



# Bypass Exception Process

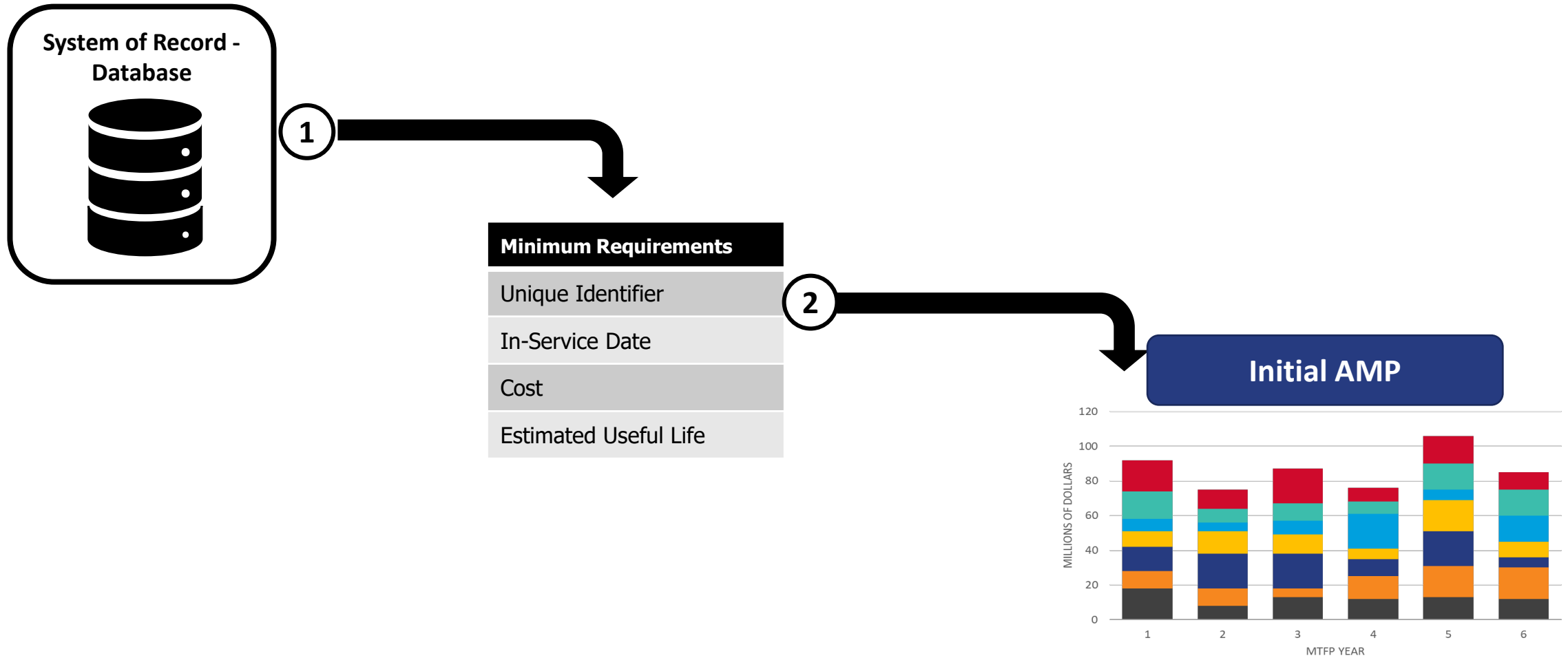
Cody Sooter, Business Analyst Physical Assets

