

2.9 Emergency CEO Succession

Period: August 1, 2016 – July 1 2017

Date of Report: August 7, 2017
Service Committee Review: August 9, 2017
Board Review: August 17, 2017

TheRide board;

In accordance with the Board's Policy Manual; I present the August Monitoring report on **Executive Limitation Policy 2.9: Emergency CEO Succession**. This report consists of internal report information from staff.

I certify that the information is true and complete.

Matt Carpenter,
CEO
Ann Arbor Area Transportation Authority

Policy being monitored:

2.9 EMERGENCY CEO SUCCESSION

In order to protect the Board from sudden loss of CEO services, the CEO may have no fewer than one, and preferably two, other executives who are sufficiently familiar with Board and CEO issues and processes to be able to temporarily assume the duties of CEO.

Compliance Attestation: In compliance

CEO Interpretation:

This policy requires me to ensure that there are one to two staff members, besides me, that could function as the CEO for the AAATA on a temporary or interim basis if the CEO position is suddenly vacant. These individuals must be able to maintain all key AAATA functions without my guidance, especially through:

- leadership of organization's transportation services and administration
- working knowledge of board policies, processes, and staff obligations

I interpret the words "sudden loss" in this case to mean that this policy covers a sudden vacancy of the CEO position, and does not cover times when the sitting CEO is merely temporarily absent, for example on vacation or a pre-arranged medical leave. In those circumstances, the CEO is expected to appoint an "Acting CEO" to ensure a clear chain of command during his/her absence.

If the CEO position was suddenly vacant, or I am otherwise unable to perform my duties, the board's Executive Committee (Policy 3.7.2) will have one or two individuals they could select from to serve as interim CEO. I am obligated to ensure these positions exist and are filled, but the Board is not obligated to use those individuals.

Evidence and data:

In response to this policy, and as a way to effectively manage the organization, I have developed two Deputy CEO positions and successfully filled the positions within the last year:

- Deputy CEO of Operations
- Deputy CEO of Finance and Administration

Both of these positions are filled as of this report. I have high confidence that either individual could temporarily lead the organization's key functions in my absence. As AAATA's Executive Team, the CEO and deputies meet regularly to discuss the organization's business and ensure that we are collectively well-informed and well prepared. Both are familiar with all department managers and their responsibilities. As practice and good management, I also assign one of them to be Acting CEO when I am out of town on business or vacation, and alternate between them. Job descriptions for the Deputy CEO positions are attached.

To ensure working knowledge of board policies, processes, and staff obligations; I also have both deputies regularly attend many, if not all, Board and Committee meetings. Both have previous experience working with boards, have familiarized themselves with the principles of Policy Governance, and will be responsible for implementing several elements of Policy Governance as pertain to their divisional responsibilities, including Monitoring Reports, support to board on policy development, etc. One has already receive formal training in Policy Governance and the other will within a year.

ANN ARBOR AREA TRANSPORTATION AUTHORITY JOB DESCRIPTION

DEPUTY CEO, OPERATIONS

PAY CLASS 9
FLSA Status – Exempt

SUMMARY/OBJECTIVE

The Deputy CEO, Operations is responsible for ensuring that mobility services provided by the agency maintain the highest standards of safety, customer satisfaction, efficiency, and overall excellence in service delivery. The Deputy provides strategic leadership for the Operations Division and service-delivery departments in the agency. The Deputy will provide the leadership, management and oversight necessary to ensure the division has appropriate processes, procedures and systems in place so that the agency can make informed decisions, achieve its overall aims and run efficiently. The Deputy also provides agency leadership as part of the agency's Executive Team.

Direct reports include department managers of Bus Operations, Fleet Services, and Facilities Services.

Accountabilities and Essential Functions:

- 1. Lead and oversee all activities associated with service delivery and maintenance operations for the agency in order to advance the agency's overall direction, ensure compliance, and manage risks.**
 - Oversees the implementation of an effective, reliable and courteous bus, paratransit and other services; in order to advance the agency's goals and ensure a high level of customer satisfaction. Maintain and strengthens the agency's reputation for excellence in service delivery.
 - Oversees the management of vehicle and facility maintenance to ensure effective and efficient practices in safety and asset management.
 - Proactively work to enhance workplace and customer safety in order to minimize injuries associated with agency activities. Cultivate a culture of safety in the division. Work with Human Resources to advance organizational safety.
 - Create a culture of teamwork, continuous improvement, collaboration and proactive problem solving. Provide leadership for major change initiatives and improvements in order to enhance service delivery.
 - Work with the Executive Team and Board members to clarify, articulate and advance the agency's vision. Attend Board and Committee meetings to help facilitate understanding of operational considerations.
 - Foster excellent communications, working relationships and personal connections with agency employees. Oversee consistent implementation of work rules and labor contract administration and compliance. Coordinate with Human Resources, to take a lead role in labor relations and collective bargaining.
 - Foster excellent relationships with outside stakeholders including operational staff in nearby local government in order to enhance service delivery, advance agency objectives and maintain the agency's credibility.
 - Assist with reporting for agency-wide compliance (i.e. FTA Triennial Review, NTD reporting), and lead coordination as required.
 - Limit the agency's exposure to risk, proactively identifying risks and establishing internal controls and mitigations.
 - Ensure the integrity of resource allocation and budgets. Proactively work to coordinate resource

