

Per California Code of Regulations, title 2, section 548.5, the following information will be posted to CalHR's Career Executive Assignment Action Proposals website for 30 calendar days when departments propose new CEA concepts or major revisions to existing CEA concepts. Presence of the department-submitted CEA Action Proposal information on CalHR's website does not indicate CalHR support for the proposal.

**A. GENERAL INFORMATION**

1. Date

December 4, 2019

2. Department

California High-Speed Rail Authority

3. Organizational Placement (Division/Branch/Office Name)

Program Delivery Office

4. CEA Position Title

Assistant Chief Operating Officer

5. Summary of proposed position description and how it relates to the program's mission or purpose. (2-3 sentences)

The Assistant Chief Operating Officer (ACOO) advises the Chief Operating Officer (COO) (Exempt Appointee) on the development and implementation of statewide policy relative to the High Speed Rail Authority's (Authority) construction, program management and project delivery. The ACOO coordinates day-to-day operations of the Authority's Program Delivery Office, and provides, in coordination with, and in the absence of, the COO, policy guidance to Program Delivery executives in programmatic, policy and operational matters. The ACOO formulates and implements statewide programs and policies and coordinates with and advises the COO in development of overall strategies for successful and timely completion of the high-speed rail project. The ACOO oversees the internal operations of the Program Delivery and provides Program Delivery policy and procedure guidance, consistent with state civil service laws, rules and regulations regarding procurement, contracts, human resources and budgeting, to the Program Delivery Branch chiefs.

6. Reports to: (Class Title/Level)

Chief Operating Officer (exempt)

7. Relationship with Department Director (Select one)

- Member of department's Executive Management Team, and has frequent contact with director on a wide range of department-wide issues.
- Not a member of department's Executive Management Team but has frequent contact with the Executive Management Team on policy issues.

(Explain): The incumbent advises the COO and the Executive Management Team regarding Program Delivery policy development, interpretation and implementation.

8. Organizational Level (Select one)

- 1st
- 2nd
- 3rd
- 4th
- 5th (mega departments only - 17,001+ allocated positions)

## B. SUMMARY OF REQUEST

### 9. What are the duties and responsibilities of the CEA position? Be specific and provide examples.

The ACOO provides expert policy guidance, consistent with the State of California's civil service systems related to procurement, contracting, budgeting and human resources, to the COO in the development and implementation of statewide policy relative to the Authority's construction, program management and project delivery programs. The ACOO also acts on behalf of the COO in providing Program Delivery policy guidance to the Authority's regional offices and Program Delivery Branch Chiefs.

The Authority has entered the construction phase of its organizational lifecycle. This phase means that actual physical construction activities are taking place; the Authority is no longer in the conceptual and planning phase. Human resources, construction equipment and materials must be procured and leveraged. The Authority is a unique entity in State government in that it has large number of Governor appointed exempt employees and non-state contractor and consultants. Additionally, the PD Office is the Authority's largest and most complex office, consisting of eleven distinct branches. The ACOO will be working on behalf of the Chief Operating Officer (COO), with significant responsibility for PD operations. The ACOO will assist the COO Director in developing PD's budget and monitoring expenditures in conformance with program needs and will advise the COO and serves as the contact for Branch Chiefs on issues regarding development and implementation of new policies and procedures and operational impacts. Therefore, it is important that this area has an expert policy advisor with a deep knowledge of complex state human resources, procurement, contracting, audit coordination and budgeting processes be on board to develop appropriate policies so as to ensure that the Authority remains in compliance with all rules, regulations and external policies. Failure to do so will expose the Authority to cost overruns, negative publicity, and political ramifications.

Specifically, the ACOO duties are:

#### Policy Development and Oversight:

Serves as the personnel policy advisor to the COO, acting as a consultant for development of appropriate and effective policy initiatives. Subject to approval of, and on behalf of, the COO, develops and provides implementation guidance on Program Delivery policy and directly engages with the Authority's regional offices and Program Delivery Branch Chiefs. Engages with executive and program directors to formulate policies, procedures, standards and guidelines that have broad impact on program including budgeting, accounting, finance, procurement and contracts, facilities management, policy, records management, information technology and human resources. Provides the COO with on-going evaluation of Program Delivery's established objectives, programs and operations and identifies areas that need improvement. Makes recommendations for improved operations to the COO and coordinates implementation of improvements as necessary.

