

San Francisco Bay Area Rapid Transit

Office of the Inspector General

Span of Control Audit



AUDIT HIGHLIGHTS



The Office of the Inspector General is pleased to present its audit report: *BART Can Benefit from Applying Span of Control Analysis in its Organizational Decision-Making*. We conducted this audit to assist BART in improving performance, decision-making, communication, and accountability by identifying optimal spans of control for each of its functional work areas throughout the District. While there is no one-size-fits-all approach for identifying an optimal span of control, establishing guidelines and standards influenced by best practices can help BART identify desired spans of control that allow managers and supervisors to nurture productive relationships with their employees and provide sufficient oversight of contractors.

Although some BART executives have established span-of-control targets for their specific work areas, the District has not established benchmarks defining desired span-of-control levels or targets for its varied functions. This creates a risk that the District's management and supervisory levels are not designed to prepare for and lessen the effects of the challenges and threats that BART faces in providing reliable transit services.

What those threats and challenges are is dependent on the work area in question. For example, BART police executives discussed the need for their sergeants' span of control to allow for fast and adequate responses to emergencies. While that need is unique to the police department, there are four common factors that must be considered no matter the work area in question: its environment, size, and strategies, and its use of or reliance on technology.

Understanding work environments requires access to reliable data. However, the District's organizational data creates challenges in identifying spans of control in each of its work units without also conducting interviews with executives, as was necessary for this audit. Factors such as incomplete Human Resources data, workloads created by contract management responsibilities, and inconsistent role definitions create barriers to easily relying on organizational data to assess spans of control in the District's varied work functions. This creates limitations to BART's ability to conduct a robust analysis of its organizational structure and readily identify the roles and responsibilities of its employees.

WHY THIS AUDIT MATTERS



Span of control is key to defining how streamlined and agile BART can be in delivering optimal service and responding to challenges, such as its current fiscal crisis. Defined metrics will allow BART to know if it is structured appropriately to avoid mistakes and manager burnout, create equity among its employees, and avoid time waste resulting from unclear roles and poor communication channels.

RECOMMENDATIONS IN BRIEF

To ensure the success of its strategies, BART management should:

- Maintain accurate organizational data and charts.
- Establish span-of-control criteria, guidance, and policies.
- Adopt span of control as a required management tool.

See the accompanying report for full details and the District's response to each recommendation.

SPECIAL THANKS

We thank [TAP International](#) for their excellent work in completing this audit. We contracted with TAP to conduct the audit on our behalf as part of our [FY22-24 Audit Plan](#). Their attention to detail and expertise is evident in their work.

We also thank BART executives for their cooperation and assistance during this audit. Their valuable input helped complete a fair and balanced audit.

SPAN OF CONTROL DEFINED

Span of control refers to the number of people a manager or supervisor directly oversees and is classified as either wide or narrow. Each type has its unique advantages and challenges and the choice between the two depends on factors such as the nature of the work, organizational preferences, employee skills and knowledge, industry norms, and complexity of tasks. Both wide and narrow spans have their place across work units and job levels. The key is finding a balance that maximizes operational efficiency, promotes effective management, and aligns staffing with organizational goals and objectives. Span-of-control management requires examining organization structure vertically, horizontally, and over time and is a complex task that is not easily completed without accurate data.

SPAN OF CONTROL TYPES

Wide Span of Control

Features

- More employees per manager or supervisor
- Lower managerial costs
- Beneficial for managing co-located teams
- Suitable for repetitive tasks

Advantages

- Cost-effective
- Enables faster decision-making
- Promotes clear policies & procedures
- Managerial focus on improving operations

Disadvantages

- Risk of overtaxing supervisors & managers
- More challenging to manage large & diverse teams
- May reduce frequency of manager-employee interactions

Narrow Span of Control

Features

- Fewer employees per manager or supervisor
- Higher managerial costs
- Beneficial for managing remote teams
- Suitable for highly specialized & technical work

Advantages

- Opportunity for close supervisory review
- Minimizes risk of error
- Useful for employee on-the-job training
- May be suitable for new functional work areas

Disadvantages

- Risk of employee micromanagement
- May limit cross-functional problem-solving
- Potential delays in sharing information & decision-making

FULL AUDIT REPORT

Users of this summary report should refer to the accompanying audit report for full details on the audit findings, conclusion, and recommendations, as well as BART management's response to those recommendations.

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TAP INTERNATIONAL, INC.
TRAINING ANALYTICS PERFORMANCE

Bay Area Rapid Transit District (BART)

BART Can Benefit from Applying Span of Control Analysis in its Organizational Decision-Making

Final Report

March 19, 2024



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REPORT HIGHLIGHTS

Why This Review Matters

Span of control analysis determines the number of employees for which an individual is directly responsible for overseeing their work. Span of control analysis is an essential aspect of organizational design and management strategy. It is a valuable tool for organizational design because it offers opportunities to optimize organizational effectiveness, ensures efficient resource use, and promotes effective communication within an organization.

Why and How We Completed the Review

The San Francisco Bay Area Rapid Transit District (BART) Office of Inspector General (OIG) contracted with TAP International to support its effort to implement its annual audit work plan, which included a performance audit of BART's span of control. Annual audit work plans generally include audits with potential improvement opportunities in an organization. The purpose of this audit was to determine BART's span of control, compare BART's span of control activities with best practices and other transit agencies, and identify factors BART executives should use when considering organizational design. TAP International completed this performance audit by analyzing BART's personnel information across 16 BART offices, including the Office of the Inspector General and Capitol Corridor.¹ The audit also involved interviewing BART's executives, assessing reporting relationships, and comparing the results to best management practices of three other comparable transit agencies.

We analyzed span of control ratios using the median (versus the average) to minimize the effect of overstated or understated supervisory ratios in the personnel information due to undefined reporting relationships or position vacancies.

What We Found

BART has not yet established benchmarks that define desired levels of span of control, consistent with other transit agencies. Without establishing a specific target, the overall number of supervisors to employees is about 1:4, ranging from 1:1 to 1:8.5 across 16 BART offices. Span of control ratios among the lower organizational layers of the offices are generally higher although we identified 60 cases where one employee supervises the work of another. Further review of these reporting relationships could potentially present an opportunity for cost savings if higher spans of control are justified so that these 60 cases of one supervisor per employee could shift to allow more employees per supervisor.

The underlying organizational data used to support span of control analysis both overstates and understates the ratios because of multiple factors that include: (1) incomplete data in BART's Human Resources Information System (HRIS), especially among lower organizational layers of BART offices; (2) BART not recognizing the workloads created from implementing contract management responsibilities when considering span of control; and (3) the use of inconsistent role definitions where positions like engineers or managers are sometimes considered supervisory and sometimes are not. Incomplete data

¹ The Inspector General is appointed by the Governor of the State of California and the Office of the Inspector General provides information and audits to the BART Board of Directors. BART provides day-to-day management support to the Capitol Corridor Joint Powers Authority (CCJPA); the CCJPA provides policy direction to the staff. Both were included in this audit for completeness purposes.

for determining span of control limits BART executives' ability to recognize opportunities for improvement.

Best practices suggest considering four key organizational areas when designing an organizational framework – operating environment, size, strategy, and technology. While BART does not have policies to guide executives with criteria to make organizational changes, BART executives identified nine specific factors related to these areas when thinking about their organizational design. Seven of these factors coincide with the operating environment, followed to a much lesser extent by factors related to organizational size, and strategy. Factors related to technology were not considered in an office's organizational framework. The nine factors considered by BART executives in their efforts to design their offices include the:

- Nature of the work
- Supervisory skill and responsibilities
- Employee competency
- Risk (financial, operational, reputational)
- Employee development and morale
- Geographic location
- Resource (budget) availability
- Agency or office goals and objectives
- Degree of collaboration

Half of the BART executive offices consider span of control in making decisions about organizational design and the executives report that, as a management tool, the use of span of control can help address key agency-wide challenges.² These challenges, as outlined in BART's fiscal year 2024-2025 budget, include financial difficulties arising from the COVID-19 pandemic's impact on farebox revenue and the escalating costs of rail expansion. Additionally, BART grapples with resource challenges in employee hiring and retention, compounded by staff loss through retirement incentives and hiring freezes.

Conclusion

While use of span of control as a management strategy varies across BART, its formal adoption as a management strategy can strengthen internal controls, ensure accountability, foster collaboration, and aid BART in navigating operational challenges effectively. The key areas that need attention for BART to effectively implement span of control include strengthening the accuracy of reporting relationships across all organizational layers and establishing guidance on the factors to consider when implementing span of control analysis. Addressing these areas can create opportunities for improved clarity, communication, data-driven decision-making, and alignment with organizational goals. BART should formally adopt span of control as a key management strategy and use it to better manage its offices and achieve its goals. We make five recommendations for BART to best use span of control to improve operations and accountability, recognizing that appropriate span of control may vary by department and by level within a department.

² Offices with very few positions may not benefit as much from using span of control as a management tool compared to larger offices.

Recommendations

1. To ensure the success of strategies that promote cost-effective communication and collaboration, the Human Resources Director should develop processes to ensure that the HRIS includes an up-to-date dataset of reporting relationships among BART employees, including the lower organizational layers.

2. The BART General Manager should set expectations that executive offices maintain up-to-date organization charts that include consideration of workloads created by contract management responsibilities, making transparent where accountability and the workload for contract management activities resides.

3. The BART General Manager should establish guidance and/or criteria on the factors that executives should follow when assessing their organizational frameworks and making changes to spans of control to improve organizational health or performance. The guidance for making changes to span of control should include:

- Considering risk mitigation for areas of moderate to high operational, financial, service delivery, internal control, or reputational risk;
- Widening span of control ratios where a supervisor has only one or no direct reports (including at the Executive or Director level);
- Promoting equity in spans of control among employees holding the same position classification;
- Acknowledging the level of accountability for contracted work and its effect on spans of control;
- Considering the administrative workload of supervisors that may facilitate the need for narrower spans of control, such as timesheet review and preparation of performance evaluations.

4. The BART General Manager should adopt span of control as a management tool and require its use under the following conditions:

- When considering promotions and defining career development pathways,
- To ensure alignment with executive office goals,
- When identifying opportunities for collaboration and cross-training, and
- When there are opportunities to make operational enhancements in lieu of adding positions.

5. The BART General Manager should establish policies stipulating the conditions supporting span of control ratios of one supervisor to one employee.

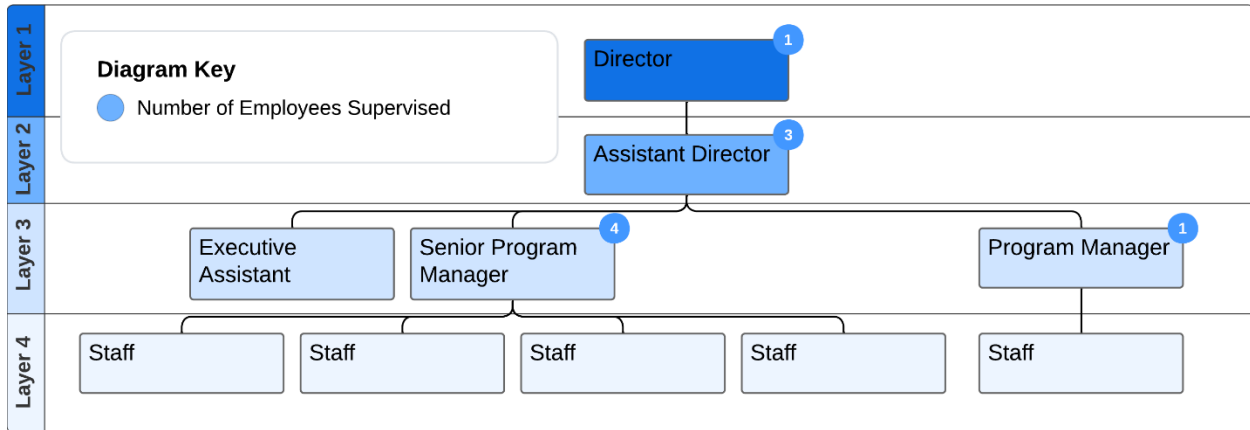
BACKGROUND

What is Span of Control?

Span of control is the number of employees reporting directly to an individual (supervisor). This can encompass one or more layers in an organization, from the top levels down to the lowest rank positions.

Figure 1 illustrates four organizational layers. Organizational layer (OL) indicates the number of organizational levels with supervisory responsibilities and measures the distance from those in charge of the organization to the organizational layer where the employee works.

Figure 1: Illustration of Organizational Layers in Span of Control



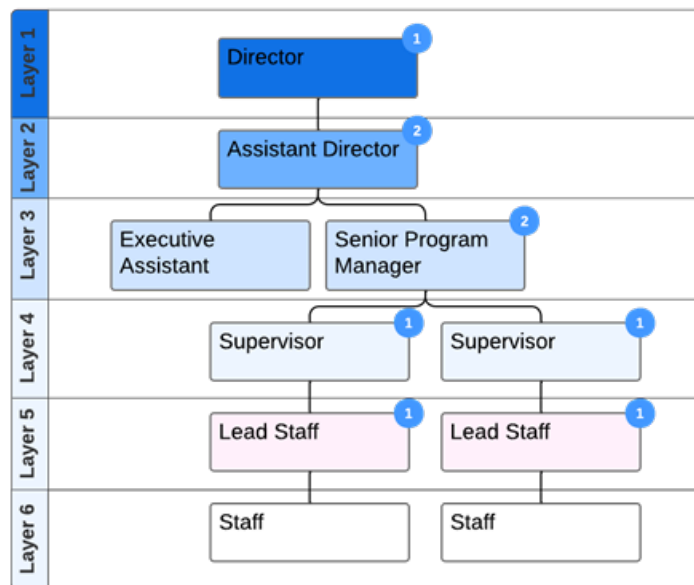
Span of control is often referred to being narrow or wide, after the shape of the organizational chart used to illustrate the measured reporting relationships.

Narrower span of control

A narrower span of control entails assigning more employees with supervisory responsibility, as illustrated in **Figure 2**. This model can incur higher costs, but it also offers opportunities for employee development, enhanced compliance, and focused technical expertise.

Under a narrow span of control, a supervisor may oversee one to two employees, as illustrated in Figure 2.

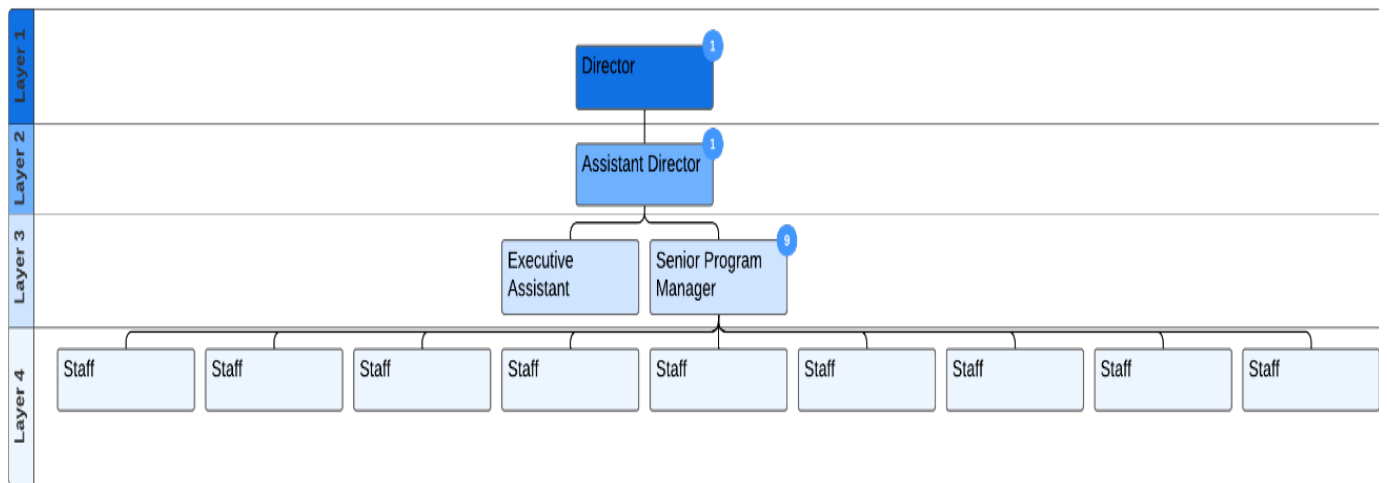
Figure 2: Illustration of Narrower Span of Control



Wider span of control

Wider spans of control involve having fewer supervisors, as illustrated in **Figure 3**. This model can result in lower managerial costs and is considered beneficial for faster decision-making and reduced micromanagement. Under a wider span of control, one supervisor may oversee nine or more employees, as illustrated in Figure 3, and is commonly observed when employees are holding the same positions and perform the same tasks, with minimal risk to the organization's goals.

Figure 3: Illustration of Wider Span of Control



What is the Value of Span of Control Analysis?

Using span of control as a management tool can benefit an organization in the following areas to improve organizational health and performance:

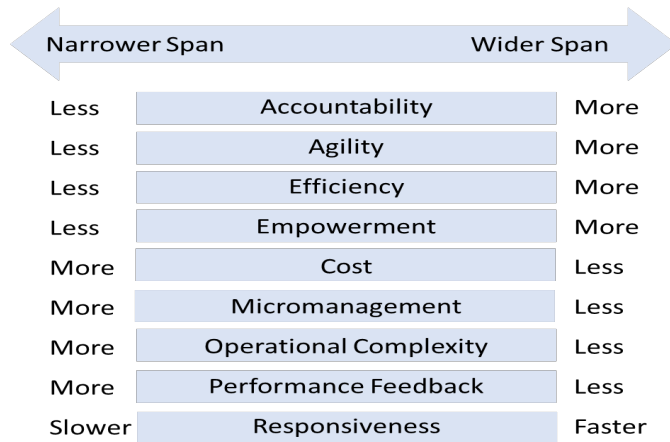
1. **Efficiency:** If a manager has too few subordinates, they may underutilize resources and their decision-making processes might be slow. Conversely, a too-large span of control can decrease effectiveness and result in a lack of control.
2. **Communication:** A wider span of control may facilitate more direct and frequent communication between a manager and lower-level employees, with fewer organizational layers. These benefits include conveying information and addressing concerns. With a narrower span of control, communication channels may become more complex, necessitating more formalized communication structures.
3. **Supervision and leadership:** A manager with a narrower span of control may have more time to dedicate to each subordinate, providing closer supervision and more personalized leadership. Conversely, a larger span of control may require managers to rely more on delegation and trust in subordinates' abilities.
4. **Flexibility and Adaptability:** The optimal span of control can vary based on the organization, industry, and specific tasks involved. Some organizations benefit from a broader span of control, fostering adaptability and quick decision-making, while others require a narrower span for more detailed oversight.

5. **Organizational Structure:** A flat organizational structure typically has a broader span of control, while a tall structure may have a narrower span. The analysis helps align the span of control with the chosen organizational structure.
6. **Employee Morale and Satisfaction:** Span of control can impact employee morale and satisfaction. Too much oversight or too little attention from a manager can affect job satisfaction. Finding the right balance through span of control analysis contributes to a positive work environment.
7. **Organizational design:** Depending on an organization's goals and objective, span of control can be a useful tool to ensure optimal levels of supervisor and staff to facilitate goal completion.
8. **Collaboration:** Collaboration is beneficial for the span of control in various ways, particularly in the context of organizational management and leadership. It allows for the pooling of resources, skills, and expertise among team members and aids in managing larger spans of control. In collaborative decision-making, leaders can delegate tasks and empower team members to make decisions within their expertise, lightening the managerial load. Moreover, a team working collaboratively is often more adaptable to change and can innovate more effectively, reducing the need for micromanagement and allowing leaders to focus on strategic aspects of their role. Finally, collaboration promotes a sense of shared responsibility among team members. When team members share the responsibility for achieving goals, managers can trust the team to self-organize and manage their work, reducing the need for direct supervision. As team members grow in their roles, they become more self-sufficient and capable, allowing leaders to expand their span of control without sacrificing effectiveness.

Using the illustration in **Figure 4** below, if an organization would like to provide more frequent as well as effective employee performance feedback, then a narrower span of control can help accomplish the goal. Establishing a wider span of control will likely have an adverse effect on the organization's ability to accomplish the goal.

In another example, if an organization establishes a goal to micromanage less, then under a wider span of control, a supervisor has less time for direct reports and theoretically less time to direct the work of each individual report.

Figure 4: Impact that Span of Control Has on Organizational Goals



When Should an Organization Use Span of Control?

Routine assessment of organizational health and using indicators, such as span of control, are recommended as best practices. Literature identifies four opportunities for making changes to organizational design, including span of control. These opportunities arise when organizations (1) combine related programs, (2) want to improve the flow of information throughout an organization, (3) change goals, and (4) want to properly allocate resources to support activities and maintain proper accountability.

Project Approach

Audit Objectives

The BART Office of Inspector General (OIG) entered into a contract with TAP International, Inc. to perform a performance audit on BART's span of control. The audit aimed to: (1) Determine the span of control (number of staff reporting to each employee with supervisory responsibility, such as managers, supervisors, or lead staff) within BART and compare it with best practices and other transit agencies; and (2) Identify the factors influencing BART's span of control and assess how they are applied throughout BART.

Methodology

To address our audit objectives, TAP International obtained a dataset of the most recent individual reporting relationships extracted from BART's HRIS. We used the data to calculate an initial span of control ratio for each department. We then illustrated the results in organizational charts created for each of 16 offices included in the audit, as follows:

Participant Offices

1. BART Police
2. Capitol Corridor*
3. Controller-Treasurer (BAO)
4. District Secretary (BAO)
5. General Counsel (BAO)
6. Independent Police Auditor (BAO)
7. Office of Administration
8. Office of the General Manager, Office of Civil Rights
9. Office of External Affairs
10. Office of Inspector General (BAO)*
11. Office of Infrastructure Delivery
12. Office of the General Manager, System Safety
13. Office of Performance & Budget
14. Office of Planning & Development
15. Office of Technology
16. Operations

*The Capital Corridor and OIG participated in the audit for completeness purposes. Capitol Corridor is operated by a joint powers authority, governed by a board that includes two elected representatives from each of eight counties the Capital Corridor train travels through. The OIG is appointed by the Governor and provides services independent of the General Manager's Office. The audit included the Offices of Civil Rights and Systems Safety as part of the General Manager's Office.

In meetings with executive management in each office, including BART's bargaining unit representative, we discussed span of control. Where applicable, we updated organization charts to reflect the current organizational design for each office. Each meeting encompassed a discussion on reporting relationship data, factors influencing span of control, and opportunities and risks presented by the current organizational framework. For each office with an updated organizational chart, we recalculated the span of control ratio.

This audit examined span of control as a management strategy from three other comparable agencies – LA Metropolitan Transportation Agency (LA METRO), Southeastern Pennsylvania Transportation Authority (SEPTA), and Metropolitan Atlanta Rapid Transit Authority (MARTA). These agencies, selected based on input from BART management and TAP International’s independent analysis of size, provide rail passenger service. These agencies did not have organizational data sets to make useful comparisons of span of control ratios.

Finally, TAP International compared the span of control information collected throughout the audit against span of control management literature, where applicable.

Limitations of the Review

Inherent limitations in our approach include:

- The span of control data reported in this audit relies on formal reporting relationships captured in BART’s HRIS, which does not encompass indirect reporting relationships. This report describes indirect reporting relationships based on information provided by BART executives.
- Comparable data to facilitate quantitative span of control ratio comparisons between BART and other transit agencies were not readily available. This report discusses comparable challenges among the peer agencies.
- Each office is responsible for documenting its organizational structures, contributing to the variation in the completeness of organizational data. BART’s executives, for many offices, provided substantial corrections to BART organizational data and charts for use in this audit, acknowledging that the data and organizational charts, in some cases, had become outdated. The audit relied upon the updated data and charts as a point in time snapshot because many executives reported anticipating future changes to their organizational structures. Maintaining current organizational charts is crucial for monitoring spans of control on an ongoing basis and achieving the benefits related to having an optimal span of control for the organization.
- This audit did not include a staffing analysis that would integrate workload data in assessing the adequacy of span of control ratios in each office.
- This audit also did not involve an independent assessment of whether the current span of control ratio effectively meets BART and/or office goals. This report, instead, describes reported information from BART executives.
- Organizational design is one of many ways to improve performance. This audit does not assert that span of control is the most valuable approach to addressing BART’s challenges. Other approaches include changes to administrative systems and program components, providing additional resources, or coordination across government agencies.

Audit Statement

Our work was conducted between May 25 and October 31, 2023. We conducted this performance audit in accordance with Generally Accepted Government Auditing Standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives. A draft report

was provided to BART's General Manager for review and comment. See Appendix D and E for additional information.

Factors Related to Auditor Independence

The U.S. Government Accountability Office, whose Generally Accepted Government Auditing Standards TAP International is obligated to follow, requires assessing factors impairing Auditor independence. The Auditor did not encounter any impairments of independence by BART management or staff.

Assessment of the Reliability of Data

Generally Accepted Government Auditing Standards require assessment of the sufficiency and appropriateness of computer-processed information to support our findings, conclusions, and recommendations. In conducting this audit, the HRIS is sufficiently reliable for the purpose of drawing conclusions about this audit upon collecting supplemental supervisory information from each BART department.

Assessment of Internal Control

Generally Accepted Government Auditing Standards require an assessment of internal controls if internal controls are applicable to the audit objectives. Internal controls are processes, procedures, and other tools management uses to assist an entity achieve its objectives and comply with applicable laws and regulations. However, internal controls are not applicable to the objective of this audit.

KEY FINDINGS

Finding 1: Span of Control Ratios Vary Throughout BART

Span of Control Benchmarks Are Not Generally Established

Over time, best practices for determining the number of employees per supervisor have evolved. What was once discussed as a target in the ongoing evolution of the literature on organizational management has moved away from establishing a fixed standard. The absence of a universally established standard for spans of control in a public agency can be attributed to several factors as follows:

- (1) Diversity of organizational purpose:** Public agencies can have unique requirements and considerations when it comes to designing organizational structures. What works well in one type of public agency may not be suitable for another.
- (2) Varied applications:** Span of control structures are used in diverse applications, from manufacturing processes to environmental control to financial systems. Each application may require different control ratios based on specific parameters and goals, as well as management styles.
- (3) Technological advances:** Rapid advancements in technology can lead to changes in span of control systems. New technologies may necessitate the development of different control ratios to optimize performance and efficiency.
- (4) Regulatory environment:** Public agencies often operate under different regulations and standards, which can vary widely, contributing to the lack of a universal standard.

A 2017 publication reports typical spans of control range from 1:3 to over 1:15 depending on the individual roles and responsibilities of the supervisor. The publication emphasizes that establishing one single span of control may reduce effectiveness.³

BART Span of Control Ratios Range from 1:1 to 1:8.5 (Overall Median of Offices)

While there might not be a universal standard for span of control ratios, organizations can develop their own guidelines, best practices, and standards. These are typically based on the specific requirements and characteristics of the organization. Like the three other rail/transit agencies that we reviewed, BART has not established an internal benchmark or target for span of control. In the absence of span of control guidelines, BART executives for at least five offices reference their own span of control targets, ranging from 1:3 to 1:8, depending on the function. These executives explained that the use of their target span of control has helped with their organizational design to ensure their staffing levels are sufficient to accomplish organizational efficiency. Executives that did reference a span of control target rely on their peer transit agencies to compare their organizational design, finding, for the most part, similar frameworks.

Overall, the median span of control ratio at BART is four employees for every one supervisor, or 1:4. The median span of control ranges from 1:1 to 1:8.5 across the 16 offices we reviewed. See **Figures 5 through 6**. See **Appendix A** for additional information on span of control for each office. We analyzed

³ *How to Identify the Right 'Spans of Control' for Your Organization*, December 21, 2017, Ashwin Acharya, Roni Lieber, Lissa Seem, and Tom Welchman.

span of control ratios using the median (versus the average) to minimize the effect of overstated or understated supervisory ratios in personnel information due to undefined reporting relationships or position vacancies.

Figure 5: Median Span of Control Across Offices Reporting to the BART General Manager

Span of Control by Office (MEDIAN)	Span of Control	Organizational Layer-1	Organizational Layer--2	Organizational Layer -3	Organizational Layer -4	Organizational Layer -5	Organizational Layer -6	# of Employees with Supervisory Role	# of Positions
Office of Civil Rights	2.0	1.0	5.0	2.0	2.5	-	-	10	26
Infrastructure Delivery	3.0	7.0	4.0	3.5	4.0	2.0	1.5	75	299
System Safety	3.0	1.0	6.0	3.0	-	-	-	5	19
Police Department	4.0	9.0	2.5	5.5	3.0	8.5	-	53	355
Technology	4.0	6.0	3.5	4.0	-	-	-	15	63
Performance & Budget	4.0	5.0	3.5	4.0	5.0	-	-	11	42
Planning & Development	4.0	6.0	3.5	3.5	-	-	-	11	45
Administration	4.0	3.0	8.0	4.0	3.5	4.0	-	38	166
External Affairs	4.0	6.0	4.5	2.0	9.0	-	-	13	57
Operations	8.0	7.0	4.0	4.0	3.5	17.0	13.5	196	3,253.3

Figure 6: Median Span of Control for Offices with Executives that Report to the BART Board of Directors and Capitol Corridor

Span of Control by Office (MEDIAN)	Span of Control	Organizational Layer-1	Organizational Layer--2	Organizational Layer -3	Organizational Layer -4	Organizational Layer -5	Organizational Layer -6	# of Employees with Supervisory Role	# of Positions
Independent Police Auditor (Board Appointed Officer)	4.0	4.0	-	-	-	-	-	1	5
Controller-Treasurer (Board Appointed Officer)	5.0	12.0	4.0	29.0	1.0	-	-	11	86
District Secretary (Board Appointed Officer)	6.0	6.0	-	-	-	-	-	2	7
General Counsel (Board Appointed Officer)	8.5	1.0	16.0	-	-	-	-	2	18
Office of Inspector General (OIG)	1.0	1.0	1.0	-	-	-	-	2	3
Capitol Corridor	2.0	7.0	2.0	1.5	-	-	-	8	22

Wider (larger) span of control ratios become evident among the lower organizational layers within BART. Offices with larger numbers of employees (such as Police, Infrastructure Delivery, and Operations) had wider median span of control ratios among their lowest layer of the organization. For instance, the Police Department had a median span of control ratio of about 1:8.5 at its fourth organizational layer, and the Controller-Treasurer had a ratio of 1:29 at its third organizational layer.

