

# LINK21

CONNECT NORTHERN CALIFORNIA

## STRATEGIC PROGRAM PLAN

### CHAPTER 3: STRATEGIC ADVISORY

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## ISSUE AND REVISION RECORD

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## SHAREPOINT PATH

Records Center/PRGM Record Center/WPA.01-01/SPP/  
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## ACRONYMS AND ABBREVIATIONS

| ACRONYM/ABBREVIATION | DEFINITION                                    |
|----------------------|---|
| <b>BART</b>          | San Francisco Bay Area Rapid Transit District |
| <b>CCJPA</b>         | Capitol Corridor Joint Powers Authority       |
| <b>MTC</b>           | Metropolitan Transportation Commission        |
| <b>PMC</b>           | Program Management Consultants                |
| <b>PMT</b>           | Program Management Team                       |
| <b>TIRCP</b>         | Transit and Intercity Rail Capital Program    |
| <b>UK</b>            | United Kingdom                                |
| <b>USDOT</b>         | United States Department of Transportation    |

## LINK21 PROGRAM TEAM NAMES

| TEAM NAME          | TEAM MEMBERS  |
|--------------------|---|
| <b>PMC</b>         | The HNTB Team   |
| <b>PMT</b>         | BART/CCJPA + PMC  |
| <b>Consultants</b> | Consultants supporting program identification/project selection |
| <b>Link21 Team</b> | PMT + Consultants   |

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## 3. STRATEGIC ADVISORY

### 3.1. Purpose

Strategic Advisory is a core function of the Program Management Consultants (PMC) to guide and drive overall Link21 Program (Link21) development. Link21 established Strategic Advisory as a high-level function that works directly with San Francisco Bay Area Rapid Transit District (BART)/Capitol Corridor Joint Powers Authority (CCJPA) leadership and that engages across all other functions. A key role of Strategic Advisory is to make sure Link21 is forward looking and assesses externalities, anticipates challenges, and devises policies and strategies to address those challenges.

Link21 is a highly complex program due to its extensive 21-county Northern California Megaregion geographic scope and consideration of BART and Regional Rail (could include intercity, commuter, or high-speed rail) technology and services, which are typically governed and funded under separate federal programs.

From the outset of the program, BART/CCJPA leadership recognized that successful development and eventual implementation of Link21 would require a specific focus on non-technical issues that will drive and shape the program. These include policy considerations, funding opportunities and constraints, governance, government and community relations, land use, and others. Lessons learned from other megaprograms is the importance of placing early, high-level attention on these issues, and understanding that these issues have as significant an impact on Link21's development and progress as the more technical issues of engineering and design.

### 3.2. Strategy

Strategic Advisory is engaged with and connected to all Link21 program elements. Specific areas of focus within Strategic Advisory include:

- **Legislative Strategy:** Develop and track federal and state legislation that could impact Link21 and identify opportunities that address program needs through legislation.
- **Funding Strategy:** Assess the funding needed to advance the program, identify existing and potential funding sources, and develop the strategy to secure funding, including engaging with funding agencies and legislators and preparing grant applications.
- **Government Relations:** Develop and lead the implementation of a strategy to engage with elected officials and agencies at the federal, state, and local levels to advance the interests of the program.

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- **Cash Flow Analysis:** Develop a tool to forecast project expenditures against available funding at key milestones to help shape work plans and the funding strategy.
- **Land Use Strategy:** Develop the overall program framework for proactively advancing sound land use policies and incorporate land use goals into project planning and evaluation.
- **Value Capture:** Develop a program strategy for optimizing the capture of value created through investment in Link21 that is balanced with the program's strong commitment to advancing equity. This includes the identification of existing constraints and the need for policy or practice changes, potential legislative changes, and coordination with local jurisdictions.
- **Organizational Options:** Assess the needs and readiness of the Link21 Team to successfully advance the program through the combined resources of BART/CCJPA and Consultant support.
- **Governance:** Consider issues and opportunities related to the continued development, construction, and ultimate operation of Link21, taking into account the geographic reach of the program and the potential for multiple modes of transportation.
- **Policy Development:** Identify issue areas that need to be addressed through the update of BART and/or CCJPA policies, established as principles for Link21, or pursued as policy at the federal, state, or local level.
- **Stage Gate:** Adapt the United Kingdom (UK) Stage Gate model to be used effectively within the BART/CCJPA organizations and in the context of U.S. project development and use it to help drive the program forward.
- **Oversight of Business Case:** Work with the Business Case Team to make sure that a comprehensive, multi-dimensional evaluation of project concepts and alternatives takes place and is designed to ensure consistency with strategic objectives.
- **Strategic Support (as needed):** Assist BART/CCJPA leadership on a variety of issues that arise in the course of advancing the program, based on the perspective and experience of the Strategic Advisory Team.

