of recommendations.

Status: 43. Formal written process for discipline: system is in place: (Green)

**Intelligence Analyst (page 12)**

158	R		Public Safety
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Description: Kroll recommends that Public Safety create the position of Intelligence Analyst. The responsibility of this position should be analyzing and sharing intelligence through full participation in the range of region and nationwide initiatives in the areas of information sharing and assessments. The position needs to be focused on DRPA specific organizational requirements and mission needs, including closing current gaps in real-time information and intelligence sharing and collaboration related to terrorism.

Status: 46. Create a position of "Intelligence Analyst. There is currently no one occupying this position at either Homeland Security or Public Safety: (Red)

**Collaboration with Other Transit Agencies (page 12)**

159	<b>R</b>		Public Safety
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Description: Kroll recommends that the DRPA and Public Safety continue to work collaboratively with the greater Philadelphia/southern New Jersey transit organizations and other local, state and federal government agencies to respond to the terrorism prevention challenge. The focus of these efforts for the DRPA and Public Safety should be participating in the range of initiatives in the areas of information sharing, assessments and training. Kroll believes that the DRPA and Public Safety are best suited to continue to develop processes and practices for increasing information and intelligence sharing among and between regional transit agencies and supporting efforts to establish a region-wide secure communications, collaboration and information sharing network.

Status: 44. & 45. Homeland Security; work more closely with adjoining law enforcement agencies. This whole issue was delegated to the Homeland Security Department. In that there are misinterpretations as to exactly what Homeland Security's role is, this area has not been adequately addressed (Red).

**Security-Related Grants (page 12)**

160	<b>Y</b>		Public Safety
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Description: Kroll recommends that the DRPA continue to aggressively apply for grant funding to enhance security initiatives for equipment including, but not limited to: upgrades to security cameras on the bridges and on PATCO, upgrades to communications devices with full operability across the bridges and PATCO, sensors on the roads of the bridges to detect things like standing water and temperature, magnetometers, computers in all squad cars, and technology to link up the new CAD system to federal and state agencies that monitor terrorism threats.

Status: 47. & 48. Seek out security related grants; Public Safety believes this is being handled by DRPA (Yellow).

**Public Safety Vehicle Leasing (page 12)**

161	<b>R</b>		Public Safety
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Description: Kroll suggests that the DRPA looking into lease to buy programs for new vehicles, which may be cheaper than purchasing new vehicles outright.

Status: 49. Fleet purchasing and leasing issues; considered a budgetary and finance issue. Vehicles are not currently leased: (Red)

**ID      Audit Status      Priority      Responsibility**

**CAD System Information Interfaces (page 12)**

162	<b>R</b>		Public Safety
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Description: The DRPA needs to make certain that its newly implemented CAD system interfaces with the Philadelphia Police Department's CAD system, SEPTA's CAD system, and the Camden Police Department's CAD system. Such interface will facilitate the exchange of crime statistics, crime mapping data and also enable each department to dispatch police personnel more expeditiously to incidents on mass transit and around the bridges.

Status: 50. Interface of Public Safety's CAD system with other local departments: (Red)

**Police Car Laptops (page 13)**

163	<b>G</b>		Public Safety
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Description: Kroll recommends that the DRPA continue its efforts to secure grant funding to obtain laptops in all police cars.

Status: 51. Laptops for vehicles: (Green)

## **Kroll Supplemental Report -- 2008 (doc 81)**

Count: 8

**Public Safety Organization Arrangement (page 20)**

164			Public Safety
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Description: Public Safety's present organizational arrangement, in which one Inspector oversees Bridge Operations and Administration while the other Inspector oversees PATCO Operations and Administration, promotes division within the department by creating the impression that there exists two separate departments within one. This has contributed to a loss of morale and to confusion over the proper delineation of responsibilities. Kroll recommends that this present organizational divide be discontinued.

Status:



**Public Safety Department Reporting Relationship (page 2)**

165	G		Public Safety
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Description: Maintaining a direct report relationship between the Chief Public Safety Officer and the CEO has few organizational advantages and, except in an emergency, is unnecessary to efficiently run the day-to-day affairs of Public Safety. Kroll's experience and research found that requiring the head of the policing division to report to a civilian official other than the CEO is consistent with best practices. Who exactly the Chief Public Safety Officer reports to, however, is less important than placing the right person in charge of Public Safety, one who understands thoroughly the institutional concerns, needs, and responsibilities of the job, and who possesses professionalism, competence, and good judgment.

Status: Per the organization chart (1.3.11). Public Safety reports to the DCEO. (Doc 436)

**Homeland Security Coordination (page 2)**

166	Y		Public Safety
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Description: The DRPA urgently needs to better coordinate its homeland security, anti-terrorism, counter-terrorism, and security functions with Public Safety. Because the former Chief made minimal effort to foster partnerships and close working relationships with the other departments within DRPA, many vital emergency and security plans have not been developed, and appropriate training exercises have not occurred as frequently as needed or been given the needed level of importance. Kroll believes that an organizational structure that oversees the public safety and homeland security functions of the DRPA would solve many of the existing shortcomings.

Status: 7. & 8. Seek MOUs with various Emergency Management agencies. (Yellow)

**Organization for Homeland Security (page 2)**

167	R		Public Safety
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Description: The DRPA urgently needs to better coordinate its homeland security, anti-terrorism, counter-terrorism, and security functions with Public Safety. Because the former Chief made minimal effort to foster partnerships and close working relationships with the other departments within DRPA, many vital emergency and security plans have not been developed, and appropriate training exercises have not occurred as frequently as needed or been given the needed level of importance. Kroll believes that an organizational structure that oversees the public safety and homeland security functions of the DRPA would solve many of the existing shortcomings.

Status: 44. & 45. Homeland Security; work more closely with adjoining law enforcement agencies. This whole issue was delegated to the Homeland Security Department. In that there are misinterpretations as to exactly what Homeland Security's role is, this area has not been adequately addressed (Red)

### Salary Adjustment (page 3)

168	G		Public Safety
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**Description:** The salary data at comparable police agencies and regional police departments supports a downward salary adjustment for DRPA's Chief Public Safety Officer. With a salary of \$180,081, the former Chief Public Safety Officer was among the highest paid chiefs of police in the United States, despite overseeing fewer officers and having less law enforcement demands than many other police chiefs who are paid substantially lower salaries. While the responsibilities and duties associated with Public Safety demands a competitive salary, the present annual salary for the Chief Public Safety Officer should be adjusted to a monetary level commensurate with the size and responsibilities associated with the DRPA Public Safety Department.

Kroll believes that a starting annual salary of approximately \$130,000 to \$135,000 would adequately and fairly compensate the head of Public Safety and maintain sufficient incentives for internal advancement; remain competitive with law enforcement agencies of comparable size and responsibility; and lessen the amount of outside interest in the position that is not motivated by a genuine desire to fulfill the mission of Public Safety and the DRPA.

**Status:** DRPA provided a history of the Chief of Police compensation. (Doc 450) This showed the Chief Public Safety Officer was retained until 1/1/2010 when the position paid \$180,000 (position E5). The position was eliminated and replaced by a "Police Chief." The salary for that position E3) has been \$130,000 since 11/29/2008. This compensation was frozen from 1/3/2009; the chief, David McClintock, retired in 5/15/2012.

### Hiring of a Public Safety Chief (page 3)

169	G		Public Safety
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**Description:** The overwhelming sentiment among the DRPA Public Safety personnel with whom Kroll spoke is that the next Chief should be selected from within Public Safety and that the talent presently exists within the organization to fill the vacancy. Moreover, there exist at least three additional advantages to filling the position from within. First, the institutional knowledge possessed by the present Inspectors cannot be replicated by an outside hire, who inevitably will confront a major learning curve in addressing the day-to-day management and leadership responsibilities of DRPA Public Safety. Second, hiring internally provides a certain degree of historical continuity, which lessens the impact and disruption otherwise associated with new leadership. Third, the morale of Public Safety personnel would be greatly enhanced and uplifted should the new head of Public Safety be someone from within the existing organization.

On the other hand, a national search would provide the DRPA with a broader pool of highly qualified applicants, and would potentially bring fresh insight and perspective into law enforcement and organizational leadership. However, an outside hire would necessarily face a steep learning curve and would more likely be perceived by some as a "political" hire. Given the need for Public Safety to enhance morale and to provide clear and credible leadership, Kroll recommends that the DRPA announce and begin the hiring and selection process for a new Chief Public Safety Officer as soon as possible.

Ultimately, the ideal candidate will be an effective leader who will command the respect of Public Safety personnel, and who fully understands or can quickly grasp Public Safety's mission and needs.

**Status:** Subsequent Chiefs have been Public Safety employees.

**ID      Audit Status      Priority      Responsibility**

**Office of Emergency Management (page 4)**

170	G		Public Safety
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Description: Kroll believes it imperative that DRPA create an Office of Emergency Management with oversight responsibility for Public Safety and a newly created Homeland Security Department.

Status: The department has been created.

**Organizational Areas of Concern (page 4)**

171	Y		Public Safety
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Description: Kroll's review uncovered several areas of concern that a new head of Public Safety will need to address soon after assuming leadership. Among those concerns are the need for Public Safety to place greater emphasis on leadership and career development, to impose consistent and fair enforcement of disciplinary procedures, and to expand efforts to achieve CALEA accreditation.

Status: Some recommended objectives haven't been achieved.

## Lean Government

Count: 19

**Performance Metrics Dashboard**

178	y	?	
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Description: Develop Authority-wide dashboards to enable the Board and Executive staff to make informed decisions. (Doc 360)

Status: Seems to be ongoing. Included a survey to understand what metrics are required to fulfill the project's goal.

**Round II: Defining Capital Project Scope**

108	R		
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Description: Defining Scope of Capital Projects (Doc 39)

Status: This process improvement is no longer being pursued. (Int 51)

**ID      Audit Status      Priority      Responsibility**

**Round II: Engineering Requests**

116			
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Description: Process for Reviewing Engineering Requests for Proposals and Bid Documents

Status: This project will be pursued in Round II. (Int 51)

**Round I: Budget Process (Lean Government)**

103	G	A1	
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Description: Improving the Authority's Budget Process (Doc 34). This effort is also recognized in the Strategic Plan.

Status: Timelines that mark events in the development of the budget have been provided for the process and have been implemented. (Int 51) (Doc 34)

**Round I: Monthly Closeout**

104	Y	B1	
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Description: Month End Close Process

Status: The process is continuing. The two Documents report progress. (Doc 31) (Doc 352)

**Round I: P-Card Expense Reporting**

105	Y	B2	
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Description: Streamlining Procurement Card Expense Reporting

Status: This was one of the first five Lean Government initiatives.

**Round II: Contracts/Purchasing Approvals**

106	y	A1	
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Description: Improving the Authority's Contracts and Purchasing n Approval Process (Doc 23)

Status: This was reported in progress in one interview (Int 54) and discontinued in another (Int 51).

**ID      Audit Status      Priority      Responsibility**

**Round I: Procurement Process**

109	Y	B1	
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Description: Assessing the Procurement Processes. (Doc 27)

Status: Reported to not being pursued. (Int 51)

**Round II: Asset Closeout**

111	Cancelled		
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Description: Fixed Asset Closeout Process

Status:

**Round II: Capital Grants**

112	Y	B1	
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Description: Capital Grants Process (Doc 39) (Doc 75)

Status: Reported to be in the process of implementation. (Int 54) (Int 51)

**Round II: Expense Reimbursement**

115	Cancelled		
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Description: Employee Expense Reimbursement

Status: Not being pursued.

**Round II: Contracts & Purchasing**

117	Duplicate		
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Description: The Authority's Contracts and Purchasing Approval Process (Doc 23) (Doc 39)

Status: This appears to be a duplicate.

**ID      Audit Status      Priority      Responsibility**

**Round II: Procurement Process Use**

118	Y		
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Description: Using the Authority's Procurement Process (Doc 27)

Status: This is reported to be being pursued. (Int 51)

**Round I: New Hires & Departing Employee Processes**

102	Y	B1	
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Description: Improve Resource Acquisition for New Hires and Retrieval Process for Separated Employees (Doc 38)

Status: A progress report was made in June 2012. (Doc 353)

**Round I: Temporary Staff Changes**

107	G	B1	
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Description: Requesting, Approving, & Administering Temporary Staff Upgrades/Assignments (Doc 39) (Doc 24)

Status: The project is in progress.  
Doc 89 Status. 107-New Hires and Departing Employee Process-Status: Completed. The outcome of this initiative was a Resource Acquisition Form for new hires and departing employees. All resources allocated to new employees are now tracked and documented, making the retrieval of those resources easier when they depart. (CGR changed this from Y to G.)

**Round II: Employee Training Requests**

110	Y	B1	
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Description: Employee Training Approval Process (Doc 28) (Doc 39)

Status: The project is being pursued. (Int 51)  
Doc 489 Status. Ongoing (Y)

**ID      Audit Status      Priority      Responsibility**

**Round II: Temporary Staff Upgrades and Assignments**

113	Y		
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Description: Process for Requesting, Approving and Administering Temporary Staff Upgrades and Assignments (Doc 24)

Status: Doc 489. Reported in progress.

**Round II: Electronic Employee Communications**

114	Y	B1	
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Description: Process for Employing Electronic Employee Communications (Doc 39)

Status: This is being pursued. There is uncertainty whether this will be "electronic" communications. (Int 51)  
Doc 489 Status. Ongoing. (Y)

**Round I: Change in Systems Environment**

101	G	A1	
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Description: Status was provided as part of the task report. Introducing Change into the PATCO/DRPA Systems Environment (Doc 37)

Status: This was a Round I process improvement project. (Int 51) A recent report (Doc 350) reports on introducing a test environment in ITS.

# Strategic Plan 2012 (Doc 36)

Count: 35

## Return on Investment (ROI) Criteria

69	Y	A1	
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**Description:** Analyze all investment decisions to ensure compatibility with core mission. Establish standard review program to evaluate all investments and incorporate "Return on Investment" (ROI) concepts

**Status:** Initial assessment:  
 There is an intent to use compatibility with core mission as a criteria for decisions, but there is no "standard review program" that is apparent. After a query to DRPA, the following reply was provided:  
 "There is no document that meets the criterion. Finance uses two Financial Advisors on investments and coordinates the investments through the Finance Committee." The 2009 Strategic Plan (Page 18, Doc 367) called for a similar effort.

## Compatibility of Programs, Initiatives, and Positions with Core Mission

71	G	A1	
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**Description:** Evaluate all new programs, initiatives, and positions to ensure compatibility with core mission. Establish standard review program to evaluate all new programs, initiatives, and positions.

**Status:** This is considered complete. It was implemented on last year's budget using the process from Lean Government team. The 2009 Strategic Plan (Page 18, Doc 367) called for a similar effort.

## Fiscal Decisions & Core Mission

72	G	A1	
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**Description:** Analyze and evaluate the Authority's budget process to tie all fiscal decisions to the core mission. Continue to implement Budget Process Improvement Team recommendations to restructure and streamline the annual budget process.