#### Executive Management Responsibilities:

Engages, on behalf of the COO, with the Authority's executive team, to identify and resolve organizational conflicts. Represents Program Delivery office as a voting member of the Authority's Administrative Committee for oversight of human resources, information technology, communications, employee engagement, business operations, administrative functions and staff facilities to ensure effective and prudent administration and support to the entire Authority. Provides guidance to program leadership and staff to ensure the Authority's administrative activities are performed in accordance with laws, regulations, and Authority policies and procedures. Manages regular Program Delivery staff meetings and identifies discussion topics, coordinates and prepares documents and other materials for informing and directing program directors on program and administrative issues. Creatively solves problems, mediate disputes, and resolves the Authority's most sensitive issues that could impact the successful execution of the COO's commitments and objectives.

Directs and coordinates personnel matters on behalf of the COO, including but not limited to, succession planning, recruitments for director-level positions and other staff as needed, training needs for staff, and performance management. Collaborates with the Director of Contract Management to address complex, high-dollar service contract issues that impact program resource levels. Coordinates with the Budget Office to develop, monitor and enforce adherence to the Program Delivery administrative budget and assist functional areas as needed in decision-making on budget matters. Coordinates, in collaboration with the Chief of Strategic Communications, responses to control agencies and the Governor's Office, as well as program performance reports and presentations to the Board of Directors, the California State Legislature, and other stakeholders. Coordinates and orchestrates special projects and initiatives assigned by the COO. Monitors progress of these matters and ensures assignments and tasks performed by Program Delivery teams are completed thoroughly, professionally and in a timely manner.

**B. SUMMARY OF REQUEST (continued)**

10. How critical is the program's mission or purpose to the department's mission as a whole? Include a description of the degree to which the program is critical to the department's mission.

- Program is directly related to department's primary mission and is critical to achieving the department's goals.
- Program is indirectly related to department's primary mission.
- Program plays a supporting role in achieving department's mission (i.e., budget, personnel, other admin functions).

Description: The California high-speed rail system is the largest public works project in the nation and receives significant interest from the Governor, the Legislature, the federal government and the media. This interest has intensified and will continue to intensify in coming years as the cost and size of the project continue to be defined and implemented. Given the project's size, scope and sensitive constituency concerns, the entire program, including the design and construction functions, will continue to be scrutinized by every level of government, both locally and nationally.

The Program Delivery program is the essence of the department's primary mission as it is responsible for the construction of the high-speed rail system. This includes engineering the design of the system, obtaining real estate and right of ways to place the rails, building the infrastructure, laying the rails and connecting the system, all while maintaining compliance with environmental requirements.

There is no activity more critical to the department's success than the Program Delivery effort.

**B. SUMMARY OF REQUEST (continued)**

11. Describe what has changed that makes this request necessary. Explain how the change justifies the current request. Be specific and provide examples.

The Authority has undergone significant changes from a “start-up” type of organizational entity to a more mature state agency. It has transitioned from a planning organization to a program delivery organization and as the pressure to deliver increases, it is essential that the correct positions be in place to ensure timely and successful delivery of the high-speed rail system. As the project continues to progress, the Program Delivery function must adhere to accepted state organizational standards in its day-to-day activities. In addition, greater oversight of the branches which make up the Program Delivery function, such as Infrastructure Delivery, Rail and Operations Delivery, Engineering Services, Environmental Services, Real Property, etc., must advance their collaboration with each other in an integrated and consistent manner. With the increased pressure to deliver a rail system, and with ongoing financial pressures, the organizational demands have required adding more positions (mostly through consultant contracts) and additional managers.

This proposed ACOO CEA position is needed to provide key management oversight for, and assistance to, the COO for overall program delivery in a manner consistent with that of a mature state agency. The Authority must have the executive level expertise capable to fulfill this responsibility that can only be obtained at the CEA level.