An example of Strategic Advisory working across all areas of the program, at multiple levels within BART/CCJPA, and with external stakeholders is the development of a grant application. It is a complex process that requires extensive coordination, with consideration of strategic issues and externalities woven throughout. Some examples of the coordination are shown in **Table 3-1** to illustrate the in-depth collaboration that is central to Strategic Advisory activities.

**Table 3-1. Example of Coordination – Grant Application**

| ACTIVITY   | COORDINATION   | OUTCOME   |
|--|--|---|
| <b>Decide to develop grant application</b>             | Link21 leadership, BART/CCJPA executives, BART finance and government relations  | Go/no-go decision                                     |
| <b>Determine eligibility and viability</b>             | BART government relations, Metropolitan Transportation Commission (MTC), United States Department of Transportation (USDOT), State Transportation Agency | Parameters of application                             |
| <b>Develop scope and prepare application materials</b> | Link21 Planning and Engineering, Engagement and Outreach, Equity, and Environmental teams  | Application content                                   |
| <b>Generate stakeholder support</b>                    | BART government relations, CCJPA executives  | Support letters and communication with funding agency |
| <b>Produce application</b>                             | Link21 Engagement and Outreach, quality control  | High-quality application with graphics, editing       |
| <b>Submit application</b>                              | CCJPA submittal team   | Completed application                                 |

### 3.3. Implementation

Strategic Advisory is engaged in discussions and decisions in multiple areas of Link21 on an ongoing basis, providing perspective based on experience, lessons learned, ongoing review of best practices and trends, and other factors. A key element of engagement is to ensure the program's actions consider long-term implications on funding, regulatory, community, and other issues.

The following are specific examples of Strategic Advisory activities and deliverables that were performed under Phase 0, focused on creating a platform for more detailed activity and progress in Phase 1, such as:

- Educating key stakeholders on the need for and benefits of Link21.
- Identifying potential obstacles to successful development and implementation.
- Identifying and creating opportunities to secure state and federal funding.
- Putting key tools in place (internally) to make sure the program maintains a clear focus on strategic goals.
- Adapting the State Gate Process to guide key program milestones and effectively engage the BART and CCJPA boards.
- Identifying and initiating the development of policies that will advance Link21's goals.



Each of the focus areas will continue in Phase 1 and future phases with specific activities reflecting and supporting the advancement of the program (**Table 3-2**). For example, in the funding strategy area, Phase 1 activities will focus on pursuing new federal and state funding opportunities and a potential regional funding measure. Activities in the value capture and policy development areas will focus increasingly on the development and implementation of specific initiatives. Work in governance will focus on the specifics of the projects advancing in the development process.

A key early area of focus in Phase 1 is the stage gate. Activities include the identification of the expected actions to be requested of the BART and CCJPA boards, development of the primary themes that will form the basis for the requested actions, and identification of the documentation that will be needed to support approval of Stage Gate 2. Strategic Advisory continues to manage the Stage Gate Process, working to secure leadership approval of the goals and working with the delivery teams to identify the supporting documentation needed.

