

San Francisco Peninsula Rail Program

Memorandum

To: Executive Steering Committee
From: Stephen Wolf, Metropolitan Transportation Commission
Jesse Koehler, San Francisco County Transportation Authority
Date: April 21, 2023
Re: Item 5 – Governance Study Blueprint Update

BACKGROUND

The San Francisco Peninsula Rail Program Memorandum of Understanding (MOU) describes, in part, an organizational structure to support the efforts of the Transbay Joint Powers Authority (TJPA) to develop the Downtown Rail Extension (DTX or The Portal) project. The MOU is a six-party agreement among the TJPA, the Peninsula Corridor Joint Powers Board (Caltrain), the California High-Speed Rail Authority (CHSRA), the City and County of San Francisco (CCSF), the Metropolitan Transportation Commission (MTC), and the San Francisco County Transportation Authority (SFCTA).

The MOU defines a work program intended to bring the project to ready-for-procurement status, and the MOU's organizational structure supports the delivery and oversight of this procurement readiness work program. This organizational structure includes the Executive Steering Committee (ESC) and the Integrated Program Management Team (IPMT).

Governance Study Approved Recommendations

The SFCTA and MTC are co-leading the DTX Governance Study, in order to recommend the institutional arrangement and governance structure through construction of the project, as described in Task 18 of the MOU. In September 2022, the TJPA Board approved the following initial set of Governance Study recommendations, as recommended by the ESC:

1. Confirm TJPA as lead agency for DTX procurement and construction, and continue to build the capacity of TJPA and partner agencies for project delivery.
2. Develop a collaborative, integrated management approach and core management team, in order to support TJPA, align direction to the multi-agency delivery team, and actively manage risks and challenges.
3. Provide a transparent venue for the development and review policy-level recommendations and reporting to the TJPA Board.
4. Utilize a stage-gate process to align decision-making at major milestones and ensure readiness for successive phases of work and provide for periodic independent/expert review and advice.
5. Define/codify governance and management structure through bi-lateral agreements between agencies, a successor to the existing Peninsula Rail Program MOU, and detailed program management plans.
6. Empower project leadership staff through delegated authorities, in conjunction with integrated management approach and structured review/oversight processes.

7. Institute process/structure for management and oversight of configuration and change, including contractual changes.
8. Embed risk management and risk review at all levels, including policy oversight, technical management, and project execution.
9. Prepare “single-source” project reporting to provide timely and reliable information to management, partners, and decision-makers.
10. Develop an integrated project delivery team, including TJPA staff, consultants, and key partner agency resources/personnel, and pursue project partnering to strengthen collaboration.

Governance Blueprint

The SFCTA and MTC, in cooperation with the IPMT, are currently preparing the follow-up Governance Study deliverable, referred to as the DTX Governance Blueprint, which will recommend the more detailed governance approach for procurement, construction, and commissioning of the project.

In March 2023, staff presented the components of the Governance Blueprint to the ESC. This memorandum describes the governance options under consideration through development of the Blueprint, in order to seek guidance from the ESC. Staff will return to the ESC in May 2023 with the Blueprint recommendations for the ESC’s consideration to advance to the TJPA Board.

DISCUSSION

This memorandum considers the following components of the Blueprint:

- Anticipated policy decisions and decision types by project phase, for upcoming/future phases of the project;
- Construct and parameters of governance bodies, including the Policy Review Body, the Configuration and Change Management Body, and the Integrated Management Team;
- Baseline documents and stage gates; and
- Framework for configuration/change management decision-making.

We are seeking ESC guidance in these areas, to guide preparation of the Blueprint recommendations.

DTX Governance Objectives and Evaluation

The September 2022 report to the TJPA Board identified a set of goals and objectives for governance of the project. The governance goals are delivering DTX on time and within budget, while realizing planned benefits, and with minimization of impacts, as well as supporting the region’s broader ability to deliver transit mega-projects. The more detailed governance objectives are:

- Clarity of Purpose – Establish and maintain a clear focus on delivering the project.
- Representation & Voice – Provide project partners with voice and say, consistent with their project interests and risk ownership.
- Responsiveness & Oversight – Enable timely decision-making, and ensure proper direction and oversight of the project delivery team.
- Capacity & Capabilities – Deliver the project with expert resources with the required skills and capacity.
- Accountability & Authority – Provide decision-making authority in alignment with delegated accountabilities for project outcomes.