**Status:** The most recent budget employed the process recommended by the Lean Government team. Refinement will continue. Decisions were guided by a focus on the DRPA transportation mission. The 2009 Strategic Plan (Page 18, Doc 367) called for a similar effort.



**ID      Audit Status      Priority      Responsibility**

**Mechanism to Assure Expenditures Link to Strategic Goals**

73	<b>R</b>	A3	
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Description: Link expenditures to strategic goals and objectives. Develop a mechanism to monitor expenditures in an effort to ensure compliance with approved strategic goals and objectives.

Status: The process hasn't been developed. No assignment has been made to develop it.  
The 2009 Strategic Plan (Page 18, Doc 367) called for a similar effort.

**Metrics for Progress Measurement**

74	<b>Y</b>	A1	
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Description: Develop meaningful metrics as a way to measure progress towards goals.

Status: Metrics have been developed as part of Lean Government initiatives. Engineering has produced metrics to track performance of its capital program. The ERP system will produce additional metrics to cover additional departments.  
The 2009 Strategic Plan (Page 20, Doc 367) called for a similar effort.

**Strategic Planning Formal Structure**

75	<b>R</b>	A3	
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Description: Create a formal structure to support strategic planning. Assign strategic planning to dedicated staff in well-defined roles. Identify and build the systems, structures and processes required to support strategic planning. Establish a Strategic Planning Advisory Committee to support the strategic planning group. Communicate the new structure and group throughout the organization.

Status: A formal structure hasn't been defined. The Strategic Plan process is still under development.

**Strategic Planning Core Team**

76	<b>R</b>	B3	
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Description: Tie the strategic planning process to the annual budget process. Assign a core team of managers and supervisors to work with the Chief Financial Officer and the Strategic Planning Advisory Committee to outline processes and procedures to ensure annual departmental budgets are consistent with the goals and objectives set forth in the Strategic Plan. Develop key performance indicators to measure performance and promote accountability.

Status: A core team hasn't been assigned. It would be a working group of managers and supervisors who would produce a process design.

### Linkage of Planning Objectives with Employee Performance

77	R	C3	
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Description: Link individual employee's performance to strategic planning objectives. The Strategic Planning Advisory Committee will work with Human Resource Services to identify specific performance objectives as part of the Annual Employee Review process.

Status: This will require clear enough definition of objectives to provide meaningful evaluations.

### Strategy and Improvement Incentives

88	R	C3	
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Description: Continue to encourage and incentivize employees to participate in strategic planning and process improvement initiatives and other activities. Create incentive program to reward employee contributions and identify impacts.

Status: There are bigger issues to resolve like creating strategies that can generate measurement criteria.

### Board and Staff Communications Improvement

89	Y	A1	
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Description: Improve communication between the Board and staff. Increase the frequency and quality of internal communications to convey meaningful information about the Authority.

Status: From the Agency perspective, there have been many improvements. Examples cited are the O&M, Finance, and Audit Committees. Audit Team interviews with Board members identified a Board need for more "transparency" without providing explicit examples. This audit will suggest additional reporting; a dashboard development team effort is under way. A similar effort was recommended in the 2009 Strategic Plan (Doc 367, page 24).

### Green Port Initiative

177	R		
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Description: Work with other agencies to reduce the impact of operations on the environment.

Status: The Engineering Department indicates this has not been pursued. The item appeared in the 2009 Strategic Plan also.

**ID      Audit Status      Priority      Responsibility**

**Capital Project Planning**

66	G	A1	
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Description: Emphasize a more proactive and preventative approach to planning maintenance and capital projects.

Status: Procedures have been established. (Int 54)  
The 2009 Strategic Plan (Page 17, Doc 367) called for a similar effort.

**Budget Process Improvement**

100	G		
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Description: Continue to implement and control Budget Process Improvement Team (Lean Government initiative) recommendations to restructure and streamline the annual budget process.

Status: A report has been issued describing the results of the team's work. Included in the report is timetable of events in the budget development process. (Doc 273, 2012 Budget Process: Recap & Analysis of the 2012 Budget Process)

**Fleet Management System**

196	Y	A1	
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Description: Status was provided as part of the task report. Improve existing fleet management system.

Status:

**Performance Review System**

78	Y	A1	
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**Description:** Continue to work with our consultant to revise the employee performance review system so that reviews will be based on job specific competencies in addition to the Authority’s set of values Structure the performance review system so that employee actions, traits, or performance that are very important are given more weight than those that are less important (i.e. “quality of work” should be weighted more than “work quickly”). Revise and improve the merit system (i.e. tie excellent performance to quality rewards rather than rewarding all employees)

**Status:** The priority was assigned in Int 54.  
 A similar recommendation was made in the KPMG audit. Need to verify progress with audit team and HRS. The tools are in place. Additional analytical tools have been requested. The cost is about \$20,000; no approval has been granted.  
 Doc 489 Status. Strategic Plan 2012 (Doc 36)  
 ID#78 - “Performance Review System” - This project is complete. As part of the 2012 review process, HRS plans to add job specific competencies to the program. HRS agrees with the “A1” Priority/Status designation.

**Succession Planning Focus**

79	R	B3	
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**Description:** Provide a greater focus on Succession Planning. Human Resources Services will hire a specialist with experience in succession planning or develop such a specialty in-house. Human Resource Services will continue to work with Information Services to evaluate and procure a program that can be utilized to track and monitor employee attrition and retirement

**Status:** This evaluation was provided in Int 55. There has to be a plan. Currently, employees are put into acting roles above their grade. One reason is to fill in for an absence; another is to train for the next position. Some employees may see this as favoritism to the employee getting such a position. As of January 2007, retiring employees will no longer get health benefits. The Board enacted this; they have the authority to set this benefit. The 2009 Strategic Plan (Page 22, Doc 367) called for an identical effort.  
 Doc 489 Status. ID#79 - “Succession Planning Focus”-Succession planning has been part of HRS’ strategic initiatives for some time. Issues relating to this topic, particularly the implementation of a succession plan have been raised by HRS to ensure a successful program. To assist management in its efforts to plan accordingly, HRS often provides reports regarding the employees within their respective divisions and departments who are eligible to retire. HRS uses every opportunity to stress the importance of developing Standard Operating Procedures and cross-training employees. The Priority/Status given, “B1” is accurate.

### Training Needs Assessment

81	Y	B1	
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**Description:** Provide training opportunities for all employees. Conduct a training needs assessment based on performance gaps identified through the performance review system. Based on determination of training needs, develop and coordinate training and employee development programs. Communicate training and development opportunities to all levels of employees

**Status:** DRPA offers employees a \$5000 per year educational benefit. Too few employees use the resource. (Int 44)  
 The 2009 Strategic Plan (Page 22, Doc 367) called for a similar effort.  
 Doc 489 Status. ID#81 - "Training Needs Assessment"-As HRS advised the interviewing auditor, the performance management system recently acquired by HRS has a feature that will automatically advise of a training/performance gap in any particular competency based on a less than acceptable score. The reviewer is then automatically linked to a variety of online and other training suggestions he or she can review with the employee to close that particular gap. In addition, the program also allows HRS to perform an Authority-wide training needs assessment. We agree with the "B1" Priority/Status code given this item.

### Hiring Process Streamlining

82	Y	B1	
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**Description:** Streamline hiring process. Work with other departments to establish clear time frames/deadlines for actions that must be taken during the hiring process

**Status:** The process includes posting, panel interviews, assessment, and CEO approval. Background checks and a physical are required. Formerly DRPA was taking 120 days after approval to go ahead and fill a vacancy was approved by the CEO. The process was manual with a lot of delay. Panels were a particular problem due to coordinating schedules with candidates.  
 It has been converted to electronic for many steps. A Lean Government initiative has supported the on boarding process. A Silk Road/OpenHire software application has been requested for enabling on line processing of hiring processes. (Int 55)  
 The 2009 Strategic Plan (Page 22, Doc 367) called for a similar effort.  
 Doc 489 Status. ID#82-"Hiring Process Streamlining"-As was also noted to the interviewing auditor, HRS has identified a relatively inexpensive Applicant Tracking System (ATS) that would significantly streamline the hiring process. We have been advised that we must engage in a competitive bid process to acquire the system. HRS is in the process of preparing the appropriate paperwork for the process. The "B1" Priority/Status code is appropriate.

**ID      Audit Status      Priority      Responsibility**

**HRS Communications**

83	G	B1	
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Description: Improve communication between HRS and each affected department in an effort to minimize delays in the hiring process.

Status: A weekly report provides regular feedback to departments requesting staff. Each department can see where the request is in the process. (Int 55) Doc 489 Status. ID#83 -“HRS Communications”- I am not quite sure what communications are being referenced in this section. As HRS and I indicated to the interviewing auditors, HRS maintains and regularly updates its internal intranet page. On that page, employees can find policies, work rules, forms, procedures and other notices and information of importance to employees. In addition, HRS regularly sends email communications to its employees on matters that are urgent and/or which require particular employee action. HRS is an active and regular participant at monthly meetings held with union representatives, and with various departmental managers. During these meetings, a variety of issues are discussed. While we agree that the issue is important and thus can support the “B” part of the Priority/Status code, HRS does take issue with the status code, “1”. More explanation is requested. (CGR evaluates the item as complete.

**Compensation Review**

84	R	A4	
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Description: Perform a compensation review of current salary structure (Such a survey is included in the scope of the audit (Task 3). Continue to review compensation, benefits, tuition reimbursement, and other work-life benefits. Continue to review compensation, benefits, the tuition reimbursement program and other work-life benefits

Status: A Board Compensation Committee, enacted by Resolution 10-050, monitors this and other employee-related compensation issues. An RFP was issued for consultants for a compensation review. The Compensation Committee has put the effort on hold. (The audit task for a survey was discussed in the interview.) Recruiting is hurt in cases when DRPA compensation is below the market. There is also a serious compression issue wherein represented employees received contractual raises and their supervisors don't. Supervisor compensation has been frozen for four years. People may turn down promotions because of the compression. (Int 55) The 2009 Strategic Plan (Page 22, Doc 367) called for a similar effort.

### Gap Analysis for Needed Skills

85	Y	B1	
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Description: Project future skill needs, identify current skills and identify gaps using the current performance management system and using other identified applications.

Status: This is reported to be under way. (Int 55)  
 The 2009 Strategic Plan (Page 23, Doc 367) called for a similar effort. Specific elements included the following:

1. Project future skill needs, identify current skills and identify gaps
2. Continue commitment to providing internal and external training opportunities
3. Provide for cross-training within departments

### Training Opportunities

86	G	B1	
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Description: Continue commitment to providing internal and external training opportunities.

Status: DRPA is generous with its training budget. Employees may receive up to \$5000 annually for education and training. Not many take advantages. Some positions require a degree. An employee seeking one of these positions can improve their chances for promotion. (Int 55)  
 Doc 489 Status. ID#86-“Training Opportunities”-HRS maintains that it provides a myriad of training opportunities for its employees in a variety of training platforms: hands-on, instruction-led, computer based, individual and classroom. We have identified and sought approval to purchase an enhanced computer based learning management system that would provide employees with significantly more online training content and which could be lined to our performance management system. We have been advised that the system requirements have to be competitively bid and we are in the process of preparing the appropriate paperwork. We believe the Priority/Status assigned to this item, B1 is accurate.

ID	Audit Status	Priority	Responsibility
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### Work Rules and Merit System

94	R	A3	
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Description: Tie the enforcement and obedience of work rules to performance reviews. Revise and improve the merit system (i.e. tie excellent performance to quality rewards rather than rewarding all employees).

Status: This is duplicative of other items. Implementation has been uneven from department to department. (Int 55) The Teamsters don't get reviews; other unions provide for them. The merit system is broken. People can't get raises due to the pay freeze. So a reason for giving a review is lost. Evaluations were based on a 5.0 scale. Two similar efforts were recommended in the 2009 Strategic Plan (Doc 367, page 25). Doc 489 Status. ID#94-"Work Rules and Merit System"- For several years, HRS has advocated for a true merit system. Currently, and for several years now, the performance management program has not included any salary increases. We await Board approval for the return of annual salary increases, and then, HRS will seek approval to implement a true merit pay system as part of its performance management program. HRS is not sure what the reference to "work rules" means, however, please be advised that work rules are updated and disseminated regularly to employees by HRS. As noted above in ID#83, Work Rules are posted on the HRS Intranet page. We recommend that the Priority/Status designation of "A3" be changed to B1 to be more accurate. (CGR didn't make this change since the Merit System is doesn't appear to have started.)

### ERP Platform

62	Y	A1	
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Description: Status was provided as part of the task report. Develop a single Enterprise Resource Planning platform ("ERP") across all business units. Select a consultant to conduct an assessment and develop an implementation plan for an integrated ERP to streamline business processes and achieve overall efficiencies.

Status: A contract has been approved to initiate ERP implementation. (Int 54)  
The 2009 Strategic Plan (Page 14, Doc 367) also called for a "needs assessment/analysis."

### E-Discovery for Records Management (Legal Documents)

64	R	A1	
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Description: Status was provided as part of the task report. Institute E-Discovery for records management and retrieval. Clarify roles of Legal Department and Corporate Secretary in this process. Prepare Request for Qualifications and/or Request for Proposals for needed services/systems. Implement electronic contracting.

Status: The status of this item needs to be ascertained.  
The 2009 Strategic Plan (Page 16, Doc 367) called for an RFQ/RFP for needed services.



ID	Audit Status	Priority	Responsibility
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**Communications Working Groups**

87	R	A3	
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Description: Increase the quality and frequency of internal communications to convey meaningful information about the Authority. Improve communication between departments by creating working groups and core teams where necessary.

Status: Interviewees have indicated that internal communication is poor. A recurring comment is "I read it in the newspaper." A similar effort was recommended in the 2009 Strategic Plan (Doc 367, page 24).

**Interdepartmental Communications**

90	R	A3	
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Description: Improve communication from department to department and Authority-wide. Continue to regularly update department intranet pages.

Status: This is similar to item #87. Reliance on informal communications was cited in employee interviews. A similar effort was recommended in the 2009 Strategic Plan (Doc 367, page 24).

**Organization Structure Clarification**

91	R	A3	
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Description: Clarify organizational structure, responsibilities, reporting, and decision-making processes. Clearly communicate and reinforce structures, responsibilities and processes.

Status:

**Standard Operating Procedures (SOPs)**

92	Y		
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Description: Establish policies, procedures, and other processes that will survive the test of time (i.e. changes to political landscape, statutory/regulatory environment, economic fluctuations, and organizational leadership. Ensure that all work rules are up-to-date and that all employees know when rules are updated. Regularly update Standard Operating Procedures and ensure all employees are notified about updates

Status: A similar effort was recommended in the 2009 Strategic Plan (Doc 367, page 25).