Several offices – Infrastructure Delivery, Technology, Performance & Budget, and Planning & Development – maintain a consistent median span of control from the second layer of the department compared to the lower organizational layers. However, the executive for the Office of Infrastructure Delivery reported an ongoing effort at the time of our review to redefine its organizational framework, including the spans of control.

BART Data Shows Multiple 1:1 Span of Control Ratios

When examining the individual span of control ratios computed for each supervisor, narrower and wider spans of control fluctuated from 1:1 to over 1:330 across the 16 offices at the time of our review. Certain supervisors had a very narrow span of control or no supervisory responsibilities because they were promoted into a higher organizational layer to provide career progression and/or higher compensation levels. For example, across organizational layers and the 16 BART offices, organizational data show at least 60 reporting relationships have 1:1 span of control ratios. Other transit agencies reported facing similar challenges as BART, in that each balances the need for employee promotion and increased compensation by elevating employees into higher organizational layers without also clarifying supervisory responsibilities or equivalent accountability. Given the frequency of this occurrence, it serves as an opportunity to realign spans of control to match the required supervisory roles. Promoting employees in this way narrows the span of control and can unnecessarily increase costs.

Span of Control Ratios Are Likely Understated and Overstated

Span of control ratios are wider or narrower than they appear for the following reasons:

- The data used to compute span of control ratios does not fully recognize supervisors' oversight responsibilities when working with contracted consultants and temporary employees. As a result, the extent that individual employees have responsibility for contractor oversight across offices is not visible in the BART organizational framework. For example, the Office of Technology shares responsibility for consultant oversight with other departments overseeing consultants working on new technology projects. Other executives reported that some supervisors, aside from their supervisory responsibility for BART staff, have responsibility for managing contracts that can total nine or more contracts. The volume of these contracts are not usually considered when determining span of control for each supervisor. Accurate determination and analysis of span of control require recognition of contract management responsibilities.
- Below the mid-manager organizational layers, BART's HRIS does not consistently or formally document employees with supervisory responsibilities. While it may appear that a supervisor has a very wide (large) span of control, such as more than thirty staff directly reporting to them, in day-to-day operations one or more of these employees may share supervisory responsibilities and the span of control is less than 1:15.
- Certain mid-management positions and other professional classifications non-represented by a collective bargaining agreement with a union – such as 'project manager' or 'resident engineer' – may formally supervise other staff, be assigned management-level responsibilities, or neither. This variation among individuals holding the same position obscures the analysis of reporting relationships in lower organizational layers. For these positions, we could not determine how these employees are categorized or perceived – as a supervisor or staff – when determining span of control ratios and reviewing organizational layers. Additionally, executives reported that the position title of 'manager' does not always reflect a supervisory role and instead sometimes reflects a manager over projects or programs.
- The organizational data at the lower organizational layers is incomplete. In addition to reporting relationships at lower organizational layers being undefined or missing from HRIS, the HRIS data provided did not include position vacancies or recent changes. As a result, the data shows wider spans of control than executives reported in practice. For instance, based on HRIS data, the Police Department has an average/actual 1:339 ratio, but Police Department executives reported

that in practice, the span of control ratio is narrower. Police Department management reported efforts are underway to update the human resources database to define reporting relationships more accurately.

The incomplete data for determining span of control limits opportunities for improvement for BART executives. BART executives reported examples where non-transparent roles and responsibilities in the current organizational framework limit structural improvements, as well as improvements in other areas of BART operations. For example, the Office of Technology can become hampered in its ability to effectively use artificial intelligence (AI) tools to help improve access to information, both internally and externally, by reducing time spent searching for information and current waiting times to receive requested information. Executives reported that the success of AI will depend on the quality of underlying information, explaining missing or incomplete data can undermine the tool's effectiveness. Additionally, having unclear reporting relationships impacts their ability to hire and retain employees if employees face challenges in understanding roles and responsibilities within and across departments.

Finding 2: Multiple Factors Drive BART’s Organizational Structure

Management literature acknowledges that while many factors can affect the choice of an appropriate structure for an organization, four factors are the most common: organizational size, strategy, technology, and environment.

Most of the BART executives generally considered their organizational environment when thinking about their structure. Executives described seven key factors related to this area as shown in **Figure 7**. Twelve of 16 Executives interviewed cited the nature of the work performed by staff (and supervisory skills and responsibilities). For example, executives explained that the more complex or less standardized the work being performed, the narrower the span of control for the supervisor. They also noted that the more work the supervisor is expected to perform or the less developed a supervisor’s management skills, the fewer direct reports would be assigned, resulting in a narrower span of control. Executives described how the range of a supervisor’s competency can influence their span of control, for example, the broader the expertise, the wider the span of control and vice versa.

Figure 7: Key Areas that BART Executives Consider When Deciding Span of Control

	Environment	Strategy	Organizational Size	Technology
Key Factors Cited (# Executives Cited)	<ul style="list-style-type: none"> Nature of the work (12) Supervisory Skill and Responsibilities (12) Employee Competency (9) Risk (6) Employee Development and Morale (5) Geographic Location (3) Resource (Budget) Availability (3) 	<ul style="list-style-type: none"> Agency or Office Goals and Objectives (2) 	<ul style="list-style-type: none"> Degree of Collaboration (2) 	0

BART executives in six of the 16 offices identify 'risk' as a factor to consider in organizational design. Risks stem from a variety of sources, including financial uncertainties, legal liabilities, technology issues, management errors, a tight labor market, accidents, and natural disasters. For example, an executive explained how their office’s organizational framework considers the risk of the delivery of contracted work and equitably distributes accountability for this risk across department managers. Four executives discussed the risk of not meeting service delivery expectations and its impact on their current organizational structure, with some considering the risk of service delivery failure and reported using a narrower span of control to mitigate the risk of disruption to BART service goals.

Executives reported that without the correct span of control in some units, certain risks may not be effectively mitigated, driving the executives to consider changes to their organizational structure. For example, BART Police executives discussed that sergeants having too wide a span of control leads to delayed or inadequate responses to an emergency. Without appropriate span of control ratios, inefficient operations and inadequate prevention of policing errors could harm BART’s reputation and its ridership. As illustrated in **Figure 8**, span of control serves as a useful tool to help mitigate risk and address operational challenges, particularly in areas where risk tolerances have not been defined by management.

Figure 8: Guide for Using Span of Control as a Tool to Mitigate Risk

Type of Risk	Work Environment	Influence on Span of Control
Control	If the procedures are not well defined or implemented	Provide Narrower Span
	If the procedures are well defined without gaps in controls	Provide Wider Span
Financial	If the agency does not have robust controls over financial management	Provide Narrower Span
	If the agency has robust controls over financial management with financial goals established	Provide Wider Span
Operational	If business processes extend across offices	Provide Narrower Span
	If business processes do not extend across offices	Provide Wider Span
Reputational	If the public is directly impacted by service delivery	Provide Narrower Span
	If the public is not directly impacted by service delivery	Provide Wider Span
Compliance	If state and federal requirements drive business processes	Provide Narrower Span
	If state and federal requirements do not drive business processes	Provide Wider Span

Other operating environment factors cited include employee development and morale, resource (budget) availability, and geographic location. Executives explained that for union-represented employees, the process to address issues with employee performance is detailed and administratively burdensome compared to the hiring of additional staff to assist with the work and widening the span of control. Other executives described examples where limited resources resulted in narrower or wider spans of control than they would design for a unit in their office, such as the addition of a deputy or more staff. Similarly, executives reported that geographic location can result in narrower spans of control to maintain supervision levels (resulting in increased cost from more supervisors) when employees perform work dispersed across the five counties served by BART, such as in police patrols or maintenance units. In contrast, in fully centralized operations spans of control can be wider while meeting the executives’ goals for supervision. Consistent consideration of geographic location on span of control, including the potential additional cost for supervision from dispersed operations, could help guide executives’ decisions on how to shape BART’s organizational structure given its financial and human resource challenges.

Among the two other organizational areas to consider when making organizational changes – size and strategy – two executives identified another two factors considered in designing their organizational structures. One of these factors includes the degree of collaboration required with other departments or between units given the size of BART. The larger an organization becomes, the more complicated its structure. Organizational charts and specified job functions become critical, as does the need for policies

and procedures to provide the parameters within which employees can make decisions. If applied consistently, efficiency or effectiveness gains from collaboration across offices could help BART address its challenges by reducing the demand for new resources. The other factor is BART’s overall strategy related to established goals and objectives, which influence how an office is going to position itself. The strategy developed for goal completion requires a structure that can facilitate success. BART executives explained that agency-wide goals prioritize their management of resources.

Finally, none of the executives reported considering technology in their organizational designs. Advances in technology are the most frequent cause of change in organizations since they generally result in greater efficiency and lower costs. Technology is the way tasks are accomplished using tools, equipment, techniques, and human know-how.

Figure 9 describes how the factors identified by executives influence span of control ratios. For example, when more complex work is being performed by the employee, the executive would provide a narrower span of control for the supervisor, anticipating that the supervisor would require more time to oversee the employee’s work.

Figure 9: Guide for How the Factors Identified by BART Executives Can Influence Span of Control

Key Factor (Examples)		Assessment of the Key Factor	Influence on Span of Control
Nature of the Work	Complexity of the work	If the work is more complex	Provide Narrower Span
		If the work is less complex	Provide Wider Span
	Degree of Work Task Standardization	If the work task is more standardized across employees	Provide Wider Span
		If the work task is less standardized across employees	Provide Narrower Span
Supervisory Skill and Responsibilities	Extent of supervisory tasks	If the workload is heavier	Provide Narrower Span
		If the workload is lighter	Provide Wider Span
	Supervisor technical expertise	If the work requires the supervisor to have specific technical expertise	Provide Narrower Span
		If the work does not require the supervisor to have specific technical expertise	Provide Wider Span
	Supervisor’s management skills	If the supervisor’s management skills are weaker	Provide Narrower Span
		If the supervisor’s management skills are stronger	Provide Wider Span
Employee Competency	Employee’s knowledge, skill, and abilities	If the employee’s knowledge, skill, and abilities exceed the position requirements	Provide Wider Span

Key Factor (Examples)		Assessment of the Key Factor	Influence on Span of Control
		If the employee's knowledge, skill, and abilities fall below the position requirements	Provide Narrower Span
	Employee turnover	If there is high employee turnover	Provide Narrower Span
		If there is low employee turnover	Provide Wider Span
Risk	Reputational risk	If the reputational risk of the work is high	Provide Narrower Span
		If the reputational risk of the work is low	Provide Wider Span
Employee Development and Morale	Mentoring	If employee mentoring is planned	Provide Narrower Span
		If employee mentoring is not planned	Provide Wider Span
	Employee morale	If employee morale needs more monitoring	Provide Narrower Span
		If employee morale needs routine monitoring	Provide Wider Span
Geography	Service delivery	If service delivery is dispersed	Provide Narrower Span
		If service delivery is centralized	Provide Wider Span
Resource Availability	Budget	If adequate budget to complete the work	Provide Wider Span
		If insufficient budget to complete the work	Provide Narrower Span
Degree of Collaboration	Collaboration	If collaboration is required	Provide Narrower Span
		If collaboration is not required	Provide Wider Span
Agency or Office Goals and Objectives	Agency-wide goals	If an agency has multiple goals and objectives	Provider Narrower Span
		If an agency has few goals and objectives	Provider Wider Span

Use of Span of Control as an Internal Control Activity Varies Across BART Offices

The Standards for Internal Control in the Federal Government (the 'Green Book')⁴—designed to be adapted in other government organizations—describe the standards for an effective internal control system and provide an overall framework for designing, implementing, and operating a system to help achieve the agency’s goals. A key element of an effective internal control system is established control activities. Control activities are the policies and procedures an agency has implemented to achieve objectives and respond to risks in the operating environment. The use of span of control as a management is a control activity to support the internal control system.

Executives in seven offices reported applying span of control as a management tool, with some executives explaining its use helps address operational inefficiencies and identification of other personnel needs. Another executive reported that the absence of detailed organizational data limits the use of span of control as a tool to allow for a quick evaluation of organizational efficiency and effectiveness, as well as decision-making and communication.

Executives in another seven offices do not use span of control as a tool because of other reasons driving their organizational frameworks, such as the availability of budgetary resources. However, BART’s bargaining unit representative said that span of control should be used because having narrower spans of control at the managerial organizational layer creates operating inefficiencies among the union-represented class, such as not knowing whom to report to, and that there is a need for more line-level staff to perform the day-to-day work. At BART’s second organizational layer among four departments with over 100 employees, span of control ratios narrow, ranging from 1:2.5 to 1:8 before span of control ratios becomes wider at lower levels.

For six other BART offices—OIG, Office of Civil Rights, General Counsel, Independent Police Auditor, District Secretary, and System Safety—their small size would not warrant a formal span of control focus.

The use of span of control as a management tool can likely facilitate decision-making on key challenges currently faced by BART. As described in the fiscal year 2024-2025 budget and by executives, BART faces financial challenges from a sustained decline in farebox revenue from the COVID-19 pandemic and the rising costs of rail expansion. BART also faces another resource challenge—in employee hiring and retention—from the loss of up to 400 staff through the retirement incentive program, a hiring freeze on some vacancies, and the reassignment and retraining of staff. Executives reported that being able to right size their spans of control could help BART address these challenges. See **Appendix C** for general guidelines on how to implement span of control in organizations.

⁴ GAO’s Standards for Internal Control in the Federal Government is available at <https://www.gao.gov/products/gao-14-704g>. The Committee of Sponsoring Organizations of the Treadway Commission (COSO) provides another standard for an integrated internal control framework, developed for corporations. GAO reports that COSO introduced the concept of principles related to the five components of internal control, and the Green Book adapts these principles for a government environment. (GAO-14-704G)

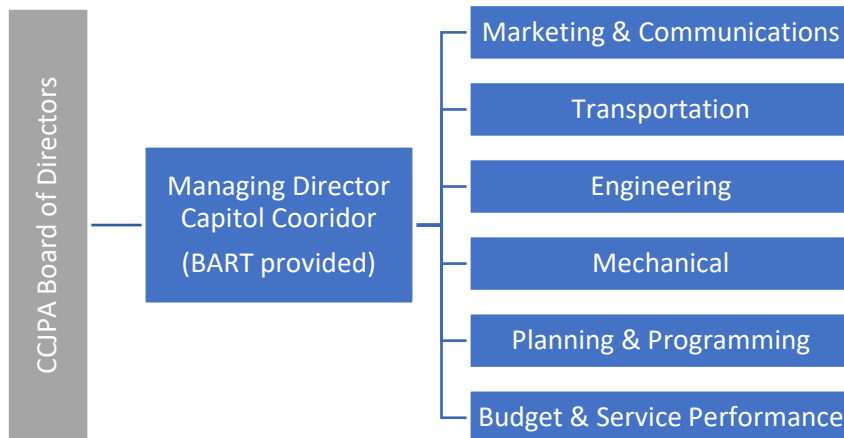
APPENDIX A: BART OFFICE SUMMARIES

This report describes the high-level organizational design and span of control for each BART executive office. For the four BART offices—Administration, Controller-Treasurer, Office of Infrastructure Delivery, and Operations—with more than 100 positions, span of control is reported by department. The organizational charts presented in this report are for illustration only of the number of organizational layers. The organizational charts used for this audit represent a point in time snapshot of BART’s organizational structure and incorporate the corrections provided by executives during the audit, acknowledging that the data for many offices had become outdated. Many executives reported plans of future changes to their organizational structures and others provided their current organizational chart in use for their department.

Capitol Corridor Joint Powers Authority

BART provides full-time management staff for the Capitol Corridor Joint Powers Authority (CCJPA). The CCJPA Board of Directors provides policy direction to the BART-provided CCJPA staff in delivering high-quality passenger rail service along its 170-mile corridor between the greater Sacramento area and the San Francisco Bay Area. Amtrak operates the service for the CCJPA, and Union Pacific Railroad owns and maintains the tracks. Funding is provided separately from BART through State of California transportation funds.

CCJPA’s Functional Organizational Chart

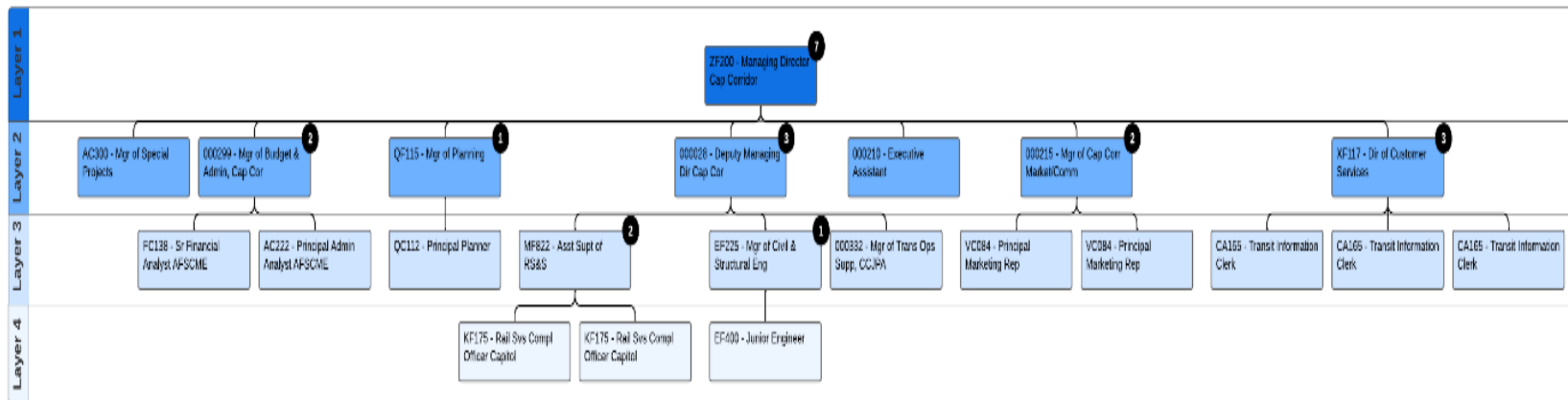


BART Budget Position Summary

Department	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
Capitol Corridor	0.0	20.0	0.0	22.0	0.0	23.0

High-Level Organizational Framework and Span of Control Ratio

The Managing Director, Capitol Corridor, reports directly to the CCJPA Board of Directors. The Managing Director supervises both managers and directors in the second organizational layer. Nonetheless, CCJPA's framework follows the BART organizational framework model centered on centralized operations that limit opportunities for scalability.



Median Span of Control for the Office and by Organizational Layer (OL)

CCJPA has a median span of control of 1:2 across its four organizational layers. When other transit agencies shifted in focus from capital expansion to providing the best service and customer experience, CCJPA re-organized and re-assigned responsibilities at the executive and manager levels to optimize customer service.

	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6
Span of Control	2:1	7:1	2:1	1.5:1			

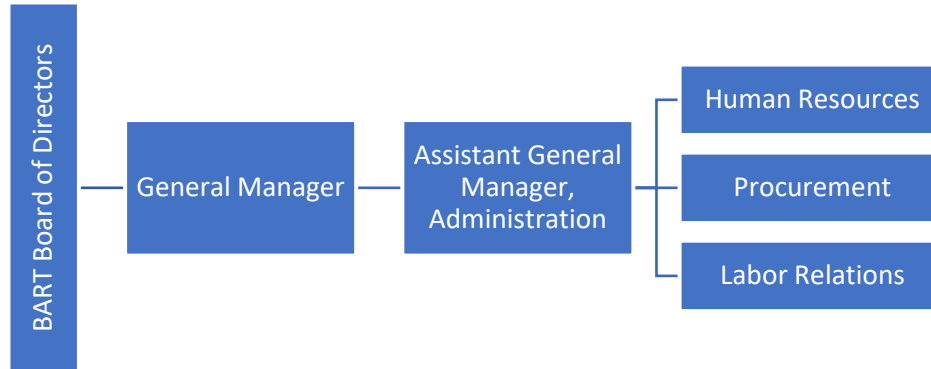
#Supervisors	8	1	5	2			
#Positions	22	1	7	11	3		

Note: The numbers presented are based on data provided to TAP International from BART’s human resource information system and updates from Office executives. These numbers may differ from the numbers presented in the BART annual budgets due to timing or other differences.

Office of Administration

The Assistant General Manager, Administration, reports to the General Manager, overseeing 172.6 budgeted positions across three departments: Human Resources, Procurement, and Labor Relations.

BART’s Functional Organizational Chart



BART Budget Position Summary

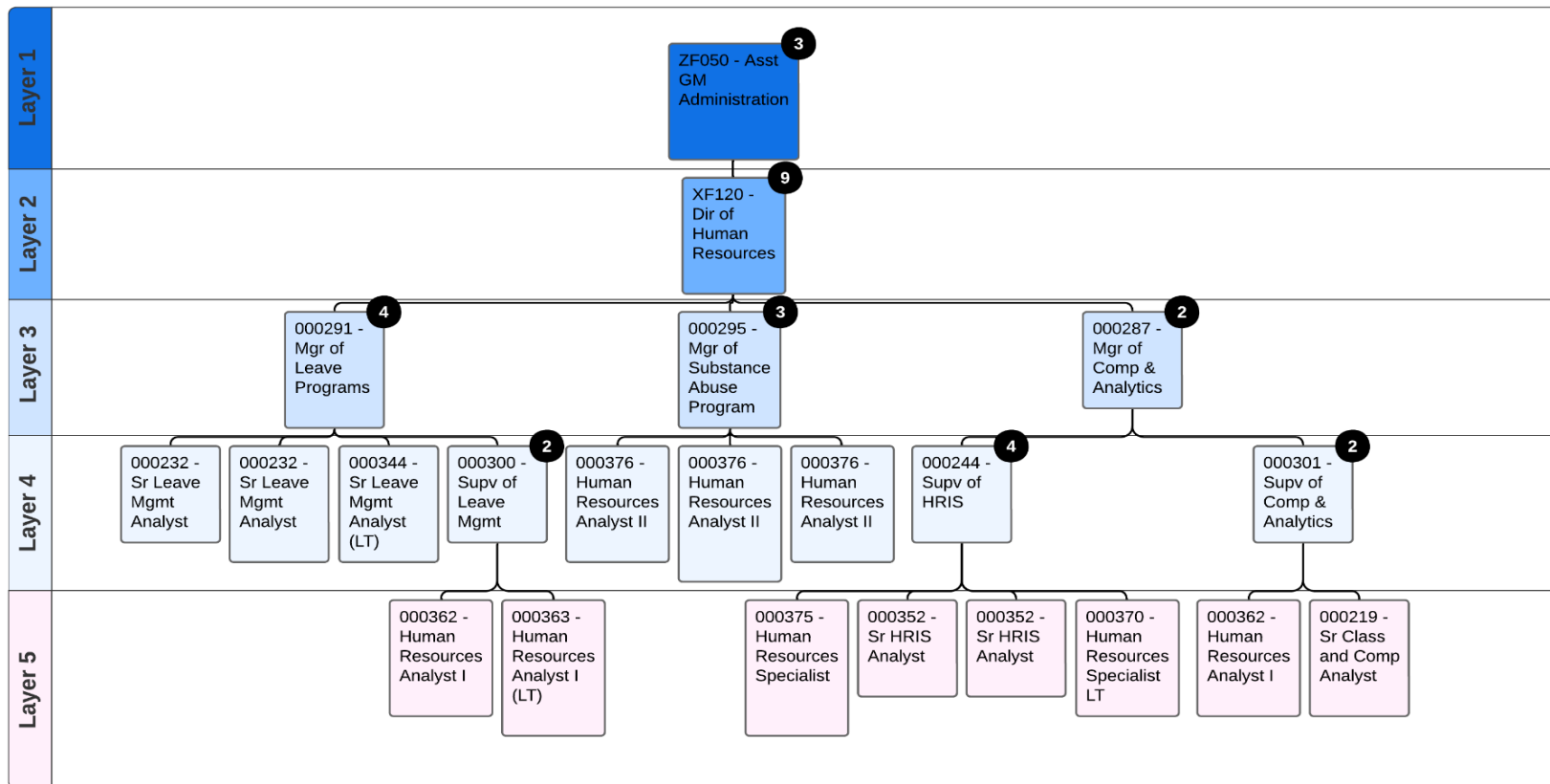
Department	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
Total for Office	139.6	13.0	139.6	14.0	159.6	13.0
Administration	3.0	0.0	2.0	0.0	3.0	0.0
Human Resources	39.6	4.0	42.6	5.0	48.6	1.0
Procurement	90.0	8.0	89.0	9.0	99.0	12.0
Labor Relations	7.0	0.0	6.0	0.0	9.0	0.0

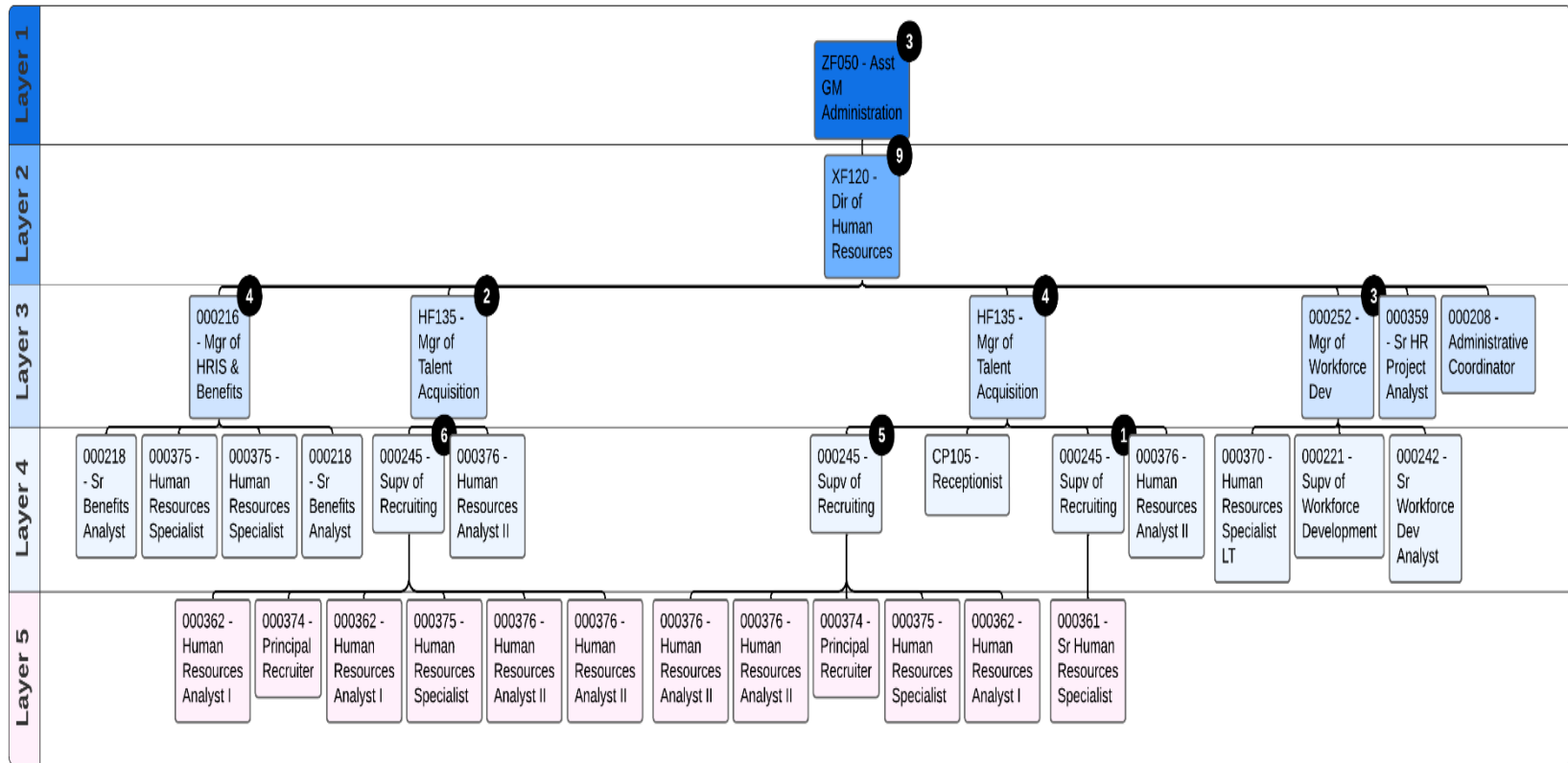
High-Level Organizational Framework and Span of Control Ratio

For each department within the Office of Administration, the charts below describe and illustrate the organizational framework of at the time of the audit.

