

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

02/11/2025

2. Department

High-Speed Rail Authority

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

Procurement and Document Control Services Branch, Administration Office

4. CEA Position Title

Chief of Procurement and Document Control Services

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

The CEA is responsible for overseeing the Authority's critical Document Control and Records Management programs, the Administration Office's Contracts and Procurement responsibilities, and the Authority's Process Improvement programs (Lean Six Sigma). The incumbent ensures the direction of strategic goals and objectives for these programs by developing policies and procedures and implementing programs that provide responsiveness to customers, stakeholders, evolving opportunities, and the Authority's priorities in an expanding contracts, procurement, document control, and records management environment.

6. Reports to: (Class Title/Level)

Chief Administrative Officer, CEA C

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*): Frequently briefs the CEO on critical contracts and procurement, document control and records management, and process improvement matters. Also participates in meetings and confers with the Authority's Executive Management Team regarding the programs and provides presentations and policy briefings.

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.

Under the general direction of the Chief Administrative Officer, the CEA administers the Authority's Document Control and Records Management programs, certain Contracts and Procurement, and Process Improvements functions, which consists of an integrated team of state employees and expert-level consultants.

The CEA is responsible for developing policy and implementing a robust centralized document control program. The CEA is the Authority's primary Document Control Executive and acts to ensure alignment with the Authority's goals and best document control practices. As such, its duties include standardizing document control systems across the Authority's projects to ensure consistency and improve document flow and accessibility. Specifically, the CEA will develop policy, and, in collaboration with the Chief Information Officer, implement a new standardized and integrated document control process, train staff, and ensure the program is managed effectively. This will include proper tracking of KPIs for certain Authority contracts, as appropriate.

The Authority's current approach to document control and records management is characterized by a high degree of autonomy given to each Office within the organization. This approach is inefficient as the autonomy results in each Office (and their Branches, Sections, and Units) potentially adhering to their own document control standards, rather than an organizational standard. Problems include complicated document retrieval processes, integration issues between document control software (such as eBuilder and SharePoint) and lack of intuitive processes for the user. The CEA is responsible for creating and maintaining a new system to store documentation in a manner that safeguards each document's authenticity, reliability, integrity, and usability in accordance with Authority policies. This is essential to ensure that the Authority is able to promptly respond to Public Records Act requests, produce administrative records necessary in environmental litigation, respond to discovery requests in litigation, and easily access and review all relevant information when making Authority decisions. The CEA is also responsible for developing, implementing, and enforcing Record Retention Schedules (RRS), identifying record storage and space requirements, working with each Authority office, and interfacing with the Department of General Services (DGS) for off-site records storage.

The CEA develops and implements Authority policy governing the preview and approval of contracts and purchase agreements, (excepting Architectural and Engineering (A&E) and certain other capital contracts). This consists of general support contracts that are in the areas of third parties, legal, financial, administration, and State of California inter-agency agreements. The CEA is a subject matter expert for the Authority in the contracting process for goods and services in support of the Authority for services that cannot be performed by civil service employees (except as provided for in GC § 19130, and with the exception of Architectural and Engineering (A&E) and certain other capital contracts). These contracts are critical in nature and support the Authority in delivering the HSR project deliverables. The CEA ensures that the Authority fully complies with required federal and state statutes, all applicable regulations, as well as applicable requirements of the State Administrative Manual (SAM), the State Controller's Office, the State Personnel Board, the State Contracting Manual (SCM), Management Memos, Department of General Services (DGS) exemption letters, and the Authority's policy and procedures. As a technical advisor for the Authority's Business Oversight Committee, it conducts reviews of program scope, schedule, and budget impacts ensuring that contract requests comply with federal and state contracting laws, rules, and regulations.

The Authority's Administration Office procurement program is extremely demanding with a high contract volume. For example, in 2024, the program executed 54 contracts and 53 contract amendments and had, at the end of the year, 22 new contracts in process (this includes the bid efforts that will result in contracts) along with 8 amendments. The values of these contracts and amendments is \$80,206,349.19, and \$618,140,220.54 respectively. In addition, 226 purchase orders totaling \$3,527,781.21 and Cal Card orders totaling \$187,479.98 were executed in 2024.