- Transparency – Give the public, stakeholders, and partners visibility into the project’s progress and opportunities for meaningful engagement.

These objectives are guiding the Study Team’s consideration and evaluation of options for delivery-phase governance.

Example Policy Matters in Future Project Phases

The existing MOU work program includes numerous tasks intended to support policy-level decision-making to bring the project to “ready-for-procurement” status. As the project moves forward into procurement and construction, the character and pace of policy decision-making will evolve. The below table provides examples of anticipated policy-level decisions or decision types for upcoming project phases.

| Phase | Example Matters of Policy Significance |
|--|---|
| <i>Enabling Program (broadly concurrent with major contract Procurement)</i> | <ul style="list-style-type: none"> • Scope of Enabling Program • Award of enabling program contracts |
| <i>Procurement</i> | <ul style="list-style-type: none"> • Value engineering and changes to configuration • Pre-construction contract model/form • Pre-construction contract awards • Updates to funding plan and financial plan |
| <i>Pre-Construction</i> | <ul style="list-style-type: none"> • Approval of scope/configuration changes identified through design development • Construction phase contract model/form, including changes in reaction to proponent feedback/input • Construction phase contract awards • Final funding plan and FFGA |
| <i>Construction</i> | <ul style="list-style-type: none"> • Use of program reserve funds • Policy-level changes stemming from unforeseen conditions or risk event occurrence • Other contractual or configuration changes requiring policy approval |
| <i>Testing and Commissioning</i> | <ul style="list-style-type: none"> • Operational readiness plan and final service plan for opening day • Acceptance by owner and operator |
| <i>All Phases</i> | <ul style="list-style-type: none"> • Changes to Policy-Level Baseline documents • Approval to proceed through Stage Gates |

The above table is not an exhaustive list of potential policy-level matters and decisions in future project phases.

Governance Structure

As listed above, the Board-approved governance recommendations reflect a governance structure that include the following multi-agency bodies:

- Policy Review Body, a committee to provide a transparent and dedicated venue to develop and review policy recommendations to the TJPA Board;
- Configuration and Change Management Body (CCMB), a multi-agency body to review, recommend, and authorize changes to scope, schedule, budget, and contract changes; and
- Integrated Management Team (IMT), a senior management group, with representation from a sub-set of partner agencies, to support active management of project delivery.

The following sections of this memo further describe considerations for each of these bodies.

Policy Review Body

There are three broad options for implementing the Policy Review Body, as follows:

1. Executive Steering Committee – continuation of the ESC structure, with adjustments to reflect the needs of project delivery, including an updated work program and modified cadence of meetings.
2. TJPA Board Committee – establishment of a standing committee of the TJPA Board, with a mandate to provide ongoing, policy-level direction and oversight of the project team and review of items advancing to the full Board.
3. Staff-Convened Executive Group – creation of an Executive Group, convened under the authority of the TJPA Executive Director, to support multi-agency collaboration and provide for executive-level advice and coordination.

These options are not necessarily mutually exclusive and could, in some cases, be combined or modified as part of an overall governance approach (e.g., pursuing both #2 and #3 as an overall approach). Attachment 1 to this memorandum describe these options in further detail, identifies anticipated parameters, and considers them with respect to relevant criteria.

Configuration and Change Management Body

The CCMB is planned as a multi-agency decision body, with representation from partners and funding agencies. The CCMB's role would be to consider, review, recommend and authorize changes, as described further below in this memo's section regarding Change/Configuration Management Framework.

Key considerations and anticipated parameters for the CCMB include:

- Representation – to include TJPA, Caltrain, MTC, SFCTA, CCSF, and CHSRA/State representation. Ex officio membership for the FTA should be considered.
- Decision approach – strive for consensus, with decisions made by majority vote.
- Chairperson – to be elected by the membership.
- Frequency – the CCMB would meet at least monthly, with consideration for more frequent meetings as project needs dictate. The CCMB should be able to convene quickly/immediately under urgent scenarios for decision-making.

The CCMB could support broader multi-agency coordination and reporting across DTX partner agencies in the future, including to reflect that not all DTX partner agencies are expected to serve on the IMT. This would include a role for the CCMB to review/consider items advancing to the Policy Review Body.