Human Resources and Administration

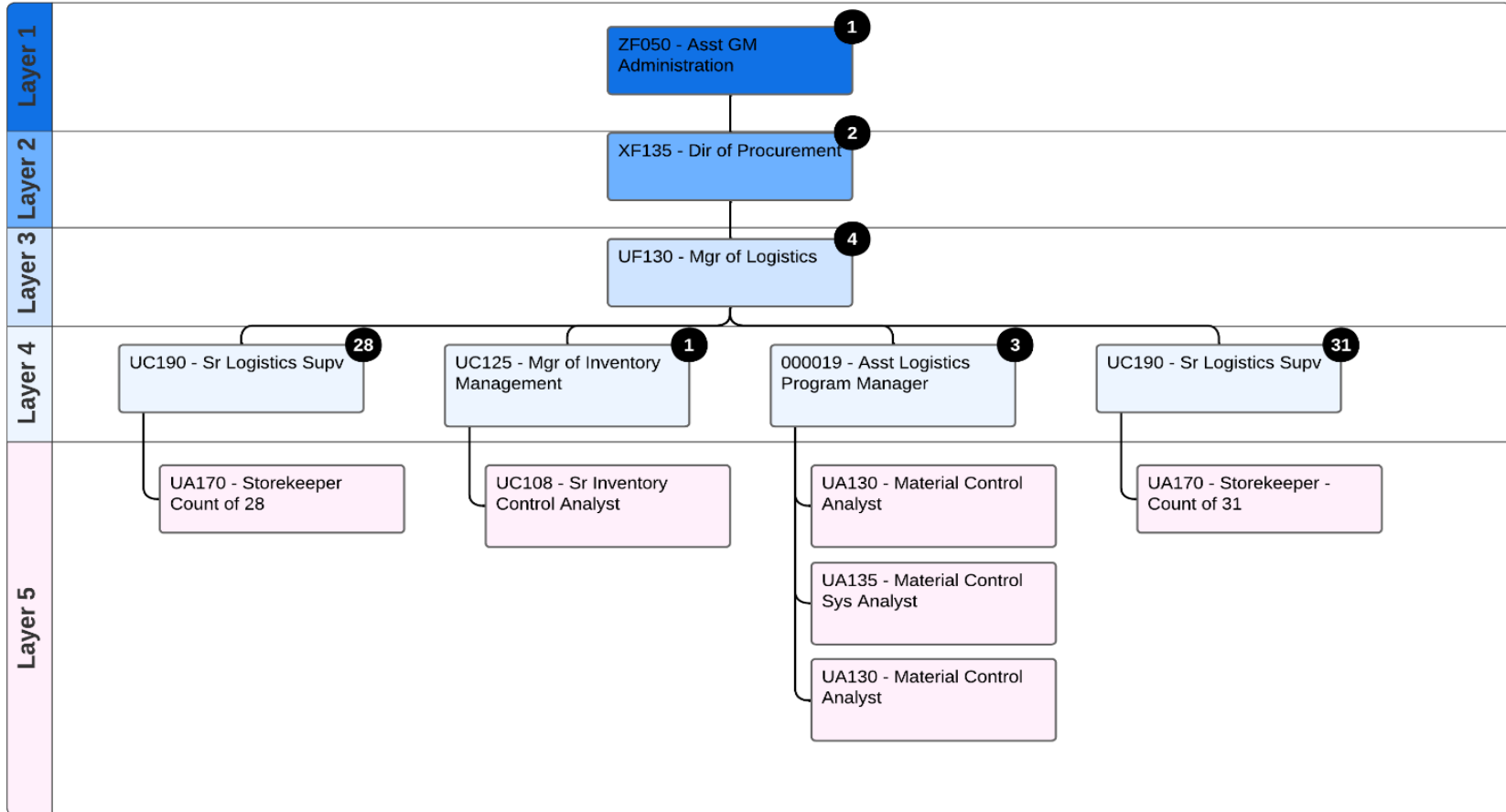
The Human Resources department, the second largest department within the Office, is overseen by a director who supervises seven managers, an analyst, and an administrative coordinator. Each manager within the department is responsible for supervising two to four staff, including supervisors and analysts, with some also overseeing analysts and/or specialists.

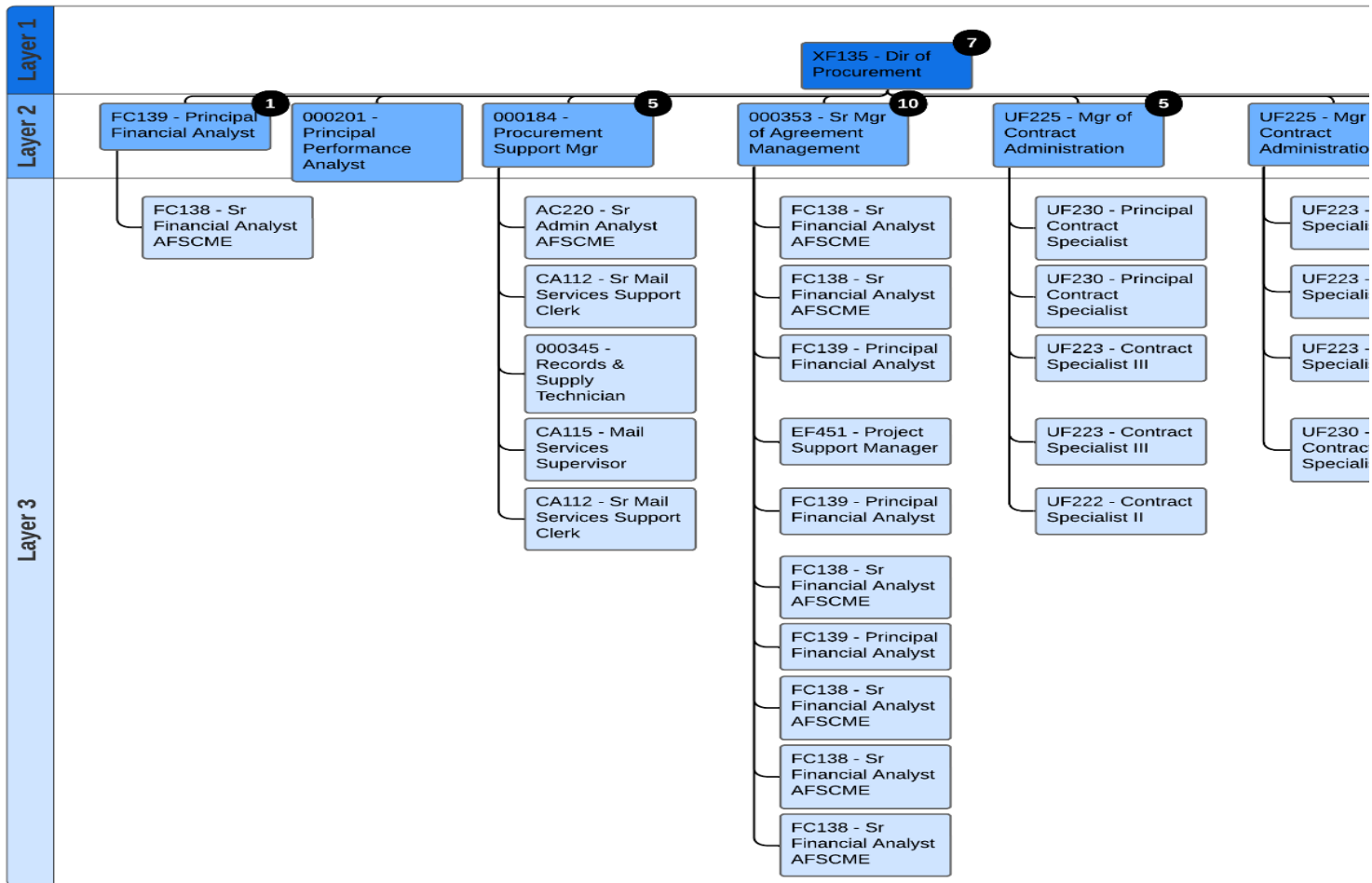


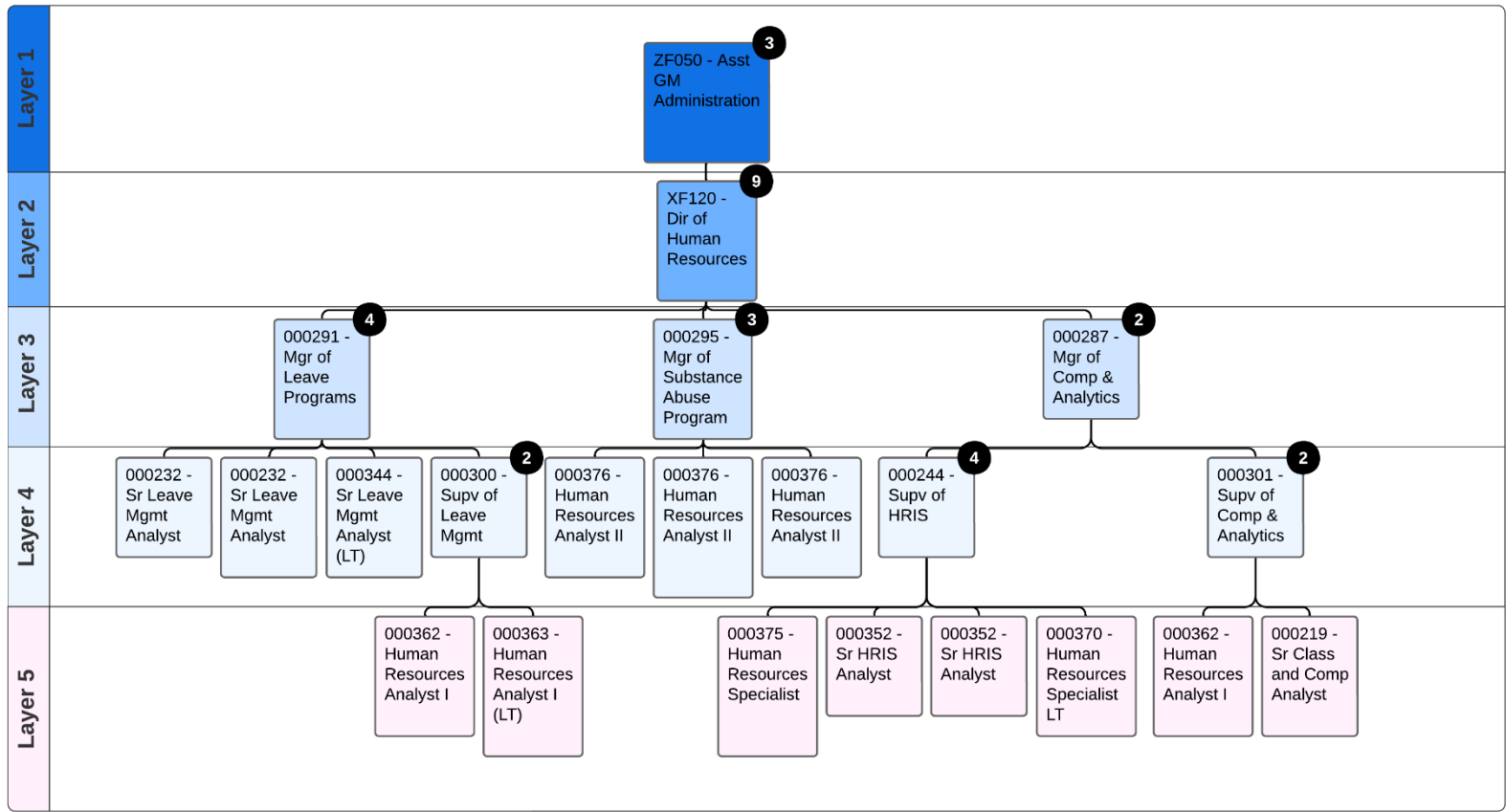


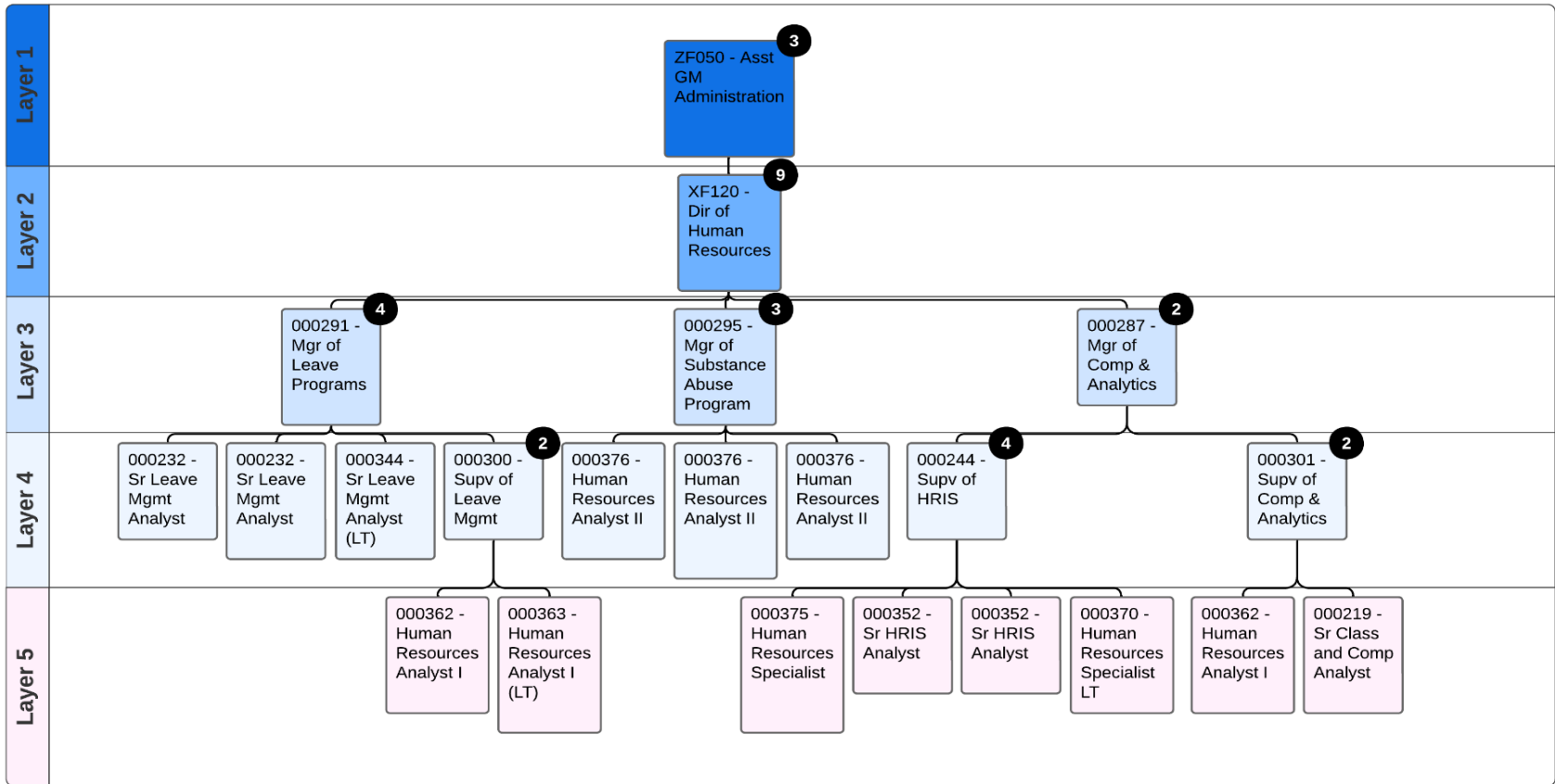
Procurement

The Director of Procurement supervises six managers and two analysts. Additionally, the Manager of Logistics oversees two managers and two senior logistics supervisors, each of whom supervises 28-31 senior storekeepers and storekeepers. Two charts illustrate the organizational framework of Procurement, with a separate chart to illustrate Logistics.



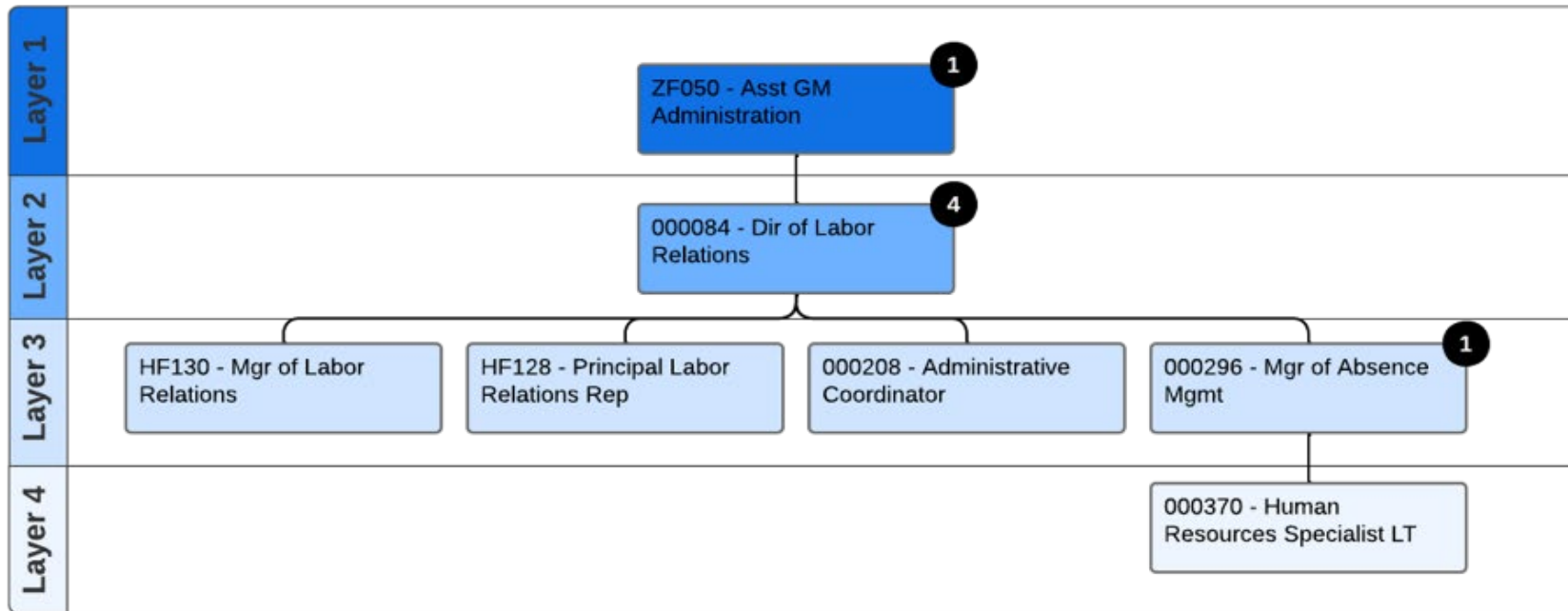






Labor Relations

The director of the Labor Relations department supervises four staff, which includes two managers. One of the managers is responsible for supervising a human resources specialist.



Median Span of Control for the Office and by Organizational Layer (OL)

Administration has a median span of control of 1:4 across its six organizational layers, with a total of 38 designated supervisors.

	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6
Span of Control	4	3:1	8:1	4:1	3.5:1	4:1	
#Supervisors	38	1	3	15	10	9	
#Positions	166	1	3	21	58	33	50

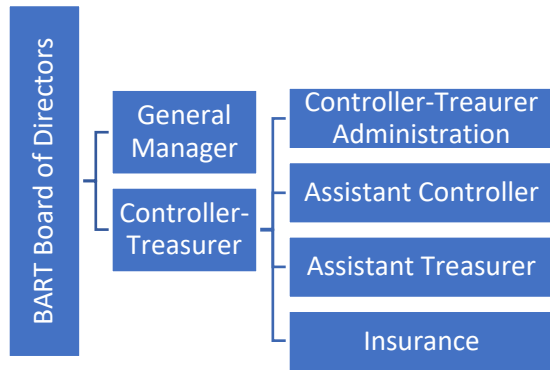
	Office	Administration	Human Resources	Procurement	Labor Relations
Span of Control	4	3	3.5	4	2.5
#Supervisors	38	1	14	21	2
#Positions	166	1	52	107	6

Note: The numbers presented are based on data provided to TAP International from BART's HRIS and updates from Office executives. These may differ from the numbers presented in the BART annual budgets due to timing or other differences.

Office of the Controller-Treasurer

The Office of the Controller-Treasurer has 102 budgeted positions across four departments: Controller-Treasurer Administration, Assistant Controller, Assistant Treasurer, and Insurance. The Office of the Controller-Treasurer is responsible for BART’s finances and collects, disburses, accounts for, and creates financial reports for all monies that flow in or out of BART. The Controller-Treasurer is a Board Appointed Office, who reports directly to the Board of Directors.

BART’s Functional Organizational Chart



BART Budget Position Summary

Department	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
Total for Office	93.0	8.0	94.0	8.0	94.0	8.0
Administration	2.0	0.0	2.0	0.0	2.0	0.0
Assistant Controller	37.0	7.0	38.0	7.0	38.0	7.0
Assistant Treasurer	50.0	0.0	50.0	0.0	50.0	0.0
Insurance	4.0	1.0	4.0	1.0	4.0	1.0

High-Level Organizational Framework and Span of Control Ratio

The Acting Controller-Treasurer (OL-1) oversees twelve (12) employees, including a director of risk and insurance management, assistant treasurer, seven managers, two junior accountants, and an executive assistant. The assistant treasurer and six managers (in OL-2) lead teams of three to nine

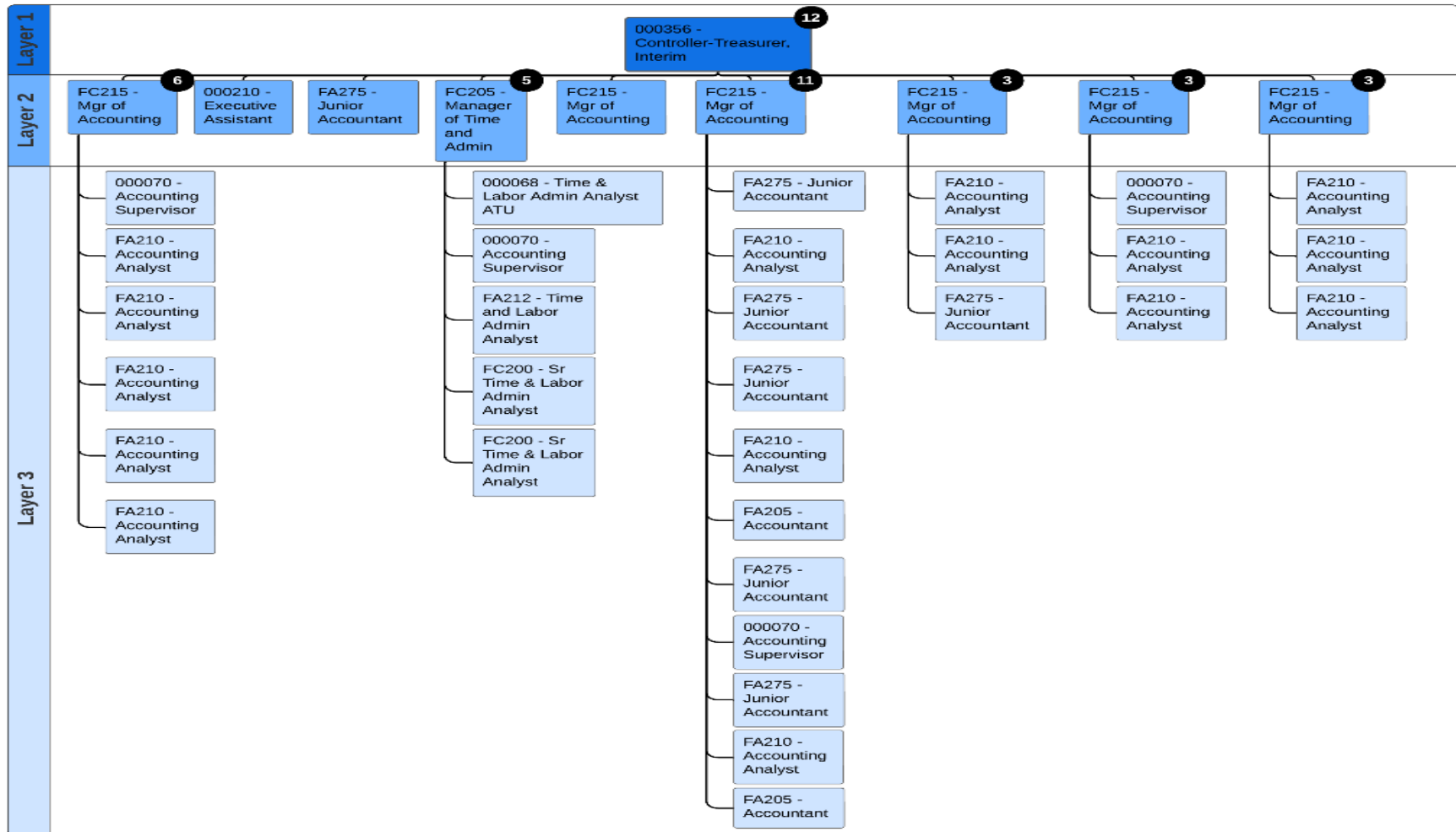
analysts, accountants, and/or cash handlers in (OL-3). The third and fourth organizational layers encompass the positions of foreworker and cash handler.

In a separate review, an external consultant recommends restructuring the highest organizational layers into the Finance Department.⁵ Creating a direct reporting relationship between the department executive and the BART General Manager may widen the span of control ratio for the General Manager's office.

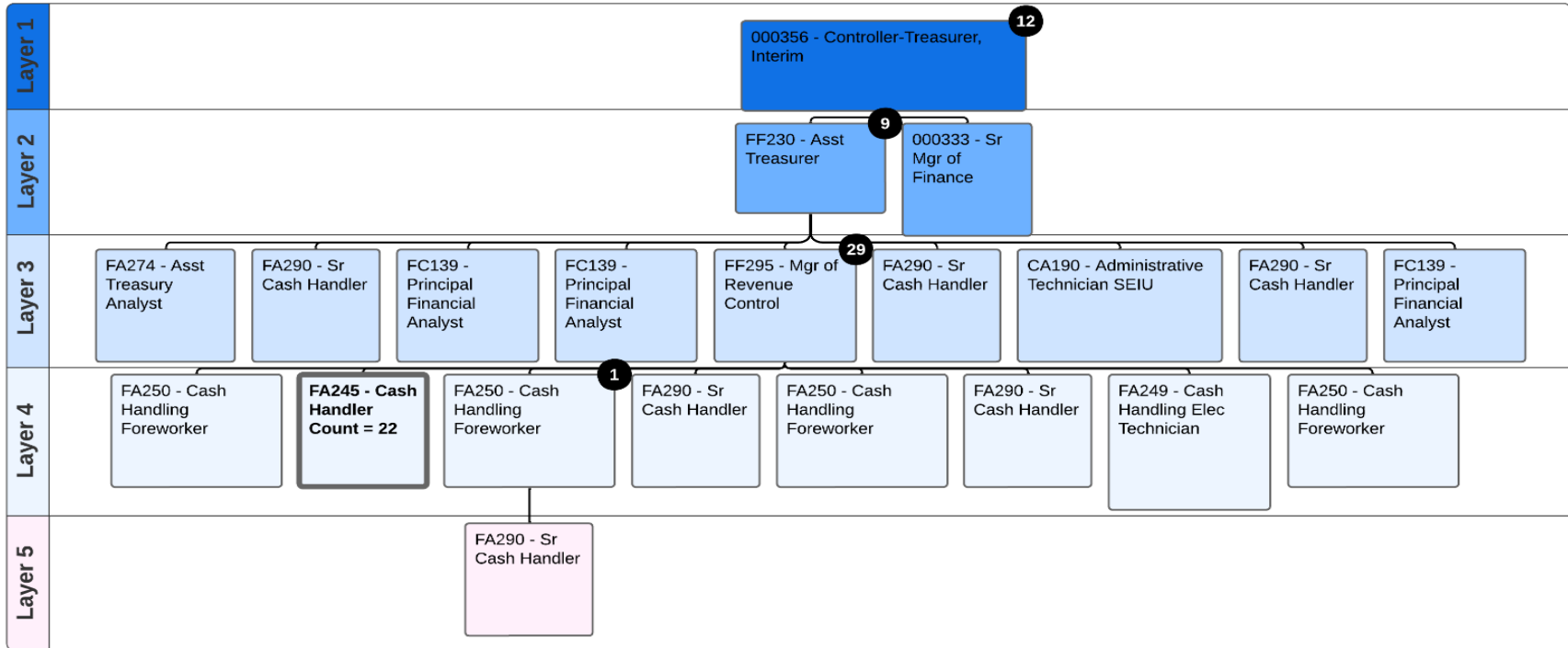
The following charts illustrate the organizational framework of the Controller-Treasurer's office at the time of the audit, by each department within the office. The departments of Administration and Assistant Controller are combined.

⁵ In 2022, the BART Board of Directors, at the recommendation of the Office of the Inspector General, adopted a CFO structure to bring together the functions from the Offices of the Controller and the Treasurer. In 2023, BART's General Manager hired a consulting team to develop a roadmap for implementing the financial organization structure. For more information: <https://www.bart.gov/news/articles/2023/news20231207>.

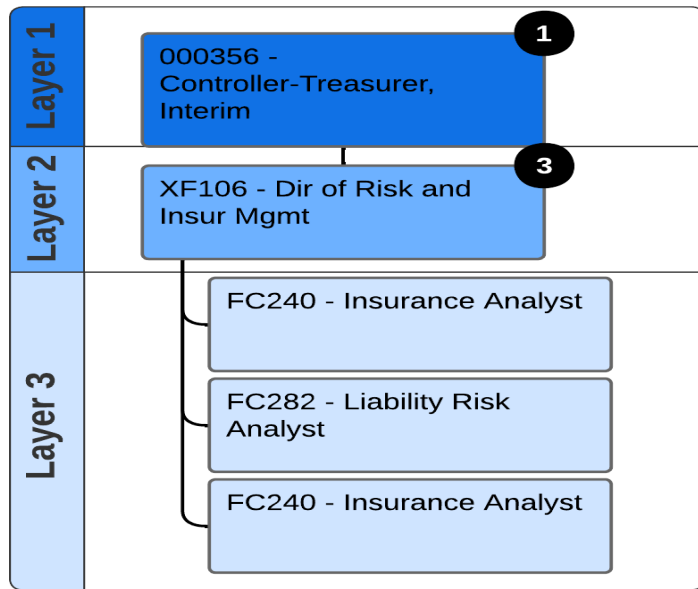
Administration & Assistant Controller



Assistant Treasurer



Insurance



Median Span of Control for the Office and by Organizational Layer (OL)

The Controller-Treasurer maintains a median span of control of 1:5 across its four organizational layers, with a total of 11 designated supervisors.

