

<i>POLICIES AND PROCEDURES- DEVELOPMENT, APPROVAL AND DISTRIBUTION OF</i>	PROCEDURE	
	Document Number:	AS-AS-PR-1000
	Version Number:	01

1.0 Purpose:

To ensure that VTA policies, procedures, and work instructions are reviewed, authorized and documented and maintained in a consistent manner.

2.0 Scope:

This procedure applies to all VTA work units, departments, divisions, and work sites.

3.0 Responsibilities:

Each division is responsible for ensuring that all documents are reviewed on a regular basis to ensure that they are up to date. The Chief Administrative Officer or designee shall be the document controller for VTA as a whole and each division shall appoint a controller for the division to ensure that the requirements of this procedure are carried out.

4.0 Procedure:

PREPARATION OF DOCUMENTS

- 4.1. The methods for conducting the business of VTA shall be documented in policies, procedures and work instructions. All policies, procedures and work instructions shall be made available electronically. All such documents shall be reviewed for legal, financial, internal control, and operational considerations.
- 4.2. The standardized template shall be made available on SOS and shall include: the VTA logo, title, document number, version number, date released, author's name and approvers' names.

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4.3 Policies shall include the following sections:

- 1.0 Purpose:**
- 2.0 Scope:**
- 3.0 Responsibilities:**
- 4.0 Policy:**
- 5.0 Definitions:**
- 6.0 Summary of Changes:**
- 7.0 Approval Information:**

4.4 Procedures and Work Instructions shall include the following sections:

- 1.0 Purpose:**
- 2.0 Scope:**
- 3.0 Responsibilities:**
- 4.0 Procedure:**
- 5.0 Definitions:**
- 6.0 Records:**
- 7.0 Appendices:**
- 8.0 Training Requirements:**
- 9.0 Summary of Changes:**
- 10.0 Approval Information:**

4.5 These sections shall be completed as follows:

- a). Purpose [Section 1.0] describes why the policy or procedure is being issued, the goal or objective of the policy/procedure, and its desired effect.
- b). Scope [Section 2.0] describes the specific areas of operation, organization, policy or process impacted or influenced by the document and, if applicable, the organizational areas that are exempted from the policy/procedure.
- c). Responsibility [Section 3.0] states the organizational assignment(s) of the person(s) charged with completing specified task(s) described in the document. These responsibilities may include identification of oversight and/or governance structures.

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- d). Policy/Procedure [Section 4.0] varies according to the type of document. In policies it contains a policy statement and indicates the specific regulations, requirements, or organizational behavior that the policy addresses. This may include any reasons and history that led to the creation of the policy. In procedures it describes a series of actions, acts or operations which will be executed in the same manner in order to obtain the same result in the same circumstances (for example, emergency procedures). In work instructions it contains the detailed step-by-step instructions for completing a task.
 - e). Definitions [Section 5.0] defines unfamiliar or technical terms or acronyms used in the document.
 - f). Records [Section 6.0 for Procedures and Work Instructions] lists all records generated by this process and indicates retention periods.
 - g). Appendices [Section 7.0 for Procedures and Work Instructions] lists all attachments, where applicable.
 - h). Training Requirements [Section 8.0 for Procedures and Work Instructions] describes any special training needed in order to complete the functions detailed in the document, where applicable.
 - i). Summary of Changes [Section 9.0 for Procedures and Work Instructions; Section 6.0 for Policies] contains a brief summary of document modification when revisions are made.
- 4.6. The abbreviation N/A shall be used in sections which do not apply.
- 4.7 Forms and checklists shall contain standardized headers and footers that include: the VTA logo, document name and date revised. As applicable, the document shall also contain brief instructions for use along with references to corresponding documents (i.e., procedure and/or work instruction).
- 4.8 All policies, procedures, and work instructions shall be numbered. The number for each document shall be obtained from the document controller for the division. The numbering system shall consist of a 2-3 letter abbreviation for the Division, a hyphen, a 2-3 letter abbreviation for the Department, a hyphen, PL for a Policy or PR for a Procedure, a hyphen, and then a 4 digit number determined by the Division (e.g. AS-HR-PR-1000). Should there be reorganization or change in the owner of the document, the

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number shall be changed accordingly.