The CEA provides policy recommendations to the Chief Administrative Officer, Executive Staff, and the Authority's Board of Directors on contracts and procurement items, including contract awards. The incumbent will attend and participate in meetings and briefings with other Authority executives, staff, committees, task forces, and representatives of other departments. It confers with the DGS Procurement and Legal units, is a member of the statewide Purchasing Authority Roundtable, and attends meetings with other department Procurement Chiefs and executives. As the Procurement Contracting Officer, it also holds critical delegation of authority from DGS for both IT and Non-IT purchasing.

The CEA is also responsible for the Authority's Process Improvement activities. Specifically, the CEA develops policy governing the Authority's Lean Six Sigma process improvement efforts. Process improvement initiatives rooted in Lean Six Sigma methodologies drive efficiency, reduce costs, and enhance service delivery across the program. The CEA oversees these critical functions to ensure their integration into the Authority's strategic framework and long-term success.

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 programs are critical because document control and records management is a foundational element that supports the success, compliance, and sustainability of the high-speed rail project. Without it, the high-speed rail project runs the risk of delays, cost overruns, legal issues, and operational inefficiencies. Specifically, superior records management policies are required for compliance with legal and regulatory requirements spanning multiple jurisdictions. It is necessary to achieve coordination between engineers, contractors, government agencies, and stakeholders. Records management ensures proper documentation of risk assessments, incident reports, and safety audits and allows the Authority to address issues promptly and proactively. The policies will also ensure proper cost management by monitoring spending, preventing cost overruns, and identifying financial discrepancies.

The project generates vast amounts of technical data, decisions, and lessons learned, all of which need to be preserved for future reference. After construction is complete, records like system manuals, maintenance schedules, and as-built drawings are essential for the operation and long-term maintenance of the rail system and proper records management will ensure a smooth transition from construction to operation. Furthermore, the program is crucial in the dispute resolution processes which may occur because of litigation over contracts, land acquisition, and safety performance. Proper records management policies build trust among stakeholders, including governments, investors, and the public, by demonstrating accountability and transparency in project management.

Likewise, it is critical that internal controls are followed in the Administration Office's contract and procurement activities. This consists of general support contracts that are in the areas of legal, financial, administration and State of California inter-agency agreements as well as critical project contracts for third party utility relocation, property acquisition services and relocation services. Failure to use good judgment in developing and implementing policy and managing contract processes could result in delays to the high-speed rail project and damage the economic vitality of businesses along the rail pathway. Specifically, the Authority is committed to building a high-speed rail line which will spur economic growth in California while also reducing the State's carbon footprint. This commitment serves to inspire business growth, job creation, and workforce development opportunities associated with California's high-speed rail program. The construction cost of the high-speed rail early operating segment, which will run from Merced to Bakersfield, is expected to be \$30 billion, and as a result the economic impact will be profound. Failure to maintain appropriate scope and schedule, adhere to required budgetary restrictions or comply with federal and state contracting laws, rules and regulations in contracting would negatively impact the high-speed rail project deliverables.

The Lean Six Sigma efforts are critical to the organization's success because it ensures a structured approach to identifying inefficiencies, eliminating waste, and improving workflows. By applying these methodologies, the Authority can streamline processes and achieve significant cost savings, and deliver faster, more reliable service across the organization, benefiting internal operations and external stakeholders alike. It builds a culture of continuous improvement which leads to employee engagement initiatives, ensuring staff are empowered with tools and training to identify and implement improvements. Furthermore, it aligns day-to-day operations with the Authority's strategic goals, ensuring resources are focused on achieving its mission efficiently, encourages collaboration across units, and enhances oversight and accountability.

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.

This position request is necessary for several reasons. Best practices for megaprojects include robust records and document management systems. Specifically, the Caltrans' "San Francisco Bay Bridge Lessons Learned Report" notes that "a mega-project requires a robust document controls system. The quality of documentation must be accurate so that when an issue is examined, decision makers have the complete informational thread from the beginning of the issue to the end. Quality and structured documentation allow for the issue to remain current and accurate, especially when new team members join a complex project spanning several decades." The Authority has determined that it does not currently have such a system.