	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6
Span of Control	5	12	4	29	1		
#Supervisors	11	1	8	1	1		
#Positions	86	1	12	43	29	1	

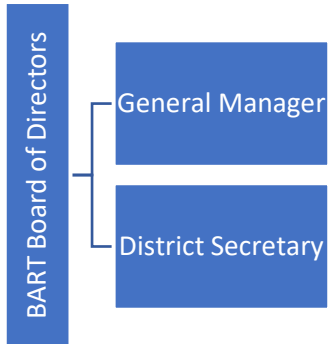
	Office	Administration	Assistant Controller	Assistant Treasurer	Insurance
Span of Control	5	12	4	9	3
#Supervisors	11	1	6	3	1
#Positions	86	2	39	41	4

Note: The numbers presented are based on data provided to TAP International from BART's Human Resources Information System and updates from Office executives. These may differ from the numbers presented in the BART annual budgets due to timing or other differences.

Office of the District Secretary

The Office of the District Secretary has seven budgeted positions. The District Secretary offers administrative support to the Board of Directors by recording the activities of the Board, communicating on behalf of the Board, providing contract administration support, serving as the authorized agent of BART for legal services and requests for records, and administering BART’s conflict of interest codes. The District Secretary, a Board Appointed Officer, reports directly to the Board of Directors.

BART’s Functional Organizational Chart

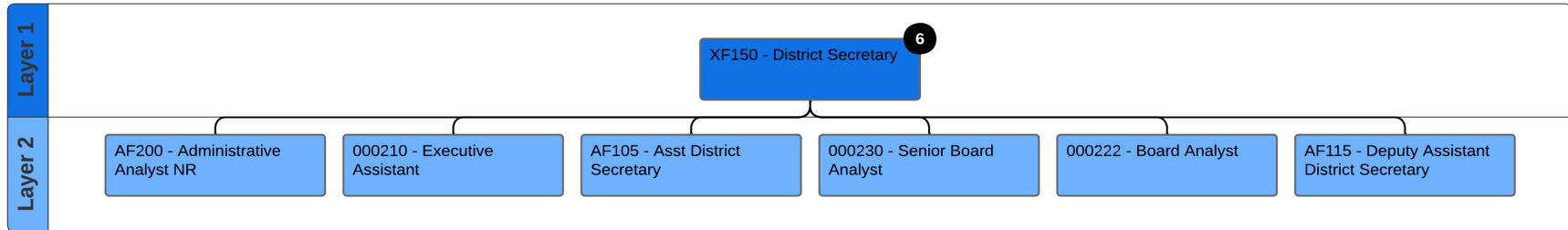


BART Budget Position Summary

Department	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
Office of the District Secretary	7.0	0.0	7.0	0.0	7.0	0.0

High-Level Organizational Framework and Span of Control Ratio

The Board of Directors appoints the District Secretary, who oversees a team of six staff members. This team includes an Assistant District Secretary, Deputy Assistant District Secretary, three analysts, and an Executive Assistant.



Median Span of Control for the Office and by Organizational Layer (OL)

The District Secretary has a median span of control of 1:6 across its four organizational layers, with one designated supervisor. The District Secretary explained that broader spans of control can aid in building institutional knowledge for business continuity and succession planning, as reporting employees gain a deeper understanding of the roles and responsibilities within the office.

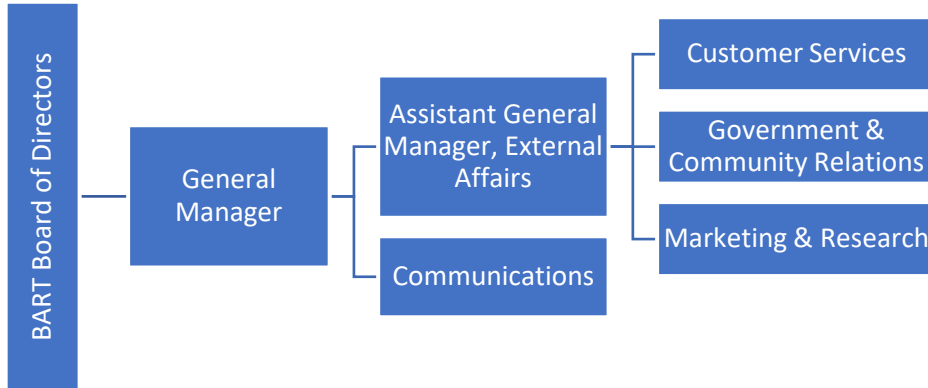
	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6
Span of Control	6	1	6				
#Supervisors	1	1					
#Positions	7	1	6				

Note: The numbers presented are based on data provided to TAP International from BART’s Human Resources Information System and updates from Office executives. These may differ from the numbers presented in the BART annual budgets due to timing differences.

Office of External Affairs

The Office of External Affairs comprises 53.2 budgeted positions distributed across four departments: Communications, Customer Services, Government and Community Relations, and Marketing and Research. The Assistant General Manager of External Affairs reports directly to the General Manager. Additionally, the Chief Communications Officer also reports to the General Manager.

BART’s Functional Organizational Chart



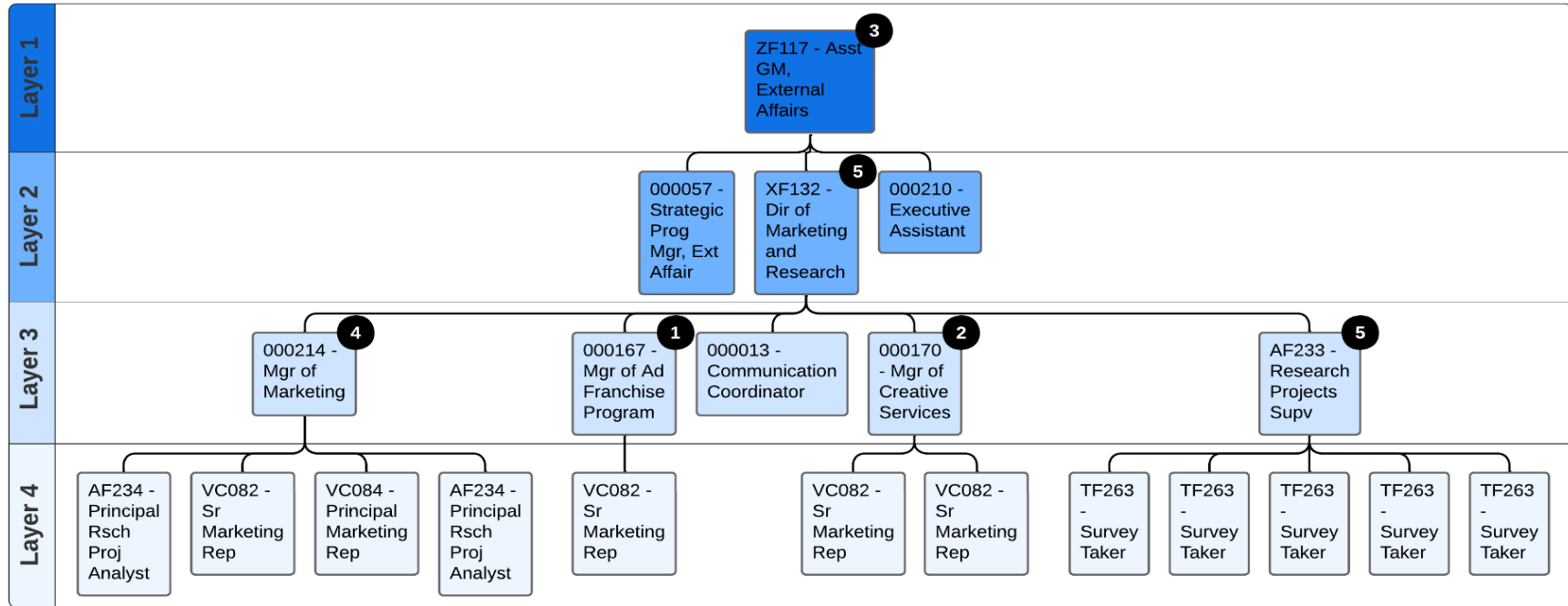
BART Budget Position Summary

Department	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
Total for Office	43.4	5.8	44.4	5.8	48.4	4.8
Administration	2.8	0.3	2.8	0.3	2.8	0.3
Communications	8.5	1.5	8.5	1.5	9.5	1.5
Customer Services	12.0	2.0	12.0	2.0	12.0	2.0
Government & Community Relations	7.0	0.0	8.0	0.0	9.0	0.0
Marketing & Research	13.1	2.0	13.1	2.0	15.1	1.0

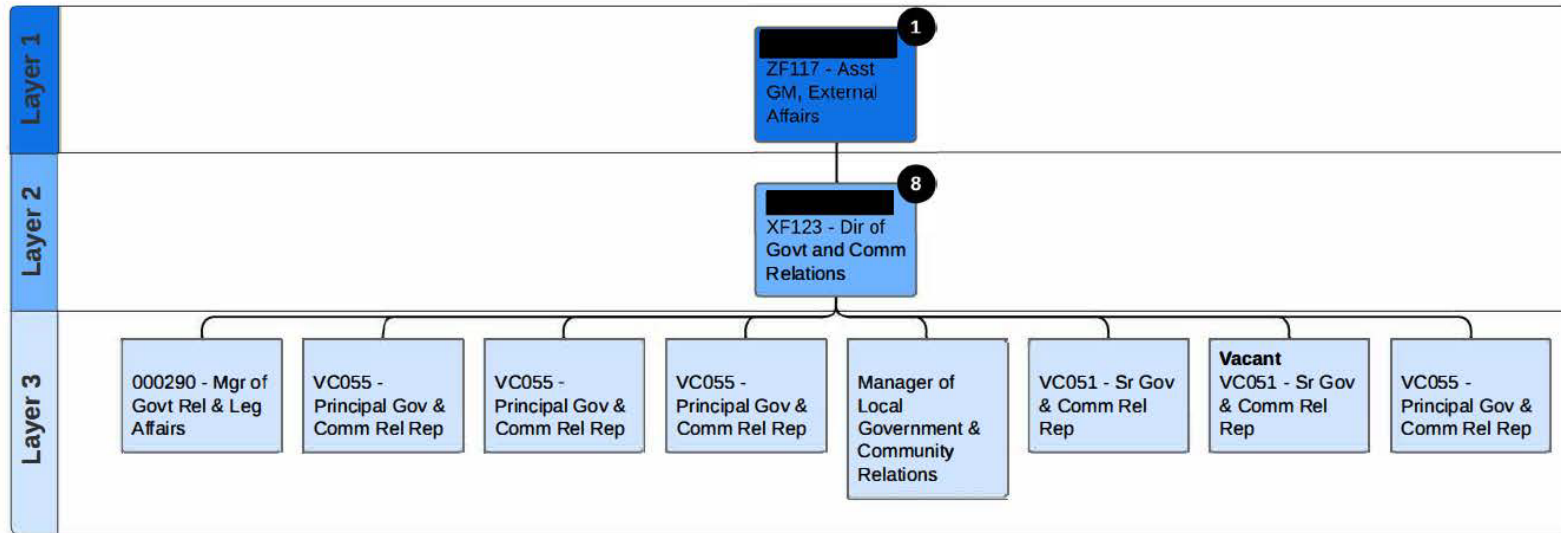
High-Level Organizational Framework and Span of Control Ratio

Located within the same office, both the AGM, External Affairs, and the Communications Director each report to the BART General Manager. The Assistant General Manager supervises the directors of Customer Services, Government & Community Relations, and Marketing & Research.

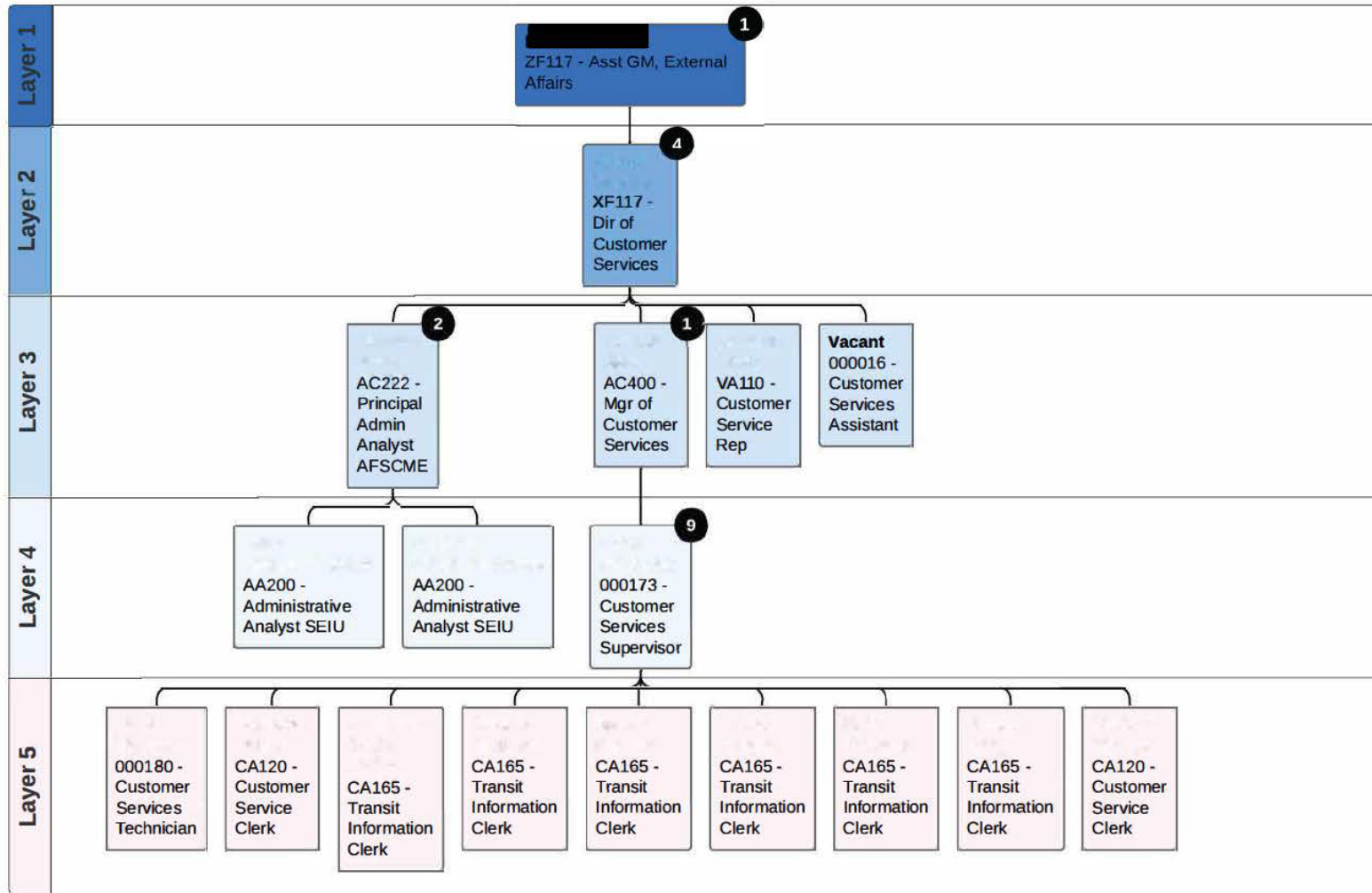
Marketing & Research & Administration



Government & Community Relations

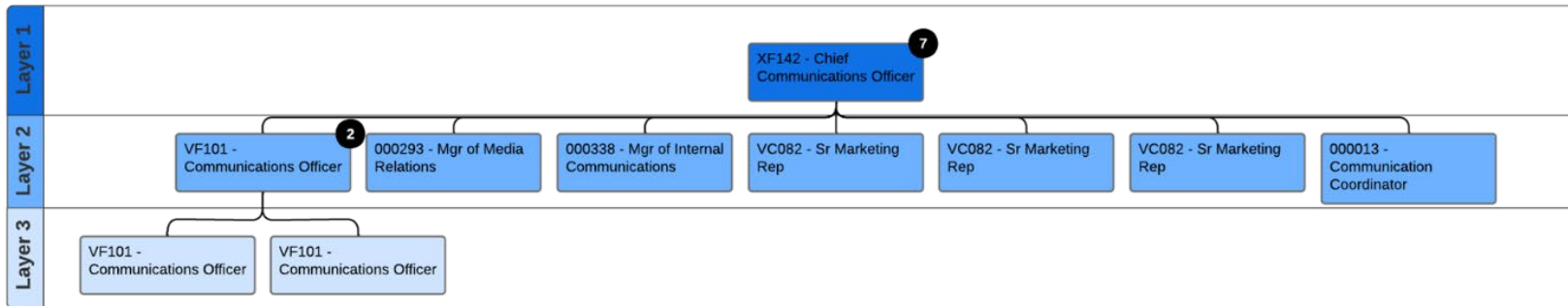


Customer Services



Communications

The Chief Communications Officer, who reports directly to the General Manager, supervises two managers and seven staff members in the Communications department. In comparison to External Affairs as a whole, Communications maintains fewer positions and organizational layers.



Median Span of Control for the Office and by Organizational Layer (OL)

The Office of External Affairs has a median span of control of 1:4 across its four organizational layers with 13 designated supervisors.

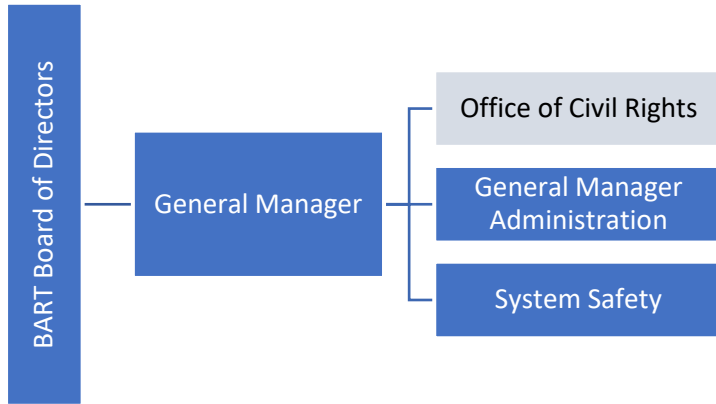
	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6
Span of Control	4	6	4.5	2	9		
#Supervisors	13	2	4	6	1		
#Positions	57	2	12	19	15	9	

Note: The numbers presented are based on data provided to TAP International from BART's Human Resources Information System and updates from Office executives. These may differ from the numbers presented in the BART annual budgets due to timing or other differences.

Office of the General Manager, Office of Civil Rights

The Office of Civil Rights, located within the Office of the General Manager, oversees 28 budgeted positions distributed among four divisions: Contract and Labor Compliance Programs, Economic Opportunity Policies and Programs, Workforce and Policy Compliance, and Agreement Compliance Programs. The General Manager is the reporting authority for the Director of the Office of Civil Rights.

BART’s Functional Organizational Chart

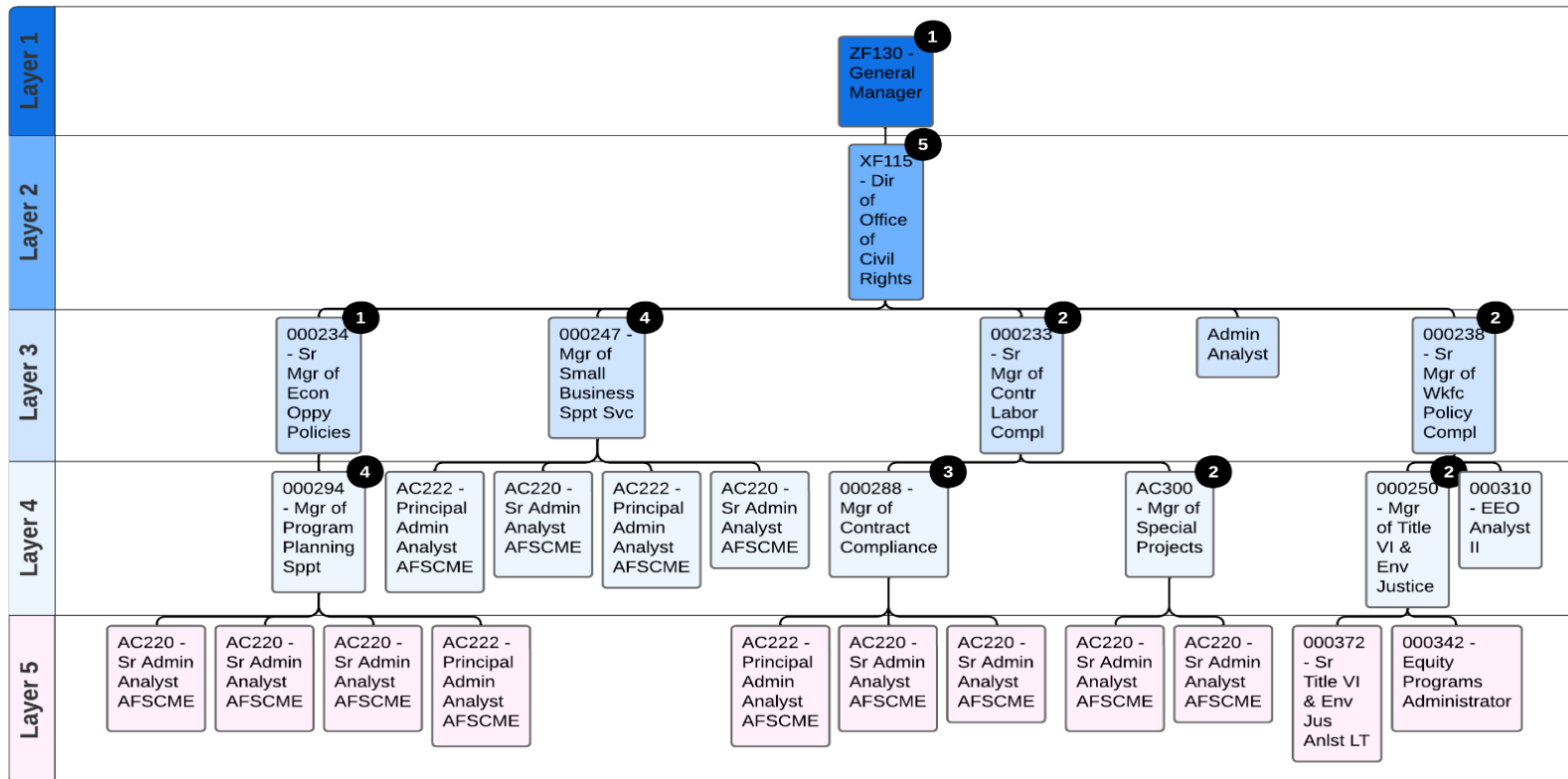


BART Budget Position Summary

Department	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
Office of Civil Rights	13.0	8.0	15.0	11.0	15.0	13.0

High-Level Organizational Framework and Span of Control Ratio

Operating under the oversight of the General Manager at the first organizational layer (OL-1), the Director of Civil Rights (OL-2) is responsible for overseeing four divisions, each headed by a manager (OL-3). The span of control exhibits slight variation across the four divisions. In three out of the four divisions, an additional layer of managers exists, with each manager reporting to the division manager, resulting in a 1:1 reporting ratio. Each manager oversees between two to four analysts at organizational layer 5. The positions in organizational layers 4 and 5 primarily consist of union-represented and non-union represented principal and senior-level analysts, as well as administrators. The executive stated that the Office intentionally maintains a narrower span of control to ensure compliance with federal and state regulations and due to the specialized expertise required for the services provided.



Median Span of Control for the Office and by Organizational Layer (OL)

Civil Rights maintains a median span of control of 1:2 across its four organizational layers, with ten designated supervisors. The BART General Manager occupies the first organizational layer (OL-1).

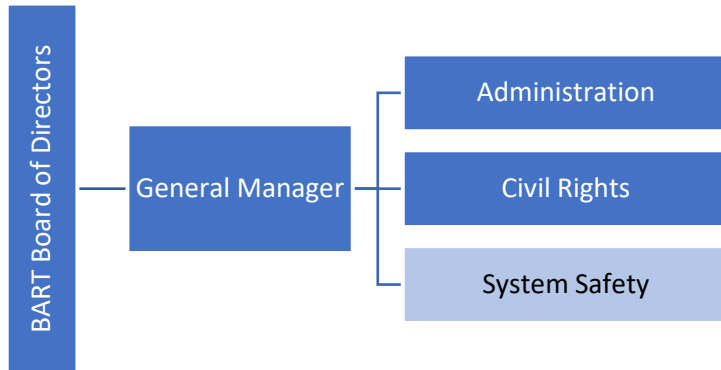
	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6
Span of Control	2	1	5	2	2.5		
#Supervisors	10	1	1	4	4		
#Positions	27	1	1	5	9	11	

Note: The numbers presented are based on data provided to TAP International from BART’s Human Resources Information System and updates from Office executives; for Civil Rights, this excludes the BART General Manager. These numbers may differ from the numbers presented in the BART annual budgets due to timing or other differences.

Office of the General Manager, System Safety

Under the Office of the General Manager, System Safety comprises 19 budgeted positions distributed across five divisions: Operations Safety, Engineering Safety, Employee/Patron Safety, Safety Management System (SMS), and Environmental Safety. The Chief Safety Officer reports directly to the General Manager. The responsibilities of System Safety encompass oversight, audits, and monitoring of safety within Rail Operations, Occupational Health & Safety, Engineering & Safety Certification, and Environmental Compliance.

BART’s Functional Organizational Chart

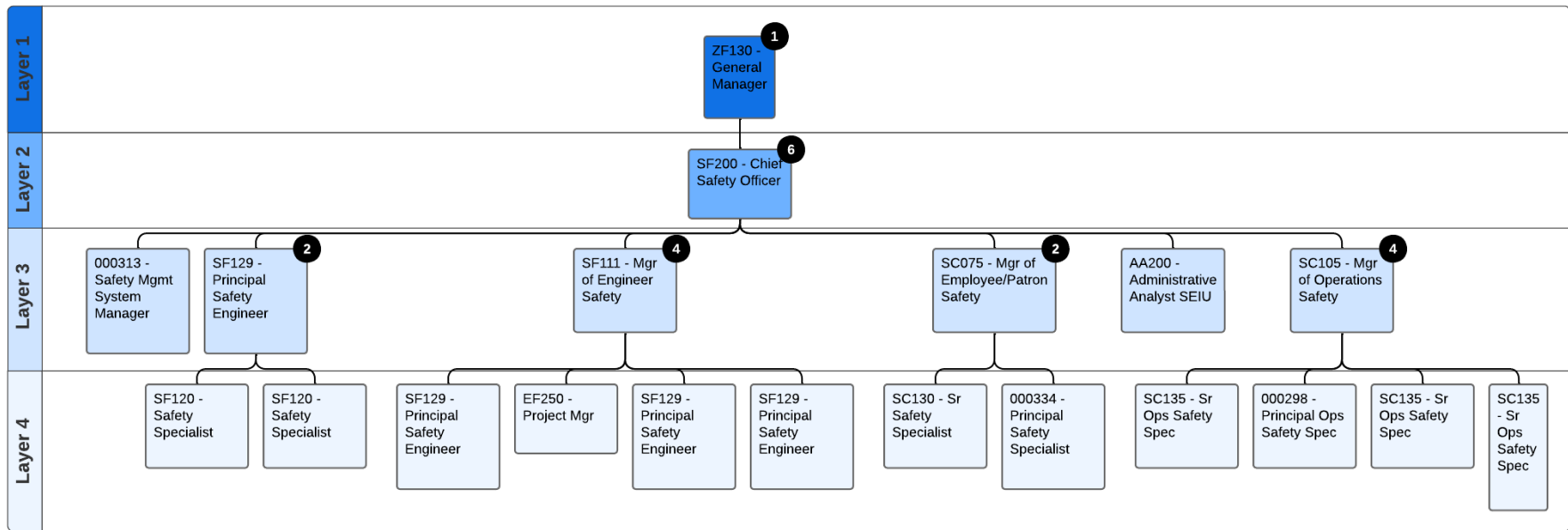


BART Budget Position Summary

Department	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
System Safety	15.0	4.0	15.0	4.0	15.0	4.0

High-Level Organizational Framework and Span of Control Ratio

Under the supervision of the General Manager (OL-1), the Chief Safety Officer (OL-2) has oversight of four managers and a Principal Safety Engineer (in OL-3). Among the four managers, three have supervisory responsibilities, each overseeing two to four staff members. The Principal Safety Engineer also holds supervisory responsibilities in the third and fourth organizational layers. The staff under the managers and Principal Safety Engineer includes safety specialists, other principal safety engineers, a project manager, and safety specialists. Notably, the level of supervisory responsibilities varies among employees with the same position classification, such as principal safety engineer, in the third and fourth organizational layers.



Median Span of Control for the Office and by Organizational Layer (OL)

System Safety maintains a median span of control of 1:3 across its four organizational layers, with a total of five designated supervisors overseeing various levels of staff within the organization.

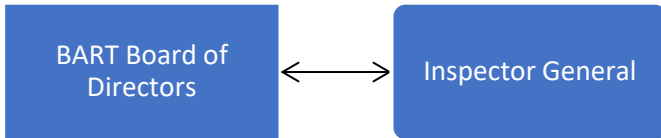
	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6
Span of Control	3	1	6	3			
#Supervisors	5	1	1	4			
#Positions	20	1	1	6	12		

Note: The numbers presented are based on data provided to TAP International from BART's Human Resources Information System and updates from Office executives. These may differ from the numbers presented in the BART annual budgets due to timing or other differences.