1 These examples are intended merely as illustrations of the various types of work performed. Employees are required to perform other related functions as assigned. Please note duties, responsibilities and activities may change at any time with or without notice.

priorities. Develop and utilize performance metrics to monitor performance of operations.

- Lead the agency's preparation for and implementation of emergency operations situations (i.e. disaster response and recovery).

2. Provide senior leadership and supervision for the Operations division for the purpose of developing a high-performance team that can deliver services effectively and efficiently in a changing environment.

- Model and promote appropriate behaviors to foster a positive workplace culture.
- Inspire staff to enhance employee engagement. Help staff to understand the agency's common purpose, values, ideals, and goals. Help staff to understand how their role contributes to the overall success of the team and impacts in the community. Translate the agency's strategic direction into divisional strategies.
- Encourage reflection and innovation in order to create an atmosphere of learning, growth and continuous improvement. Identify emerging trends, challenges and opportunities. Assist with change leadership.
- Ensure effective communication and coordination within the division, and between the division and other parts of the organization. Assist in leading communication with Board members, staff and partners. Establish cross-functional teams as needed.
- Foster delegation, empowerment and collaboration for staff in order to encourage staff growth, organizational productivity and superior results.
- Ensure recognitions and celebrations to enhance employee engagement, pride, loyalty, and commitment to team and community (*esprit de corps*).
- Help staff reach their potential in order to enhance individual and organizational capacity. Provide clear expectations, coaching and feedback to direct reports in order to build on strengths, and foster learning and continuous improvement. Hold staff accountable for decisions, behaviors and actions. Establish employee development and succession plans.
- Build strong working relationships with the CEO, Board, staff, stakeholders, and partners.

3. Ensure effective and efficient approaches to resource management throughout the division for the purposes of delivering agreed upon results.

- Work to ensure the division delivers agreed-upon results with the appropriate balance of quality, cost and timeliness. Oversee implementation of key projects or initiatives.
- Establish and recommend appropriate allocation of people and resources to ensure successful and efficient service delivery to internal and external customers. Recruit, hire and train direct reports to ensure the division is positioned with the necessary talent and skills.
- Establish and recommend appropriate policies, processes, procedures, and systems to help effectively and efficiently handle workload. Establish appropriate organizational structures, and vertical and lateral communication flows. Ensure all are documented clearly.
- Demonstrate strong fiscal management including overseeing budgets, monitoring and managing financial resources, deadlines, and performance measures. Responsible for developing, implementing and monitoring effective internal controls.
- Lead business planning ensuring clear goals, alignment and team understanding. Ensure smooth functioning between departments and divisions.
- Ensure compliance with all relevant agency, regulatory, legislative and policy requirements, including those related to safety and privacy, confidentiality and record management. Ensure appropriate risk, asset, and liability management actions.
- As delegated by the immediate supervisor, arrange/negotiate contracts, agreements, partnerships and other undertakings with outside organizations, ensuring the parameters of Authority policies are met.

4. Participate in senior agency leadership to ensure the development and success of the overall organization.

- As a member of the Executive Team help to clarify and implement the agency’s strategic direction, administrative policies and decisions as required. Work with the CEO and other Deputy CEO to foster collaboration throughout the agency.
- Operate as an interface between Executive Team and staff or the Board in order to foster strong and effective vertical and lateral communications and information flow.
- Ensure intra and inter-divisional communication and collaboration to clarify expectations, maximize integration, resolve misunderstandings, minimize overlaps, leverage economies of scale, improve overall organizational capabilities, and realize efficiencies. Support cross-functional teams as needed.
- Perform other leadership duties, as assigned. This may include acting for this position’s immediate supervisor.
- Support strong working relationships between Administration and the Board of Directors by working with Board members directly.