ID	Audit Status	Priority	Responsibility
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**Lower Level Management Empowerment**

95	Y	B1	
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Description: Empower lower levels of management to enforce the rules. Reinforce work rules and reporting structures.

Status: There needs to be some clarity on "work rules" and "reporting structures." Lean Government initiatives involve lower level employees in process analysis and design. This is a voluntary effort. Lack of implementation is cited as a factor in some employees abandoning the Lean Government teams.  
Two similar efforts were recommended in the 2009 Strategic Plan (Doc 367, page 25).

**Web Sites Improvements**

96	Y	B1	
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Description: Continue to update and improve DRPA and PATCO websites to ensure that information and content are timely, relevant, user-friendly, and well-presented. Continue to use social networking technology to communicate with the public.

Status: Websites are being redesigned. A similar effort was recommended in the 2009 Strategic Plan (Doc 367, page 26).

**Public Image Improvement**

97	Y	A1	
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Description: Improve the Authority's public image.

1. Continue to pursue opportunities to share the Authority's "successes" with constituents through newspapers and other media outlets
2. Participate in community and regional business Expos
3. Continue to be aggressive in external stakeholder and public presentations on key DRPA capital and PATCO projects

Status: DRPA has sought to improve its image -- characterized in interviews as not favorable --through external communications. This is a continuous effort not readily evaluated as "finished" or "done."  
A similar effort was recommended in the 2009 Strategic Plan (Doc 367, page 26).

### Core Team for Security & Emergency Management

63	Y	B2	
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**Description:** Ensure that appropriate resources are allocated to address the safety, security and emergency management needs of the Authority. Assign a core team including representatives of Public Safety, Department of Homeland Security, Risk Management, Finance, Engineering, PATCO, Grants Administration and others to assess resource requirements

**Status:** Robert Only has done some of the work needed. There hasn't been a core group established as recommended. The 2009 Strategic Plan (Page 14, Doc 367) called for a similar meeting.

### Risk Management & Safety Expansion

65	G	B1	
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**Description:** Emphasize and expand the risk management and safety function.

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1. Director of Risk Management & Safety and staff from multiple departments and functions will identify and prioritize risks throughout the Authority.
2. Develop a plan to ensure seamless communication and coordination among Public Safety, Department of Homeland Security, and Risk Management functions, as well as outside authorities.

**Status:** The central safety and health committee meets monthly. There are a number of coordinated safety programs under way. Examples include Documents 341, 340, 336, 255, 256, and 253. The 2009 Strategic Plan (Page 17, Doc 367) called for a similar effort.

### Disaster Recovery Plan

67	?	B1	
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**Description:** Assign core team to address how the Authority will approach the development of a comprehensive business and disaster recovery plan. Develop recommendations and submit to senior managers for review and consideration.

**Status:** The 2009 Strategic Plan (Page 17, Doc 367) called for a business and disaster recovery plan. The entries are identical.

# TransTech 2010 (Doc 20)

Count: 56

## Item 1. Assignment -- Strategic Planning Process

1	<b>R</b>	A3	CEO, Deputy CEO, Senior Managers
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Description: DRPA should assign a staff member or organizational unit the responsibility for developing a strategic planning process.

Status: Completed in the Fall 2009.

## Item 2. Strategic Plan Development Resources

2	<b>R</b>	A3	Senior Managers
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Description: DRPA staff members and/or outside resources should be identified that will assist in developing the strategic plan for the DRPA and for its operating divisions. UNDERWAY IN JULY 2010

Status: Ongoing.

## Item 3. Strategic Planning Schedule

3	<b>R</b>	A3	Senior Managers
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Description: A timetable should be developed with target dates for completing components of the strategic plan

Status: Ongoing. UNDERWAY IN JULY 2010

## Item 4. Strategic Planning Review

4	<b>R</b>	A3	Senior Managers
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Description: Steps should be taken to ensure that the strategic plan, when completed, is reviewed by the appropriate committees of the Board in a time frame that complies with the requirements of the Compact.

Status: Ongoing. The Board did not review or approve the most recent Strategic Plan (2012). Int 54

ID	Audit Status	Priority	Responsibility
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**Item 5. Responsibility for Mandatory Audits**

5	G	B1	Deputy CEO. Senior Managers
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Description: DRPA should assign the responsibility for taking the appropriate steps to ensure that a management audit is conducted as required by the Compact to the Manager of Special Projects, the Director of Internal Audit, or an appropriate Department Head.

Status: Reported complete. (Doc 58)

**Item 6. Timetable for Audits**

6	G	B1	Manager of Special Projects, Director of Internal Audit, or other appropriate Department Head.
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Description: A timetable should be established with target dates for developing the request for proposals or statement of qualifications and other action steps to secure an independent consultant to conduct the management audit in the time frame set forth in the Compact.

Status: Reported done through establishment of the Inspector General function. (Int 54)

**Item 7. Master Plan Update Process**

7	<b>R</b>	B3	Deputy Chief Executive Officer, Chief Engineer, Senior Managers
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Description: A process should be established under which the Master Plan will be updated on an annual or frequent periodic basis and that amendments are made to it before a project is commenced. The TransTech addresses the Master Plan:

The Compact provides that no project shall be authorized if not included in the Master Plan or an amendment thereof. Therefore, if the DRPA began any projects that were required to be included in the Master Plan or an update or amendment thereto, the commencement of those projects could violate the Compact. Based on information received during interviews with staff and review of documents, the Authority may have commenced some projects that were not included in any of the updates or amendments to the master plan and thus they would appear to have been in violation.

In that the Compact does not require an annual updating of the Master Plan, it is our judgment that it may be prepared less frequently; however, a recent Authority bond document indicated that it is, in fact, updated annually, so it may be prudent at this time to do so.

The Master Plan effort should not be confused with the Five Year Capital Plan requirement, although each may contain elements of the other. As noted above, the Capital Plan has been dutifully filed on an annual basis, and it is to provide specific project details, schedules and cost estimates including sources and uses of funds. On the other hand, the Master Plan provides more of a summary, has a longer planning horizon, and serves as an overview of planned and potential major projects that may be developed within the Port District. Inclusion in the Master Plan does not imply Board authorization or funding approval. The Authority maintains projects related to the ongoing operation or maintenance of an existing facility that are generally not included in the Master Plan. Examples include construction, maintenance, repairs, improvements, reconstruction, financing, purchases, leases, services, expenses or other activities that are required to maintain the serviceability, safety and security of physical property, infrastructure, building systems and equipment. The Authority prepared a new draft Master Plan in March 2010. It has not yet been circulated for public comment nor adopted by the Commission, but these processes have begun. The document contains overview information for potential projects for the four signature bridges, PATCO, the ferry and cruise terminal, and for economic development initiatives.

Status: The Compact specifies maintenance of the Master Plan. The wording may be obsolete. Current master plans appear to be development plans. Master Plans might also be interpreted to be multi-year capital plans. (Int 54)

**Item 8. Master Plan Responsibility**

8	<b>R</b>	B3	Senior Managers
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Description: A responsible employee should be accountable for insuring that appropriate steps are taken and timetables developed that ensure the Master Plan is updated and amendments made thereto presented in accordance with the requirements of the Compact.

Status: Ongoing

ID	Audit Status	Priority	Responsibility
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**Item 16. Policies and Procedures Adherence**

16	Y	B1	CFO and CAO
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Description: Review, update, revise SOPs, policies, and procedures.

Status: This is complete in some functions but possibly less so in others. Public Safety and Engineering have developed policies and procedures. Public Safety through CALEA certification efforts; Engineering has a Construction Handbook. (Doc 195, 196)

**Item 60. Strategic Plan Time Horizon**

48	G	B1	CEO, DCEO, Senior Managers
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Description: Extend the time horizon of the strategic plan to 3-5 years. Detail the first year and submit in conformance with DRPA requirements.

Status: Began 03/11. The current Strategic Plan extends past the next twelve months. (Int 54)

**Item 9. Engineering Staff Additions**

9	G	B1	CEO, Deputy CEO, Chief Engineer
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Description: Hire four new engineering staff to increase overall engineering positions to 18 in the Department.

Status: 06/11. Staffing issues in Engineering have been settled; this can be considered done. (Int 54)

**Item 10. Integrated Program Management Approach**

10	G	B1	Chief Engineer
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Description: Conduct a pilot project using an integrated program management approach.

Status: 06/12, Reported complete. (Doc 58)

**Item 11. Engineering Department "Makeover"**

11	R	B1	CEO, Deputy CEO, Chief Engineer
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Description: Conduct a comprehensive makeover of the entire Department to address a multitude of internal management and operations issues, as identified. (Engineering)

Status: 07/11. Reported done. (Int 54)

**ID      Audit Status      Priority      Responsibility**

**Item 12. Asset Management Plan Development**

12	<b>R</b>	A1	CEO, Deputy CEO, Chief Engineer
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Description: Develop an asset management plan.

Status: 06/11. The systems should be incorporated into the ERP effort. Grant Thornton has been engaged to develop requirements. (Int 54)

**Item 13. Asset Management Plan Core Team**

13	<b>R</b>	A1	CEO, Deputy CEO, Chief Engineer
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Description: Establish a core team to begin to address DRPA's approach to asset management.

Status: 02/11

**Item 15. Financial Report Improvement**

15	<b>G</b>	A1	Director of Finance
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Description: Review, revise, update periodic financial reports.

Status: 01/11. Reported complete. (Int 54)



ID	Audit Status	Priority	Responsibility
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**Item 32. Shortened Hiring Lead Time**

22	Y	A1	Human Resources, Senior Managers
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Description: Substantially reduce the average elapsed time between an initial hiring request and an offer of employment.

Status: Started 09/10. Reported in Int 7:  
 Status of recommendation #22 (substantially reducing the average elapsed time between an initial hiring request and an offer of employment). A 'weekly staffing report' is now sent to directors once per week. Distribution has been expanded to include chiefs and directors. The Document does not exist on a shared information website. HRS now includes a process step for phone calls to departments who have made a hiring request to remind them to complete their Documents. Forms relating to hiring have been consolidated and shortened. However it is not possible to fill in the Document on line as they need to be printed and completed manually. The task of posting a job takes 5-10 days internally. HRS is not tracking the average time between an initial hiring request and an offer of employment so there is no data to validate whether the average time has been reduced from 121 days.  
 Doc 489 Status Comments.  
 TransTech Audit 2010 (Doc 20)  
 ID#22-“Substantially reduce the average elapsed time between an initial hiring request and an offer of employment” - This was given a priority/status code of A1. HRS recently has increased its staff and thus is able to process requests to fill positions faster. However, in order to properly and accurately track the average time to fill positions, HRS has requested approval to purchase an applicant tracking system. HRS staff has identified a program for relatively little cost, but has been advised that the system must be acquired through a competitive bidding process, which will involve much staff time and effort to complete.

**Item 33. Flowchart Personnel Processes**

23	R	C3	Human Resources
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Description: Develop a clear and comprehensive flow chart for each of the key personnel processes and distribute the charts to all DRPA managers.

Status: Started 09/10. (Int 7):  
 Status of recommendation #33 (develop a clear and comprehensive flow-chart for each of the key processes and distribute the charts to all DRPA managers).  
 HRS is involved in Six Sigma Process Improvement and is (April 2012) in the Define phase of the Employee Training Approval Process. A 'high level' process map was completed. Unclear as to whether it has been distributed to all DRPA managers. To be completed are the Measure, Analyze, Implement and Control phases. HRS is also involved in Round II of the Six Sigma Process Improvement project and has representation on the following improvement teams:

1. Process for Requesting, Approving and Administering Temporary Staff Upgrades and Assignments
2. Process for Promoting Electronic Employee Communication
3. The Authority's Contracts and Purchasing Approval Process
4. Using the Authority's Procurement Process

Note: HRS has no representation on the 'Process for Developing Performance Metrics and Targets at PATCO team.  
 Doc 489 Status. ID#23-"Develop a clear and comprehensive flowchart for each of the key personnel processes and distribute the chart to all DRPA managers" - As HRS staff informed the auditors during several interview sessions, HRS maintains and updates regularly Standard Operating Procedure (SOPs) for each of the major (and not so major) hr processes. Authority managers are regularly updated on the status of the various processes in which they are involved. However, staff recognizes the benefit of the aforementioned flowcharts and thus will endeavor to begin creating same in the near future. For the reasons stated above, we request that the priority/status of this item be amended from B1 to C3. (CGR changed this to C3 and red.

#### Item 34. Performance Review System Improvement

24	G	B1	Human Resources, Senior Managers
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Description: Accelerate the current effort to revise the existing performance review system.

Status: Started 01/11. Reported in Int 7:  
 Status of recommendation #34 (accelerate the current effort to revise the existing performance review system).  
 HRS completed a RFP process to identify a new performance review system. Vendor Workstream, Inc. was selected and they implemented web based Workstream Performance which will ultimately provide DPRAs managers, supervisors and chiefs a unified view of all their talent management information: performance reviews, 360 assessments, compensation planning, development data, and succession planning. The software is being implemented in small increments. Training facilitated by HRS was delivered to managers, supervisors and chiefs and took place during the second quarter of 2011. Instead of metrics being used, DPRAs corporate values served as measurements. In 2012 the performance measurements will change to individual job specifications/job duties instead of corporate values. Employees have limited access to the Workstream Performance and will be able to review the performance evaluation completed by their manager/supervisor, self-score an evaluation for comparison. Any low scores (1 or 2 on a 5-point Likert scale) will be linked to training. HRS believes this will assist in succession planning.

#### Item 35. Pay Differential Review

25	R	A3	Human Resources
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Description: Conduct a thorough review of the pay differential between first line supervisors and represented employees to ensure that an appropriate gap exists.

Status: Started 01/11. (Int 8) (Int 55):  
 HRS wrote and published an RFP to conduct an overview of the compensation system. Received three proposals and selected one vendor. The Board created a Compensation Committee through a reform resolution in 2010. The effort was stalled at the Board level. The Board asked the committee to halt due to, 1) the cost of a consultant and, 2) changes to the compensation structure. The CEO is under a directive from the Board to 'not increase salaries.' HRS believes that some of the compression issues would have been solved. DRPA has a problem attracting talent (especially engineers and other professionals) and has lost employees due to its non-competitive salary structure and changing benefits (particularly benefits that have been taken away).  
 Doc 489 Status. ID#25-"Conduct a thorough review of pay differential between first line supervisor and represented employees to ensure that an appropriate gap exists." - As was explained to the auditors, at the Board's direction, a Request for Proposal was issued in the summer of 2011 for a comprehensive salary/compensation study that would review this and other compensation issues. A vendor was identified and recommended to the Board's Compensation Committee. The Compensation Committee accepted staff's recommendation. The recommendation was to be voted on by the Board in August 2011, but was instead tabled indefinitely by the Board. It is an "A" priority, but we are not sure what Status it should be assigned given the Board's action.

ID	Audit Status	Priority	Responsibility
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**Item 38. Union Work Rule Inefficiencies**

26	R	?	General Counsel
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Description: Identify work rules in union contracts that inhibit the Authority’s ability to function at optimal effectiveness and efficiency.