Office of the Inspector General

The Office of the Inspector General has three budgeted positions, growing to seven positions in fiscal year 2024. The Inspector General is appointed by the California Governor and has the responsibility to administer the Inspector General functions independently from BART’s general management and in compliance with generally accepted government audit standards. The Inspector General reports, at least annually, its findings and activities to the California Legislature and BART Board of Directors.

Functional Organizational Chart

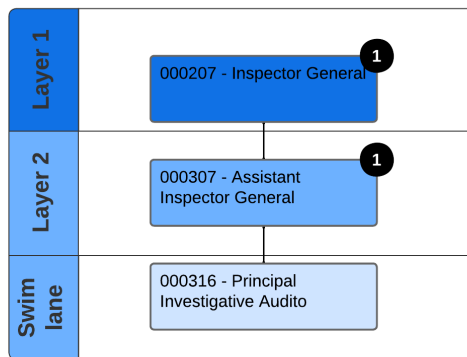


BART Budget Position Summary

Department	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
Inspector General	3.0	0.0	3.0	0.0	7.0	0.0

High-Level Organizational Framework and Span of Control Ratio

The Governor appoints the Inspector General, who supervises an assistant inspector general and a principal investigative auditor and reports to the Board of Directors.



Median Span of Control for the Office and by Organizational Layer (OL)

The Inspector General has a median span of control of 1:1 across its four organizational layers, with two designated supervisors.

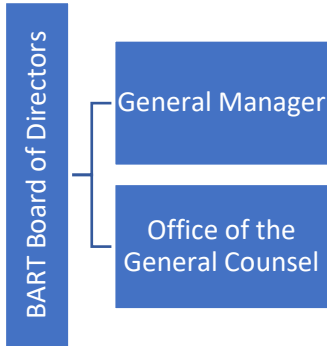
	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6
Span of Control	1	1	1				
#Supervisors	2	1	1				
#Positions	3	1	1	1			

Note: The numbers presented are based on data provided to TAP International from BART's Human Resources Information System and updates from Office executives. These may differ from the numbers presented in the BART annual budgets due to timing or other differences.

Office of the General Counsel

Under the General Counsel's supervision (OL-1), there is an Assistant General Counsel (OL-2), who oversees staff (OL-3) and responsible for legal matters related to Labor, Employment, Compliance, Litigation, Real Estate, and Commercial Contracts. The staff positions include senior legal analysts and a paralegal, who also report to Assistant General Counsel.

BART's Functional Organizational Chart

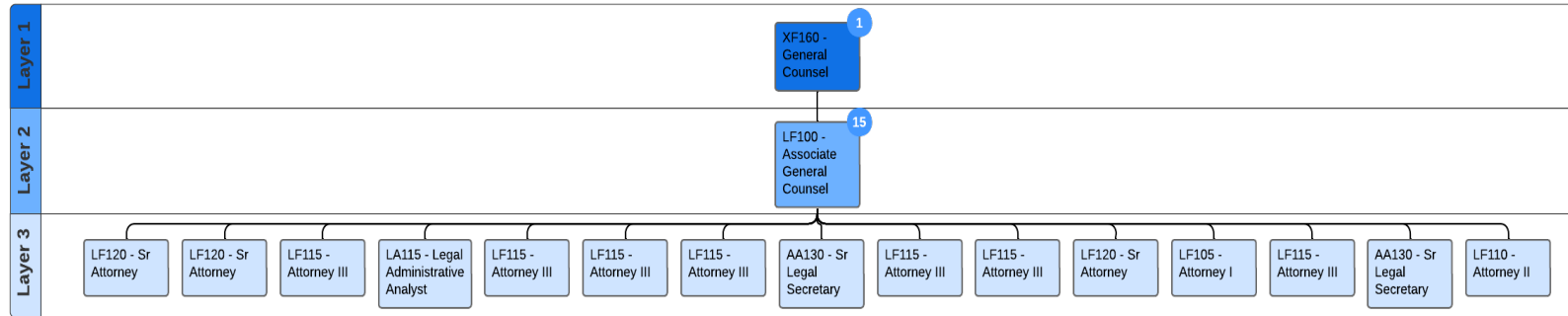


BART Budget Position Summary

Department	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
Office of the General Counsel	17.0	2.0	17.0	2.0	19.0	0.0

High-Level Organizational Framework and Span of Control Ratio

The General Counsel, appointed by the Board of Directors, oversees the Associate General Counsel, who, in turn, supervises attorneys, legal secretaries, and administrative analysts within the Office, as directed by the General Counsel.



Median Span of Control for the Office and by Organizational Layer (OL)

The General Counsel has a median span of control of 1:3 across its four organizational layers, with two designated supervisors. The executive noted that there are additional reporting relationships within the Office of the General Counsel, such as three senior attorneys supervising other attorneys. The absence of this organizational data limits the effective use of span of control as a tool for swiftly evaluating organizational efficiency.

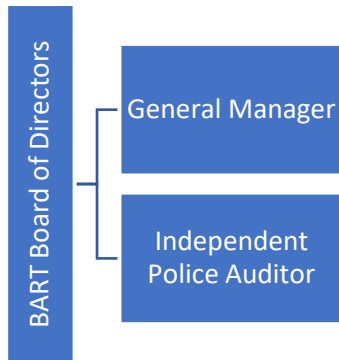
	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6
Span of Control	3	1	16				
#Supervisors	2	1	1				
#Positions	17	1	1	16			

Note: The numbers presented are based on data provided to TAP International from BART’s Human Resources Information System and updates from Office executives. These may differ from the numbers presented in the BART annual budgets due to timing or other differences.

Office of the Independent Police Auditor

The Office of the Independent Police Auditor, on behalf of the public, provides independent oversight of the BART Police Department through investigations, reviews of police department activities, policy recommendations to improve Police performance, and communication with members of the public in the BART service area. The office has five budgeted positions and reports to the Board of Directors, while its budget and positions available are controlled by the BART General Manager.

BART’s Functional Organizational Chart

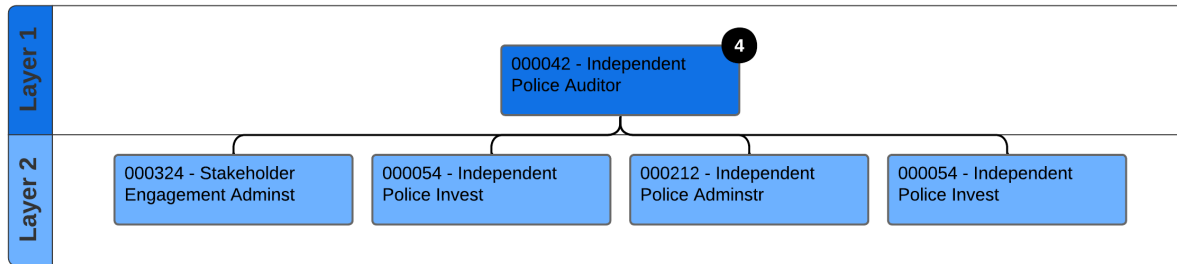


BART Budget Position Summary

Department	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
Ind. Police Auditor	5.0	0.0	5.0	0.0	5.0	0.0

High-Level Organizational Framework and Span of Control Ratio

The Independent Police Auditor directly reports to the Board of Directors and supervises two investigator and two administrator positions.



Median Span of Control for the Office and by Organizational Layer (OL)

The Independent Police Auditor has a median span of control of 1:4 across its four organizational layers, with one designated supervisor.

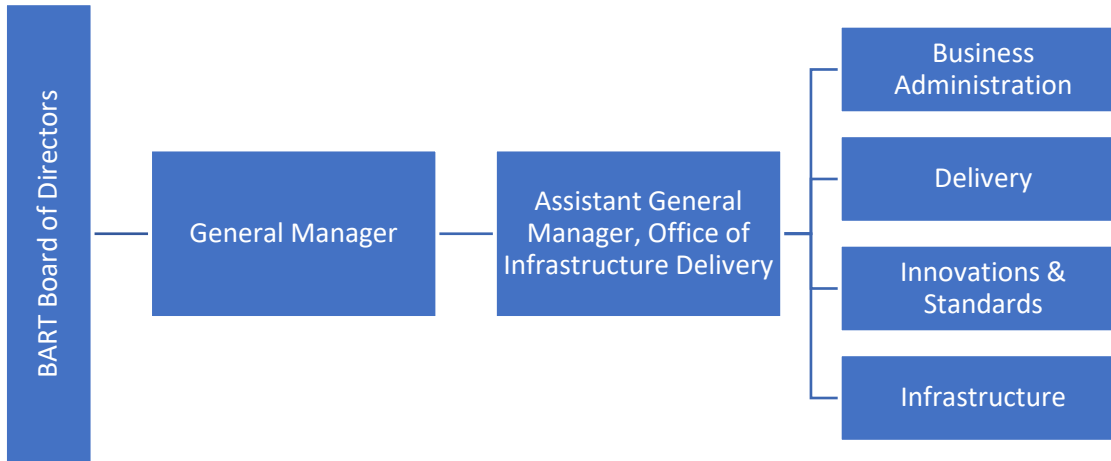
	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6
Span of Control	4	4					
#Supervisors	1	1					
#Positions	5	1	4				

Note: The numbers presented are based on data provided to TAP International from BART's human resource information system and updates from Office executives. These may differ from the numbers presented in the BART annual budgets due to timing or other differences.

Office of Infrastructure Delivery

The reorganized Office of Infrastructure Delivery, led by the Assistant General Manager, reports to the General Manager, and has 394 budgeted positions across four areas: Business Administration, Delivery, Innovation & Standards, and Infrastructure.

BART’s Functional Organizational Chart



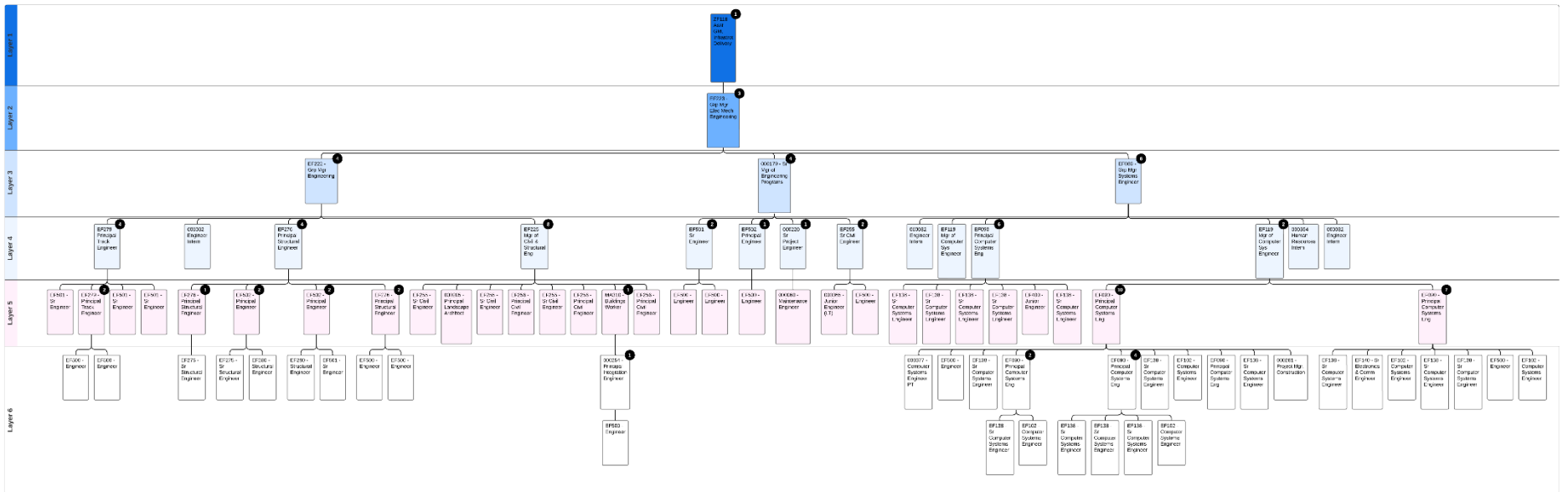
BART Budget Position Summary

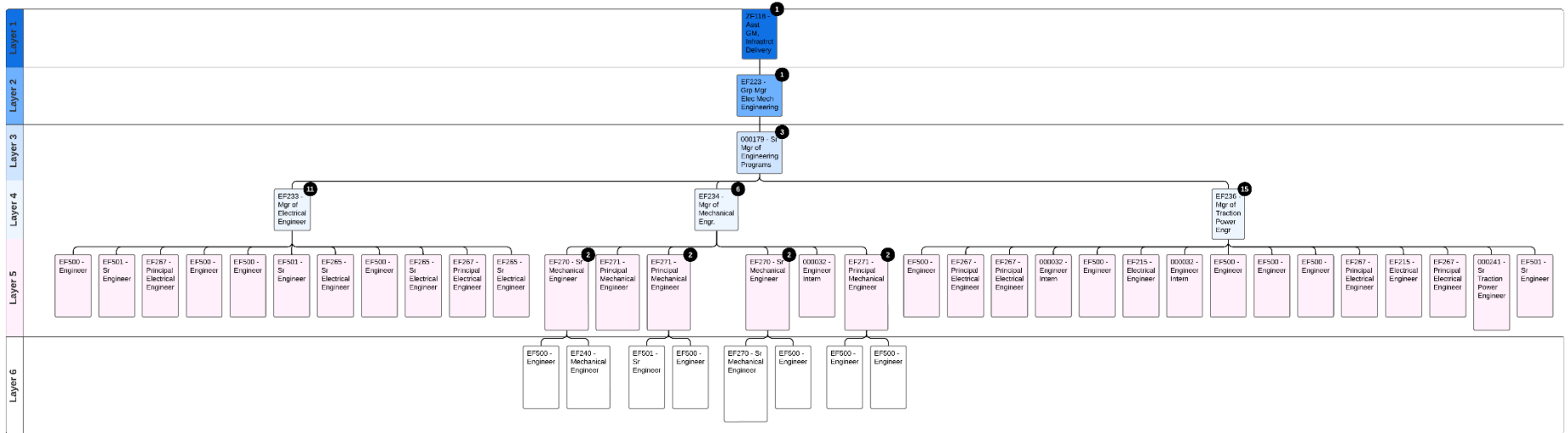
Department	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
Total for Office	4.3	64.8	4.3	78.8	70.7	323.3
Administration	1.1	5.0	1.1	21.0	33.9	39.2
District Architect	1.7	5.3	1.7	5.3		
Delivery					12.8	104.3
Infrastructure					23.1	175.9
Extensions	1.5	54.5	1.5	52.5	1.0	1.0

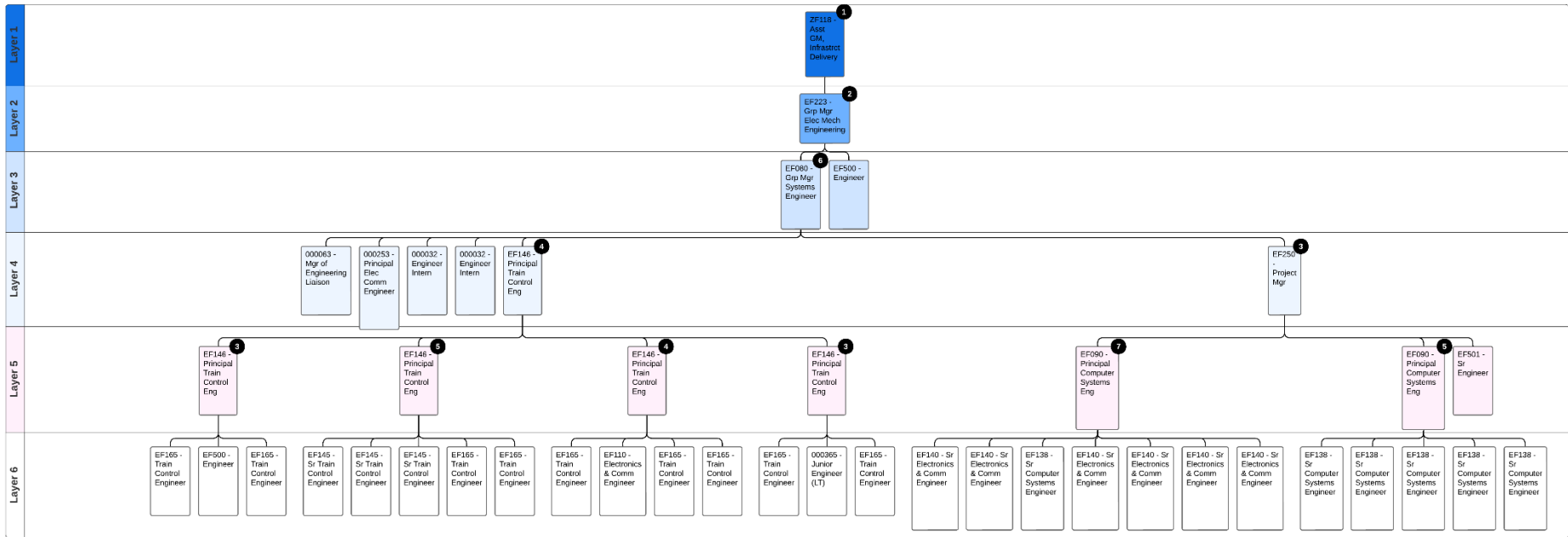
Note: The budget reflects the names of organizational units prior to the reorganization.

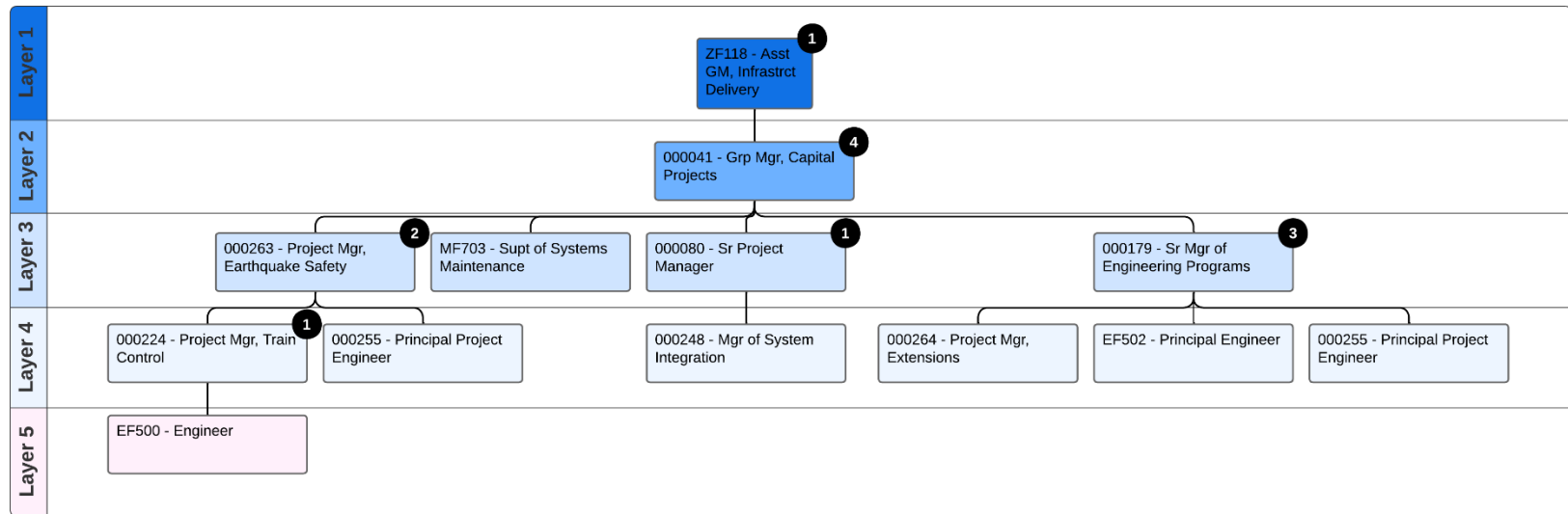
High-Level Organizational Framework and Span of Control Ratio

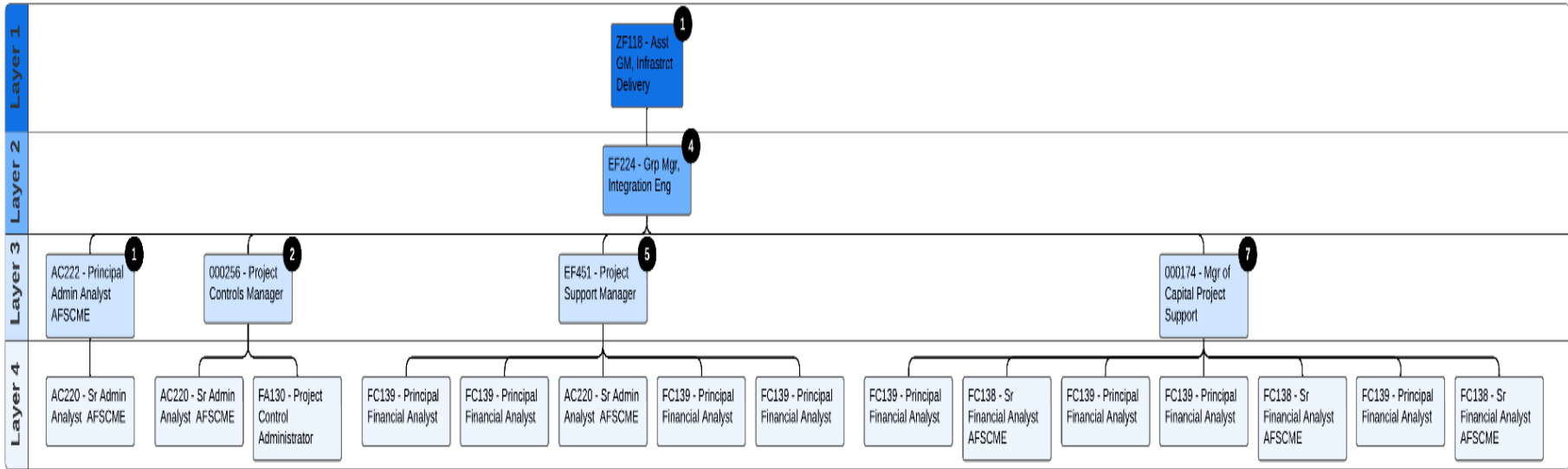
The Infrastructure Delivery organizational framework is evolving as it incorporates organizational units like the District Architect into the new office. This organizational layer and span of control analysis is based on data available at the time of the audit and reflects the reporting relationships, where available, by group manager.

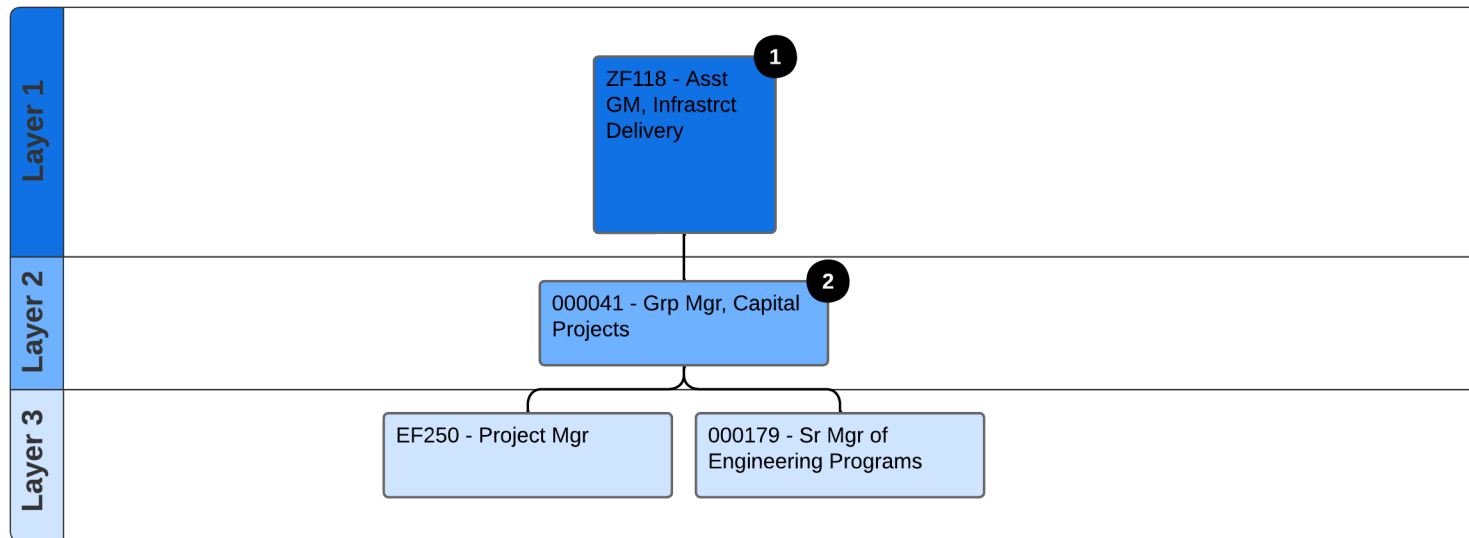
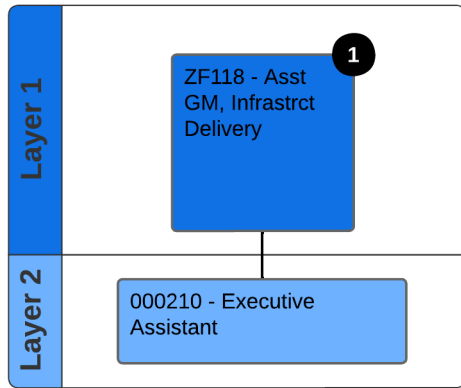


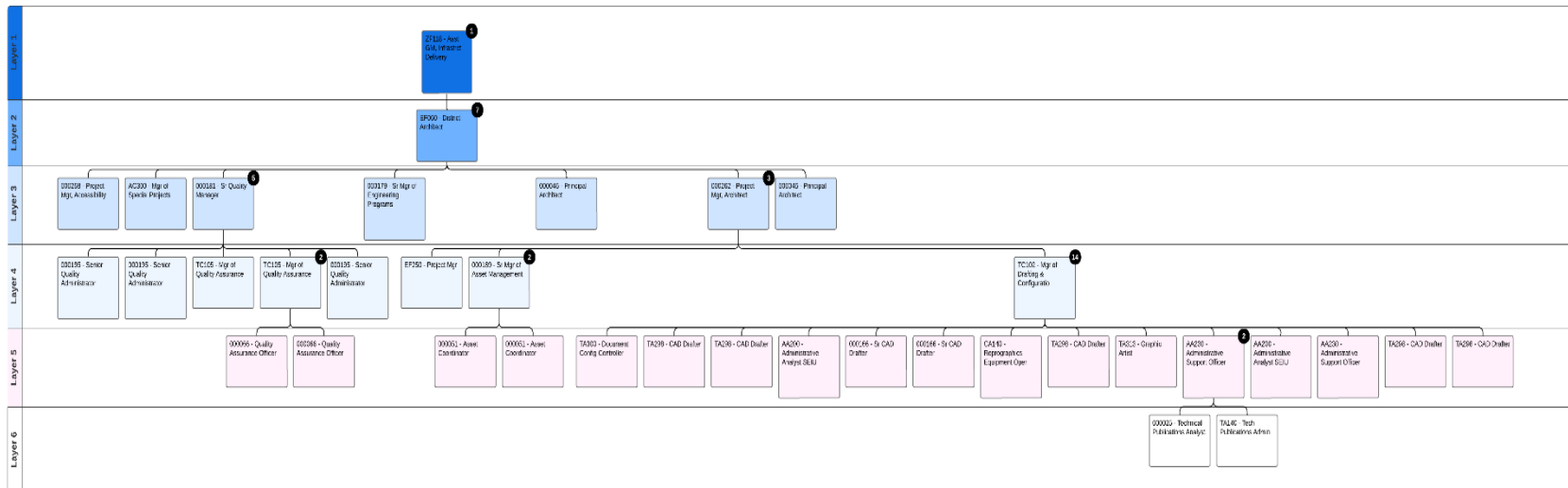


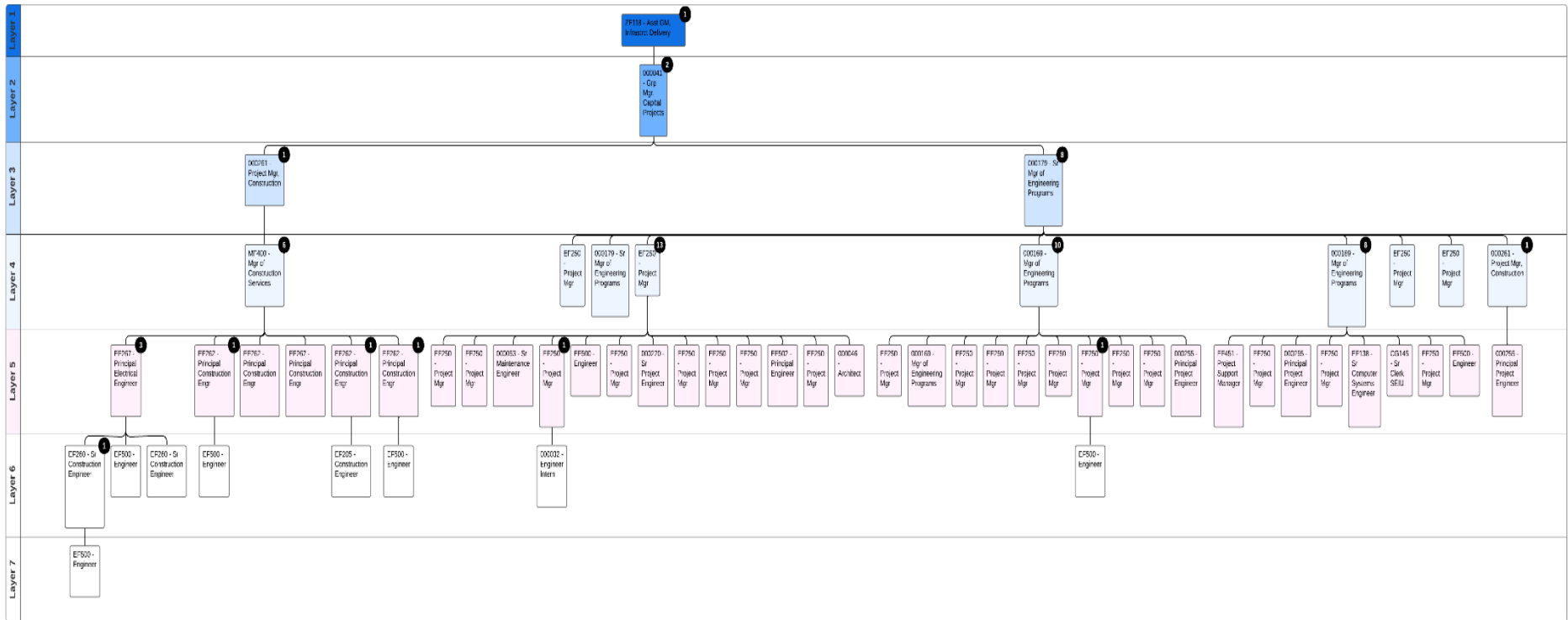












Median Span of Control for the Office and by Organizational Layer (OL)

	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6	OL-7
Span of Control	3	7	4	3.5	4	1	1.5	
#Supervisors	75	1	6	16	23	25	4	
#Positions	299	1	7	24	61	126	72	8

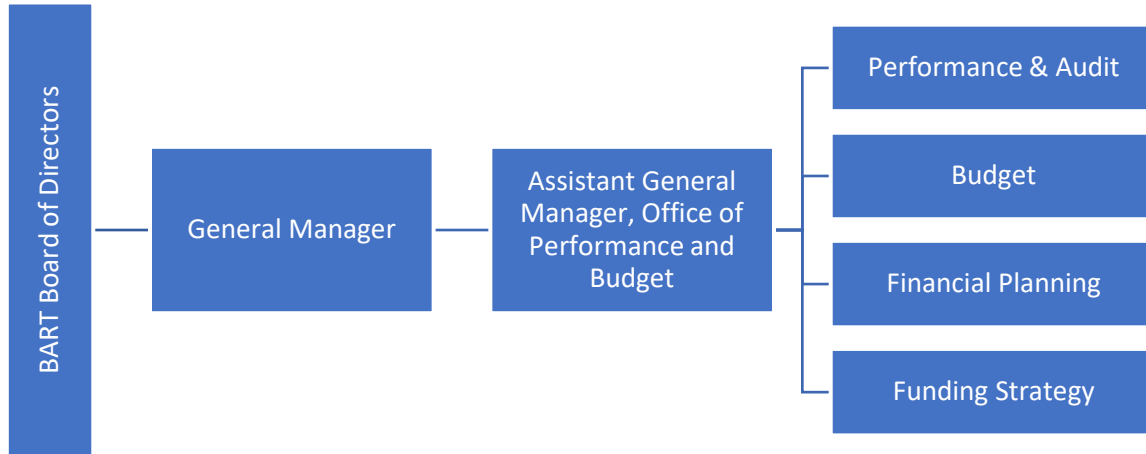
	Office	Administration	Delivery	Infrastructure	Extensions
Span of Control	3	4	2	3	NA
#Supervisors	75	8	24	43	NA
#Positions	299	53	74	172	NA

Note: The numbers presented are based on data provided to TAP International from BART’s Human Resources Information System and updates from Office executives. These may differ from the numbers presented in the BART annual budgets due to timing or other differences.