APPROVAL OF DOCUMENTS

- 4.9 The author shall draft the document in accordance with this procedure and shall forward the document to the approvers within his/her division.
- 4.10 Policies with broad scope and importance (such as the Affirmative Action Policy and the Substance Abuse Policy) may require approval by the VTA Board of Directors. The Chief Administrative Officer shall consult with the General Counsel for these determinations.
- 4.11 Division Chiefs shall approve all new or revised policies and procedures proposed by that division. The Committee on Policies (COP), comprised of the General Counsel and Division Chiefs, shall review and approve policies and procedures.
- 4.12 Deputy Directors, Department Managers, or Unit Supervisors shall approve work instructions, forms, and checklists in their area of responsibility.
- 4.13 Once all sponsoring division approvals have been obtained for a proposed new or revised policy or procedure, the document shall be forwarded to the Chief Administrative Officer (CAO).
- 4.14 The CAO shall coordinate subsequent approvals/meetings. The CAO shall forward the draft policy or procedure to the General Counsel and all Division Chiefs for review at least two weeks prior to the Committee on Policies (COP) Meeting. Division Chiefs shall review the document from the perspective of their functional areas, e.g. General Counsel for legal implications, the CFO for financial and/or internal control implications, and the COO for operational considerations.
- 4.15 The CAO shall schedule the COP meeting. The document shall be reviewed and discussed at the meeting. If changes are required, the author shall make the needed changes and send the document through the approval process.
- 4.16 If the COP cannot agree as to the changes that shall be made, the document shall be forwarded to the Executive Committee for review and a decision. The author shall make whatever changes are required by the Executive Committee.

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- 4.17 The approved document shall be reviewed by the CAO and s/he shall determine whether it involves a change that must be discussed with the bargaining unit(s). If so, the document shall be referred by the CAO to Employee Relations for discussion with the appropriate bargaining unit(s).
- 4.18 If substantive changes are recommended as a result of these discussions, the document shall be referred back to the COP for approval. If no substantive changes result, any non substantive changes shall be made and the document shall be forwarded to the CAO.
- 4.19 If the document is a policy that requires the approval of the VTA Board of Directors, the CAO shall ensure that it is placed on the agenda for the appropriate committee and the full Board.
- 4.20 The policy shall be reviewed by the appropriate committee. If the committee requests changes those changes shall be made prior to forwarding it to the full Board. If the committee requests substantive changes, the policy shall be referred back to the COP.
- 4.21 Once the document has been finally approved, the CAO shall obtain the signature of the General Manager.
- 4.22 Once the General Manager's signature has been obtained, the CAO shall ensure that the document is added to the VTA intranet under SOS Policies/Procedures/Work Instructions and shall notify staff of the updated document.
- 4.23 If employee acknowledgement is required, each Division Chief shall ensure distribution of the document to their staff and shall ensure that each employee acknowledges receipt.

5.0 Definitions:

Approver: Person with the authority and responsibility to approve or disapprove a document.

Checklist: A list of items pertaining to a specific task, duty, or function that is used to verify completion of those items.

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Committee on Policies: A group, consisting of the General Counsel and all Division chiefs, or their designated representative, that is charged with reviewing and approving Policies and Procedures.

Document: A policy, procedure, work instruction, form, or checklist. Documents can be in any type of medium.

Document Controller: The person responsible for assigning a new document's procedure and revision number, creating new versions of an existing document, distributing approved documents to the Document Library database and making older versions obsolete.

Form: A standardized document that contains areas for required information to be input.

Originator/ Owner: The person responsible for using the appropriate format(s) and template(s) to create, distribute, and revise documents and the document's content and usability.

Policy: A high-level written statement of philosophy issued by the VTA Board of Directors or General Manager used in governing the management of VTA.

Procedure: The documented practice(s) defining the who, what, and when of departmental, divisional, or VTA activities. It defines the step-by-step processes in a sequence of operations to accomplish a task and may flow through several functional work groups.

Reviewer: Person responsible for assisting in the verification of a document's accuracy, consistency, and usability.

Revision Number: The sequential numbering of versions of documents. The initial version will be numbered 01.

User: Person responsible for using the document to fulfill work requirements.

Work Instruction: A detailed step-by-step list of activities to be performed to accomplish a specific task(s). Describes how something is done in greater detail than a procedure and is generally used only by staff within a department or work unit.

6.0 Records:

N/A

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7.0 Appendices

N/A

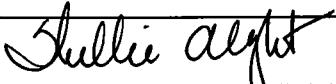


8.0 Training Requirements:

Prior to writing VTA procedures or work instructions it is recommended that authors complete a *Procedures Writing* course to be coordinated by Organizational Development and Training.

9.0 Summary of Changes:

Initial release of this procedure.

10.0 Approval Information:

<i>Prepared by</i>	<i>Reviewed by</i>	<i>Approved by</i>
 Shellie Albright	 Bill Lopez	 Michael Burns

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