There is also an opportunity for the CCMB to be established in the near-term (i.e., later this calendar year), in order to have the CCMB support the development and review of the detailed/final procedures for change management and related decision-making.

Integrated Management Team

The IMT is intended to support active management of project delivery, by:

- Allowing for timely and collaborative input into design development, procurement and construction activities;
- Providing for early visibility when project issues/challenges emerge and enabling coordination of management response;
- Facilitating timely decision-making and decision alignment among project partners;
- Supporting risk review and risk management processes; and
- Enhancing accountability for partner agency commitments.

Anticipated parameters for the IMT include:

- Composition – Expected to consist of the TJPA Project Director and a senior representative from each of a sub-set of partner agencies.
- Commitment – Partner agency representative should have the qualifications, seniority, and capacity to fully and effectively participate in the IMT and fulfill defined functions.
- Reporting – non-TJPA representatives would have dual reporting relationship to the project delivery team and to their home organization.
- Frequency – the IMT would be expected to meet regularly, with participation in working groups/sub-teams as required.

Policy-Level Baseline and Stage Gates

The approved recommendations for governance include the use of a Stage Gate process to support alignment of decision-making with respect to advancing the project into successive phases. Through development of the Blueprint, the Study Team has identified the use of a limited set of Policy-Level “Baseline” documents, which would play a role (among other functions) in the Stage Gate process.

The following potential Policy-Level Baseline Documents have been identified:

- Project Definition – summary description of the project scope, including project objectives, key requirements, configuration, and service plan for revenue service.
- Baseline Schedule – milestone schedule indicating target dates of major milestones, consistent with the more detailed program schedule.
- Baseline Budget – project budget describing expenditures at the level of major cost categories, consistent with the more detailed budget developed at an individual cost category level.

- Funding Plan – the capital funding plan and operations and maintenance funding plan.

Consideration will be given to a potential additional Baseline Document concerning risk and the allocation of risks; such a Risk Matrix would identify the major risks/risk categories, with planned ownership/allocation of these risks.

These “policy-level” Baseline documents are intended to be consistent with more detailed management-level baseline documents prepared for FTA or other purposes. Changes to the Policy Baseline documents would be matters of TJPA Board decision-making. With respect to Stage Gates, in the preparation for Stage Gate decision-making, the Policy Baseline documents would be reviewed, with any required changes brought forward prior to or concurrent with the Stage Gate decision.

Change/Configuration Management Framework

The Blueprint will identify the overall framework for change and configuration management decision-making. The Study Team has identified an initial framework for Change Types, as follows:

- Minor Changes: these are changes that do not conflict with the Policy Baseline and that are less than an identified dollar value threshold. Implementation of these changes would be within the Project Delivery Team’s authority to implement. The CCMB would be informed of all minor changes through regular/monthly reporting processes.
- Significant Changes: these are changes that do not conflict with the Policy Baseline and that are greater than an identified threshold. The CCMB would be required to consider and approve all Significant Changes; approval at an Executive Director or Board level may be required for Significant Changes at higher-level dollar values.
- Policy Changes: these are changes that significantly alter or threaten the planned outcomes of the project, including all changes that are inconsistent with the Policy Baseline. The CCMB would be required to recommend approval of Policy Changes, with final approval sitting with the TJPA Board.

As required, the CCMB would support the Project Delivery Team in assessing changes, in order to classify them with respect to these categories and to support associated decision-making. The CCMB will also support the tracking of Minor Changes over time.

NEXT STEPS

This is an information item. We are seeking input and guidance from the ESC.

The Governance Study Team will continue to work with IPMT, in order to bring forward Blueprint recommendations to the May 19, 2023, meeting of the ESC.