Office of Performance and Budget

The Office of Performance & Budget oversees 45 budgeted positions across four departments: Budget, Financial Planning, Funding Strategy, and Performance & Audit. The office is responsible for developing and managing BART’s operating and capital budgets, overseeing grant compliance and reporting, conducting internal audits, and implementing financial planning strategy and analysis. The Assistant General Manager, Performance, and Budget reports directly to the General Manager.

BART’s Functional Organizational Chart



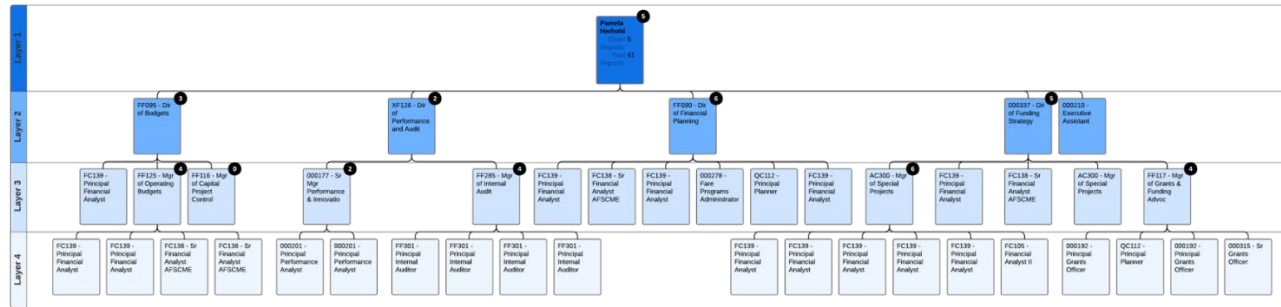
BART Budget Position Summary

Department	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
Total for Office	27.5	10.5	34.5	8.5	36.5	8.5
Administration	4.0	0.0	2.0	0.0	2.0	0.0
Budget	10.0	3.0	14.0	2.0	14.0	2.0
Financial Planning	7.5	5.5	5.0	3.0	5.0	3.0
Funding Strategy			7.5	1.5	8.5	1.5
Performance & Audit	6.0	2.0	6.0	2.0	7.0	2.0

High-Level Organizational Framework and Span of Control Ratio

Performance and Budget has a median span of control of 1:4 across its four organizational layers, with eleven designated supervisors.

The Office is organized with four directors in the second organizational layer, each overseeing one of the four departments and reporting directly to the Assistant General Manager for Performance and Budget. Of the eight managers who report directly to the four directors, six are assigned supervisory responsibilities, while two managers have no direct reports. Other staff without supervisory responsibilities also report directly to the four directors. For example, the position of Principal Financial Analyst, found in the Office’s third and fourth organizational layers, reports either to a director or to a manager, who then reports to a director. Office executives explained that, while only a manager or director can approve a timesheet, some Principal Financial Analysts supervise the work of others.



Median Span of Control for the Office and by Organizational Layer (OL)

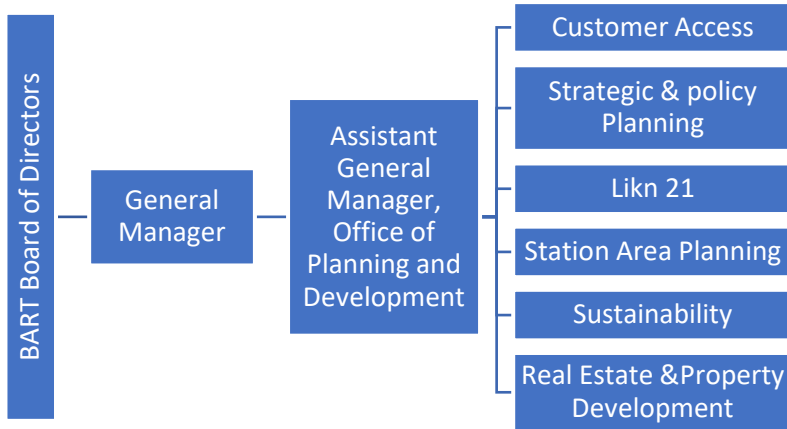
	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6
Span of Control	4.0	5.0	3.5	4.0	5.0		
#Supervisors	11	1	4	6	0		
#Positions	42	1	5	16	20		

Note: The numbers presented are based on data provided to TAP International from BART’s Human Resources Information System and updates from Office executives. These may differ from the numbers presented in the BART annual budgets due to timing or other differences.

Office of Planning and Development

The Assistant General Manager for Planning and Development reports to the General Manager, overseeing six departments: Customer Access, Real Estate & Property Development, Station Area Planning, Strategic & Policy Planning, Sustainability, and Link 21. The Office of Planning and Development has a budgeted staff of over 53 positions.

BART’s Functional Organizational Chart

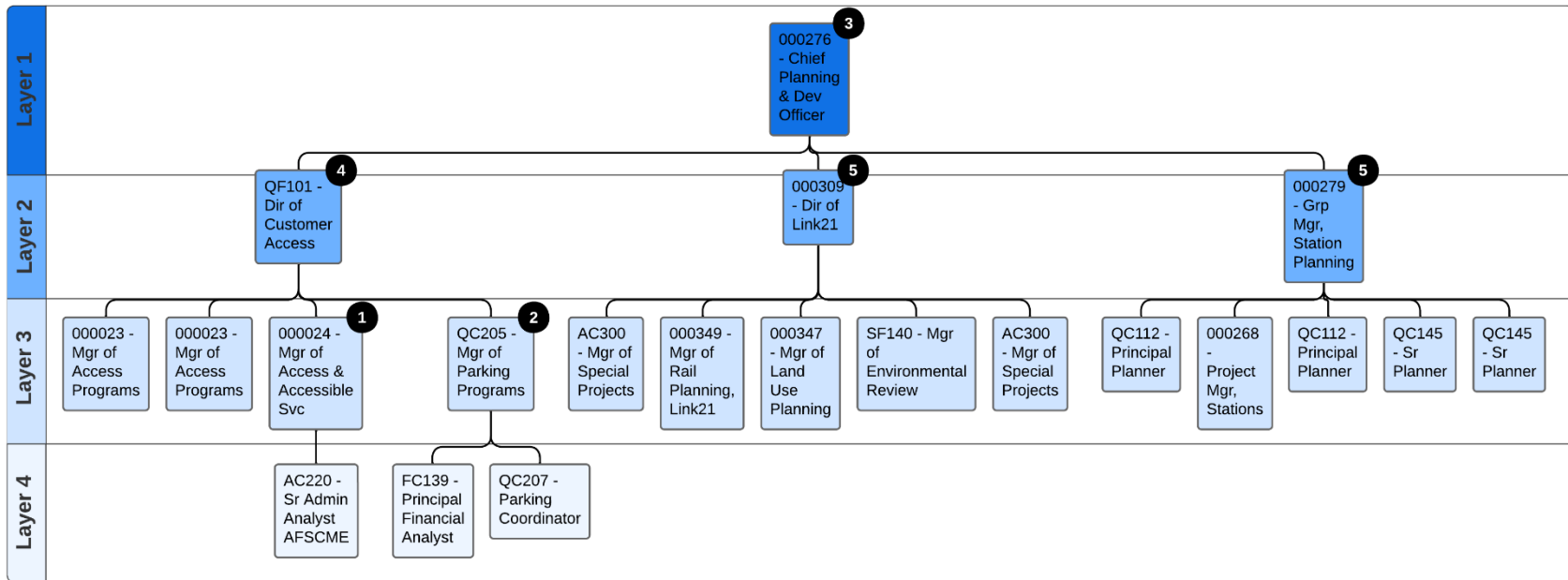


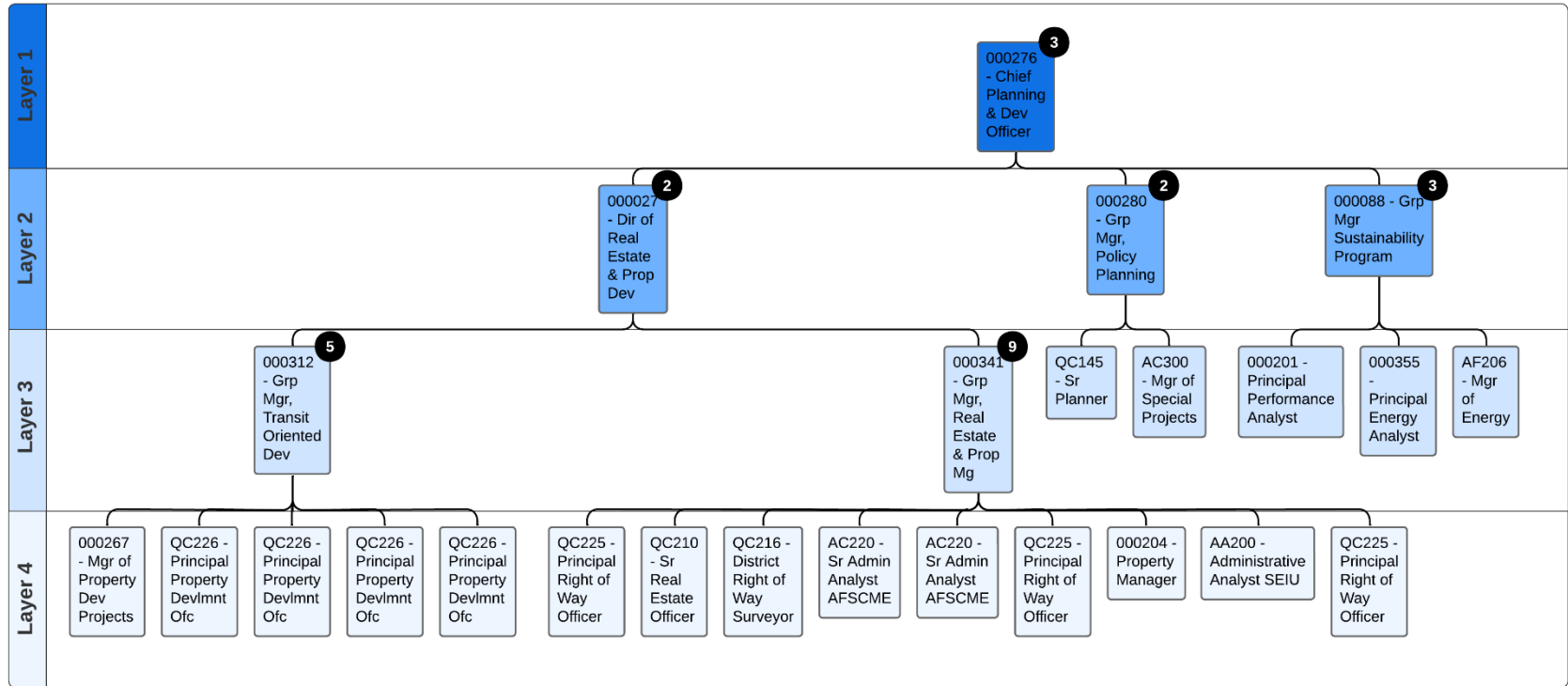
BART Budget Position Summary

Department	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
Total for Office	33.4	17.7	36.1	17.0	37.6	15.5
Administration	0.5	0.5	0.8	0.3	0.8	0.3
Customer Access	8.5	1.5	8.5	0.5	8.5	0.5
Link 21	0.0	5.0	0.0	7.0	0.0	7.0
Real Estate & Property Development	13.9	5.2	16.8	3.2	16.8	3.2
Station Area Planning	4.0	2.0	4.0	2.0	4.0	2.0
Strategic & Policy Planning	4.0	1.0	3.5	1.5	3.5	1.5
Sustainability	2.5	2.5	2.5	2.5	4.0	1.0

High-Level Organizational Framework and Span of Control Ratio

The Chief Planning and Development Officer directly supervises three directors (Real Estate & Property Development, Customer Access, Link 21) and three group managers (Policy Planning, Sustainability, Station Area Planning). Each group manager oversees two to five manager-level positions, and some of these managers also have supervisory responsibilities. Among them, the group manager of Real Estate & Property Management has the widest span of control at 1:9, while the manager of Access & Accessible Services has the narrowest span of control at 1:1, directly supervising a senior administrative analyst.





Median Span of Control for the Office and by Organizational Layer (OL)

Planning & Development has a median span of control of 1:4 across its four organizational layers, with 11 designated supervisors.

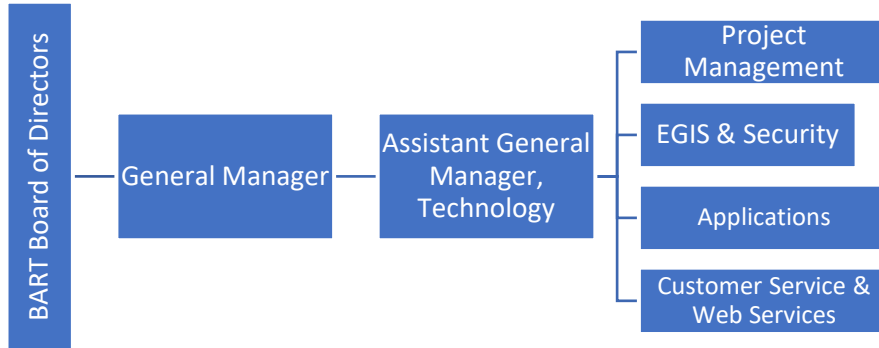
	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6
Span of Control	4	6	3.5	3.5			
#Supervisors	11	1	6	4			
#Positions	45	1	6	21	17		

Note: The numbers presented are based on data provided to TAP International from BART’s Human Resources Information System and updates from Office executives. These may differ from the numbers presented in the BART annual budgets due to timing or other differences.

Office of Technology

Under the leadership of the Chief Information Officer (CIO), also known as the Assistant General Manager, Technology, the Office of Technology encompasses 63 budgeted positions spread across four departments: Enterprise Geographic Information Systems (EGIS) & Security, Applications, Customer Services & Web Services, and Project Management. The CIO reports directly to the General Manager.

BART’s Functional Organizational Chart

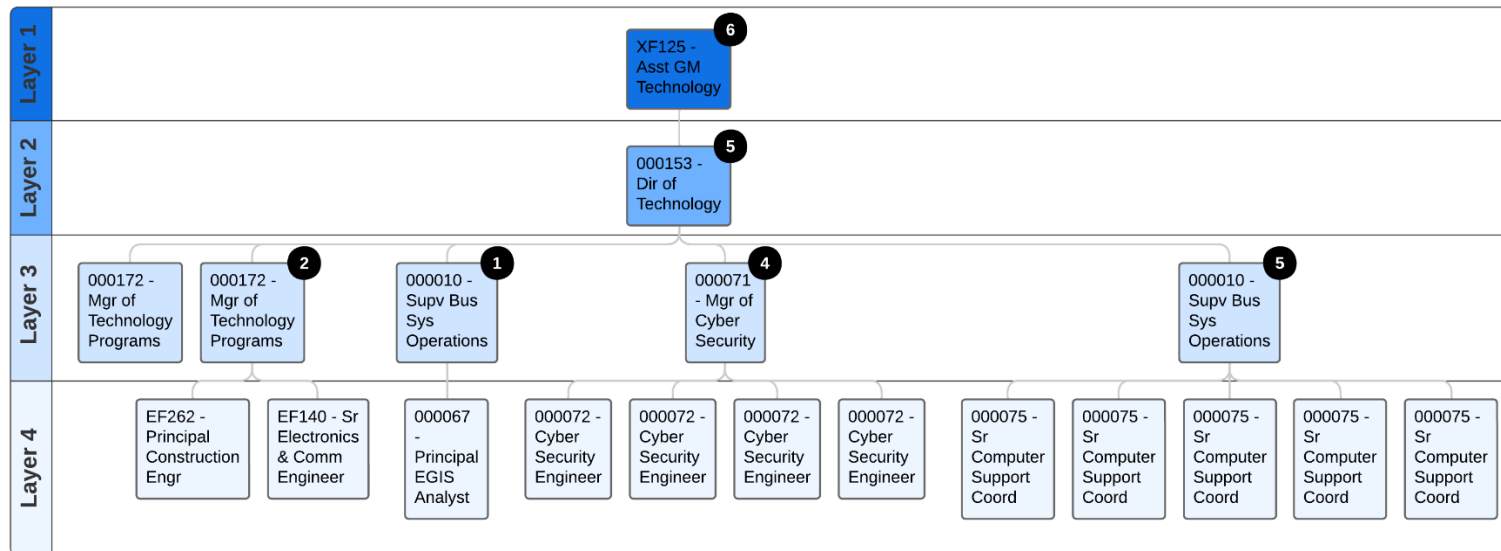
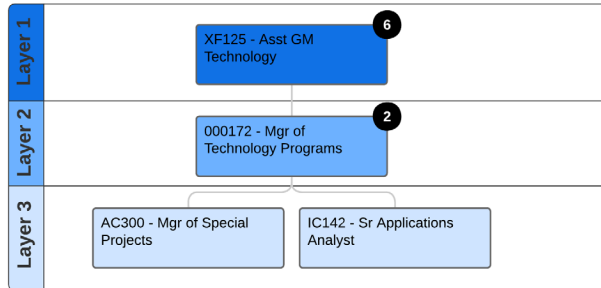
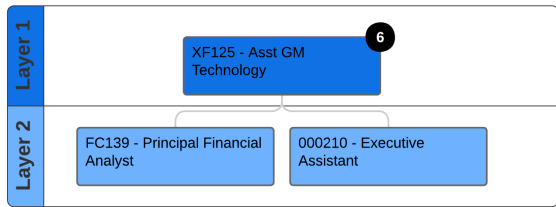


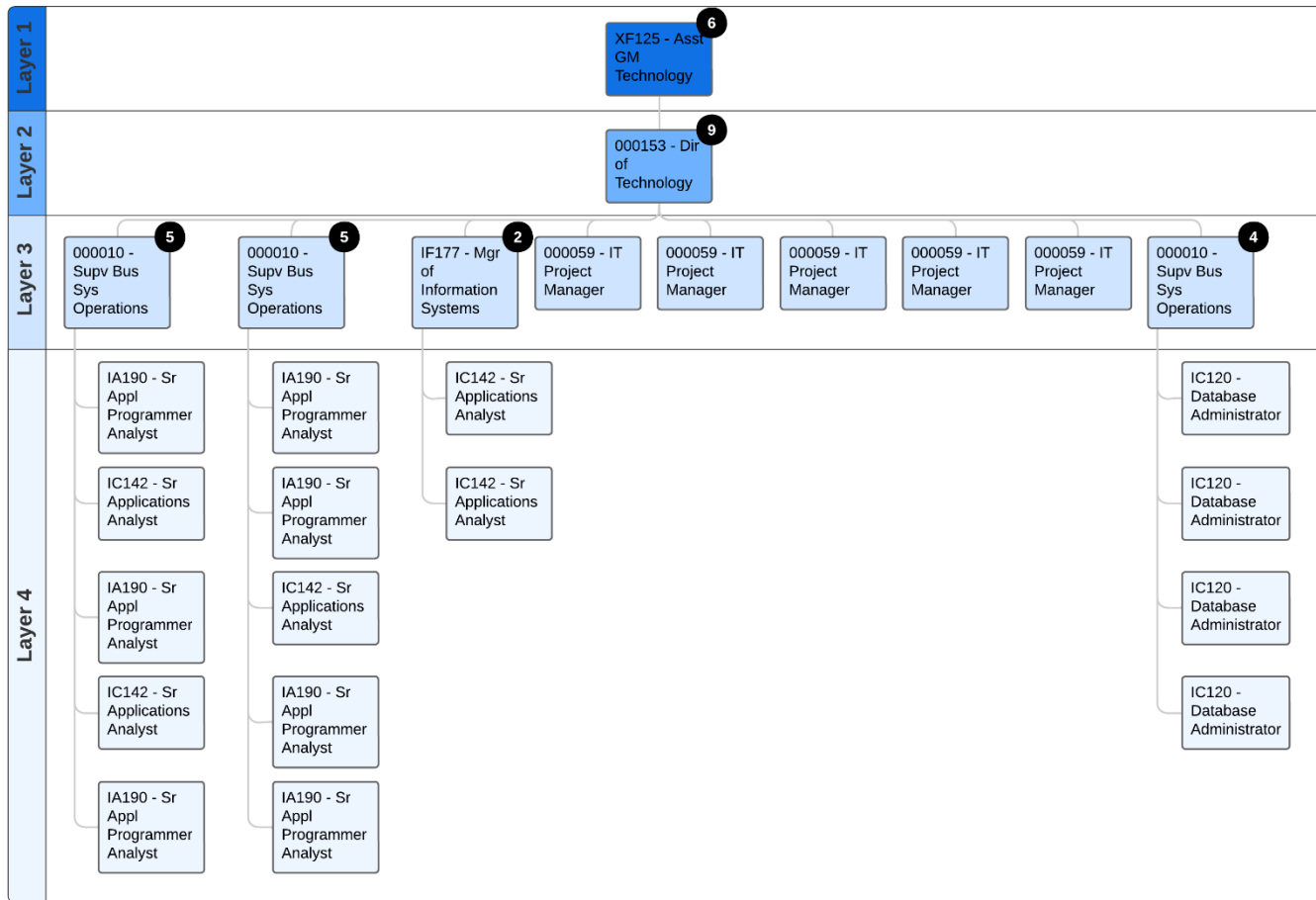
BART Budget Position Summary

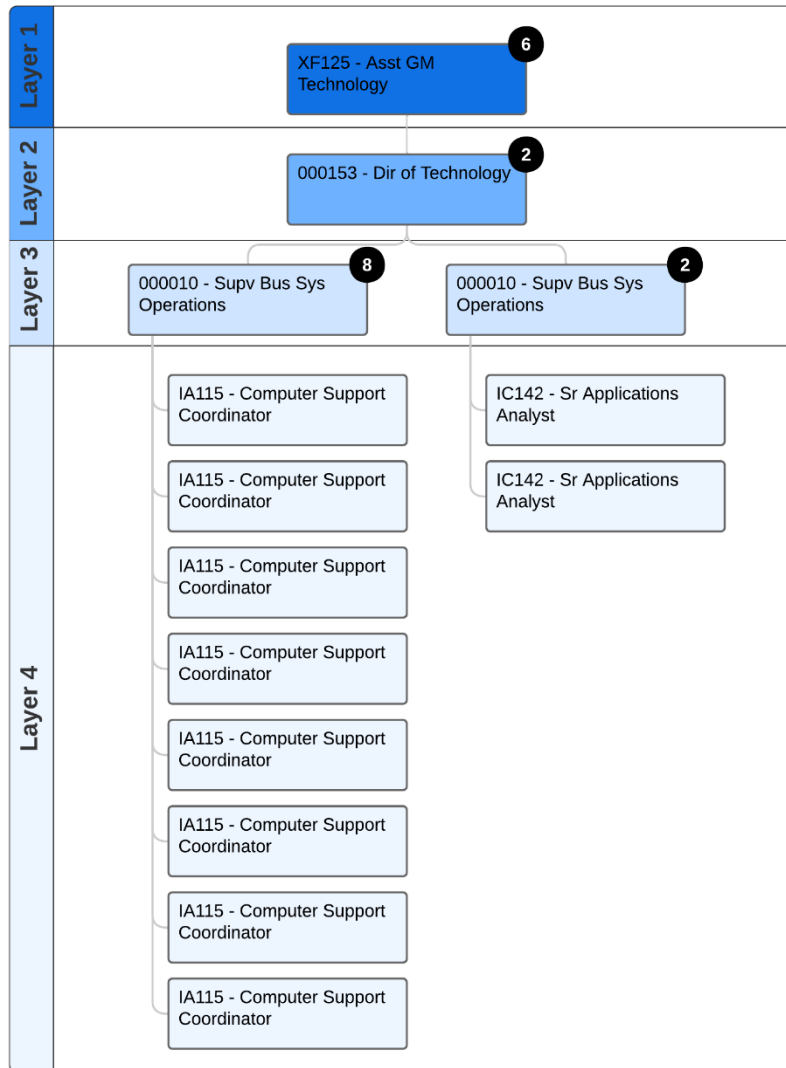
Department	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
Chief Information Officer	60.5	2.5	60.5	2.5	60.5	2.5

High-Level Organizational Framework and Span of Control Ratio

Three directors of technology and one manager of technology lead one of the Office’s four divisions (in OL-2), directly reporting to the Assistant General Manager for Technology (OL-1), who reports to the General Manager. The third organizational layer is composed of 10 managers and supervisors who supervise others, and five information technology project managers, a manager of special projects, a manager of technology programs, and a senior applications analyst who do not supervise others. There is no overlap of positions across the third and fourth organizational layers. The five charts below illustrate the organizational framework for each group within the Office of Technology, one group led by the AGM, three groups each led by a director of technology, and one group led by a manager of technology.







Median Span of Control for the Office and by Organizational Layer (OL)

Technology has a median span of control of 1:4 across its four organizational layers. There are 15 designated supervisors.

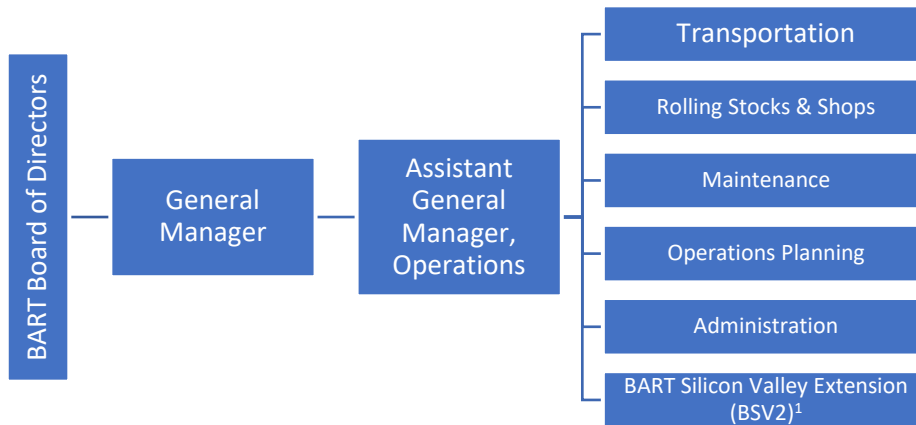
	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6
Span of Control	4	6	3.5	4			
#Supervisors	15	1	4	10			
#Positions	63	1	6	18	38		

Note: The numbers presented are based on data provided to TAP International from BART’s Human Resources Information System and updates from Office executives. These may differ from the numbers presented in the BART annual budgets due to timing or other differences.