**Table 3-2. Phase 1 Strategic Advisory Activities**

| FOCUS AREA                  | ACTIVITY/DELIVERABLE  |
|-----------------------------|---|
| <b>Legislative Strategy</b> | <ul style="list-style-type: none"> <li>▫ Track and develop amendments to relevant state legislation.</li> <li>▫ Monitor and report on federal legislation.</li> <li>▫ Develop a federal legislative proposal to address multimodal projects, such as Link21.</li> <li>▫ Outreach to key legislative stakeholders at federal and state levels.</li> <li>▫ Build coalition/coordinate with similar programs nationally to enhance prospects for Link21 funding.</li> </ul>  |
| <b>Funding Strategy</b>     | <ul style="list-style-type: none"> <li>▫ Identify potential funding sources at federal and state levels.</li> <li>▫ Develop proposal to modify state Transit and Intercity Rail Capital Program (TIRCP) funding to support program development; adopted in state budget.</li> <li>▫ Coordinate with BART on a funding plan.</li> <li>▫ Align funding needs with potential sources.</li> <li>▫ Prepare Rebuilding American Infrastructure with Sustainability and Equity (RAISE) grant applications; prepare for the development and submission of Federal-State Partnership, TIRCP, and other funding applications in Phase 1.</li> </ul> |
| <b>Government Relations</b> | <ul style="list-style-type: none"> <li>▫ Identify key governmental stakeholders at federal, state, and regional levels.</li> <li>▫ Coordinate, prepare for, and participate in meetings with federal, state, and regional leaders.</li> <li>▫ Engage with the Build America Bureau of the USDOT.</li> <li>▫ Engage with MTC commissioners and staff.</li> </ul>   |

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| FOCUS AREA                     | ACTIVITY/DELIVERABLE  |
|--------------------------------|---|
| <b>Cash Flow Analysis</b>      | <ul style="list-style-type: none"> <li>▫ Develop methodology for projecting expenditures.</li> <li>▫ Develop model to align expenditures with available funding.</li> <li>▫ Use the cash flow model to shape work plan development and program milestones.</li> </ul>   |
| <b>Land Use Strategy</b>       | <ul style="list-style-type: none"> <li>▫ Develop a land use framework for consideration by BART executive leadership.</li> <li>▫ Coordinate with the Business Case Team on land use metrics.</li> <li>▫ Develop an anti-displacement strategy.</li> <li>▫ Engage with academic researchers and others on key land use/anti-displacement trends and data.</li> </ul>   |
| <b>Value Capture</b>           | <ul style="list-style-type: none"> <li>▫ Develop two papers on value capture and balancing value capture and equity.</li> <li>▫ Present on value capture goals, tools, opportunities, and limitations to the BART Board.</li> <li>▫ Identify value capture tools.</li> <li>▫ Identify potential legislation.</li> <li>▫ Engage with external stakeholders.</li> </ul> |
| <b>Organizational Options</b>  | <ul style="list-style-type: none"> <li>▫ Review industry best practices.</li> <li>▫ Assess organizational needs.</li> </ul>   |
| <b>Governance</b>              | <ul style="list-style-type: none"> <li>▫ Identify potential governance structures.</li> <li>▫ Assess existing BART/CCJPA statutory authorities, potential gaps, and solutions.</li> <li>▫ Monitor ongoing regional governance discussions.</li> <li>▫ Integrate ongoing Link21 work with governance considerations.</li> </ul>  |
| <b>Policy Development</b>      | <ul style="list-style-type: none"> <li>▫ Identify policy gaps at state and federal levels that could adversely impact Link21.</li> <li>▫ Develop legislative and regulatory proposals to address gaps.</li> <li>▫ Develop BART/CCJPA comments for input on federal policy development.</li> </ul>   |
| <b>Stage Gate</b>              | <ul style="list-style-type: none"> <li>▫ Manage the Stage Gate Process.</li> <li>▫ Adapted the UK model for use on Link21.</li> <li>▫ Prepared <i>Stage Gate 1 Report</i> and BART and CCJPA board presentations.</li> </ul>  |
| <b>Business Case Oversight</b> | <ul style="list-style-type: none"> <li>▫ Ongoing work with the Business Case Team to ensure that strategic goals are reflected.</li> <li>▫ Integrate land use metrics into the business case.</li> </ul>  |

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| FOCUS AREA                           | ACTIVITY/DELIVERABLE  |
|--------------------------------------|---|
| <b>Strategic Support (as needed)</b> | <ul style="list-style-type: none"><li>▫ Develop engagement strategy for the University of California, Berkeley.</li><li>▫ Develop update to the BART <i>System Expansion Policy</i>.</li><li>▫ Prepare for BART/CCJPA board briefings/meetings.</li><li>▫ Strategize for participation in conferences and association activities.</li><li>▫ Engage with partner agencies.</li></ul> |

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