ATTACHMENTS

1. Policy Review Body Options

ATTACHMENT 1 – Policy Review Body Options

| Option | Description | Key Parameters | Assessment: Representation & Voice <i>Provide project partners with voice and say, consistent with their project interests and risk ownership.</i> | Assessment: Responsiveness & Oversight <i>Enable timely decision-making, and ensure proper direction and oversight of the project delivery team.</i> | Assessment: Transparency <i>Give the public, stakeholders, and partners visibility into the project's progress and opportunities for meaningful engagement.</i> |
|-----------------------------------|---|--|---|---|--|
| 1. Executive Steering Committee | Continuation of the ESC structure, with adjustments to reflect the needs of project delivery, including an updated work program and modified/reduced frequency of meetings. | <ul style="list-style-type: none"> • Membership: ESC constituted in same/similar form to existing structure • Frequency: Frequency of meetings reduced over time, as pace of policy decision-making changes | <ul style="list-style-type: none"> • Ability to include representatives from all six DTX Partners | <ul style="list-style-type: none"> • Formal meeting requirements may constrain approach to meetings and ability to address time-sensitive matters. • Public meetings help to support accountability for partner agency commitments. | <ul style="list-style-type: none"> • Meetings convened in a formal public format. • Project reporting process to support transparency |
| 2. TJPA Board Committee | Establishment of a standing committee of the TJPA Board, with a mandate to provide ongoing policy-level direction and oversight of the project team and review of items advancing to the full TJPA Board. | <ul style="list-style-type: none"> • Size: Anticipated committee size of 3, with membership composed of TJPA Board directors • Reporting: Committee would receive regular project reporting from Project Delivery Team | <ul style="list-style-type: none"> • Most DTX partner agencies are represented through TJPA Board membership; MTC is not represented on the TJPA Board • Board to appoint membership to Committee | <ul style="list-style-type: none"> • Requires group of 3 Board members with ability and willingness to serve. • Formal meeting requirements may constrain ability to address time-sensitive matters. | <ul style="list-style-type: none"> • Public meetings, with ability to convene closed sessions for allowable purposes. • Project reporting process to support transparency. |
| 3. Staff-Convened Executive Group | Creation of Executive Group, convened under the authority of the TJPA Executive Director, to support Partner agency collaboration and provide for executive-level advice and coordination. | <ul style="list-style-type: none"> • Membership: Group to include senior executive representation from all six DTX Partners • Reporting: would require agreed approach to reporting out the Group's deliberations | <ul style="list-style-type: none"> • Ability to include representatives from all six DTX Partners | <ul style="list-style-type: none"> • Meetings can be convened without formal meeting requirements, including on urgent/time-sensitive matters. | <ul style="list-style-type: none"> • Opportunity for Executive Group to meet periodically in voluntary public format. • Project reporting process to support transparency. |

Note: Options are not necessarily mutually exclusive and could, in some cases, be combined or modified as part of an overall governance approach.

San Francisco Peninsula Rail Program Executive Steering Committee

Downtown Rail Extension (DTX) now also known as The Portal

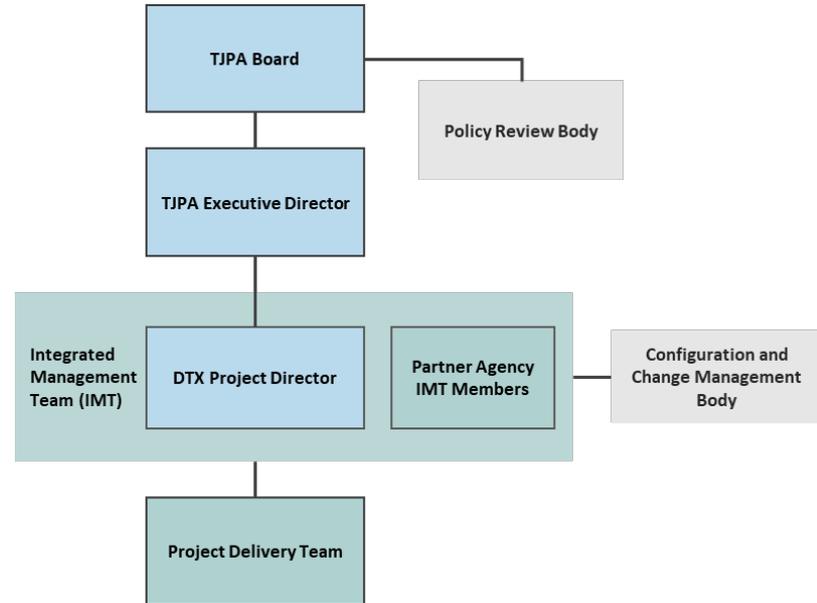
Item #5: Governance Study Blueprint Update

April 21, 2023



Background

- TJPA Board approved initial Governance Study recommendations in September 2022
- Initial recommendations identified broad governance framework for project delivery
- Preparation of Governance Study Blueprint underway
- Governance Blueprint to provide roadmap for content of Successor to the existing San Francisco Peninsula Rail Program MOU



Project Delivery Governance Framework (September 2022)

TJPA Board Approved Recommendations (Sept 2022)

Foundational Recommendation

1. Confirm TJPA as lead agency for DTX procurement and construction, and continue to build the capacity of TJPA and partner agencies for project delivery.