Knowledge, Skills, and Abilities:

- Bachelor’s Degree from an accredited four-year college or university in operations, logistics, Business Administration, Public Administration, or related field.
- Minimum of 10 years of progressively more responsible leadership roles related to operations, preferably in a public transit agency, large operational agency, government, or similar environment.
- Experience with transportation operations is essential.
- Experience with Federal Transit Administration programs and requirements is strongly desired.
- Ability to analyze, recommend, and implement solutions to complex operational problems and issues.
- Considerable knowledge and skill in preparation, development and administration of short- and long-range, strategic operational plans, complex and comprehensive reports and documents.
- Ability to communicate effectively verbally and in writing; ability to establish and maintain effective working relationships with employees, Board members and the public.
- Ability to contribute to senior executive leadership of agency, lead and work in teams, inspire staff, and work without close supervision.
- Ability to inspire and supervise senior direct reports. Ability to help them succeed and hold them accountable.

Physical Demands:

<u>Physical Demands</u>		<u>Lift/Carry</u>	
- Stand-	Occasionally	- Less than 10 lbs-	Occasionally
- Walk-	Occasionally	- 10 - 29 lbs-	Occasionally
- Sit-	Frequently	- 30 - 59 lbs-	Rarely
- Use of Hands/Fingers-	Constantly	- 60 - 100 lbs-	Not Applicable
- Reach-	Occasionally	<u>Push/Pull</u>	
- Climb-	Rarely	- Less than 10 lbs-	Occasionally
- Crawl-	Not Applicable	- 10 - 29 lbs-	Occasionally
- Squat or Kneel-	Occasionally	- 30 - 59 lbs-	Rarely
- Bend-	Occasionally	- 60 - 100 lbs-	Not Applicable

Reports to:

Chief Executive Officer

ANN ARBOR AREA TRANSPORTATION AUTHORITY JOB DESCRIPTION

DEPUTY CEO, FINANCE AND ADMINISTRATION

PAY CLASS
FLSA Status – Exempt

SUMMARY/OBJECTIVE

The Deputy CEO of Finance and Administration is the agency's chief financial officer and chief administration officer. They are responsible for overseeing, coordinating, directing, and administering the financial affairs of the agency. This position also ensures that internal administrative functions are effective and efficient, while balancing corporate needs and risk management with internal customer-service priorities. The Deputy CEO of Finance and Administration will provide the leadership, management, and oversight necessary to ensure the Authority has appropriate processes, procedures and systems in place so that the agency can make informed decisions, achieve its overall aims and run efficiently, while remaining financially sustainable.

Direct reports include department heads of Finance, Planning (Service Development), Purchasing, and Information Technology.

Responsibilities and Essential Functions¹:

- 1. Lead and manage all activities associated with financial planning and management, and general administrative management for the agency in order to advance the agency's overall direction, ensure compliance, and manage risks.**

Financial and Administrative Management

- Leads and manages the agency's overall financial affairs to ensure resources are effectively used to advance the agency's overall direction, and the agency remains financially sustainable. Areas of oversight include but are not limited to financial planning and analysis, policy development, budgeting, accounting, monitoring and reporting, internal controls, grants, investments, cash management, payroll and capital project financing.
- Lead and manage development of operating and capital budgets.
- Establish processes, practices, procedures, and systems.
- Help to identify, establish and implement necessary financial policies such as for reserves, debt financing, etc.
- Effectively communicate financial information to ensure that an accurate understanding of the financial condition of the agency, and the context and implications of decisions can be clearly understood.
- Provide necessary financial and economic analysis to aid agency decision-making, including but not limited to revenue and expense projections, cost-benefit, ROI, etc.
- Ensure that adequate financial controls are in place for all projects. Provide financial oversight for major projects.
- Maximize funding/financing opportunities to advance the agency's overall direction.
- Proactively researches, evaluates and incorporates sound and innovative financial and administrative practices to improve agency performance.
- Balance needs for consistent corporate practices, with needs of internal customers.

Compliance & Reporting

1 These examples are intended merely as illustrations of the various types of work performed. Employees are required to perform other related functions as assigned. Please note duties, responsibilities and activities may change at any time with or without notice.

- Ensure that the agency complies with applicable Federal, State and Local laws and regulations. Remains up-to-date with applicable regulations.
- Responsible for developing, implementing and monitoring effective internal controls.
- Oversees reporting for agency-wide compliance (i.e. FTA Tri-Annual Review, NTD reporting)
- Oversees coordination of annual audit process.
- Maintain and strengthen the agency's reputation for sound financial management.