Status: 01/11

**item 39. Succession Plan Development**

27	R	B3	Human Resources
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Description: Initiate formal and concentrated efforts to develop and maintain staff and succession plans.

Status: Ongoing implementation. (Int 8 with modifications in Int 55):

- Develop staff - DRPA Workstream Performance Review System links training to areas in which an employee rated low; a 1 or 2 on a 5-point Likert scale. All employee performance and achievement recognition programs have been eliminated.
- Maintain staff – In 2008 the Authority’s Board of Commissioners, as part of the operating budget, voted to freeze salaries. The freeze has been in place for four years.
- DRPA cannot increase salaries so it instituted programs like ‘Toll Collector of the Year.’ Winner receives recognition and a monetary reward.
- In summer 2010 the Board passed reforms. Dealing with some of the unintended consequences of the reforms is cited as a challenge for employees.
- March 2012 DPRA discontinued the reimbursement to employees for bridge tolls. Instead, employees were encouraged to use mass transit and monies were designated reimbursable for parking and transit passes. Employees were given a few hours’ notice and several were unprepared to pay the bridge toll. The Board recently authorized implementation of a transportation and parking plan to encourage use of mass transit. The rollout will be in July 2012.
- The Drexel University co-op program is on hold.
- DPRA has a robust Wellness Program which organizes on average two activities per month in which employees can participate. Complete Documentation has been maintained since 2007.
- Designed to support the reduction of employee BMI rates. The Benefits Administration Department prepared a creative program was instituted in 2012 called Harvest Local Foods (if approved). Fresh locally farmed foods can be delivered to employees at their office building site.
- Succession plans – CAO is concerned about the number of staff that is eligible to retire immediately. In 2011 of the 35 employees who separated from DRPA 77% retired. This percentage has steadily increased since 2009 when the retirees comprised 43% of the separated employees.
- Previously, in April 2009, those eligible to retire included 58.4% of DRPA employees and 77% of PATCO employees. There were 886 total employees in 2009 which meant 64.7% (575 members) could retire at any time. Of the 200 manager/supervisors, 90% at both DRPA and PATCO are eligible to retire.
- Concerned about the amount of tacit knowledge departing along with the retiree.
- Tuition reimbursement plan has been helpful toward succession planning. However DRPA limits the amount of tuition dollars reimbursed per calendar year to \$5,000. Previously, one hundred percent of the cost of registration and tuition was reimbursed. The number of employees utilizing tuition reimbursement has steadily declined from 7% of all DRPA employees in year 2000 to 1% in year 2012.

**ID      Audit Status      Priority      Responsibility**

**Item 40. Succession Plan Responsibility**

28	Y	B1	CEO
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Description: Hire someone with sufficient skills and experience to develop and maintain both a staff plan and a succession plan

Status: 09/10. (Int 55) The plan is to find someone with a planning background but could do more than just planning. DRPA is just posting the position. In 2013, another specialist position may be added.

**Item 42. Training Coordinator Position**

30	Disagreed		CEO, Human Resources
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Description: Status was provided as part of the task report. Fill the vacant training position as quickly as possible. COMPLETED IN JUNE 2009.

Status: Began 7/10. Status from Int 8:  
Completed. Director of Training hired in June 2009.

**Item 43. HR Function Consolidation**

31	Disagreed		CEO
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Description: Status was provided as part of the task report. Combine personnel, training, and benefits functions.

Status: Recommendation made 10/10. Staff disagreed (Doc 93). The recommendation was removed from final report. Having a separate function has improved its effectiveness. (Int 55)

**Item 36. Supervisor Pay Differential**

173	On Hold		
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Description:

Status: Int 8: This recommendation is on hold.

ID	Audit Status	Priority	Responsibility
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**Item 78. Provide PATCO On Site HR Support**

174	G	A1	
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Description:

Status: Int 55: This has been implemented with an HR representative on site several days a week.  
(Int 8):  
In previous years, the PATCO location had full time HRS representation on site, specifically a Manager of HR, HR specialist and HR secretary. As part of the 'organization consolidation' all of HRS operates from the DRPA headquarters building. HRS believes it is not fully staffed and does not have excess capacity to place a full time HR person at the PATCO building. HRS believes that it addresses all employee questions, concerns and issues. The PATCO located employees have a HRS person at their site once/twice per week to deliver onsite HR related services including testing and some on-boarding activities. PATCO located employees have mentioned seeing the benefit of sharing the HRS department because they now have access to more helpful information.

**Item 86. Review Overtime Causes and Staffing (PATCO)**

175	G	?	
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Description: Reported on in interview. Not be in scope.

Status: Audit team member reported this was complete.  
From Int 8:  
Port Authority Transit Corporation, 2011 Overtime Usage, YTD December  
Areas over-spent -  
☑ Purchasing: budgeted \$16,741, spent \$35,244  
☑ Equipment: budgeted \$8,070, spent \$8,422  
☑ Car equipment maintenance – mechanical: budgeted \$124,249, spent \$171,783  
☑ Building and grounds maintenance: budgeted \$139334, spent \$184,841  
☑ Truck maintenance: budgeted \$109,603, spent \$171,338  
☑ Electrical and signal maintenance: budgeted \$240,439, spent \$278,310

**Item 44. IS Productivity Enhancements**

32	Disagreed		DRPA Management
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Description: Status was provided as part of the task report. Task Information Services with enhancing Business unit productivity through applied technology.

Status: Status was provided as part of the task report.

ID	Audit Status	Priority	Responsibility
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**Item 45. Business Analyst Additions**

33	Y	A1	Status was provided as part of the task report. IS Director with HR support
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Description: Add two personnel to serve as business analysts

Status: Began 04/11. From Int 8 with HRS:  
On hold. Kevin LaMarca, director IS, is the lead on this recommendation. HRS is offering support. Int 33. Business Analysts not yet recruited. Int 97 confirmed the analysts weren't hired.

**Item 46. Vendor/Consultants for Information Systems**

34	Y	A1	IS Director
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Description: Status was provided as part of the task report. Use consultants or vendors to provide technology enhancements.

Status: On-going. Need to get the status. Int 46 This is ongoing as usual. The wording is vague.

**Item 47. IS Consultant/Internal Programmer Tradeoff**

35	Y	B1	IS Director with HR support
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Description: Status was provided as part of the task report. Evaluate the DRPA's optimal use of consultants versus internal programmers to meet application development needs

Status: Started 06/11. From Int 8:  
Kevin LaMarca, Director IS, is the lead on this recommendation. HRS is offering support. Status needs to be confirmed.  
Int 97 Probably not. No specific project has been done to evaluate optimal use, which is a dynamic requirement.

**Item 48. Asset Management System Implementation**

36	Y	A1	DRPA management and IS Director
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Description: Status was provided as part of the task report. Produce and adapt asset management systems

Status: Began 06/11. Int 33. None. ERP. ERP project is led by the Deputy CEO. (Int 54)  
Int 97 Not done.

ID	Audit Status	Priority	Responsibility
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**Item 49. Workforce Scheduling & Time Reporting**

37	Y	B4	DRPA management and IS Director
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Description: Status was provided as part of the task report. Streamline workforce schedule and time-reporting systems

Status: Began 12/11. Int. 33. Email to Secretary who enters into BANNER.  
Int 97 Not done.

**Item 50. Technology Access**

38	G	A1	DRPA IS Director
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Description: Status was provided as part of the task report. Revise IS strategies and policies to enhance technology access while ensuring system security.

Status: Began 06/11. Int 33. Done, but not yet adopted.  
Int 97 Ongoing. This is a fairly broad recommendation.

**Item 51. IS Equipment Replacement**

39	Y	A1	DRPA IS Director
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Description: Status was provided as part of the task report. Replace obsolete equipment,

Status: Began 12/11. Int 33. Need Windows 7 compatibility. But Dell under NJ contract. Monitors HP & servers.  
Int 97 Equipment is replaced according to a life cycle plan. This appears to fulfill the intent of the recommendation.

**Item 52. Improve IS User Knowledge**

40	Y	B1	DRPA IS Director
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Description: Status was provided as part of the task report. Improve user knowledge of technology assets.

Status: Began 12/11. Int 33. Do training. See HR for details.  
Int 97 This is an HR issue, not IS. IS has joined the MS Tech Club and has paid for unlimited training.



ID	Audit Status	Priority	Responsibility
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**Item 53. IS User Needs Support**

41	Y	A1	DRPA IS Director
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Description: Status was provided as part of the task report. Explore how to better support end user needs.

Status: Began 12/11.  
Int 97 Ongoing. Seminars provided were not well attended.

**Item 54. IS Applications Training**

42	R	D4	IS Director
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Description: Status was provided as part of the task report. Have IS provide applications training for users.

Status: 06/12, Staff disagreed. (Doc 93)

**Item 55. IS Function Reassignment**

43	R	D4	CEO, DCEO
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Description: Status was provided as part of the task report. Reassign the Information Systems function to the Chief Administrative Officer

Status: 07/10, Staff Disagreed. (Doc 93)

**Item 56. Chief Technology Officer Assignment**

44	R	D4	CEO, DCEO
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Description: Status was provided as part of the task report. Create a Chief Technology Officer position.

Status: Staff disagreed. (Doc 93)

**Item 57. DRPA and PATCO Interfaces**

45	Y	B1	CEO, DCEO, and Senior Managers
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Description: Formalize all policies and decisions relative to the organizational and operational relationships between DRPA and PATCO.

Status: Started 09/10. Staff is working on this. This includes some Lean Government improvements. (Int 54)

ID	Audit Status	Priority	Responsibility
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**Item 58. Staff Adequacy -- Skills & Numbers**

46	Y	?	CEO, DCEO, Human Resources
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Description: Ensure that all units have at least the minimum staff and skill-sets necessary to fully meet their responsibilities.

Status: On-going. Int 8:  
 Departments are not fully staffed. HRS ensures that it articulates and Documents the business case when vacancies exist that need filling.  
 Supervisors/managers make recommendations to fill positions that impact their area and a panel is assembled.  
 (Int 54) (Int 55) There is a compression problem due to the hiring freeze. The unions get wage increases while supervisors do not.

**Item 61. Roles & Responsibilities Definition**

49	R	B3	CEO, DCEO, and Senior Managers
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Description: Clearly define the role and responsibilities of each unit in the Authority and modify the unit's current Mission/Function description as appropriate.

Status: Began 06/11.

**Item 62. Organization Span of Control Restructuring**

50	R	C3	CEO, DCEO
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Description: Further strengthen DRPA's organizational alignment by grouping like functions and decreasing the spans of control of the CEO and Deputy CEO.

Status: Began 09/10. Should be done but is deferrable. (Int 54)

**Item 63. Dual Relationship Elimination**

51	G	A1	Board
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Description: Eliminate the dual reporting relationships to the Board and the CEO by eliminating the positions of Assistant to the Chair and Vice Chair and transfer OPC management responsibility internally.

Status: Began 07/10, Reported complete. (No reference)

ID	Audit Status	Priority	Responsibility
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**Item 64. Top Management Communications**

52	R	B3	CEO
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Description: Strengthen communications between top management and subordinate managers by increasing the involvement of subordinates in strategic and operational decision-making by establishing an Executive Management Committee (EMC).

Status: On-going. The opportunity to improve communications was identified in interviews. (Int 50) (Int 27)

**Item 94. Risk Management Committee Formation**

56	Y	C3	CEO, DCEO
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Description: Review the concept of Enterprise Risk Management and determine who should serve on a risk committee along with the Director of Risk Management.

Status: Began 09/10. A subcommittee for risk management issues has been a part of the Central Safety and Health Committee. This keeps safety issues front and center. (Int 55)

**Item 95. Balanced Enterprise Risks**

57	R	C2	Risk Management Committee
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Description: Establish a loss-tolerance and determine strategic, operational and financial exposures.

Status: Began 03/11. This apparently hasn't been established at the enterprise level.

**Item 96. Risk Manager Role Determination**

58	G	A1	Senior Management
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Description: Determine appropriate Risk Manager role.

Status: 09/10 Reported complete. Director hired in November 2008. Role defined in the specification for the position. (Doc 236)

ID	Audit Status	Priority	Responsibility
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**Item 97. Issue RFQ to Insurance Brokers**

59	G	A1	Director of Risk Management
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Description: Develop a Request for Qualifications and submit it to at least four brokers.

Status: Started 01/11. The process has recently been managed by senior managers who are pushing forward with the selection process. (Int 16) (Int 22)

**Item 98. Schedule for Crisis Management/Business Continuity Plan**

60	?	B1	Director of Risk Management
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Description: Provide a progress timeline on the development of a crisis management/business continuation plan.

Status: Started 09/10. This is the responsibility of Homeland Security.

**Item 99. Risk Management Information System Requirements**

61	R	C3	Director of Risk Management
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Description: Create an itemized list of functions and capabilities needed in a RMIS.

Status: Began 12/10. The status was not known.

**Item 92. Internal Police Department Retention**

54	G	A1	N/A
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Description: Retain an internal police force. The criteria for the 2012 audit of Public Safety included an analysis of this issue. The audit recommendation concurs with the TransTech audit recommendation.

Status: Reported complete. Explanation says,  
 "The personnel within the police department maintain both a uniformed and plain clothes presence throughout its facilities. This allows the department to maintain flexibility in its ability to remain proactive and provide a safe environment. The ability to respond immediately also allows the police to render service appropriately without delay. This enables the motoring public access to reach their destination at their desired time of arrival and enforces the DRPA mission to keep the region moving."

ID	Audit Status	Priority	Responsibility
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**Item 93. Business Continuity Administrator Staffing**

55	R		Chief of Public Safety
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Description: Staff the Business Continuity Administrator position on a full-time basis and the Intelligence Analyst position on a part-time basis.

Status: Began 07/10.

46. Create a position of "Intelligence Analyst. There is currently no one occupying this position at either Homeland Security or Public Safety: (Red)

**Item 77. Relationship Between PATCO and Public Safety**

172	Y		Public Safety, CEO, PATCO General Manager
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Description: Ensure FTA compliance with respect to reporting relationship between PATCO management and the PATCO-related Public Safety personnel.

Status: A draft agreement was prepared. However, as of the date of the status report, no agreement had been reached. (April 11, 2011)

## TransTech 2010 (Doc 20)`

Count: 1

**Item 59. Formal Decision-Making Processes**

47	Y	A1	CEO, DCEO, and Senior Managers
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Description: Develop or where possible up-date, document, and implement formal decision-making processes to be used throughout the Authority.

Status: On-going. This activity is a component of process design. Implementation varies from group to group.

# Appendix E. Document List

Document Count: 491

This report lists registered documents used as sources in the audit. Documents are listed by ID number which is substantially in chronological order as they were received.