Primary Recommendations

2. Develop a **collaborative, integrated management approach** and core management team, in order to support TJPA, align direction to the multiagency delivery team, and actively manage risks and challenges.
3. Provide a transparent venue for the development and review of **policy level recommendations** and reporting to the TJPA Board.
4. Utilize a **stage-gate process** to align decision-making at major milestones and ensure readiness for successive phases of work, and provide for periodic independent/expert review and advice.
5. Define/codify governance and management structure through bi-lateral agreements between agencies, **a successor to the existing Peninsula Rail Program MOU**, and detailed program management plans.

Supporting Recommendations

6. Empower project leadership staff through **delegated authorities**, in conjunction with integrated management approach and structured review/oversight processes.
7. Institute process/structure for **management and oversight of configuration and change**, including contractual changes.
8. Embed **risk management and risk review** at all levels, including policy oversight, technical management, and project execution.
9. Prepare “single-source” **project reporting** to provide timely and reliable information to management, partners, and decision-makers.
10. Develop an **integrated project delivery team**, including TJPA staff, consultants, and key partner agency resources/personnel, and pursue project partnering to strengthen collaboration.

Today's Objectives

- Review emerging governance concepts and options under consideration:
 - Types/examples of policy decisions, by project phase
 - Construct and parameters of governance bodies
 - Baseline documents and stage gates
 - Change management framework
- Seek input and guidance from ESC on key concepts and options
- Consider key strategic questions, e.g.:
 - What approach should be taken for structuring the Policy Review Body?
 - How can collaboration and alignment best be achieved through integrated delivery?

DTX Governance Goals and Objectives

Governance Goals (the desired outcomes)

Deliver DTX on time.

Realize planned benefits; avoid, minimize, and mitigate anticipated impacts.

Deliver DTX within budget.

Strengthen the region's ability to effectively deliver transit mega-projects.

Governance Objectives (how to achieve these goals)

Clarity of Purpose – Establish and maintain a clear focus on delivering the project.

Capacity & Capabilities – Deliver the project with expert resources with the required skills and capacity.

Representation & Voice – Provide project partners with voice and say, consistent with their project interests and risk ownership.

Accountability & Authority – Provide decision-making authority in alignment with delegated accountabilities for project outcomes.

Responsiveness & Oversight – Enable timely decision-making, and ensure proper direction and oversight of the project delivery team.

Transparency – Give the public, stakeholders, and partners visibility into the project's progress and opportunities for meaningful engagement.

Example Policy Matters in Future Phases (1 of 2)

- As the project moves forward into procurement and construction, the character and pace of policy decision-making will change.
- Table provides examples of anticipated future policy-level matters/decisions:

| Phase | Example Matters of Policy Significance |
|-------------------------|--|
| Enabling Program | <ul style="list-style-type: none">▪ Enabling program agreements▪ Award of enabling program contracts |
| Procurement | <ul style="list-style-type: none">▪ Value engineering and changes to configuration▪ Pre-construction contract model/form▪ Pre-construction contract awards▪ Updates to funding plan and financial plan |
| Pre-Construction | <ul style="list-style-type: none">▪ Approval of scope/configuration changes identified through design development▪ Construction phase contract model/form, including changes in reaction to proponent feedback/input▪ Construction phase contract awards▪ Final funding plan and FFGA |

Note: The above table is not an exhaustive list of potential policy-level matters and decisions in future project phases.