Operations

Operations comprises 3,176.2 budgeted positions across five departments: Transportation, Rolling Stock & Shops, Maintenance, Operations Planning, and the BART Silicon Valley Phase 2 (BSV2) team. Operations supplies maintenance frontline employees for BART’s 50 stations, 131.4 miles of track, control systems and infrastructure, passenger trains, and work equipment. The General Manager oversees Operations, and the Assistant General Manager for Operations reports to the General Manager.

BART’s Functional Organizational Chart



¹ BSV2 is not a department but Operations identified it a distinct unit, which includes Fire Life Safety. Starting with the FY23 adopted budget, no positions were allocated to the department for BART to Antioch/BART to Oakland.

BART Budget Position Summary

Department	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
Total for Office	2,538.9	862.9	2,602.4	916.8	2,552.2	624.0
Administration	2.0	0.0	2.0	0.0	2.0	0.0
BART to Antioch/BART-to-OAK	57.0	0.0				
Maintenance	705.3	778.2	746.4	775.1	690.2	508.3
Operations Planning	12.0	6.0	12.0	7.0	17.0	5.0
Rolling Stocks & Shops	760.8	72.0	780.8	128.0	781.8	104.0
Transportation	1,001.9	6.8	1,061.3	6.8	1,061.3	6.8

High-Level Organizational Framework and Span of Control Ratio

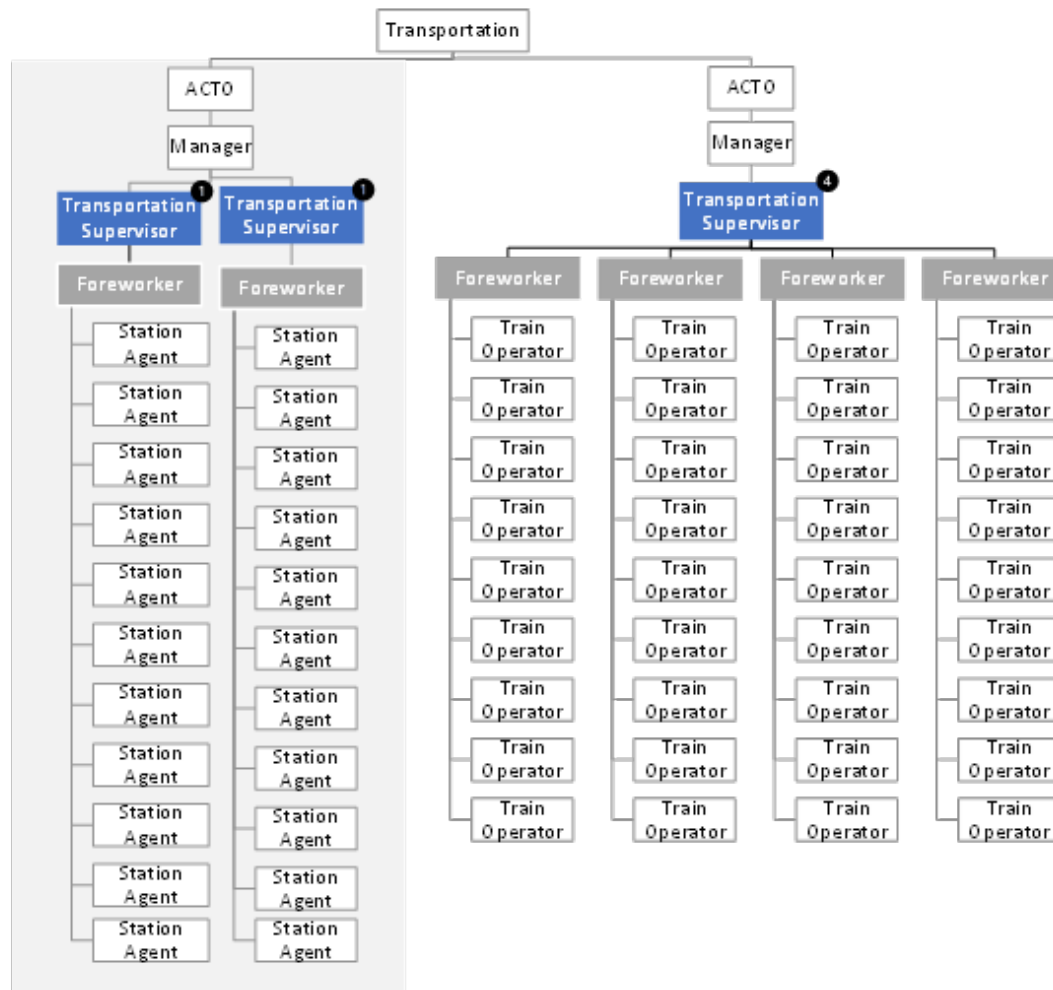
With more positions than any other executive office, Operations presently oversees two departments, each with over 1,000 positions: Transportation and Maintenance. A third department, Rolling Stocks & Shops, has more than 885 positions. These three departments operate with a different hierarchy and positions compared to other BART offices. Maintenance and Rolling Stocks & Shops are each headed by a Chief Mechanical Officer, and Transportation is overseen by a Chief Transportation Officer. The Operations Planning Department is supervised by a director, and the BSV2 team is under the supervision of the AGM, Operations. Unlike other BART executive offices, organizational charts fail to fully illustrate all positions within each Operations department, with the lowest organizational layer shown being the lowest level with formal supervisory responsibilities.

Transportation

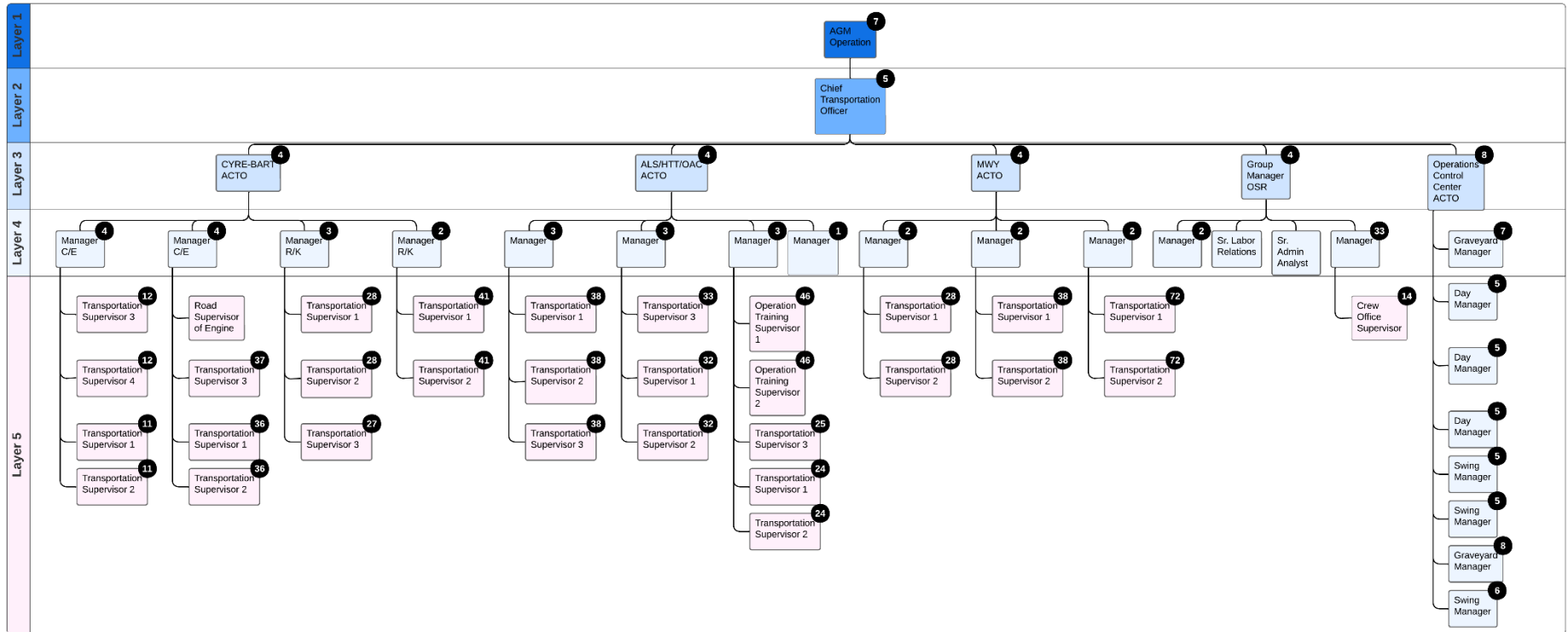
In the Transportation department, four Assistant Chief Transportation Officers (ACTO) and one Group Manager oversee the five units. Each ACTO supervises between four to eight managers, and the group manager supervises two managers. Within the Operations Control Center, under the ACTO's purview, eight managers each supervise a team of five to eight staff, comprising communication specialists, controllers, and analysts. Under the three other ACTOs, one to four supervisors report to each manager, overseeing between one to eight foreworkers. Although not officially designated as supervisors, certain foreworkers direct the work of frontline employees such as station agents and train operators.

In specific instances under certain managers in Transportation, the span of control for 11 transportation supervisors to foreworkers is even or almost even, resulting in a 1:1 span of control, as opposed to the more typical 1:4 or 1:8 ratio under other managers. The executive explained that Operations is actively working on a plan to widen these spans of control, stemming from an initiated but not completed reorganization plan by a past executive. Operations is currently updating organizational charts to reflect changes from retirements and to outline future operational plans.

Example: Illustrated Comparison of a 1:1 (left) and 1:4 (right) Span of Control between Transportation Supervisor and Foreworker.

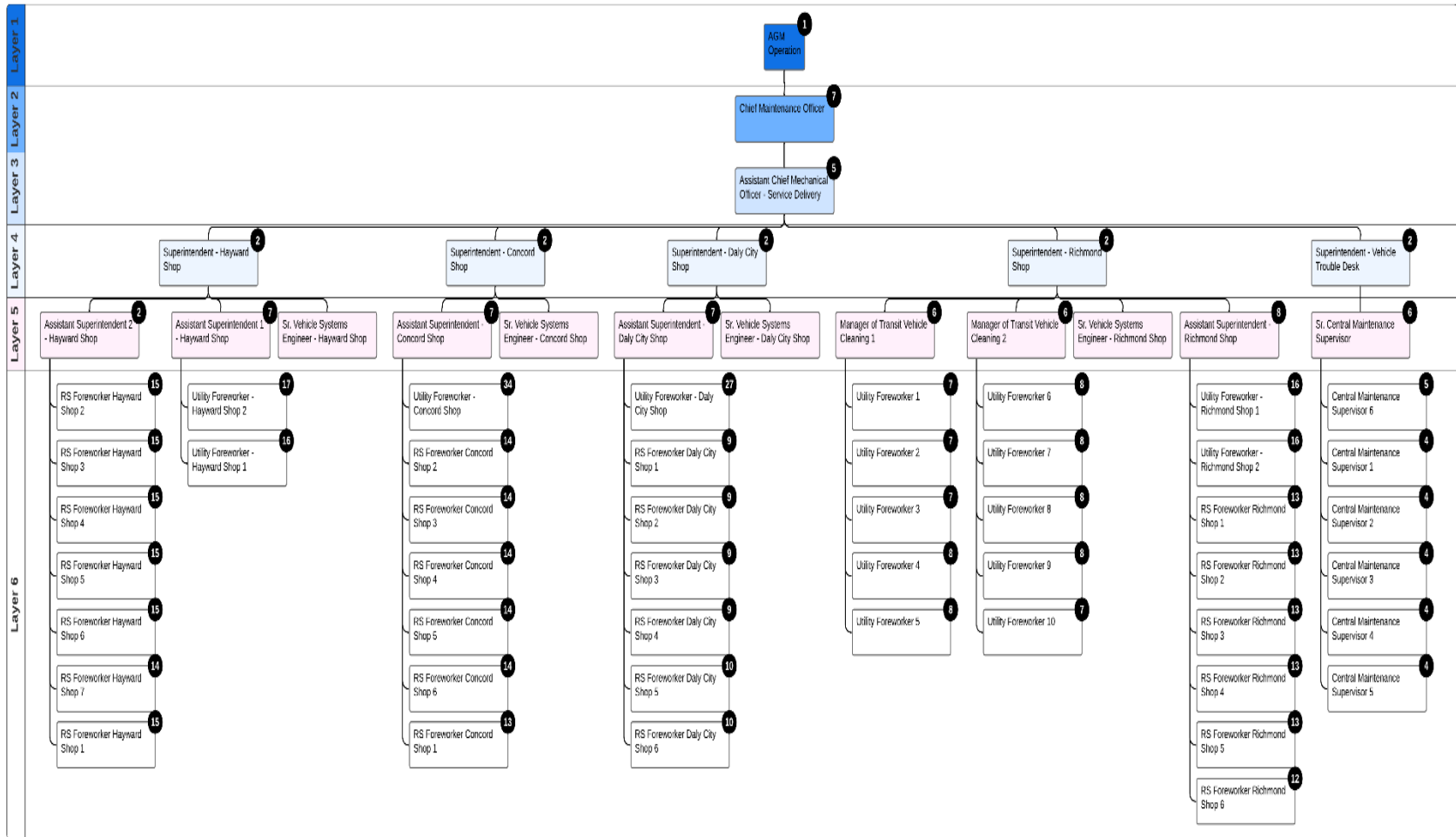


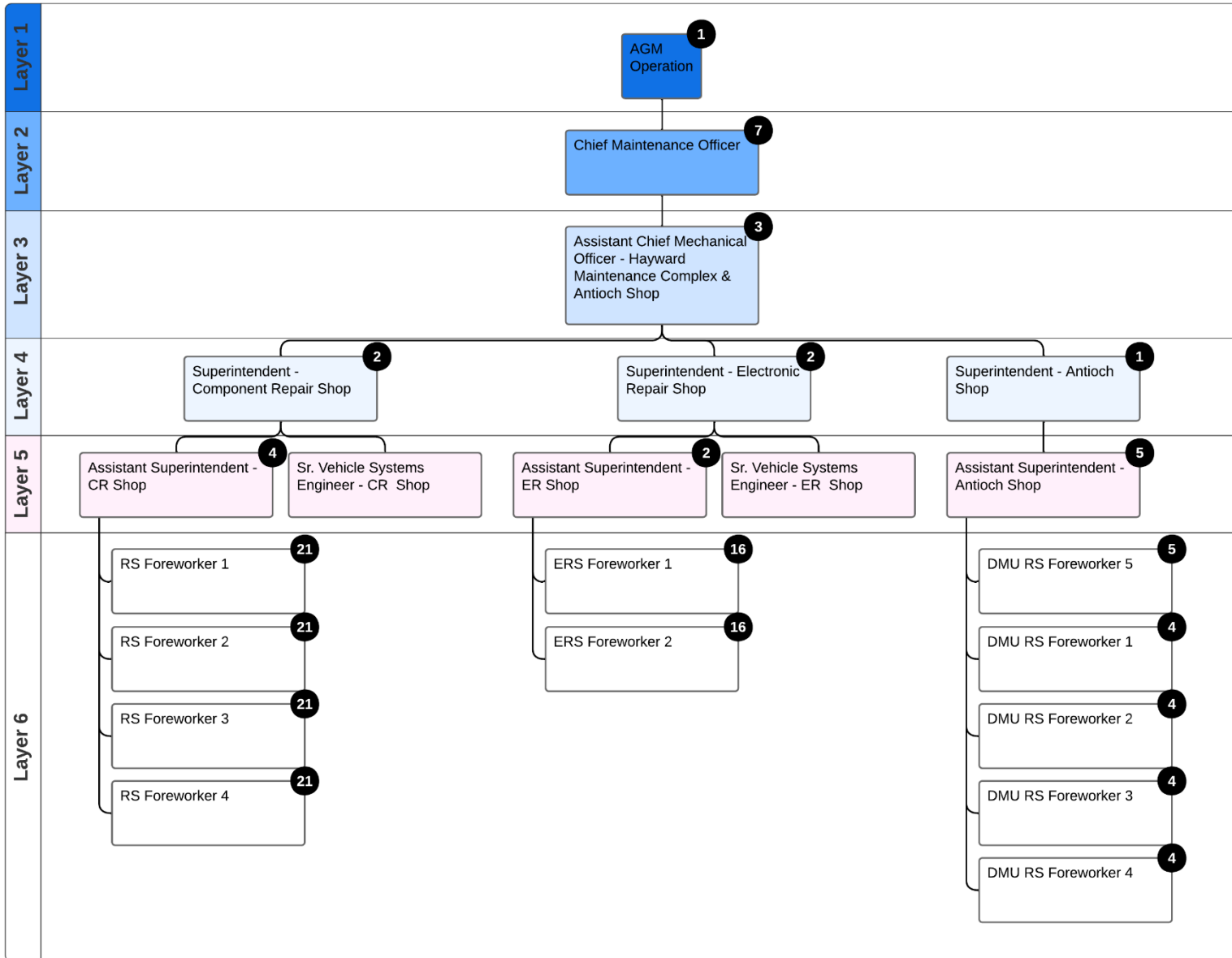
The organization chart below, based on information provided by Operations executives, shows the span of control for those with supervisory responsibility in Transportation and does not illustrate all positions within the department.

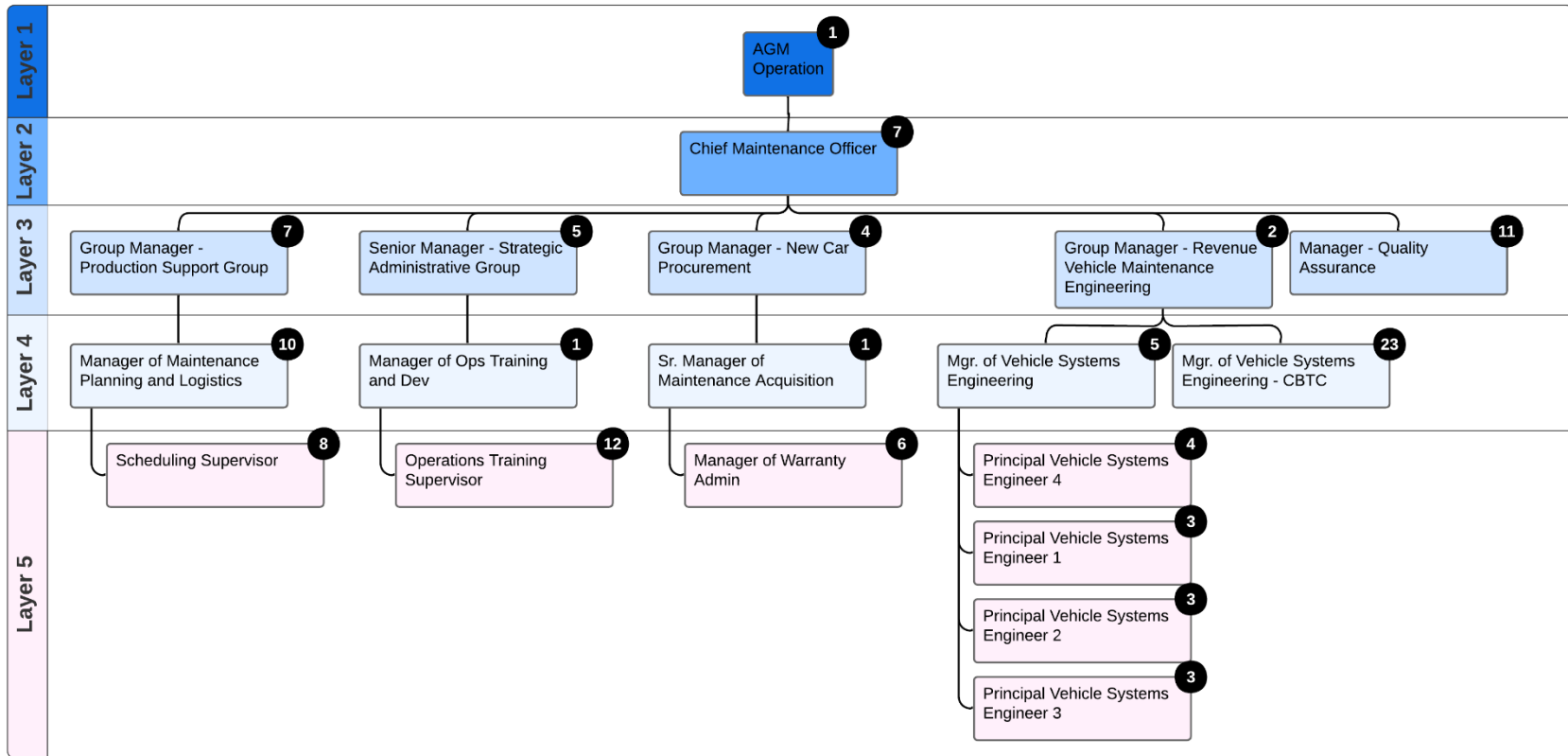


Rolling Stocks & Shops (RSS)

The Chief Mechanical Officer oversees two Assistant Chief Mechanical Officers, one for Service Delivery (613 positions) and another for Hayward Maintenance Complex & Antioch Shop (156 positions), along with five managers, each responsible for Revenue Vehicle Maintenance Engineering (43 positions), Production Support Group (25 positions), Strategic Administrative Group (19 positions), Quality Assurance (11 positions), and New Car Procurement (11 positions). Within RSS, assistant superintendents directly supervise foreworkers in each shop. The span of control ratio for assistant superintendents to foreworkers ranges from 1:2 to 1:8, with a median span of control of 1:5. The charts below illustrate spans of control and do not illustrate all positions at lower organizational layers and without direct reports, within the department.

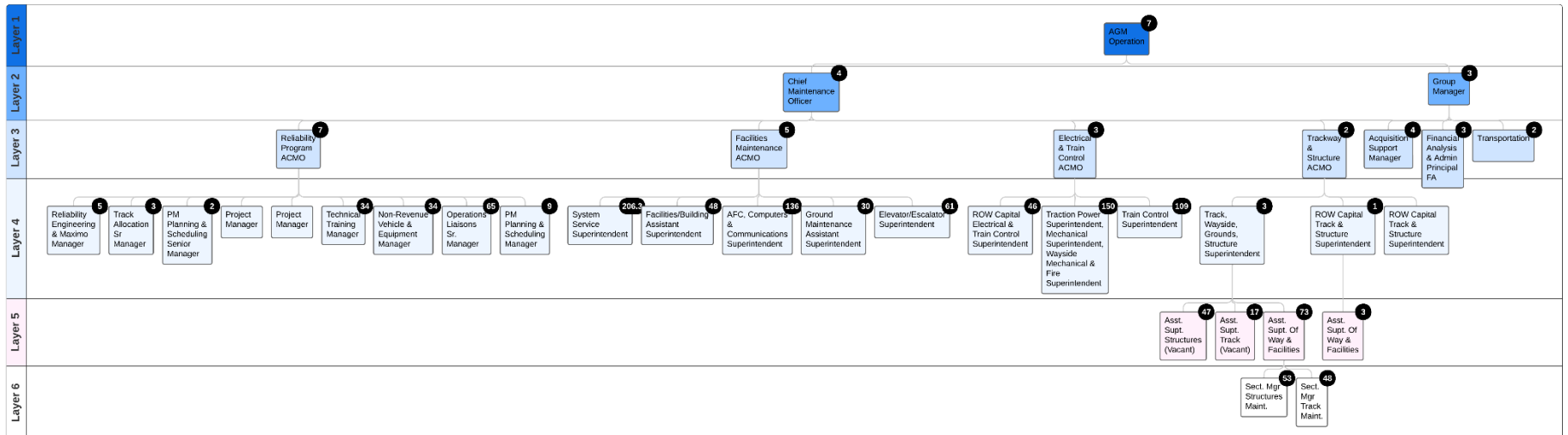






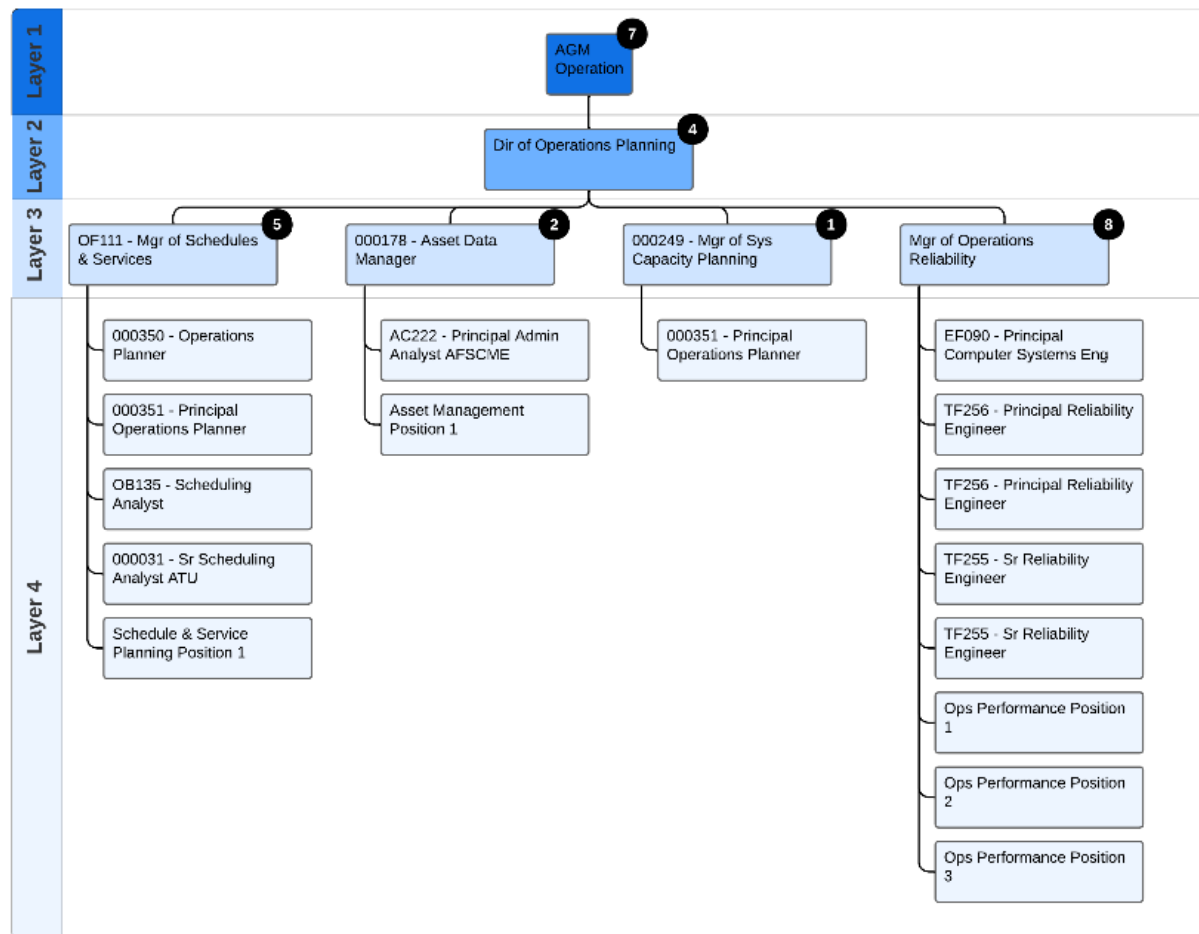
Maintenance

Four Assistant Chief Maintenance Officers (ACMO) report to the Chief Maintenance Officer, with each ACMO overseeing three to six superintendents or managers. The span of control ratios for Maintenance are likely overestimated because the organizational data provided by Operations executives, in response to this audit, did not define reporting relationships below the assistant superintendent or section manager organizational layer. The charts below illustrate spans of control and do not illustrate all positions at lower organizational layers and without direct reports, within the department.



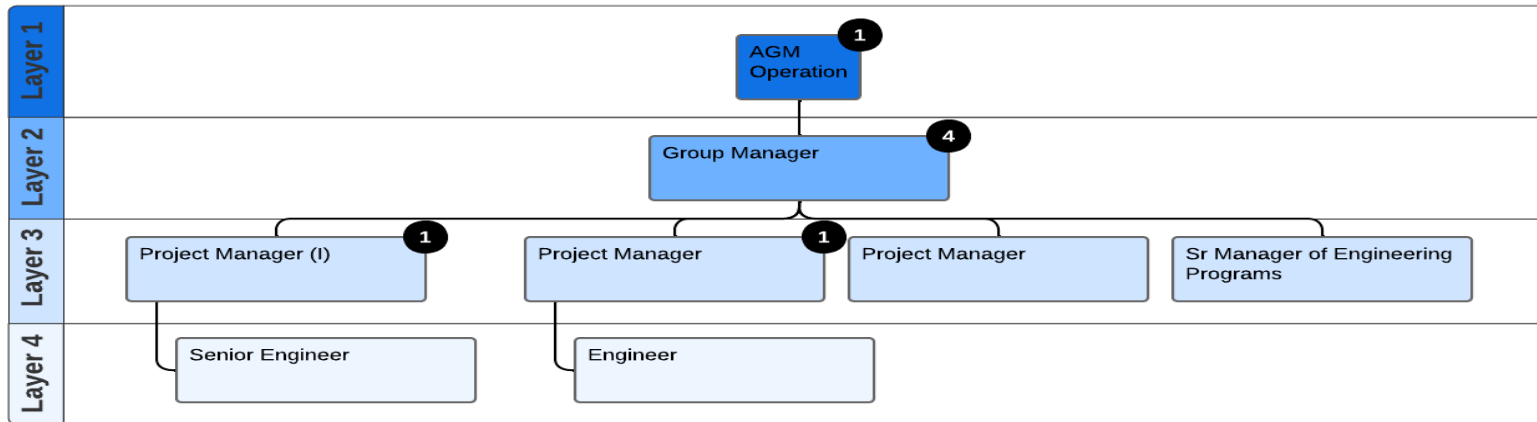
Operations Planning

Similar to other BART departments providing support to service delivery departments, Operations Planning is under the leadership of a director who supervises four managers. The span of control for these managers to their staff ranges from 1:1 to 1:5.