# Agenda

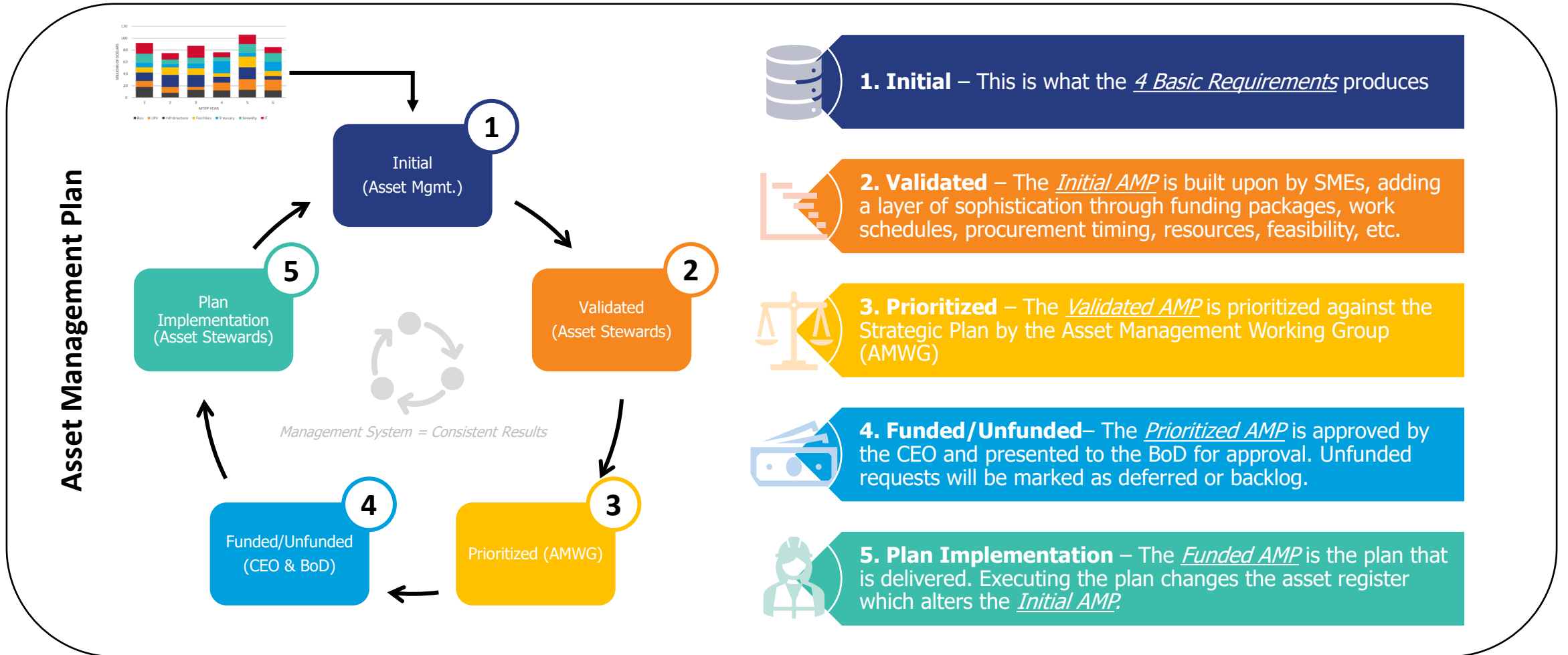
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- Asset Management Plan
- What is the bypass exception?
- Identify bypass exception needs
- Bypass process – step by step
- Test

# What's included in the AMP?



# AMP Development Cycle



**1. Initial** – This is what the *4 Basic Requirements* produces



**2. Validated** – The *Initial AMP* is built upon by SMEs, adding a layer of sophistication through funding packages, work schedules, procurement timing, resources, feasibility, etc.



**3. Prioritized** – The *Validated AMP* is prioritized against the Strategic Plan by the Asset Management Working Group (AMWG)