Example Policy Matters in Future Phases (2 of 2)

- As the project moves forward into procurement and construction, the character and pace of policy decision-making will change.
- Table provides examples of anticipated future policy-level matters/decisions:

| Phase | Example Matters of Policy Significance |
|----------------------------------|---|
| Construction | <ul style="list-style-type: none">▪ Use of program reserve funds▪ Policy-level changes stemming from unforeseen conditions or risk event occurrence▪ Other contractual or configuration changes requiring policy approval |
| Testing and Commissioning | <ul style="list-style-type: none">▪ Operational readiness plan and final service plan for opening day▪ Acceptance by owner and operator |
| All Phases | <ul style="list-style-type: none">▪ Changes to Policy-Level Baseline documents▪ Approval to proceed through Stage Gates |

Note: The above table is not an exhaustive list of potential policy-level matters and decisions in future project phases.

Policy Review Body: Options

| Option | Description | Key Parameters |
|-----------------------------------|---|--|
| 1. Executive Steering Committee | Continuation of the ESC structure, with adjustments to reflect the needs of project delivery, including an updated work program and modified/reduced frequency of meetings. | <ul style="list-style-type: none"> ▪ <u>Membership</u>: ESC constituted in same/similar form to existing structure ▪ <u>Frequency</u>: Frequency of meetings reduced over time, as pace of policy decision-making changes |
| 2. TJPA Board Committee | Establishment of a standing committee of the TJPA Board, with a mandate to provide ongoing policy-level direction and oversight of the project team and review of items advancing to the full TJPA Board. | <ul style="list-style-type: none"> ▪ <u>Size</u>: Anticipated committee size of 3, with membership composed of TJPA Board directors ▪ <u>Reporting</u>: Committee would receive regular project reporting from Project Delivery Team |
| 3. Staff-Convened Executive Group | Creation of Executive Group, convened under the authority of the TJPA Executive Director, to support Partner agency collaboration and provide for executive-level advice and coordination. | <ul style="list-style-type: none"> ▪ <u>Membership</u>: Group to include senior executive representation from all six DTX Partners ▪ <u>Reporting</u>: would require agreed approach to reporting out the Group's deliberations |

Options not all mutually exclusive; certain options could be combined as part of overall approach.

Policy Review Body Options: Assessment

| Option | Representation & Voice | Responsiveness & Oversight | Transparency |
|-----------------------------------|---|---|--|
| 1. Executive Steering Committee | <ul style="list-style-type: none"> ▪ Ability to include representatives from all six DTX Partners | <ul style="list-style-type: none"> ▪ Formal meeting requirements may constrain approach to meetings and ability to address time-sensitive matters. ▪ Public meetings help to support accountability for partner agency commitments. | <ul style="list-style-type: none"> ▪ Meetings convened in a formal public format. ▪ Project reporting process to support transparency |
| 2. TJPA Board Committee | <ul style="list-style-type: none"> ▪ Most DTX partner agencies are represented through TJPA Board membership; MTC is not represented on the TJPA Board ▪ Board to appoint membership to Committee | <ul style="list-style-type: none"> ▪ Requires group of 3 Board members with ability and willingness to serve. ▪ Formal meeting requirements may constrain ability to address time-sensitive matters. | <ul style="list-style-type: none"> ▪ Public meetings, with ability to convene closed sessions for allowable purposes. ▪ Project reporting process to support transparency. |
| 3. Staff-Convened Executive Group | <ul style="list-style-type: none"> ▪ Ability to include representatives from all six DTX Partners | <ul style="list-style-type: none"> ▪ Meetings can be convened without formal meeting requirements, including on urgent/time-sensitive matters. | <ul style="list-style-type: none"> ▪ Opportunity for Executive Group to meet periodically in voluntary public format. ▪ Project reporting process to support transparency. |

Integrated Management Team

IMT Purpose: Support active management of project delivery:

- Allow for timely and collaborative input into design development, procurement and construction activities
- Provide for early visibility when project issues/challenges emerge and enabling coordination of management response
- Facilitate timely decision-making and decision alignment among project partners
- Support risk review and risk management processes
- Enhance accountability for partner agency commitments

Anticipated IMT Parameters:

- **Composition** – Anticipated to consist of the TJPA Project Director and a senior representative from each of a sub-set of partner agencies.
- **Commitment** – Partner agency representative should have the qualifications, seniority, and capacity to fully and effectively participate in the IMT and fulfill defined functions.
- **Reporting** – non-TJPA representatives would have dual reporting relationship to the project delivery team and to their home organization.
- **Frequency** – the IMT would be expected to meet regularly, with participation in working groups/sub-teams as required.