There was a previous effort at the Authority to implement a document control system lead by external consultants using Sharepoint. Prior to the Fiscal Year (FY) 21/22 the Authority had two external consultants Rail Delivery Partner (RDP) positions that were tasked with building a document control system. The team had technical and programmatic knowledge of processes and practices for creating, reviewing, modifying, issuing, distributing, and ensuring accessibility of documents for mega infrastructure programs. They provided technical consultation to programs regarding document control requirements. At the time, (and still currently), the Authority has a decentralized documents control and records management system. The Records Management Program function in the decentralized system has been responsible for developing, implementing, and enforcing Record Retention Schedules (RRS), identifying record storage and space requirements, working with each Authority office, and interfacing with the Department of General Services (DGS) for offsite records storage. In 2024, the RDP contract concluded. Since 2022, the Authority's organizational structure and the high-speed rail project have also grown significantly, as has its need for a centralized document control and records management system. Ultimately, this effort needs a state position to be a higher-level decision maker/policy maker to champion this effort, and manage the change management aspects of implementing a document control system.

For example, there are significant integration challenges between two of the Authority's current systems, eBuilder, used in the Authority's construction package areas, and Sharepoint, which is used throughout the Authority. For instance, document mapping configurations cause documents to lose important metadata or be incorrectly stored in separate folders. When contractors submit documentation to the Authority, it is often bundled within submittals that may contain multiple documents and revisions. The current method makes it difficult to retrieve specific documents, such as drawings, without knowing the submittal number. This process is inefficient and complicates document retrieval, as users should ideally be able to access documents directly from categorized folders (e.g., a "Drawings" folder). Furthermore, the adaptation of eBuilder to pre-existing workflows has sometimes resulted in a mismatch, where the system's structure had to fit into established workflows, complicating document retrieval.

In addition, there is a new urgency and need for both document control and records management, and contracting and procurement created by the completion of the environmental clearance of the entire rail alignment from San Francisco to Los Angeles, and the approval of over \$3 billion in additional federal funding. As a result, the Authority is ramping up its rail track construction and rail cars acquisition processes, which will increase responsibilities for the contracting process for goods and services in support of the Authority for services that cannot be performed by civil service employees except as provided for in GC § 19130. The increase in Real Property acquisitions, utility relocations, and track building increase the need for additional contracts and will also result in a new flow of documents and records.

Furthermore, as the project continues its evolution from a high-speed rail line to a driver of economic development in the Central Valley, and a key link in a high-speed Southwest United States rail system, as announced by the Governor's Office on January 6, 2025, the need for effective records and document management is necessary to achieve integration with other rail lines, and an enhanced Lean Six Sigma program is required to respond to the new challenges and project evolution. The role of document control cannot be over-emphasized in this context. Integrating High-Speed Rail with other rail lines will be extremely complicated, if not impossible, if the documents necessary to explain how the system works and will connect to other systems are not readily available to all operators.

Therefore, a CEA is necessary to play a critical policy and oversight role requiring a high level of collaboration with the Authority's units to transform the Authority's decentralized document management into a single standardized system.

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 CEA is responsible for policies pertaining to document control, records management, the Administration Office's contracts and procurement responsibilities, and process improvements functions.

Specifically, the policies will govern processes for developing, implementing, and maintaining document control plans, procedures, and developing and implementing record management control processes governing all Authority offices and branches to ensure document control consistency and to support document control end-users. These policies will replace any current policies and will include how the Authority integrates eBuilder and Sharepoint, and other document control and records management applications, to ensure a centralized process for document submittal, retention, and retrieval. Specifically:

1. Developing, implementing, and maintaining a Document Controller policy. This policy will directly address how vital program office Document Controllers oversee alignment with best practices and ensure compliance with document control standards.
2. Developing and implementing policies governing the administration of training programs for staff statewide regarding document control. The policies shall ensure the Authority adequately retains and preserves its physical, electronic, and essential records.

These policies will have a statewide impact on all Authority offices and will ensure that Authority document control and records management processes are sustained at an optimum level. These policies will also ensure that efficient document retrieval will enable the Authority to interface with other rail systems.

The CEA is also the primary policy maker for the Authority's Administration Office contracting policies, many of which have not been updated, revised, and reformulated since 2017. The CEA develops, revises, implements, and maintains contracting policy to ensure that the Authority's contracting function and programs are implemented and managed in accordance with requirements of Government Code Section GC § 19130, Department of General Services requirements and the Federal Railroad Administration (FRA) Grants. This consists of general support contracts that are in the areas of legal, financial, administration, and State of California inter-agency agreements as well as project contracts such as those for property acquisition services, relocation services and third party utility relocations. (The CEA is not responsible for Architectural and Engineering (A&E) and certain other capital contracts.) Some specific examples of policy areas and impact include:

1. Developing, implementing, and maintaining contracting policy to ensure that the Authority's statewide contracting function and programs are implemented and managed in accordance with requirements of Government Code Section GC § 19130, and Department of General Services requirements.
2. Contracting Policy – This policy ensures Authority compliance with California statutes and regulations for the statewide initiation, management, and closure of contracting activities, including, but not limited to, the production of all documents that may appear to bind contractors or the Authority to perform, or not to perform, any activity. This policy defines contracts, Authority responsibilities, designates who may sign contracts, classifies contracts, determines how acquisition bidding occurs, addresses contract administration, and addresses conflicts of interest. It is critical to the overall statewide contracting process.
3. Purchasing Policy - This policy governs Authority compliance with California law for the initiation, management, and closure of purchasing activities statewide and applies to all Authority employees and officials statewide who are responsible for or participate in the analysis, request, evaluation, receipt, tracking, and confirmation of procurement-related activities. It specifically addresses purchasing governing statutes and policies, proper delegation of purchasing authority, procurement standards, and the roles and responsibilities of procurement and contracting officers.
4. The Contract Roles and Responsibilities policy ensures that contracts are awarded statewide based on demonstrated competence, qualifications, and/or price as required by law. The purpose of the policy is to standardize and define the roles, responsibilities, and applicability for Authority contracts. Specifically, it incorporates policies and procedures to ensure competitive methods occur in accordance with Article XXII of the California Constitution, Government Code section 4525 et seq., Public Contract Code, Public Utilities Code section 185000 et seq., California State Contracting Manual (Volume 1), California Code of Regulations, title 21, section 10000 et seq., Authority Board of Directors Policy and Resolutions, and Authority Regulations, and all applicable federal requirements. These policies are all critical to ensuring that the Authority's mission is achieved, and all need revision and updating as they were last revised in 2015-2017.

The CEA is also responsible for developing and implementing policies governing the Authority's Lean Six Sigma efforts.

C. ROLE IN POLICY INFLUENCE (continued)

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

The CEA position has a broad scope and nature of decision-making authority and is the sole Administration Office's Contracts and Procurement program executive, and the primary Document Controller and Records Management executive, reporting directly to the Chief Administrative Officer. It also regularly interacts with other executives throughout the Authority to ensure effective contracting policies and processes. It also regularly briefs the Chief Executive Officer on sensitive contracts and document control and records management issues.

Specifically, the CEA's authority encompasses the full range of activities associated with contracts and procurement (excepting Architectural and Engineering (A&E) and certain other capital contracts), and document control and records management programs. This consists of general support contracts that are in the areas of legal, financial, administration and State of California inter-agency agreements as well as contracts for critical project needs such as third party utility relocation, property acquisition services, and relocation services. The position has the authority to develop policy and make decisions regarding contracts and procurement, including the advertising, awarding, and management of the contracting process for goods and services, creation and maintenance of contracts training, and managing the procurement of goods and services pursuant to laws, regulations and policies, including issuing solicitations, reviewing responses to solicitations, and making contract awards.

As noted in section 20, the CEA has broad scope and decision making authority over the Authority's process improvement efforts, with a primary focus on integrating Lean Six Sigma protocols into the Authority's efforts.

The CEA is also a technical expert for the Business Oversight Committee, which conducts Business Case Reviews. In that role it reviews program scope, schedule, and budget impacts and ensures the contract request complies with federal and state contracting laws, rules, and regulations.

While the position ultimately reports to the Chief Administrative Officer, it has broad authority and discretion to make critical decisions that impact many areas of the Authority and businesses throughout the state.

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

The CEA develops and implements new policy in addition to revising, interpreting, and implementing current policy. For example, the CEA will develop and implement the records management and document control policies, as noted in section 26 of this document. Revision and/or new policy development will occur through the research and application of best practices, and through collaboration with stakeholders. It will also develop, revise, and implement new and current contracting policies pertaining to the areas of third parties, property acquisition and relocation services, legal, financial, administration, and State of California inter-agency agreements. For example, the following documents are currently in need of revision or creation: contracting policy, purchasing policy, contracting roles and responsibilities policies, internal manuals, cal-card user manual, procurement desk manual, and purchasing desk manual. Revision, development, and implementation will occur through reviewing the old policies, researching statewide changes in policy and applying them to the revision of the old policies, and use of Lean Six Sigma protocol, and if necessary, by the creation of new policies.