The salient point is that the movement from a planning organization to a project delivery organization is the major change. The Authority is moving from the politically charged conceptual and planning arena to a “boots on the ground” track construction phase. The prior phase dealt with paper; this phase deals with concrete and steel. These are two very different phases of the organization’s life. It is critical, now more than ever, that as the Authority begins delivery of the project that the necessary expertise be on board in the right place and the right time. Over the last two years, the Authority has experienced significant leadership change. With this change, there has been a significant effort to form and align an executive management team around progress and delivery. As a result, the Authority undertook a strategic review of its organizational structure to properly align both State and consultant resources for functions and roles also known as Form to Function. The proposed changes will lead to a more robust, stronger governance and State oversight of key areas of the organization while maintaining consultants in more appropriate roles and functions. The ACOO will play a significant role in working with the program area to conduct comprehensive reviews, develop policies, oversee the development of the PD organizational structure and provide a recommendation to the COO.

### C. ROLE IN POLICY INFLUENCE

12. Provide 3-5 specific examples of policy areas over which the CEA position will be the principle policy maker. Each example should cite a policy that would have an identifiable impact. Include a description of the statewide impact of the assigned program.

The incumbent serves as the personnel policy advisor to the COO and acts as a consultant for development of appropriate and effective policy initiatives. Subject to approval of, and on behalf of, the COO, develops and provides policy interpretation and implementation guidance on Program Delivery policy. Directly engages with the Authority's regional offices and Program Delivery Branch Chiefs regarding Program Delivery's state-wide policy related to the COO's unified and integrated operational plan including construction, program management, rail and operations delivery, infrastructure, environmental services, real property, and planning and sustainability. The ACOO will play a critical role in assisting in the development and implementation of emergent policy issues related to program stakeholder support, leadership coordination and integration and organizational impacts. The incumbent is also responsible for engaging with executive and program directors to formulate policies, procedures, standards and guidelines that have broad impact on program including budgeting, accounting, finance, procurement and contracts, facilities management, policy, records management, information technology and human resources.

Examples of the sensitive and critical nature of the policy involvement, include, as an example, policies related to operations that drive work preliminary to construction, program oversight for monitoring construction progress, and communicating construction progress to stakeholders. Progress is critical to the success of the Authority because failure to complete construction by the federal government's December 2022 deadline may jeopardize billions of dollars in grant funding. Policy development, implementation and coordination is critical to ensure the Authority can achieve complex program objectives that drive completion of construction under tight timeframes. Failure to provide the necessary programmatic support to deliver civil projects on time, within scope and within budget will significantly jeopardize the overall time line and budget and the ability to complete the subsequent phases of construction. Program Delivery is a critical area as the most recent cost estimate for the system, presented in the Authority's 2018 Business Plan, is \$77.3 billion. Failure to deliver construction progress timely will cause additional costs; with an uncertain funding source.

The ACOO will have an overarching responsibility to provide direction and oversight regarding the non-technical aspects of the policies related to these areas, as well as tracking progress and following-up on any issues that may arise. (The technical aspects of these policies will be under the responsibility of the DCOO.)

For example, the ACOO will be assigned to oversee the Central Valley Status Report, which is a high-level report that is used to track critical stakeholder data for the Authority's Finance and Audit Committee. The ACOO will also be responsible for developing policies for the new organizational structure for Program Delivery that results from the Form to Function exercise that will provide administrative direction on procurements, budgets, facilities and human resources. In addition, the ACOO will be a voting member of the Authority's Administrative Committee, which involves making decisions on policies related to all of the Authority's administrative areas. The Administrative Committee consists of executive-level members and reports up to the Executive Committee, which is lead by the Authority's CEO. These committees are key elements of the Authority's governance structure.

**C. ROLE IN POLICY INFLUENCE (continued)**

**13. What is the CEA position's scope and nature of decision-making authority?**

The ACOO reports to the COO who is a key management member of the Authority; and acts on behalf of the COO. The ACOO provides expert guidance to the COO consistent with the State of California's civil service systems related to procurement, contracting, budgeting, human resources, and the development and implementation of statewide policy relative to the Authority's program management. The ACOO also acts on behalf of the COO in providing Program Delivery policy guidance to the Authority's regional offices and Program Delivery Branch Chiefs.

The primary role of the ACOO is to advise, assist, and act for, the COO in providing the necessary policy implementation and guidance to the COO's subordinates.

**14. Will the CEA position be developing and implementing new policy, or interpreting and implementing existing policy? How?**

The ACOO will develop, interpret and implement policy, subject to approval and consultation with the COO and the Program Delivery Branch Chiefs. The primary role of the ACOO is to provide interpretation and implementation guidance, and act in the COO's absence to make policy interpretation and implementation decisions.