Change & Configuration Management Body (CCMB)

CCMB Purpose: Multi-agency decision body, with role to consider, review, recommend, and authorize project changes.

- Opportunity for CCMB to be established in near-term, to support development of more detailed procedures for change control
- Opportunity for CCMB to also support multi-agency coordination and reporting across all DTX partner agencies

Anticipated CCMB Parameters:

- **Representation** – to include TJPA, Caltrain, MTC, SFCTA, CCSF, and CHSRA/State representation. Ex officio membership for the FTA should be considered.
- **Decision approach** – strive for consensus, with decisions made by majority vote.
- **Chairperson** – to be elected by the membership.
- **Frequency** – the CCMB would meet at least monthly, with consideration for more frequent meetings as project needs dictate. The CCMB should be able to convene quickly/immediately under urgent scenarios for decision-making.

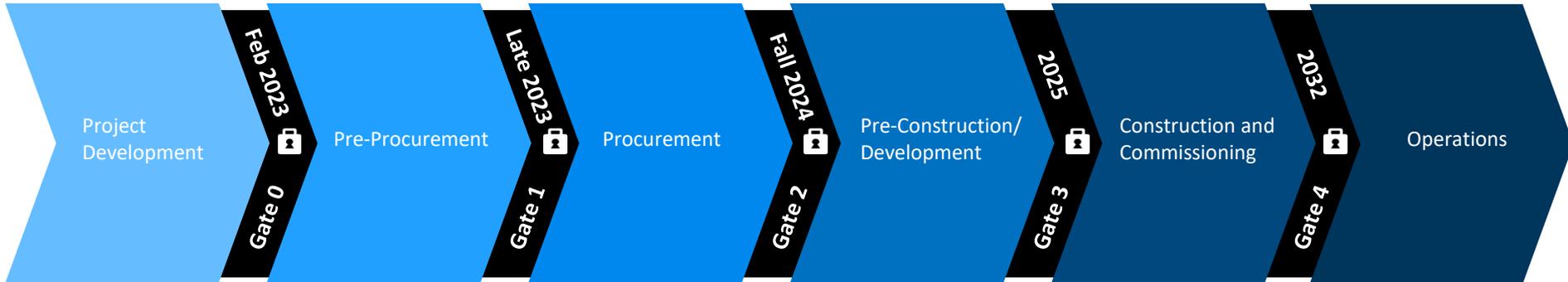
Project Baseline Documents

- Project Baseline identified to provide for control of project scope, budget, and schedule
- “Policy-Level” Baseline documents to be controlled by TJPA Board, with changes requiring Board approval:

| | | |
|-----------------|---------------------------|--|
| Baseline | Project Definition | <ul style="list-style-type: none">• Summary description of the project scope, including project objectives, key requirements, configuration, and service plan for revenue service. |
| | Baseline Schedule | <ul style="list-style-type: none">• Milestone schedule indicating target dates of major milestones, consistent with the more detailed program schedule. |
| | Baseline Budget | <ul style="list-style-type: none">• Project budget describing expenditures at the level of major cost categories, consistent with the more detailed budget developed at an individual cost category level. |
| | Funding Plan | <ul style="list-style-type: none">• The Capital Funding Plan and O&M Funding Plan. |
| | Risk Matrix (TBD) | <ul style="list-style-type: none">• Potential additional Baseline Document concerning risk and the allocation of risks, to identify the major risks/risk categories, with planned ownership/allocation of these risks. |

Stage Gates

- Baseline documents reviewed and updated, as required, prior to to each Stage Gate
- Project Delivery Team prepares other required precedent deliverables for review ahead of each Stage Gate
- TJPA Board approval required to move through each Stage Gate and authorize subsequent activities