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 14	Engineering Procedures Manual Provides procedures for managing capital projects.	50	Updated March 2012	Manual
Doc 15	Investigative Report: Delaware River Port Authority State Controller Report critical of DRPA noting that corrections have been undertaken.	77	March 29, 2012	Report
Doc 16	Delaware River Port Authority 2012 Capital Program Revision No. 1 Capital budget spreadsheets.	16	March 30, 2012	
Doc 17	Annual Report to the Governors and Legislators States of New Jersey & Pennsylvania for the Year 2011 Contains financial and operating data for the year.	30	December 31, 2011	
Doc 18	DRPA Combined Financial Statements & Notes to the Combined Financial Statement Year Ended December 31, 2011 Annual financial report.	43		
Doc 19	DRPA Production Data Organization Hierarchy Report Shows the organization hierarchy in each business unit.	8	April 9, 2012	
Doc 20	DRPA Management Audit 2010 - TransTech Three spreadsheets showing completed projects, in progress projects, and staff disagreement.	43	April 11, 2011	Spreadsheets
Doc 21	DRPA Supplemental Review of Public Safety Supplement to the 2006 audit including an independent assessment of Public Safety.	17	September 9, 2008	
Doc 22	Management Audit of Specific Operations of Public Safety Report Management audit of the Public Safety Department.	62	December 16, 2006	

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 23	Improving the Authority's Contracts and Purchasing Approval Process Lean Government Report	16		Presentation
Doc 24	Process for Requesting, Approving & Administering Temporary Staff Upgrades and Assignments Lean Government Report	0		Presentation
Doc 26	Developing the Scope of Capital Projects: Initial Report Out APRIL 2012	12		Presentation
Doc 27	Accessing the Authority's Procurement Process: Initial Presentation to the CEO April 2012	8	April 2012	Presentation
Doc 28	Employee Training Approval Process Define Phase	14		Presentation
Doc 29	Performance Metrics Dashboard - Lean Government Report	10	March 12, 2012	Presentation
Doc 31	DRPA Month-End Close Process	20	May 6, 2010	Presentation
Doc 32	Streamlining Procurement Card Expense Reporting	19	March 1, 2011	Presentation
Doc 33	Presentation of Selected Round II Processes to Lean Government Participants	18	July 21, 2011	Presentation
Doc 34	Improving the Authority's Budget Process	18	March 8, 2011	Presentation
Doc 35	Lean Six Sigma at the DRPA-Round 2	36	October 2011	Presentation

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 36	The Strategic Plan of the Delaware River Port Authority of Pennsylvania and New Jersey	27	March 31, 2012	Word Document
Doc 37	Introducing Change into the DRPA/PATCO IS Systems Environment IS Systems Environment	22	May 10, 2010	Presentation
Doc 38	Improve Resource Acquisition for New Hires and Retrieval Process for Separated Employees  Presentation to CEO	17	April 21, 2010	Presentation
Doc 39	Lean Six Sigma at the DRP-Round 2	36	Oct 20, 2011	Presentation
Doc 40	DRPA Board Minutes with Kroll Recommendations	42	July 6, 2011	PDF
Doc 41	DRPA Audit Committee Charter	10	November 10, 2011	PDF
Doc 42	Initial Guideline for Documents Initial CGR document request.	2	April 8, 2012	Word Document
Doc 43	DRPA Organization Chart 4/5/2012	1	April 5, 2012	PDF Org Chart
Doc 44	Customer Service Various Annual Reports	3	April 11, 2012	PDF Scanned
Doc 45	Disadvantaged Business Enterprise Program	3		PDF Scanned
Doc 46	DBE Pre-Bid Summary Sheet	8		PDF Scanned



<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 47	Draft Priority List of Mgt Audit Recommendations	13		PDF Scanned
Doc 48	DRPA Capital Operating Budget Briefing 2012	19		PDF Scanned
Doc 49	DRPA Contract Compliance Notice	1		PDF Scanned
Doc 50	2009 Production Color Copier	2		PDF Scanned
Doc 51	2011 External Customer Email Report	2		PDF Scanned
Doc 52	2011 Incoming Telephone Report	9		PDF Scanned
Doc 53	2012 - 2011 Customer Service & CR Complaint Data	2		PDF Scanned
Doc 54	DRPA Police & Hazardous Materials	7		PDF Scanned
Doc 55	Case Study Lean Government	12		PDF Scanned
Doc 56	CD Burning Production	3		PDF Scanned
Doc 57	Combined Financial Statements 12-11	44		PDF Scanned

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 58	Completed Audit Recommendations	6		PDF Scanned
Doc 59	Cust SVC 4-11-12	9	April 11, 2012	PDF Scanned
Doc 60	Customer Service February 2012	2		PDF Scanned
Doc 61	DRPA Finance Overview May 2011	26	May 2011	PDF Scanned
Doc 62	DRPA Production Data	4		PDF Scanned
Doc 63	DRPA Unaudited Financial Summary	3	March 31, 2012	PDF Scanned
Doc 64	Enterprise Resource Planning (ERP)	12		PDF Scanned
Doc 65	Expanding Lean Government	10		PDF Scanned
Doc 66	Finance Action Plan 2012	5		PDF Scanned
Doc 67	Glassboro Camden Line File 1 GCL Fact Sheet	14		PDF Scanned
Doc 68	Glassboro Camden Line File 2 General product atlas.	6		PDF Scanned

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 69	Glassboro Camden Line File 3 Public scoping meeting presentation.	12		PDF Scanned
Doc 70	Glassboro Camden Line File 4 Route of line.	1		PDF Scanned
Doc 71	Glassboro Camden Line File 5 Scoping information.	13	Spring, 2010	PDF Scanned
Doc 72	Glassboro Camden Line File 6 Public comment plan.	8	April 16, 2010	PDF Scanned
Doc 73	Glassboro Camden Line File 7 Draft Scoping Document	12	April 16, 2010	PDF Scanned
Doc 74	Glassboro Camden Line File 8 Agency Coordination Plan	13		PDF Scanned
Doc 75	Capital Grants Process/Lean Government Memo	3	December 2011	PDF Scanned
Doc 76	Grants Proposed PATCO Capital Improvements FY11 Capital Budget	2		PDF Scanned
Doc 77	Information Services SOP's	358	November 5, 2002	PDF Scanned
Doc 78	In-Kind Printing Request 2012 - 2010	5	4/24/2012	PDF Scanned
Doc 79	KPMG Final Report 1 of 2 Management audit	166	4/24/2012	PDF Scanned

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 80	KPMG Final Report 2 of 2 Benchmark Data	74	December 2001	PDF Scanned
Doc 81	Kroll Findings and Recommendations	28	September 9, 2008	PDF Scanned
Doc 82	Kroll Mgmtn Audit Public Safety Text of the audit starts on page 78. Document was scanned with pages out of order.	153		PDF Scanned
Doc 83	DRPA Safety Committees - Risk Management	3		PDF Scanned
Doc 84	Large Format Printing Production Sheet	3		PDF Scanned
Doc 85	MBE WBE Contract Compliance Review for Contractors	8		PDF Scanned
Doc 86	MBE WBE Program	5		PDF Scanned
Doc 87	OBDEO News Alert March 2012	8		PDF Scanned
Doc 88	PreBid Meeting Summary Sheet MBE WBE	7		PDF Scanned
Doc 89	Prevailing Rate Labor MBE WBE	2		PDF Scanned
Doc 90	Printing Services Presses and Copiers Production Reports	12		PDF Scanned

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 91	Production for Converting Files with OCR or PDF for Electronic Usage	5		PDF Scanned
Doc 92	Staff Analysis of Mgt Audit Recommendations	24		PDF Scanned
Doc 93	Staff Disagreement with Audit Recommendations	4		PDF Scanned
Doc 94	TSGP Grant Project Status Report	4	January 9, 2012	PDF Scanned
Doc 95	Vendor Profile Form	16		PDF Scanned
Doc 96	DRPA Audit Work Plan Submittal 04-24-2012 v0-4	29		PDF
Doc 98	2010 Investor Presentation - Final DRPA	33	June 28, 2010	MS PPT
Doc 99	2011 Financial Report by General Manager PATCO	1	Feb 3, 2012	MS PPT
Doc 100	2011 Budget Presentation 121310 final	16	Dec 13, 2010	MS PPT
Doc 101	2012 Budget 120611 final	19	Dec 7, 2011	MS PPT
Doc 102	2012 Budget Call Memorandum	2	July 15, 2011	MS Word

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 103	2012 MGMT AUDIT 2007-2011 ytd reports PATCO	3	April 10, 2012	MS Excel
Doc 104	Audit Methodologies and Tools Descriptions for DRPA CGR	10	April 1, 2012	MS Word
Doc 105	Bridge Traffic Report 2012	5	March 31, 2012	MS Excel
Doc 106	Budget Presentation Dec 5 2007 FINALPRES Budget for 2008.	13	Dec 5, 2007	MS PPT
Doc 107	Audit Methodologies CGR Excerpts from various slides describing audit methodologies and tools.	29	March 31, 2012	MS PPT
Doc 108	Audit RFP for Kroll project	34	Nov 20, 2007	MS Word
Doc 109	Ben Franklin Bridge - Toll Evasion Log Tabs for reports by month.	12		MS Excel
Doc 110	Ben Franklin Bridge Projects Maintenance and capital projects in progress.	1		MS Excel
Doc 111	Betsy Ross Bridge 2012 Project Matrix February REVISED Bridge project status.	1		MS Excel
Doc 112	Betsy Ross Bridge Org Chart Organization chart in a spreadsheet.	1		MS Excel
Doc 113	Betsy Ross Bridge Workplace Safety March 2012	2	March 2012	MS Word

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 114	Board Minutes 3-21-12 DRPA	71	March 21, 2012	PDF
Doc 115	By-Laws DRPA	19		PDF
Doc 116	CGR FINAL Technical Proposal to DRPA 021712	57	Feb 27, 2012	PDF
Doc 117	Chief of Police press release DRPA Describes financial constraints to Commissioners.	2	April 23, 2012	MS Word
Doc 118	Commissioners Briefing March 2011 03 07	11	March, 2011	MS PPT
Doc 119	Compact Agreement - DRPA Contains agreements between states and amendments (apparently).	42		PDF
Doc 120	PATCO Comparative Statement of Revenues and Expenses 2011 DECEMBER Income and expense statement. Not very detailed.	1		PDF
Doc 121	Capital Recovery Factors Provides conversion factors to compute equivalent annual cash flows for capital items.	1	March, 2011	MS Word
Doc 122	CONTRACTS SOP Procedure for professional services contracting.	22		MS Word
Doc 123	DRPA FLEET Safety Program 3 7 2012 rev  Apparently refers to the non-transit fleet.	32	March 7, 2012 revised	MS Word
Doc 124	Entrance Conference v2 CGR Kickoff conference slides.	15	April 10, 2012	MS PPT

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 125	Insurance Services Agreement Example of insurance agreement.	10	Feb 1, 2012	MS Word
Doc 126	Expense Policy DARPA Travel-related policies for travel expenses.	9		PDF
Doc 127	Finance Committee Budget Discussion 06 20 11 Covers a variety of high level financial issues.	19	June 20, 2011	MS PPT
Doc 128	Finance Committee Overview Presentation 05 04 11 Wide-ranging agenda for financial item discussion.	26	May 4, 2011	MS PPT
Doc 129	Incident and Accident Committee 011012 minutes	3	Jan 10, 2012	MS Word
Doc 130	Incident and Accident Investigation Committee mission statement	1		MS Word
Doc 131	PATCO Income Analysis 2011 DECEMBER	1	Dec 31, 2011	PDF
Doc 132	Income and Expense Analysis 2011 DECEMBER	1	Dec 31, 2011	PDF
Doc 133	Inspector General Hiring DRPA Board proposal.	6	Jan 2012	PDF
Doc 134	Internal Audit Procedures DRPA	68		
Doc 135	Liberty Ferry Profit and Loss	1	Aug 2011	MS Excel



<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 136	Maintenance Report Email Describes maintenance done on ferry.	1	Apr 2012	Message
Doc 137	NDA with Exhs A B -DRPA-PATCO Agreement for non-disclosure to be signed by CGR and individual consultants.			MS Word
Doc 138	OCIP Admins Brokerage Services Agreement 3 7 2012 to 9 7 2012 \$100,000 Insurance agreement.	6	Mar 2012	PDF
Doc 139	OCIP Loss Control Service fee Agreement 3 7 2012 to 9 7 2012 \$87,500	5	Mar 2012	PDF
Doc 140	Org Chart 01-03-11 DRPA	1	Jan 3, 2011	PDF
Doc 141	Org Chart Names 02-02-12 DRPA	1	Feb 2, 2012	PDF
Doc 142	Overtime 2011 December for 2011 Contains over time costs for all units. Don't see Police clearly defined.	1	Dec, 2011	PDF
Doc 143	PATCO Overtime Usage - 2011 December OT Analysis PATCO only but contains some Public Safety.	1	Dec, 2011	PDF
Doc 144	PATCO 2011 Budgets and Actuals By Department	2	Dec, 2011	MS Excel
Doc 145	PATCO 2011 Cumulative Operating Loss Variances Graphical display of losses.	1	Dec, 2011	PDF
Doc 146	PATCO 2012 Financials Spreadsheet believed to contain PATCO operating figures.	2	Apr, 2012	MS Excel

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 147	PATCO COST MILE 2011 DECEMBER Calculates metric.	1	Dec 31, 2011	PDF
Doc 148	PATCO Employee Hours from 2007 to 2012 (3) Annual hours for employees.	6		MS Excel
Doc 149	PATCO Financial Statements December 2011 FULL Appears to be a comprehensive financial statement for 2011 -- PATCO only.	8	Dec 31, 2011	PDF
Doc 150	PATCO FTE 2011 DECEMBER	1	Dec 31, 2011	PDF
Doc 151	PATCO GM REPORT DECEMBER 2011	4	Dec 31, 2011	MS Excel
Doc 152	PATCO Org Chart 03-01-12	1	Mar 1, 2012	PDF
Doc 153	PATCO Revenue and Expense 2011	1	Dec 31, 2011	PDF
Doc 154	Ratings Presentation 8-24-2010 final DRPA Ratings downgrade discussion of impact.	8	Aug 25, 2010	MS PPT
Doc 155	Request for Documents CGR Finance Division documents. Includes status of delivery.	0	April 12, 2012	MS Word
Doc 156	RFP Yellow Book Mgt Audit - DARPA DRPA RFP for management audit.	47	Feb, 2012	PDF
Doc 157	Riverboat Ferry Labor and Expenditures Running accounting of Ferry expenses.	1		MS Excel

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 158	Riverlink Budget Figures Could be duplicative of Doc 157.	1		MS Excel
Doc 159	SOP accounts payable	18		PDF Scan
Doc 160	SOP accounts receivable	4		PDF Scan
Doc 161	SOP cash management	7		PDF Scan
Doc 162	SOP ez pass credit card replenishment expense	8		PDF Scan
Doc 163	SOP Finance Table of Contents	5		PDF Scan
Doc 164	SOP fixed assets	12		PDF Scan
Doc 165	SOP for Bid Security Checks	1		MS Word
Doc 166	SOP general ledger	6		PDF Scan
Doc 167	SOP payroll	5		PDF Scan
Doc 168	SOP regional development Cover page only. No text.	1		PDF Scan