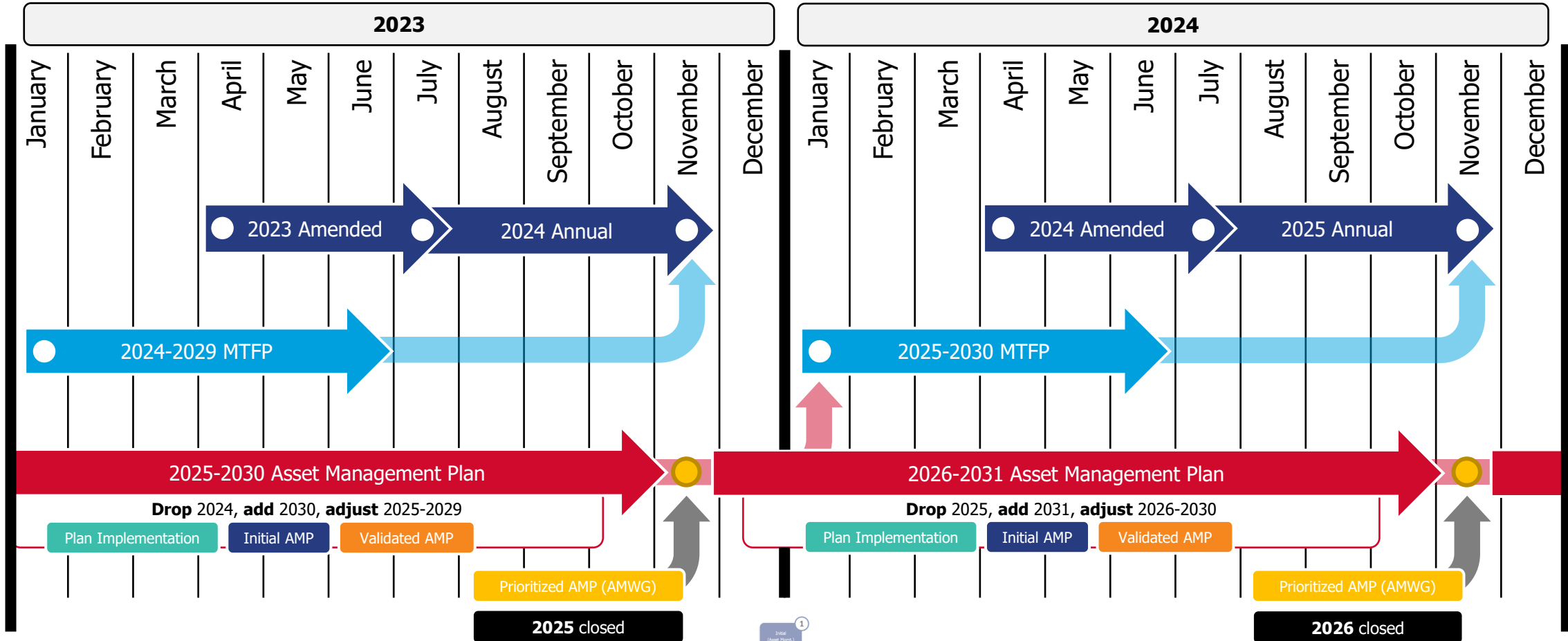
**4. Funded/Unfunded** – The *Prioritized AMP* is approved by the CEO and presented to the BoD for approval. Unfunded requests will be marked as deferred or backlog.



**5. Plan Implementation** – The *Funded AMP* is the plan that is delivered. Executing the plan changes the asset register which alters the *Initial AMP*.

**Note:** "Closed" means that there should be no surprises on the asset renewals and replacements coming due for the first year of the AMP. Technically, that need has been part of the AMP for 5 years.

# AMP Development Cycle – Continued



# AMP Review

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- Asset Management Plan
  - Created from assets in a system of record
  - All departments and assets are in scope
  - Five step development cycle, tied into budgeting cycle
  - Forward looking – runway for planning
  
  - Primary funding lane for asset renewal needs
    - ▶ Cannot use operating budget, lobbying any executive
  
- Asset Renewal Policy

# Bypass Exception Creation

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- Bypass exception process
  - Secondary funding lane – asset renewals and replacements
    - ▶ All asset renewals, all departments
    - ▶ Exception process
  - *Executive leadership recognizes that occasionally **unexpected** asset renewal needs become evident... If an asset replacement or renewal is proposed for **immediate** consideration... a meeting of the AMAT must be called....No unplanned renewal projects [assets] will be funded without endorsement of the AMAT.*

# Bypass Identification

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- How to identify a bypass exception need

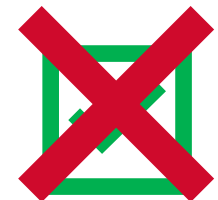
- Renewal, replacement, or repair related to existing assets(s)



- Is the need immediate?



- Can the replacement be done with available resources and current workloads before the earliest AMP planning year?