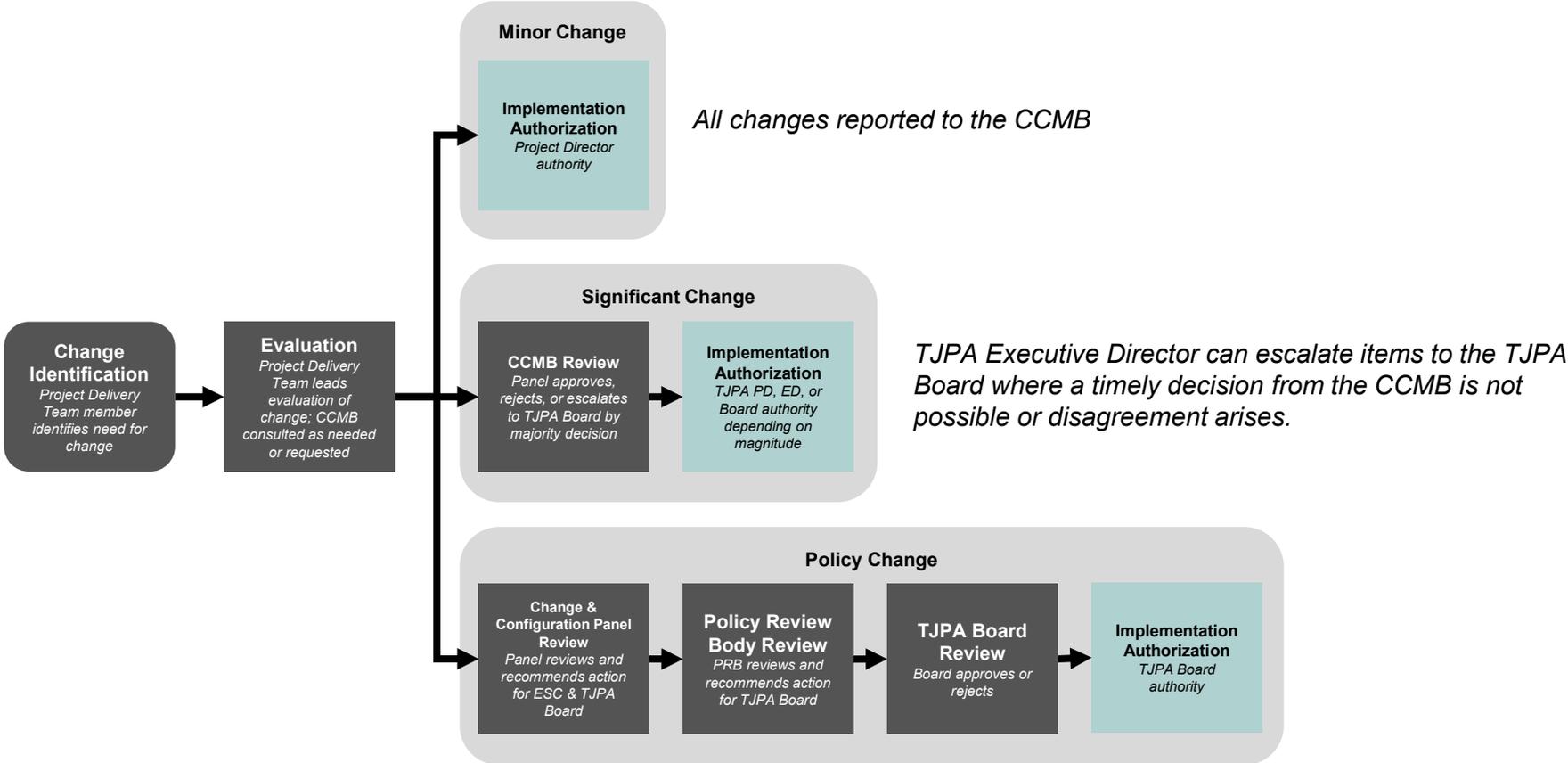


Change Management Framework: Change Types

| Type | Definition | Decision Authority |
|-----------------------|---|--|
| 1. Minor Change | A change that does not conflict with the <i>Policy-Level Baseline</i> and is less than a certain dollar threshold in magnitude. | Project Delivery Team with reporting to the CCMB |
| 2. Significant Change | A change that does not conflict with the <i>Policy-Level Baseline</i> and is more than a certain dollar threshold in magnitude. | CCMB approval, as recommended by Project Delivery Team |
| 3. Policy Change | A change that significantly alters or threatens the planned outcomes of the project, including all changes that are materially inconsistent with the <i>Policy-Level Baseline</i> . | TJPA Board with recommendation from CCMB |

* Final approval at an Executive Director or Board level may be required for Significant Changes at higher-level dollar values.

Change Process by Change Type



Next Steps

- Receive ESC input and guidance
- Prepare final draft Blueprint
- Review with IPMT
- Present to recommendations to ESC at May 19 meeting

Questions