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 169	SOP revenue audit	33		PDF Scan
Doc 170	SOP revenue operation	6		PDF Scan
Doc 171	Template Conclusions & Recommendations CGR	1		MS Word
Doc 172	Template Description of Audited Unit CGR	1		MS Word
Doc 173	Template Description of Audited Unit CGR	1		MS Word
Doc 174	Toll Deferral Discussion 05 13 2011Final Capital budgets, tolls, rating agency downgrades, general fund.	22	May 13, 2011	MS PPT
Doc 175	Vehicle Equipment list Updated 4 7 2010 Long list of vehicles.	1	April, 2010	MS Excel
Doc 176	Walt Whitman Bridge Org Chart	1	March 10, 2012	MS Excel
Doc 177	Walt Whitman Bridge Snow Report Reports on financial impact of snow storm	1	Jan 21, 2012	MS Excel
Doc 178	DRPA BOARD List	1		MS Word
Doc 179	Press Release on the NJ Comptroller's report	1	March 29, 2012	MS Word

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 180	2011 Approved Capital Program	8		PDF
Doc 181	2011 Operating Budget	7		PDF
Doc 182	2011 PATCO Budget	1		PDF
Doc 183	DRPA 2012 Approved Operating Budget	6		PDF
Doc 184	DRPA 2012 Capital Budget	17		PDF
Doc 185	PATCO 2012 Approved Operating Budget	1		PDF
Doc 186	DRPA 2010 Annual Report	91		PDF
Doc 187	Glassboro Camden transit extension funding 1272012 Describes the funding situation for the GCL design effort.	1	Jan 12, 2012	PDF
Doc 188	BFB 2010 project status Reports engineering projects on the BFB.	1	Feb, 2012	MS Excel
Doc 189	Board Item for Construction Contract Template for presentation to the Board.	3		MS Word
Doc 190	Board Item for Design Contract Template for a Design Contract Board item.	5		MS Word

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 191	Bridge -- Monthly Engineering Report	10		MS Word
Doc 192	Daily Bridge Traffic Count	1		MS Excel
Doc 193	Employee Timesheet	1		MS Excel
Doc 194	Engineering Organization Chart	1		MS Excel
Doc 195	Engineering Procedures Manual 030212	48	March 2, 2012	PDF
Doc 196	Engineering Projects Program without Fed	1	Feb, 2012	PDF
Doc 197	Forwarding Letter for Scanned Documents	1	Apr 20, 2012	PDF
Doc 198	PATCO Safety Rules 07 Final 1 28 08	28	January 28, 2008	PDF
Doc 199	PATCO System Safety Program Plan - November 2010	110	Nov, 2010	PDF
Doc 200	Schedule M for Major Facility Projects Form for proposing or registering a facility project over \$200,000.	1		MS Excel
Doc 201	CGR Recommendation Summary Report 07-07-2012 Summarizes past audit recommendations and Strategy Plan/Lean Government initiatives undertaken by DRPA.	53	July 7, 2012	PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 202	DRPA Balance Sheet December 31, 2010 Extensive report on DRPA financial position.	42	Dec 31, 2011	PDF
Doc 203	Fleet Update Report - Issues Fleet operating cost review. Addresses plan to incorporate PATCO fleet into fleet function.	3	Dec 31, 2011	MS Word
Doc 204	Insurance Policies Approved at Board Meeting 7-6-12 Board minutes.	42	July 6, 2011	PDF
Doc 205	KPMG Major Recommendations Executive summary of recommendations that address the 2001 and holdover recommendation from prior audit.	3	2001	PDF
Doc 206	Operating Budget Worksheet COO Worksheet for cost center expenses. This document, from the COO, is an example of the tool. Personnel costs are not included.	3	Dec 31, 2011	MS Excel
Doc 207	PATCO 2010 Operating Budget Approved PATCO budget for 2010.	1	Dec 31, 2009	PDF
Doc 208	PATCO Transit Oriented Development Master Plan TOD master plan for development at stations.	25	July 26, 2008	PDF
Doc 209	Waterfront Master Plan Master Plan for development.	22	Jan 11, 2006	PDF
Doc 210	2007 Operating Budget Status Report Budget for 2007 with detail. Evidently the only PATCO expense is the Public Safety component.	130	Dec 31, 2006	PDF
Doc 212	2012 Operating Budget Status Report YTD Budget YTD for 2012.	110	Dec 31, 2011	PDF
Doc 211	2010 Operating Budget Operating budget for 2010.	7	Dec 31, 2009	PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 213	2012 Schedule V F002-F004-F007 TCO Form for DRPA and PATCO related vehicle transactions. Seems to be maintained by Engineering. Requires several signatures.	1		MS Excel
Doc 214	CM Technical Assistant Written Assessment- 2-27-12 Employee candidate review against position criteria.	2	Feb 27, 2012	MS Word
Doc 215	DARPA 2011 Approved Capital Program Covers capital expenditures for 2011	18	Jan 1, 2011	PDF
Doc 216	April 30 DRPA staffing Provides detail and summary information on DRPA staff -- all components. Includes names of employees. No salary information.	2	April 30, 2012	MS Excel
Doc 217	DRPA Economic Dev Bonds Outstanding At 3-31-12 Shows yearly and total bond issuance. There are three totaling over \$300 million.	1	March 31, 2012	MS Excel
Doc 218	PATCO 2007-2011 ytd reports with breakout of Fringe Benefits Shows financial report for PATCO for the indicated years.	1	April, 2012	PDF
Doc 219	PATCO 2007BudAct 2008 PATCO budget for 2008 with 2007 actuals.	22	Dec 31, 2007	PDF
Doc 220	PATCO 2008BudAct 2009 PATCO budget for 2009 with 2008 actuals.	22	Dec 31, 2008	PDF
Doc 221	PATCO 2009BudAct 2010 PATCO budget for 2010 with 2009 actuals.	22	Dec 31, 2009	PDF
Doc 222	PATCO 2010BudAct 2011 Bud PATCO budget for 2011 with 2010 actuals.	22	Dec 31, 2010	PDF
Doc 223	PATCO 2011BudAct 2012 Budget PATCO budget for 2012 with 2011 actuals.	21	Dec 31, 2011	PDF



<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 224	PATCO Current Positions Detail Report 4 26 12 PATCO list of positions with staffing in each section. Employees are named.	22	April 26, 2012	PDF
Doc 225	Schedules of Economic Development Projects 1992-2010 List of Board Approved and Internally Approved development projects.	2	April, 2012	MS Excel
Doc 226	Schedules of Economic Development Projects 1992-2010 Record of grant expenditures.	4	Dec 31, 2011	PDF
Doc 227	2008 Operating Budget Status Report Record of 2008 expenditures.	118	Dec 31, 2008	PDF
Doc 228	2009 Operating Budget Status Report Record of 2009 expenditures.	146	Dec 31, 2009	PDF
Doc 229	2011 Operating Budget Status Report Record of 2011 expenditures.	122	Dec 31, 2010	PDF
Doc 230	2007 Schedule of Expenditures of Federal Awards Federal award expenditures - 2007.	2	Dec 31, 2007	PDF
Doc 231	2008 Schedule of Expenditures of Federal Awards Federal award expenditures - 2008.	6	Dec 31, 2008	PDF
Doc 232	2009 Schedule of Expenditures of Federal Awards - Published Federal award expenditures - 2009.	2	Dec 31, 2009	PDF
Doc 233	2010 Schedule of Expenditures of Federal Awards Federal award expenditures - 2010.	6	Dec 31, 2010	PDF
Doc 234	2010 Operating Budget Status Report Record of operating budget for 2010.	136	Dec 31, 2010	PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 235	Employee Evaluation Summary - Workstream Reports the number of employee evaluations performed.	1	May 9, 2012	MS Word
Doc 236	Director Risk Management Safety 12-04-08 Position description for Director of Risk Management & Safety.	4	Dec 4, 2008	PDF
Doc 237	Blood Borne Pathogens Training Memo 041112 Memo on training program status.	3	Mar 16, 2012	MS Word
Doc 238	DRPA FLEET Safety Program 3 7 2012 rev Description of program.	32	Sept 8 2010	MS Word
Doc 239	DRPA Retirement Eligibility as of 5-12-12 Table showing retirement eligibilities.	1	May 12, 2012	PDF
Doc 240	DRPA Hazard Communication Policy manual for handling hazards.	21		PDF
Doc 241	Executed Agreement for Insurance Related Atty Services Agreement between DRPA and R.M. Fields, LP.	10	Feb 1, 2012	PDF
Doc 242	February 2012 Safety Coordinating Committee Minutes Minutes of Safety Coordinating Committee.	10	Feb 9, 2012	PDF
Doc 243	Incident Accident Investigation Committee 011012 minutes Minutes of investigating committee meeting.	3	Jan 10, 2012	PDF
Doc 244	March 2012 Safety Coordinating Committee Agenda Agenda and minutes of Safety meeting.	8	Mar 8, 2012	PDF
Doc 245	Mission Statement Incident Accident Investigation Committee Mission statement.	1		PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 246	OCIP Admins Brokerage Services Agreement 3 7 2012 to 9 7 2012 \$100,000 Graham and DRPA agreement.	6	Mar 7, 2012	PDF
Doc 247	OCIP Loss Control Service Fee Agreement 3 7 2012 to 9 7 2012 \$87,500 Extension of OCIP insurance.	5	Mar 7, 2012	PDF
Doc 248	PATCO Retirement Eligibility as of 5-12-12 Eligibility report.	1	May 12, 2012	PDF
Doc 249	Record of Insurance 2011-12 as of 7 29 11 Covers all insurance coverage as of the date of the report.	1	July 29, 2011	PDF
Doc 250	Risk Evaluation Report Nov 1 2011 Haddonfield Station Report of safety review at station.	5	Nov 1, 2011	PDF
Doc 251	Risk Management and Safety March 2012 Activity Report Monthly safety report.	2	March 31, 2012	PDF
Doc 252	Risk Management and Safety Mission Statement Short statement of department's mission.	1		PDF
Doc 253	Safety Open House Booklet 2011 Description of open house features. Report of safety history.	22	June 2011	PDF
Doc 254	Schedule of Insurance with Graham Co 2011 to 2012 List of Graham and Co. agreements.	1	June 2012	PDF
Doc 255	DRPA Safety Committee List Lists DRPA safety program components.	2		MS Word
Doc 256	Safety March Brochure 1-3-2012 Safety brochure for BFB.	1	Jan 3, 2012	MS Word

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 257	Employee Roster April 30 2012 DRPA staffing List of employees.	1	Apr 30, 2012	MS Excel
Doc 258	Employee Roster Dec 4, 2009 Need to verify the date if info is relied on.	1	Dec 4, 2009	MS Excel
Doc 259	Employee Roster Dec 15 2011 Need to verify the date if info is relied on.	1	Dec 15, 2011	MS Excel
Doc 260	Employee Roster Dec 4 2008 Need to verify the date if info is relied on.	1	Dec 4, 2008	MS Excel
Doc 261	Employee Roster Dec 23 2010 Need to verify the date if info is relied on.	1	Dec 23, 2010	MS Excel
Doc 261a	Employee Roster Sept 8 2008 Need to verify the date if info is relied on.	1	Sept 8, 2008	MS Excel
Doc 262	Drug and Alcohol Abuse Testing Policy Revised 7-2010 Revised July 20, 2010	5	Oct 1, 2002	PDF
Doc 263	147A Drug and Alcohol Abuse Testing Policy - Employee Copy Full policy.	50	July, 2010	PDF
Doc 264	147B Drug and Alcohol Abuse Testing Policy -- Driver Copy Policy for drivers.	44	July, 2010	PDF
Doc 265	147C Drug and Alcohol Abuse Testing Policy -- Not subject to DOT regulations For those not subject to DOT regulation.	35	July, 2010	PDF
Doc 266	2012-mem-litig-payout amendment Insurance payments or settlements since 2003.	5	March 14, 2012	PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 267	2012 OCIP Summary of Insurance Updated 4 5 2011 Summary of policies with the Graham company.	1	April 5, 2011	MS Word
Doc 268	2009 DRPA OCIP Administrative Safety Guide-Final Draft OCIP Program Guide including forms.			MS Word
Doc 269	Lean Government Initiative Press Release Press release describing program.	1	Oct 26, 2010	MS Word
Doc 270	Marketing Questions Press Release Press release responding to press questions about DRPA marketing program.	1	Oct 29, 2010	MS Word
Doc 271	209 DRPA Vehicle Policies and Procedures Policies related to driving DRPA-owned vehicles by employees.	4	Aug 7, 1997	PDF
Doc 272	DRPA-PATCO Assigned Vehicles List of vehicles assigned to DRPA employees.	2		MS Word
Doc 273	2012 Budget Process Status Report Presentation of changes in the budgeting process.		May 15, 2012	MS PPT
Doc 274	Board Resolution 11-113 -- Capital Project Contract Mods Resolution 11-113 describing how changes will be made to contracts.	3	Dec 14, 2011	PDF
Doc 275	Board Resolution 11-079 -- Health Insurance Resolution to accept proposal for healthcare insurance.	5	Oct 19, 2011	PDF
Doc 276	Board Resolution 12-019 -- GCL Environmental Study Approval Authorization to collaborate with NJT for conceptual engineering on the GCL line.	6	Feb 15, 2012	PDF
Doc 277	Board Resolution 12-005 -- Owner Controlled Insurance Extension Authorizes extension of agreement with Graham Company.	5	Jan 18, 2012	PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 278	Board Resolution 12-030 -- Yellow Book Audit Consultant Approval Authorized contract with CGR. Describes the purpose of the audit.	3	Mar 21, 2012	PDF
Doc 279	Operating Budget Request Form Form for requesting a budget item.	1		MS Excel
Doc 280	Board Resolution DRPA-11-111 Restriction on Use of Funds Contains steps to closeout DRPA economic development activities.	7	Dec 14, 2011	PDF
Doc 281	Board Resolution 11-105 2012 Capital Budget Schedule Resolution adopting the DRPA Five-Year Capital Plan.	21	Dec 14, 2011	PDF
Doc 282	CGR Cyber Insurance Document CGR certificate for cyber insurance.	2	May 16, 2012	PDF
Doc 283	Press Release July 2008 Financial Status DRPA press release describing its financial condition.	2	July 11, 2008	MS Word
Doc 284	DRPA Annual Report -- 2009 Comprehensive report on DRPA condition.	90		PDF
Doc 285	DRPA Annual Report - 2010 Comprehensive report on DRPA condition.	90		PDF
Doc 286	2012 Operating and Capital Budget Briefing on budget.	19	Dec 7, 2011	PDF
Doc 287	Engineering Consultant Agreements List of engineering consultants with DRPA contracts.	1		MS Excel
Doc 288	2010 Approved Capital Program Detailed exhibits showing expenditures.	18	Jan 1, 2011	PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 289	2010 Project Management Consultant Awards List of PM contractors for 2010. Shows eight contracts issued for year.	1		MS Excel
Doc 290	Project Management Consultant Awards List of PM contractors for 2010. Shows eight contracts issued for year.	1		MS Excel
Doc 291	2009 Contractor Task Orders List of contracts for construction and related services for year.	1		MS Excel
Doc 292	2010 Contractor Task Orders List of contracts for construction and related services for year.	1		MS Excel
Doc 293	2011 Contractor Task Orders List of contracts for construction and related services for year.	1		MS Excel
Doc 294	Construction-Consultant Contracts 2000-09 Yearly and total records of contacts.	11		MS Excel
Doc 295	2012 Bridge Property and Liability Insurance Extension Recap of costs for certain types of insurance.	1	Apr 10 2012	PDF
Doc 296	Graham Company OCIP Admins Brokerage Services Agreement 3 7 2012 to 9 7 2012 \$100,000 This could be a duplicate.	6	Mar 7, 2012	PDF
Doc 297	Graham OCIP Loss Control Service fee Agreement 3 7 2012 to 9 7 2012 \$87,500 This could be a duplicate.	5	Mar 7, 2012	PDF
Doc 298	OCIP Extension Cost	1	Feb 3, 2012	PDF
Doc 299	OPC Department Employee Numbers -2008 to 2011 Multi-year history of staffing in OPC functions. Also shows cost center numbers.	1	May 22, 2012	MS Excel