Asset Management and Risk Management

- Limit the agency's exposure to financial and reputational risk, proactively identifying risks and establishing internal controls and mitigations,
- Ensure the agency has consistent and appropriate controls and safe guards on all financial and administrative activities including accounting, purchasing, cash handling, deposits and investments, contract documentation, records retention, etc.
- Develop and provide appropriate processes for managing finances of projects. Monitor compliance. Assist and trouble-shoot as needed.
- Ensure appropriate levels of insurance, indemnity, etc for all aspects of the agency, including but not limited to the Board, senior staff, all staff, facilities, equipment, liability, etc.

2. Provide senior leadership and supervision for the Finance and Administration division for the purpose of developing a high-performance team that can deliver services effectively and efficiently in a changing environment.

- Model and promote appropriate behaviors to foster a positive workplace culture.
- Inspire staff to enhance employee engagement. Help staff to understand the agency's common purpose, values, ideals, and goals. Help staff to understand how their role contributes to the overall success of the team and impacts in the community.
- Encourage reflection and innovation in order to create an atmosphere of learning, growth and continuous improvement. Identify emerging trends, challenges and opportunities. Assist with change leadership.
- Ensure effective communication and coordination within the division, and between the division and other parts of the organization. Assist in leading communication with Board members, staff and partners. Establish cross-functional teams as needed.
- Foster delegation, empowerment and collaboration for staff in order to encourage staff growth, organizational productivity and superior results.
- Ensure recognitions and celebrations to enhance employee engagement, pride, loyalty, and commitment to team and community (*esprit de corps*).
- Help staff reach their potential in order to enhance individual and organizational capacity. Provide clear expectations, coaching and feedback to direct reports in order to build on strengths, and foster learning and continuous improvement. Hold staff accountable for decisions, behaviors and actions. Establish employee development and succession plans.
- Build strong working relationships with the CEO, Board, staff, stakeholders, and partners.

3. Ensure effective and efficient approaches to resource management throughout the division for the purposes of delivering agreed upon results.

- Work to ensure the division delivers agreed-upon results with the appropriate balance of quality, cost and timeliness. Oversee implementation of key projects or initiatives.
- Establish and recommend appropriate allocation of people and resources to ensure successful and efficient service delivery to internal and external customers.
- Establish and recommend appropriate policies, processes, procedures, and systems to help effectively and efficiently handle workload. Establish appropriate organizational structures, and vertical and lateral communication flows. Ensure all are documented clearly.

- Demonstrate strong fiscal management including overseeing budgets, monitoring and managing financial resources, deadlines, and performance measures.
- Lead business planning ensuring clear goals, alignment and team understanding. Ensure smooth functioning between departments and divisions.
- Manage compliance with all relevant agency, regulatory, legislative and policy requirements, including those related to safety and privacy, confidentiality and record management. Ensure appropriate risk, asset, and liability management actions.
- As delegated by the immediate supervisor, arrange/negotiate contracts, agreements, partnerships and other undertakings with outside organizations, ensuring the parameters of Authority policies are met.

4. Participate in senior agency leadership to ensure the development and success of the overall organization.

- As a member of the Executive Team help to clarify and implement the agency’s strategic direction, administrative policies and decisions as required.
- Operate as an interface between Executive Team and staff or the Board in order to foster strong and effective vertical and lateral communications and information flow.
- Ensure intra and inter-divisional communication and coordination to clarify expectations, maximize integration, resolve misunderstandings, minimize overlaps, leverage economies of scale, improve overall organizational capabilities, and realize efficiencies. Support cross-functional teams as needed.
- Perform other leadership duties, as assigned. This may include acting for this position’s immediate supervisor.
- Support strong working relationships between Administration and the Board of Directors by working with Board members directly.

Knowledge, Skills, and Abilities:

- Bachelor’s Degree from an accredited four-year college or university in Business administration, Public Administration, Finance or related field. Master’s Degree preferred.
- Minimum of 8 years of progressively more responsible leadership roles related to financial management, preferably in a public transit agency, large operational agency, government, or similar environment.
- Experience with financial planning, budgeting, analysis, policy, reporting; compliance, risk management essential.
- Experience with Federal Transit Administration programs and requirements desired.
- Ability to analyze, recommend, and implement solutions to complex financial problems and issues.
- Considerable knowledge and skill in preparation, development and administration of long range, strategic financial plans, complex budgets and other comprehensive financial reports and documents.
- Ability to communicate effectively verbally and in writing; ability to establish and maintain effective working relationships with employees, Board members and the public.
- Ability to contribute to senior executive leadership of agency, lead and work in teams, inspire staff, and work without close supervision.
- Ability to inspire and supervise senior direct reports. Ability to help them succeed and hold them accountable.

Physical Demands:

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Reports to:

Chief Executive Officer