BART Silicon Valley Extension

The group manager within Operations leads the staff on this team and reports directly to the AGM for Operations. Additionally, two of the four project managers supervised by the group manager also oversee one engineer each.



Median Span of Control for the Office and by Organizational Layer (OL) and by Department

Across its departments, Operations has a median span of control of 1:8 across its six organizational layers, with 195 designated supervisors.

	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6
Span of Control	8	7	4	4	3.5	17	13.5
#Supervisors	195	1	6	25	46	55	62
#Positions	3,251.3	7	27	104	632	1229	1252.3

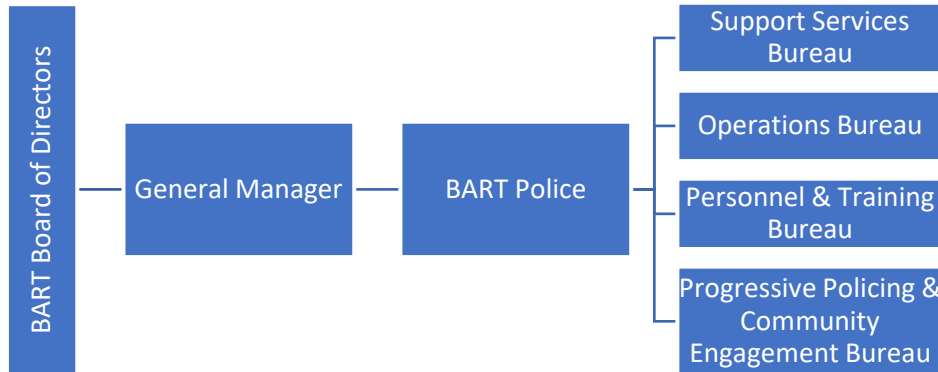
Note: The numbers presented are based on data provided to TAP International from BART’s Human Resources Information System and updates from Office executives. These may differ from the numbers presented in the BART annual budgets due to timing or other differences.

	Office	Maintenance	Transportation	Rolling Stocks & Shops	Administration	Operations Planning	BSV2
Span of Control	8	13	12	8	7	4	1
#Supervisors	195	32	57	97	1	5	3
#Positions	3,251.3	1216.3	1125	877	7	20	6

Police

The BART Police comprises 409 budgeted positions distributed across four bureaus: Support Services, Operations, Personnel & Training, and Progressive Policing & Community Engagement. These bureaus collectively offer 24/7 full-service law enforcement services for BART. The Chief of Police reports directly to the General Manager.

BART’s Functional Organizational Chart



BART Budget Position Summary

Bureaus ¹	FY22 Adopted		FY23 Adopted		FY24 Adopted	
	Operating	Capital	Operating	Capital	Operating	Capital
Total for Police	402.0	3.0	409.0	0.0	409.0	0.0

¹ BART’s FY24-25 adopted budget did not include a distribution of positions across the Police bureaus.

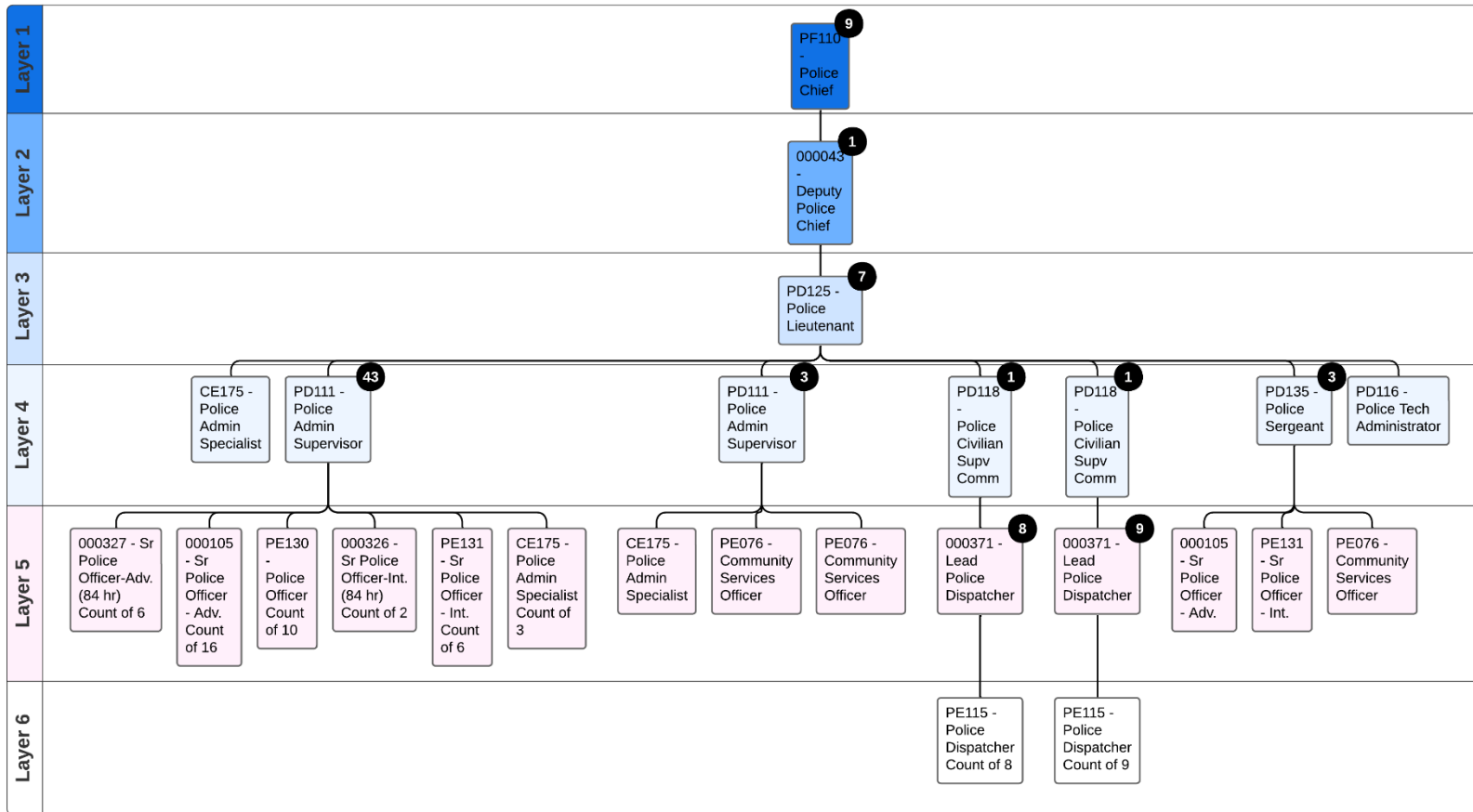
High-Level Organizational Framework and Span of Control Ratio

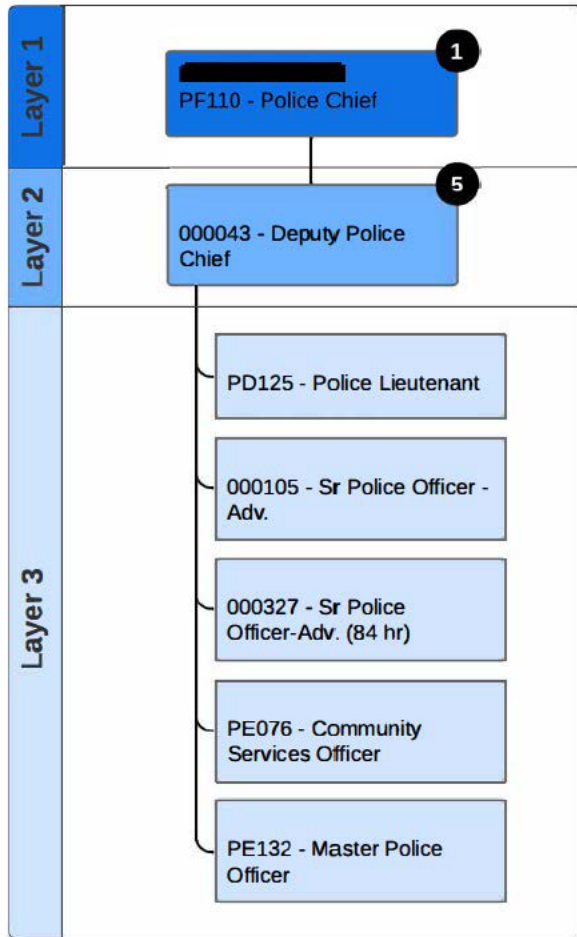
The Chief of Police actively oversees the BART Police. Reporting directly to the Chief of Police are four deputy chiefs, one for each bureau, and a chief of staff. Within the Support Services Bureau, a Lieutenant reports to the Deputy Chief and supervises six total supervisors and sergeants, who, in turn, supervise officers and non-sworn personnel. The Operations bureau deputy chief supervises 11 lieutenants, who serve as watch commanders and actively oversee the six patrol divisions and the Traffic and Parking Divisions. A deputy chief also oversees the personnel and training bureau, directly supervising a lieutenant. Two sergeants report to the lieutenant and actively supervise police officers and non-sworn staff.

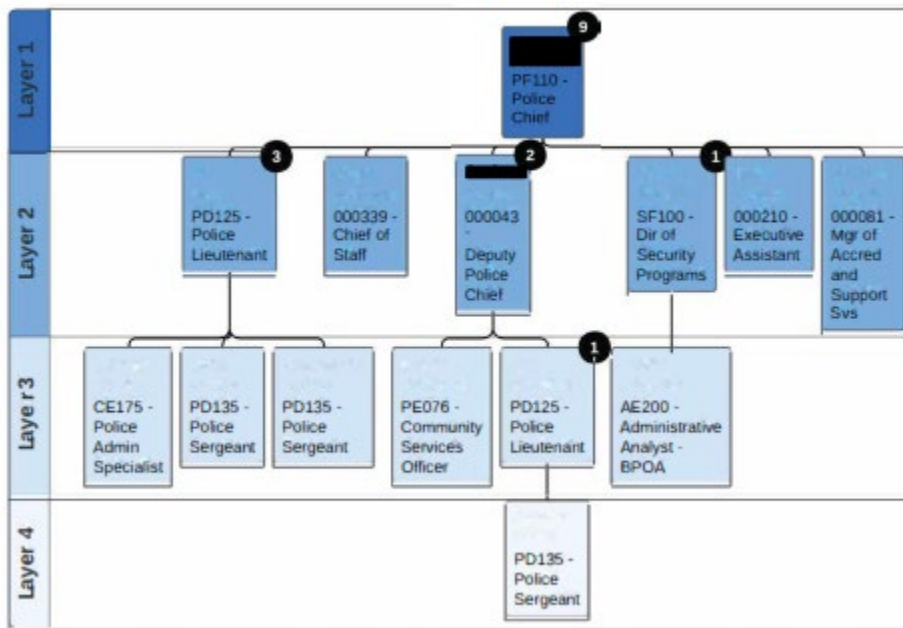
The Deputy Chief of Progressive Policing & Community Engagement, unlike the other Deputy Chiefs, actively supervises two sergeants who supervise officers, crime intervention specialists, the Police Chaplain, transit ambassadors, and other non-sworn staff. Finally, the Chief of Police supervises the lieutenant responsible for internal affairs, the manager of accreditation, and the director for security programs.

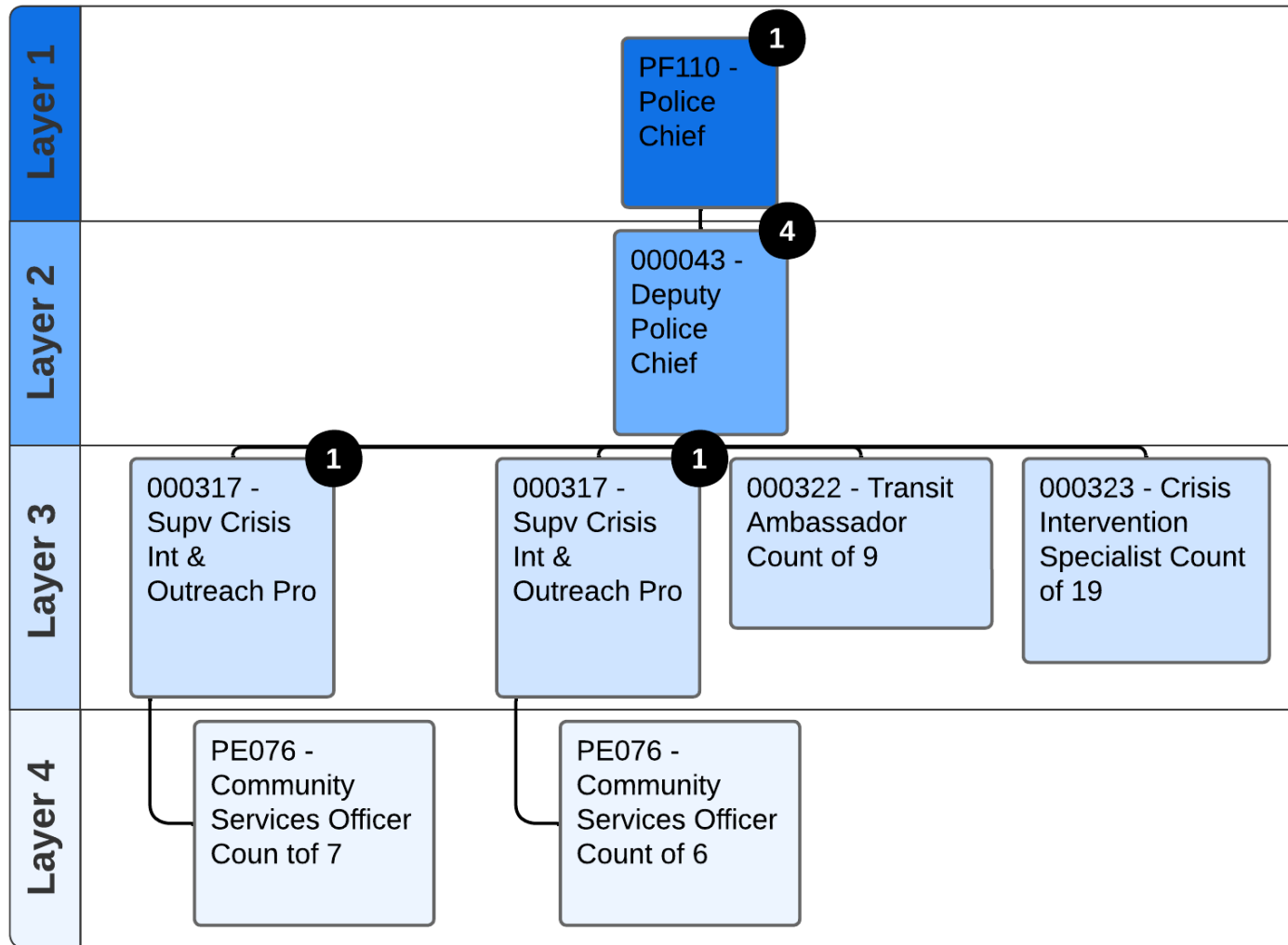
The Chief of Police explained that one supervisor was assigned a span of control of over 1:330 for budgeting purposes and is working to correct this span of control in the HRIS but has encountered technology issues delaying the further definition of reporting relationships. Reconciling position data in the HRIS with available documentation from the Police Department may pose challenges because the relationships between positions are not clear.

Note: These organizational charts are based on position level data from BART's HRIS, updated with supplemental information provided by BART Police.









Median Span of Control for the Office and by Organizational Layer (OL)

BART Police has a median span of control of 1:4 across its four organizational layers, with a total of 53 designated supervisors.

	Office	OL-1	OL-2	OL-3	OL-4	OL-5	OL-6
Span of Control	4	9	2.5	5.5	3	8.5	
#Supervisors	53	1	6	12	32	2	
#Positions	355	1	9	50	67	211	17

Note: The numbers presented are based on data provided to TAP International from BART’s HRIS and updates from Office executives. These may differ from the numbers presented in the BART annual budgets due to timing or other differences.

APPENDIX B: OTHER POTENTIAL IMPROVEMENT OPPORTUNITIES REPORTED BY BART EXECUTIVES

BART executives identified other opportunities in four key areas – human resources management, cost savings/and or revenue enhancement, the operating environment, and organizational alignment – that can help strengthen BART’s organizational framework.

AREA FOR IMPROVEMENT REPORTED BY EXECUTIVES	SUGGESTED IMPROVEMENT
HUMAN RESOURCES MANAGEMENT	
<p><u>Misdirected Job Applications:</u> Job seekers often apply for the wrong openings because the general definition of a position's role, such as "senior administrative analyst," fails to convey the specialized skills required for successful job performance.</p> <p><u>Restricted Employee Mobility:</u> The lack of transparency in articulating a position's roles and responsibilities hinders employee development and mobility across BART offices. Employees may find it challenging to explore different opportunities within the organization due to unclear job expectations.</p> <p><u>Difficulty in Identifying Responsibilities:</u> When collaborating across offices, the absence of clear position descriptions makes it difficult to identify which individuals are responsible for specific functions. This lack of clarity can impede effective communication and collaboration between different departments and teams.</p>	<p>Develop specific position descriptions and clarify job titles and roles and responsibilities.</p>
<p>High turnover in certain departments or staff going on leave has brought attention to the necessity of cross-training to uphold productivity during these events. This can pose a challenge across union-represented positions when cross-training is not clearly defined in the job description.</p>	<p>Include cross training in all job descriptions where necessary.</p>
<p>Current position classifications impose constraints on organizational flexibility. Specialized roles requiring technical expertise limit the utilization of existing resources, hindering management’s capacity to transfer, for instance, an analyst from one unit to another to address vacancies or during staff leave.</p>	<p>Review job descriptions and negotiated labor agreements to identify barriers to cross-training and collaboration that could help executives address this challenge without adding additional positions.</p>
<p>Implementing a recent BART Policy involving the review and approval of temporary employees to ensure compliance with a 900-hour work limit. This task demands a substantial amount of time and labor.</p>	<p>Evaluate the effectiveness of this BART policy, designed to address BART’s culture of hiring temporary employees or consultants for extended periods of time.</p>

AREA FOR IMPROVEMENT REPORTED BY EXECUTIVES	SUGGESTED IMPROVEMENT
Addressing issues related to the performance of union-represented employees becomes challenging after the probation period concludes, leading offices to add employees to handle the arising concerns.	Review existing negotiated procedures to address an employee’s performance issues that prevent an employee and BART from entering cycles of repeated performance improvement plans.
Having too many position vacancies in shopkeeper positions has increased the time to deliver requested goods.	Conduct span of control analysis to make transparent the effect of vacant positions on interdependent business processes both within and across offices.
When priorities or workload demands change, the office may need to reallocate resources across a broader skill set to meet needs and reduce the demand to add positions.	Identify and reward staff who possess, or are developing, adaptable skills across departments or offices for improving organizational flexibility even with narrower spans of control.
COST SAVINGS AND/OR REVENUE ENHANCEMENT	
Wide spans of control make the performance evaluation process and timesheet review time-consuming, reducing the time managers have available for completing improvement projects.	Integrate workload analysis with span of control analysis.
The Office of System Safety investigates incidents during 24/7 operations, and the current staffing levels pose challenges in covering areas beyond investigating serious incidents.	Co-locate System Safety with BART Police to ensure BART compliance with federal safety requirements, resulting in cost savings from expanded coverage of incident investigation, reducing overtime, and preventing future incidents during nonstandard working hours.
Vacant positions, while saving the cost of the position, can lead to increased overtime and a decline in service delivery, as remaining employees add hours to complete the work that was originally performed by the employee holding the position.	Implement business process improvements if BART does not plan to fill the positions in the short term.
OPERATING ENVIRONMENT	
Some Office departments perform very different functions but often serve the same BART office client. Ensuring collaboration, or getting staff to communicate with each other departments, is a challenge.	Adopt a client-centered focus for support functions delivered by one Office to another.
Financial controls and transparency over on-call contracts, real estate contracts, and collection are limited.	Increase collaboration between the Controller-Treasurer’s Office and other support units.

AREA FOR IMPROVEMENT REPORTED BY EXECUTIVES	SUGGESTED IMPROVEMENT
DATA MANAGEMENT	
<p>BART Police does not have comprehensive data to assess the cost-effectiveness of the time spent on fare enforcement.</p>	<p>Develop ways to better access data to make the evaluation of the effectiveness of BART programs and services quicker and easier and adjust programs to realize greater benefits.</p>
ORGANIZATIONAL ALIGNMENT	
<p>The Office of Civil Rights lacks alignment with its departmental functions, as it conducts certifications while other agencies, such as LA Metro, maintain an independent certification unit for certifying vendors as small businesses—distinct from the unit handling Civil Rights. Organizational realignment within Procurement, a practice observed in other transit agencies, is under consideration.</p>	<p>Explore the opportunity to provide quicker turnaround times and better risk mitigation of costly legal challenges by potentially establishing an independent business certification unit, separate from the Office of Civil Rights.</p>
<p>Executives note that collaboration across offices becomes more challenging when another office has a different organizational framework.</p>	<p>To make collaboration more efficient, add functional information to organizational charts and BART directories, making transparent who is responsible for which function and for what service delivery.</p>
<p>Consultants' expressed confusion regarding oversight responsibilities, such as determining whether contract oversight lies with the Procurement Department (within the Office of Administration) or the executive office responsible for service delivery (not the Office of Administration). Also confusing is managing the oversight of consultants in conjunction with other offices when implementing new technology projects is shared by Technology.</p>	<p>Improve collaboration to minimize financial risk and enhance service delivery. Collaboration could result in more efficient oversight of contracted work and improved service delivery for the contracted work. To build better working relationships with consultants and establish clear lines of accountability, implement the following:</p> <ul style="list-style-type: none"> • Clearly define points of contact for service delivery and contract administration for consultants. • Improve transparency about who is contracted and who is BART-employed staff for both BART and contracted staff. • Enhance consistency in holding consultants accountable for the management of their staff. • Expand the practice used by Technology-managed projects.

AREA FOR IMPROVEMENT REPORTED BY EXECUTIVES	SUGGESTED IMPROVEMENT
<p>Not all BART offices explicitly design organizational frameworks to clearly define accountability at each level for service delivery by BART employees and contracted work.</p>	<p>Clearly define accountability for service performance at lower organizational layers, not just for the higher managerial organizational layers, to better mitigate financial risk by focusing on key performance indicators for these lower levels.</p>

APPENDIX C: HOW CAN ORGANIZATIONS IMPLEMENT SPAN OF CONTROL?

Implementing span of control in an organization can vary based on the organization's size, structure, and nature of the work. As a general guideline for adaption to specific needs, our analysis of management literature on span of control and continuous process improvement provides general guidelines for adaption to specific organizational needs at BART as follows:

1. Assess your current organizational structure. Understand the number of hierarchical levels, reporting relationships, and the number of employees at each level.
2. Establish benchmarks for your organization based on the type of work and roles and responsibilities of individuals in positions of management.
3. Clearly define the goals and objectives aimed at optimizing the organizational structure.
4. Analyze how work flows through your organization. Identify bottlenecks, communication gaps, and areas where decision-making is delayed.
5. Consider the communication needs within different teams and departments.
6. Assess the skills and competencies of your employees. Some employees may require more supervision and guidance, while others may be more independent.
7. If necessary, provide training for managers and leaders to enhance their skills in managing large teams.
8. Encourage a culture of autonomy and responsibility among employees.
9. Coordinate with the collective bargaining units regarding potential changes.
10. Clearly communicate the changes in the organizational structure to all employees. Address any concerns or questions.
11. Be transparent about the reasons for the changes and the expected benefits.
12. Continuously monitor the performance of teams and individuals under the new structure.
13. Be flexible and open to adjusting the span of control based on feedback and performance indicators.
14. Regularly assess the impact of changes on productivity, employee satisfaction, and overall organizational performance.
15. Adjust as needed based on the evaluation results.
16. Document the new structure, roles, and responsibilities clearly.
17. Ensure ongoing communication about the span of control and related changes.

APPENDIX D: AUDITOR EVALUATION OF AGENCY COMMENTS

We provided a draft of this report to BART for review and comment. The Executive Director submitted a written response, which generally agreed with the overall findings and established plans to address the audit's recommendations but noted discrepancies between the organizational charts in the report and actual reporting relationships, which created questions about their impact on specific findings.

To ensure the reliability of our audit findings, TAP International gathered evidence from multiple sources, including the leaders of each BART Department. We relied on their reviews and updates to the organizational information provided. Throughout the audit process, BART officials had opportunities to provide additional updates to the organizational charts. Any further updates received would not have affected the findings regarding the variability of span of control ratios across BART or the recommendations aimed at enhancing organizational strategies and implementing tools for organizational changes.

APPENDIX E: AGENCY COMMENTS

SAN FRANCISCO BAY AREA RAPID TRANSIT DISTRICT

MEMORANDUM

TO: Claudette Biemeret, Inspector General **DATE:** March 18, 2024
FROM: General Manager
SUBJECT: Management's Response to Span of Control Performance Audit

Attached is management's response, in blue, to the draft report BART Can Benefit from Implementing Span of Control Analysis dated January 24, 2024. In general, management agrees with the overall findings of the performance audit but notes that in some cases the organization charts included in the report do not reflect actual reporting relationships. It's unclear if the differences in reported versus actual reporting relationships impact specific findings, but the differences would not likely impact management's broader response to the recommendations.

Please contact me or Dennis Markham, Director of Performance & Audit, at dmarkha@bart.gov or (510) 464-6275 if you have any questions.



Robert M. Powers

Attachment

cc: Executive Staff
Director of Performance & Audit

Management Response to Span of Control Performance Audit

1. To ensure the success of strategies that promote cost-effective communication and collaboration, the Human Resources Director should develop processes to ensure that the HRIS includes an up-to-date dataset of reporting relationships among BART employees, including the lower organizational layers.

Processes are in place to ensure that the Human Resources Information System (HRIS) is updated on a consistent basis. However, at times there is a backlog or situations that create a lag between when the changes are known and when HRIS is updated. BART staff will work to ensure that there is a standardized process for updates and will provide reminders to managers to periodically check HRIS data for accuracy.

2. The BART General Manager should set expectations that executive offices maintain up-to-date organization charts that include contractors and contracted work, making transparent where accountability and the workload for reporting and oversight activities resides.

Management acknowledges that BART's organization charts can be inconsistent at the position level. Department level organization charts are prepared and published each year as part of the budget process. Management is evaluating possible solutions to address position-level organization charts, including utilizing the organization chart tool in the recently implemented NEOGOV system, with the goal of having accurate and consistent org. charts at the position level available for the FY25 budget (July 2024). Management does not intend to show contractors on the org. charts because doing so could create potential CalPERS issues with showing contractors comingled with BART employees. Management will determine a way to note on the organization charts if a department contains contractors.

3. The BART General Manager should establish guidance and/or criteria on the factors that executives should follow when assessing their organizational frameworks and making changes to spans of control to improve organizational health or performance. The guidance for making changes to span of control should include:

- Considering risk mitigation for areas of moderate to high operational, financial, service delivery, internal control, or reputational risk;
- Widening span of control ratios where a supervisor has only one or no direct reports (including at the Executive or Director level);
- Promoting equity in spans of control among employees holding the same position classification;
- Acknowledging the level of accountability for contracted work and its effect on spans of control;
- Considering the administrative workload of supervisors that may facilitate the need for narrower spans of control, such as timesheet review and preparation of performance evaluations.

Management directly and indirectly uses span of control when making organizational and hiring decisions. As noted in the OIG's Span of Control report, BART is similar to other transit agencies in that it has wider spans of control in areas of low risk and known, consistent job duties (e.g., train operations) and narrower spans of control in higher risk, more specialized areas. Situations where a manager may oversee few staff could be due to the department/division managing projects and/or contractors, but management will look into narrow spans where projects or contractors are not a factor. Equity continues to be an area that management, monitored by Human Resources and the Office of Civil Rights, considers when making hiring and promotional decisions. BART is looking at policies and practices, including span of control, in areas where time reporting verification issues exist.

4. The BART General Manager should adopt span of control as a management tool and require its use under the following conditions:

- When considering promotions and defining career development pathways,
- To ensure alignment with executive office goals,
- When identifying opportunities for collaboration and cross-training, and
- When there are opportunities to make operational enhancements in lieu of adding positions.

The General Manager will establish guidelines stipulating that all managers should consider span of control in their organizational structure, hiring, and promoting practices.

5. The BART General Manager should establish policies stipulating the conditions supporting span of control ratios of one supervisor to one employee.

Management will evaluate situations where managers are supervising only one employee that do not involve specific projects or programs, or that involve contractors. BART's Human Resources department evaluates promotional opportunities for job classifications through periodic classification and compensation studies and pay equity analyses.

APPENDIX F: CONTACTS AND ACKNOWLEDGEMENTS

TAP INTERNATIONAL CONTACT

Denise Callahan, President, Denise@tapinternational.org or 916.549.0831

BART OFFICE OF INSPECTOR GENERAL

Claudette Biemeret, Inspector General, claudette.biemer@BART.gov,

ACKNOWLEDGMENTS

TAP International would like to thank BART executive management, department directors and staff who participated in this audit.