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 300	DRPA Final Audit Work Plan Submittal v1.0 Version 1.0 of the audit Work Plan.	32	May 29, 2012	PDF
Doc 301	OPC DEPARTMENTAL Numbers (2008 TO 2011) List of OPC organization codes and names.	1		MS Excel
Doc 302	Governing Documents Review -- Template 1 First review of Governing Documents provided for review to DRPA. DRPA responded by adding Reform Resolutions.	8		MS Word
Doc 303	DRPA Issue Report 6-1-2012 List of issues circulated to team members.	27	June 1, 2012	PDF
Doc 304	Recommendation Summary Report 6-1-2012 Recommendation Summary for assessing implementation.	57	June 1, 2012	PDF
Doc 304a	DRPA-10-040 NJ Controller Reform Resolution. Permits NJ Controller to do audits of DRPA.	4	Aug 25, 2010	PDF
Doc 305	DRPA-10-041 Open Board Meetings Reform Resolution. Open Board meetings requirement.	6	Aug 25, 2010	PDF
Doc 306	DRPA-10-043 Impropriety Avoidance Reform Resolution. Avoidance of improprieties.	4	Aug 18, 2010	PDF
Doc 307	DRPA-10-044 Contracting Process Reform Resolution. Procedures for sealed bid and professional services contracts.	6	Aug 18, 2010	PDF
Doc 308	DRPA-10-045 Political Contributions Reform Resolution. Disclosure of vendor political contributions for all vendors.	5	Aug 18, 2010	PDF
Doc 309	DRPA-10-046 Sealed Bid Professional Services Reform Resolution. Open meetings for bid awards.	3	Aug 18, 2010	PDF



<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 310	DRPA-10-047 Gifts of Value Reform Resolution. Prohibition of soliciting or accepting gifts of value.	5	Aug 18, 2010	PDF
Doc 311	DRPA-10-048 Nepotism Reform Resolution. Prohibition on hiring of relatives of commissioners, officers, and employees.	3	Aug 18, 2010	PDF
Doc 312	DRPA-10-049 No Caucus Meetings Reform Resolution. Caucus meeting elimination.	2	Aug 18, 2010	PDF
Doc 313	DRPA-10-050 Compensation Review Committee Reform Resolution. Creation of a Compensation Committee to review officer and director compensation.	2	Aug 18, 2010	PDF
Doc 314	DRPA-10-051 Commissioner Ethics Filings Reform Resolution. Financial disclosure forms for directors.	3	Aug 18, 2010	PDF
Doc 315	DRPA-10-052 Outside Employment Reform Resolution. Rules for outside employment.	6	Aug 18, 2010	PDF
Doc 316	DRPA-10-053 Charity Support Process Reform Resolution.	4	Aug 25, 2010	PDF
Doc 317	DRPA-10-055 Amended Undue Influence Reform Resolution. Prohibition of undue influence on DRPA decisions by commissioners and officers.	4	Aug 25, 2010	PDF
Doc 318	DRPA-10-056 Car Allowance Limited Reform Resolution. Eliminates allowance for commissioners, directors, and employees.	2	Aug 18, 2010	PDF
Doc 319	DRPA-10-057 Bridge Pass Eliminated Reform Resolution. Eliminates bridge passes and PATCO credits for certain people.	2	Aug 18, 2010	PDF
Doc 320	DRPA-10-058 Eliminated Positions Reform Resolution. Eliminated two positions of assistants to the Vice Chairman and Chief Public Safety Officer.	2	Aug 18, 2010	PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 321	DRPA-10-059 Consolidate Corp Secy Reform Resolution. The General Counsel will act as Corporate Secretary eliminating a position.	4	Aug 25, 2010	PDF
Doc 322	DRPA-10-060 Board Items Reform Resolution. Lead time of 48 hours for placement of items on the Board agenda by identified parties.	2	Aug 18, 2010	PDF
Doc 323	DRPA-10-061 Travel Expenses Reform Resolution. Calls for PATCO and DRPA review of travel expense policies.	2	Aug 18, 2010	PDF
Doc 324	DRPA-10-062 Economic Development Ban Reform Resolution. Calls for ceasing all economic development activity. Resolution infers expenditure should have been spent on core assets.	2	Aug 18, 2010	PDF
Doc 325	DRPA-10-066 Eliminate Asst to Chair Reform Resolution. Eliminates the position of assistant to the Chairman.	6	Aug 25, 2010	PDF
Doc 326	DRPA-10-074 Board Executive Financial Interests Reform Resolution. Prohibits senior DRPA managers for asking a contractor to hire person.	2	Sep 15, 2010	PDF
Doc 327	DRPA-PATCO Signed NDA 06-06-2012 Non-disclosure agreement signed by CGR.	16	June 6, 2012	PDF
Doc 327a	Operating Instructions Public Safety Index 2011-Attendees List of related documents.	1		MS Word
Doc 328	Captain Job Description 01-05-10 Provides job description for captains in Public Safety.	3	Jan 5, 2010	PDF
Doc 329	Corporal of Police Position Description 06 01 11 Provides job description in Public Safety.	3	June 1, 2011	PDF
Doc 330	Lieutenant of Police Position Description 11-30-09 Provides job description in Public Safety.	4	Nov 30, 2009	PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 331	Police Chief Position Description 05 11 12 Provides job description in Public Safety.	4	May 11, 2012	PDF
Doc 332	Police Officer Position Description 05-05-09 Provides job description in Public Safety.	4	May 5, 2009	PDF
Doc 333	Sergeant of Police Position Description 09-17-10 Provides job description in Public Safety.	3	Sept 7, 2010	PDF
Doc 334	Sovereign Citizen In-Service Training Program Training program for citizens.	1		MS Word
Doc 335	Public Service Pay Schedules Listing of positions, grades, and steps for each Public Safety position.	3		PDF
Doc 336	Public Service Policy - Use of Force Vehicular Pursuit Fall 2011 In service training program signature sheet.	1	Oct 4, 2011	MS Word
Doc 337	Union v DRPA Arbitration Award Arbitration agreement with union.	14		PDF
Doc 338	FOP Union Combined Contract Agreement with union.		Sep 22, 2008	MS Word
Doc 339	2011 Dispatch Activity Summary Record of activity for year 2011.	3	Dec 31, 2011	PDF
Doc 340	Public Safety Recent Training Email Published schedule of Public Safety training.	1	Feb 16, 2012	Email
Doc 341	Public Safety Annual Report - Metrics Year 2006 summary of Public Safety activity for bridges and PATCO.	1	Dec 31, 2006	PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 342	Public Safety 2011 Annual Report Year 2011 summary of Public Safety activity for bridges and PATCO.	1	Dec 31, 2011	PDF
Doc 343	Public Safety Union v DRPA Arbitration Award Contract arbitration award for labor contract.	14		PDF
Doc 344	Public Safety Statistics 2006 Public Safety summary for 2006. (repeat document)	1	Dec 31, 2006	PDF
Doc 346	Reform Resolution Spreadsheet Updated Spreadsheet of Reform Resolutions provided to CGR. Resolutions were generated in 2010. These were added to Governing Documents summary.	1	June 5, 2012	MS Excel
Doc 347	DRPA Job Descriptions - 221 descriptions Position descriptions across DRPA departments.	221		PDF
Doc 348	Fixed Asset Registry - BF Bridge List of assets associated with the Ben Franklin Bridge.	1		PDF
Doc 349	Fully Executed NJTA E-Z Pass EZ Pass related supplement to a professional services contract.	29	Jan 1, 2011	PDF
Doc 350	IT Systems Test Environment Project Update Update on Lean Government initiative regarding introducing changes into the DRPA/PATCO network.	1		MS Word
Doc 351	Keller Second Round 5-15-12 Data Requests Request for meetings for Suzy Keller.	1	May 15, 2012	MS Word
Doc 352	Month End Close Process Project - June 2012 Update Report on Lean Government team progress on month end closeout process.	10		MS PowerPoint
Doc 353	New Hire - Separation Process Round 1 Summary 6-5-12 Lean Government process improvement team report.		June 5, 2012	MS PowerPoint

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 354	NJTA EZ Pass Contract Amend 1 - DRPA Modifications to terms of agreement.	27		PDF
Doc 355	EZ Pass NJTA Appendix A SOW Statement of Work EZ Pass project.	63		PDF
Doc 356	EZ Pass NJTA Appendix B Compensation Compensation for services for EZ Pass contract.	21		PDF
Doc 357	NJTA EZ Pass Appendix C - Disaster Recovery Plan Disaster Recovery Plan for EZ Pass at Tarrytown center.	8		PDF
Doc 358	NJTA DRBA Amend 2 with Exhs A B -Fully Signed Amendment 2 to EZ Pass contract.	21		PDF
Doc 359	PATCO General Ledger Accounting Procedures for GL and financial statement generation at PATCO.			MS Word
Doc 360	Performance Metrics Dashboard Process Define Presentation Presentation of metrics dashboard Lean Government team. Document includes survey of KPIs needed to track performance.			MS PowerPoint
Doc 361	CEO John Matheussen Employment Contract 11-2007 Expired CEO employment contract.	10	Nov, 2007	PDF
Doc 361a	Prep For Monthly Report Procedure Description Procedure for creating a monthly report in financial reporting system.	1		MS Excel
Doc 362	Types of Fixed Asset List List of Asset Types with abbreviations and descriptions.	1		MS Excel
Doc 363	Work in Process Report - BF Bridge Work in Process projects on the BF Bridge.	1		PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 364	DRPA Public Safety Dept-Salary Grade and EEO List of Public Safety EEO categories. Includes a list of positions.			MS PowerPoint
Doc 365	Master Plan - 2011 Prelim Draft Apparently unapproved Master Plan listing various DRPA capital projects.	30		MS Word
Doc 366	Master Plan - 2012 Prelim Draft Apparently unapproved Master Plan listing various DRPA capital projects.	31	January, 2012	MS Word
Doc 367	2009 Strategic Plan - FINAL Strategic Plan using new format. Similar to 2012 report.		March 31, 2009	MS Word
Doc 368	Budget Team Round 1 Summary 5-18-12 Results/Summary of Budget process team.		May 18, 2012	MS PowerPoint
Doc 369	Credit Card Hold Process for Closing Process for handling this procedure.	1		MS Word
Doc 370	2009-2011 Strategic Plan - Final Strategic plan covering three years.	27	March 31, 2011	MS Word
Doc 371	2008 Strategic Plan FINAL Appears to be a report of accomplishments.		March 31, 2008	MS Word
Doc 372	2006 Strategic Plan Update Final Appears to be a report of accomplishments.	12		MS Word
Doc 373	2005 Master Plan Update Update of the Master Plan which contains capital programs planned for various facilities.			MS Word
Doc 374	Budget - Actual Expenses by Year 2002 - 2011 Budget Actual Figures for DRPA Operations and PATCO and combined. Displays percentage change from previous years. Provided in interview with CFO.	1	June 5, 2012	PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 375	2009 OCIP Administrative Safety Guide Guide covering this approach to providing insurance to smaller contractors.	124		MS Word
Doc 376	DRPA Yellow Book Management Audit RFP Request for Proposal for Performance Audit -- 2012.	47	January 20, 2012	PDF
Doc 377	DRPA-09-051 EIS for GCL Board resolution authorizing GCL Environmental Impact Study.	2	July 15, 2009	PDF
Doc 378	DRPA-12-019 GCL EIS Contract Award Board resolution to cooperate with NJT in development of GCL.	6	February 15, 2012	PDF
Doc 379	GCL AA Final Report Pages 1-27 First section of alternative analysis for GCL.	28	October, 2009	PDF
Doc 380	GCL AA Final Report Pages 28-59 Second section of alternative analysis for GCL.	32	October, 2009	PDF
Doc 381	GCL Final Report Pages 60-91 Third section of alternative analysis for GCL.	32	October, 2009	PDF
Doc 382	GCL Fact Sheet Final Short summary of GCL project.	2		PDF
Doc 383	GCL Frequently Asked Questions Q& A on GCL project.	6		PDF
Doc 384	July 2011 CEO Report Example of monthly report by CEO to the Board.	3	July 20, 2011	PDF
Doc 385	Public Safety Response to Kroll Recommendations 2006 Memo from Police Chief listing response to the Kroll audit of 2006.	6	Undated	PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 386	GCL Information for IG Raftery 7 2 12 Responses of the CEO to questions posed by CGR related to the GCL project.	3	July 14, 2012	MS Word
Doc 387	2010 09 10 NJT Minutes GCL Document from New Jersey Transit referencing NJT responsibility for participation in the GCL project.	79	September 10, 2010	PDF
Doc 388	GCL Agreement 4-27-10 - 1 First part of agreement for conducting an EIS for the GCL project.	6	April 27, 2010	PDF
Doc 389	GCL Agreement 4-27-10 - 2 Second part of agreement for conducting an EIS for the GCL project.	8	April 27, 2010	PDF
Doc 390	DRPA Reform Resolutions and Assignments Additions to the list of Reform Resolutions. Shows DRPA executives responsible for monitoring their implementation.	1	July, 2012	MS Word
Doc 391	OPC Audit Report Full Final DRPA Inspector General report on One Port Center Management agreement.	16	June 30, 3011	MS Word
Doc 392	DRPA Moody's 2010 VRDBs Underlying Ratings Report 3-25-10 Moody's rating report on DRPA debt refunding debt. Credit rating was a downgrade.	6	March 25, 2010	PDF
Doc 393	2011 Approved Employee Grades DRPA employee grades for 2011.	1	January, 2011	PDF
Doc 394	2012 Approved Employee Grades DRPA employee grades for 2012.	1	January, 2012	PDF
Doc 395	2012 Approved Employee Grades DRPA employee grades for 2012.	1	January, 2012	MS Excel
Doc 396	PMA EXPENSES AS OF 06302012 List of contractors and payments.	1	June 30, 2012	MS Excel



<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 397	PMA EXPENSES AS OF 06302012 List of contractors and payments in percentage terms.	1	June 30, 2012	MS Excel
Doc 398	PMA EXPENSES AS OF 06302012 - with added info List of contractors and payments with added information.	1	June 30, 2012	MS Excel
Doc 399	O&M August 9 BFB Update Progress report on Ben Franklin Bridge Truss Rehabilitation.	8	September 21, 2011	PDF
Doc 400	O&M June 2 WWB Update Progress report on Walt Whitman Bridge span and anchorage replacement.	6	June 2, 2011	PDF
Doc 401	O&M January 2012 Transit Car Update Progress report on PATCO car rehabilitation.	8	Jan 18, 2012	PDF
Doc 402	O&M April 18 Update In-House Overview of major O&M projects.	5	April 18, 2012	PDF
Doc 403	2009 M Form Pole Line Request form for pole replacement project.	1	September, 2008	PDF
Doc 404	Moody's 2010 New Revenue Bonds 0510 Negative outlook for revenue bonds issued by Moody's.	5	May 4, 2010	PDF
Doc 405	080111 S&P DRPA Joint Criteria Ratings Report Stable outlook report for DRPA bonds from S&P.	10	June 29, 2011	PDF
Doc 406	DMAIC Tollgates - Lean Government Explanatory slide on criteria for each stage of Lean Government projects.	1		MS PPT
Doc 407	Scope of Capital Projects Report the CEO - FINAL Page number approximate. Reports on Lean Government project. Includes analysis, not recommendations.	10	April, 2012	MS PPT

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 408	Engineering Division Monthly Report - June 2012 Monthly report for June 2012. Includes Bridges and PATCO plus general projects.	13	June, 2012	PDF
Doc 409	WWB Project Status Report Project report for span and anchorage spans deck replacement.	24	June 28, 2012	PDF
Doc 410	05-12 DRPA Program without Fed Funding Project by project report on asset projects.	11	May, 2012	PDF
Doc 411	2010 M Form Pole Line Project request form.	1	2010	PDF
Doc 412	2011 M Form Pole Line Project request form.	1	2011	PDF
Doc 413	2012 Engineering Grades List of employee grades for Engineering.	1	2012	PDF
Doc 414	2012 M Form Pole Line Project request form.	1	2012	PDF
Doc 415	AUTHORITY EMPLOYEE NUMBERS (By Grade - 2012) Employee count by employment grade for DRPA and PATCO.	1	2012	MS Excel
Doc 416	IG Battleship Allegations Report May 25 2012 Inspector General report to the Board.	3	May 25, 2012	MS Word
Doc 417	CEO Monthly Report May 2012 Monthly CEO report to the Board.	2	May 16, 2012	PDF
Doc 418	Scope of Engineering Projects Data Collection Plan - FINAL Plan for data collection to support Lean Government project in Engineering	1		MS Excel

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 419	DRPA-10-063 Board Meeting in Philadelphia Reform resolution.	2	Aug 18, 2010	PDF
Doc 420	DRPA-10-064 True Up Provisions in Insurance Contracts Reform resolution.	2	Aug 18, 2010	PDF
Doc 421	DRPA-10-070 Appoint Members of Audit Committee Reform resolution.	2	Aug 25, 2010	PDF
Doc 422	DRPA-10-088 Annual Evening Meeting in NJ Reform resolution.	3	Sept 15, 2010	PDF
Doc 423	DRPA-10-093 Establishes Citizens Advisory Committee Reform resolution.	2	Sept 15, 2010	PDF
Doc 424	DRPA-10-097 Placement of Item on Agenda Reform resolution.	2	Sept 15, 2010	PDF
Doc 425	DRPA-10-098 Sets Contracting Thresholds Reform resolution.	1	Sept 15, 2010	PDF
Doc 426	DRPA-10-113 Vendor Political Contributions Reform resolution.	4	Oct 20, 2010	PDF
Doc 427	DRPA-10-139 Amendment to Expense Account Policy Reform resolution.	9	Dec 1, 2020	PDF
Doc 428	DRPA-11-080 Selection of Financial Advisors Reform resolution.	3	Oct 19, 2010	PDF
Doc 429	DRPA-11-088 Selection of Accounting Firm Reform resolution.	4	Nov 16, 2011	PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 430	DRPA-10-071 Selection of Compensation Committee Reform resolution.	2	Aug 25, 2010	PDF
Doc 431	DRPA Mgt Audit RFP (repeat) RFP for the performance audit. Repeated document.	47	Feb, 2012	PDF
Doc 432	DRPA MASTER Emergency Operations Plan Provides for emergency response and business continuity.	200	May, 2012	PDF
Doc 433	AECOM Cost Proposal Design services cost proposal. Commodore Barry Bridge.	1		PDF
Doc 434	Jacobs Cost Proposal Cost proposal for construction monitoring services for Ben Franklin Bridge.	4		PDF
Doc 435	HNTB Cost proposal Cost proposal for construction monitoring services for Ben Franklin Bridge.	1		PDF
Doc 436	DRPA Org Chart 01-03-11 Organization chart on the website -- August 2012 (obsolete).	1	Jan 3, 2011	PDF
Doc 437	DRPA-09-062 Health Benefits Board resolution for approving health benefits.	4	Sep 16, 2009	PDF
Doc 439	DRPA-09-074 Revenues Meet Requirements Board resolution setting the criterion that costs should match revenues.	2	Oct 21, 2009	PDF
Doc 440	PATCO-09-006 Retiree Benefits Board resolution approving PATCO employee benefits.	4	Sep 16, 2009	PDF
Doc 441	00-09 Construction Contacts-Consultants Agreements Year by year construction and related professional services contracts.	10		MS Excel

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 442	Construction Contracts-Consultant Agreements 10-12 by date Construction contracts in chronological order.			MS Excel
Doc 443	DARPA 10-157 2011 Operating Budgets Resolution approving 2011 budget. Reviewed looking for approval of salary freeze.	12	Dec 8, 2010	PDF
Doc 444	DRPA Org Chart 04-05-12 Organization Chart for DRPA -- April 2012.	1	April, 2012	PDF
Doc 445	Internal Audit Plan 2010-2011 Audit plan from Internal Auditing for late 2010 and 2011.	2	Oct 7, 2010	MS Word
Doc 446	DRPA-08-089 Elimination of EEO Department Appointed Chief Administrative Officer and set up Office of Business Development & Employment Opportunity.	8	Nov 19, 2008	PDF
Doc 447	EEO News Alert Newsletter from OFD&EO for business development and employment opportunity.	6		PDF
Doc 448	DARPA DBE Policy Statement Statement of policy from DRPA.	1	March 2008	PDF
Doc 449	HRS Employee Service Expense Explanation Email trail regarding content of Employee Service Expense in the 2012 budget. Provided in response to CGR question.	3	Aug 24, 2012	PDF
Doc 450	Police Chief - Salary History from 2005 History of Public Safety Chief of Police salaries from 2006 to 2012. CGR request to verify implementation of a Kroll recommendation on COP salary.	1	Aug 28, 2012	MS Excel
Doc 451	DRPA Division Administration Organization chart for the DRPA Administrative Division.	1	Aug, 2012	PDF
Doc 452	DRPA Organization Charts -- 2012 Organization charts for DRPA/PATCO divisions and departments.	83	August 13, 2012	PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 453	Request for Proposal -- ERP System Requests proposal for Enterprise Resource Planning system.	30	Feb 9, 2010	MS Word
Doc 454	DRPA Annual Report - 2011 DRPA Annual Report for 2011.	94	Aug 1, 2012	PDF
Doc 455	Equipment List for Printing Services List of equipment in Printing Services.	1	Aug, 2012	MS Word
Doc 456	12-31-11 Monthly Summary Report - Printing Services Activity report from Printing Services.	2	Dec 31, 2011	MS Word
Doc 457	2011 Year End Report - Printing Services Annual summary of Printing Services activity.	2	Dec 31, 2011	MS Word
Doc 458	Email Response -- Status of ERP John Hanson description of the plan for implementing ERP.	1	Sep 6, 2012	MS Word
Doc 459	DRPA Bond Statistics - September 2012 revised List of outstanding bonds.	1	Sep, 2012	MS Excel
Doc 460	Expense Perspective -- Budget versus Actual Expense Table of actual versus budget expenses -- 2002-2012.	1	Sep, 2012	MS PowerPoint
Doc 461	S and P Report DRPA Aug 2012 Standard & Poors report on DRPA bonds including current ratings.	6	Aug, 2012	PDF
Doc 462	OBDEO 2010 Report -- SBE MBE DBE Vendors Year End Summary Report of awards to MBE, DBE, and DBE businesses.	69	Dec 31, 2010	PDF
Doc 463	Green Ports Initiative Website Copy of DRPA website press release upon signing of the Green Ports initiative.	1	Not provided	MS Word

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 464	Equal Employment Statement at DRPA and PATCO Website statement of EEO policy for vendors from the DRPA website.	1	Not provided	MS Word
Doc 465	Website Introduction to Employment Applicants Website statement of hiring policies for prospective employees from DRPA website.	1	Not provided	MS Word
Doc 466	06-12 DRPA Program without Federal Funds DRPA 2012 Engineering Projects Excluding Federal Funds.	11	June 2012	PDF
Doc 467	Public Safety Organization Chart Organization chart for the Public Safety Department.	1	Sep 2012	PDF
Doc 468	Public Safety Deployment Chart Assignments of Public Safety staff to responsibilities.	2	Jan 13, 2012	PDF
Doc 469	Email of Public Safety Training Program Email of Public Safety training requirements.	1		MS Word
Doc 480	AECOM Cost Proposal CBB Bridge Painting Design Services CBB bridge painting design services.	1		PDF
Doc 481	Engineering Comments 10012012 Engineering review of Task Report with comments.	29	Oct 1, 2012	MS Word
Doc 482	Engineering Management Audit Compare 09-27-12 Review of Task Report for Engineering.	29	Sep 27, 2012	MS Word
Doc 483	FINAL PRESENTATION 03082011 Output of budget process Lean Government effort.	18	March 8, 2012	MS PPT
Doc 484	HNTB Cost Proposal Cost sheet for construction monitoring services for BFB.	1		PDF

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 485	Jacobs Cost Proposal Jacobs Engineering construction monitoring BFB - PATCO track rehabilitation.	1		PDF
Doc 486	EEO Legal Activity Photocopy of two EEO/discrimination legal matters.	18	Oct 1, 2012	PDF
Doc 487	DRPA and PATCO Affirmative Action Scorecards 2010 and 2011 DRPA and PATCO quarterly report (2010 and 2011) called Affirmative Action Scorecard.	4	Dec 31, 2011	PDF
Doc 488	DRPA Procurement Comments on Draft Report Comments from Purchasing and Contract Administration on Preliminary Report.	5	Aug 30, 2012	MS Word
Doc 489	Administrative Division Response to Draft HRS responses to Preliminary Draft report.	6	Oct 9, 2012	MS Word
Doc 490	Administrative Division Benefits Administration Response Benefits Administration responses to Preliminary Draft report.	4	Oct 9, 2012	MS Word
Doc 491	PATCO Compensation As of October 12 Employee salaries at PATCO.	1	Oct 12, 2012	MS Excel
Doc 492	DRPA - Compensation As of October 12 Employee salaries at DRPA.	1	Oct 12, 2012	MS Excel
Doc 493	2012 DRBA Departmental Pay Comparison Comparison of Public Safety salaries between agencies.	2	Oct 2012	MS Excel
Doc 494	Equipment List for Printing Services List of Printing Services equipment.	1	Oct 2012	MS Word
Doc 495	Incoming Bulk Mail Report Tabulation of weekly volume.	1		MS Excel



<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 496	Printing Services 12-31-11 Monthly Summary Report Monthly report of volume for 2011.	2	Sep 5, 2012	MS Word
Doc 497	Printing Services 2011 year end report Yearly report for 2011.	2	Sep 5, 2012	MS Word
Doc 498	Total Mail Cost Activity by month.	12		MS Excel
Doc 499	Resolution DRPA-12-076 IG modification Resolution resolving Inspector General reporting relationships.	3	Aug 13, 2012	PDF
Doc 500	Hay Compensation Study 1 15 97 Resolution for a compensation study by Hay Group.		Jan 15, 1997	MS Word
Doc 501	Hay Compensation Study Board Item Minutes of Board meeting regarding Hay Group study of compensation.		Jan 15, 1997	MS Word
Doc 502	DRPA Core Value Safety Competence Evaluation Form for evaluating employee safety core competence.	2		PDF
Doc 503	DRPA DRAFT Investment Policy Sets objectives and standards for DRPA investments.	5		PDF
Doc 504	DRPA General Fund Investment Parameters General fund investment policies.	1		PDF
Doc 505	Internal Auditor Sullivan Resume Resume for employment candidate.	2		PDF
Doc 506	CAO Memo Response v01 Comments in memo form from the CAO on draft report .01	7	Dec 6, 2012	MS Word

<b>ID</b>	<b>Name</b>	<b>Pages</b>	<b>Date</b>	<b>Type of Document</b>
Doc 507	DCEO Draft Report Comments v01 PDF verion of the .01 draft with notes by the Deputy CEO.	300	Dec 6, 2012	PDF
Doc 508	Draft Report .01 -- Comments Word version .01 draft in MS Word format.	300	Dec 6, 2012	MS Word
Doc 509	Draft Report 01 Response Sheet Response sheet for recommendations from various DRPA employees.	35	Dec 6, 2012	MS Word
Doc 510	Response Sheet Administrative Division v01 Response sheet for recommendations from various DRPA employees in the Adminstrative Division.	31	Dec 6, 2012	MS Word
Doc 511	DRPA Comments on Draft Report v0.2 Comments from the DRPA on v0-2 of the final report in the form of a marked up copy in MS Word.	267	Dec 31, 2012	MS Word
Doc 512	Additional Management Comments on v0.2 Draft A markup of the v0-2 draft final report with additional DRPA management comments	267	Jan 2, 2013	MS Word
Doc 513	CEO's response to the Final Report A letter response from the CEO regarding the Final Audit Report	5	Dec 31, 2012	MS Word
Doc 514	CGR's response to comments of v0.2 Responses to the comments provided by DRPA on v0-2 draft report providing disposition of comments.	5	Jan 7, 2013	PDF
Doc 515	Board's response to the Final Audit Report Board's Response to the Yellowbook Management Audit	1	Jan 8, 2013	PDF