# Bypass Identification

- Who can request a bypass exception project?
  - Asset Steward from the representative department
    - ▶ Voting members during AMWG
  - Stewards will be responsible party for bypass process steps and project execution

| Asset Steward   | Represented Asset Group                               |
|---|---|
| Eric Castillo, Acting General Superintendent, Maintenance       | Bus, Support Fleet                                    |
| Kim Heldman, Senior Manager, Information Technology             | Information Technology, Intelligent Transport Systems |
| Israel Laufer, Manager, Integrated Security, Technology         | Security  |
| Ron Posey, Manager, Facilities Maintenance Operating Facilities | Facilities  |
| Ashland Vaughn, Senior Manager, Construction                    | Public Facilities, Capital Programs                   |
| Brady Hollaway, General Superintendent, Infrastructure and MOW  | Commuter Rail Vehicles/Infrastructure                 |
| Brian Farris, General Superintendent, Infrastructure            | Light Rail Infrastructure, SCADA                      |
| Don Young, Senior Manager, Treasury                             | Treasury  |
| Phillip Eberl, General Superintendent, LRV Maintenance          | Light Rail Vehicles                                   |

# Bypass Identification

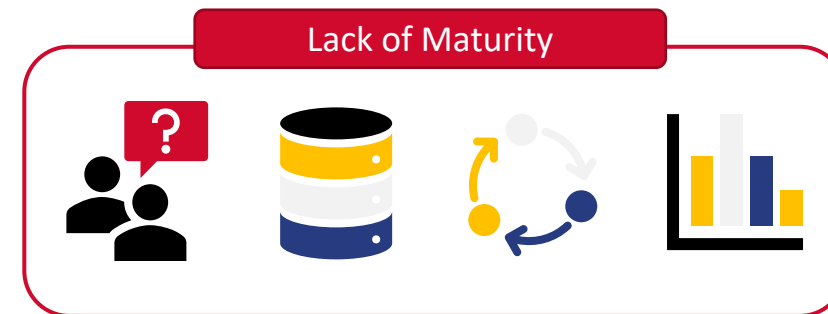
## ■ What are the types of bypass projects?

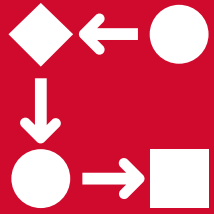
### ● Type One

- ▶ True emergency
- ▶ Unforeseen, uncontrollable, unplanned
- ▶ Move swiftly – Steps 1 - 4

### ● Type Two

- ▶ Not unforeseen, uncontrollable, unplanned
- ▶ Result of a breakdown in processes
- ▶ Higher level of review – Steps 1 - 5





# Bypass Exception Process

Steps 1 – 5

# Bypass Process – Step One

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- 1) Gather all available information/perform analysis
  - ▶ Breakdown of project into individual assets
  - ▶ What does the asset do? What value does it provide to the agency?
  - ▶ Is the asset recorded in a system of record? What details exist?
  - ▶ Are there work orders against the asset?
  - ▶ Perform analysis on available condition and performance data
  - ▶ Is the asset part of a current AMP project?
  - ▶ Can the asset be repaired? Are parts still available?
  - ▶ Perform a risk assessment using the ORM framework
- Organize all available data into one or more documents



# Bypass Process – Step Two

- 2) Create narrative document
  - Single page memo – project overview
    - ▶ How was this request identified?
    - ▶ What is the rationale for this request?
    - ▶ Timeframe and resources required?
    - ▶ What is the process for replacement?
    - ▶ Tie in information gathered from step one
  
- Coherent rationale – RTD template
- Delivered to AMAT and GM/CEO

**Memorandum** RTD

We make lives better through connections.

**To:** Recipient, Title

**From:** Your Name, Title

**Date:** Month 0, 0000

**Re:** **Subject**

Begin memo here.

# Bypass Process – Step Three

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- 3) Fill out and submit bypass Microsoft Form

- ▶ [Microsoft Form Link](#)
- ▶ Formalization of information gathered in step one
- ▶ Form must be fully filled out, all necessary documents uploaded and submitted



- Checkpoint - Contact Asset Management for review

- ▶ Ensure AMAT has enough info – set up requestor for success
- ▶ Narrative created, MS Form fully filled out
- ▶ Necessary analysis has been performed



# Bypass Process – Step Four

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## ■ 4) Presentation to AMAT

- Narrative and MS Form provided in advance
- Requestor or SME to present
  - ▶ Clearly articulate need and rationale
  - ▶ Ability to answer any questions – provide additional documentation

## ■ AMAT Expectation

- All available information presented - Step three checkpoint cleared?
- Is the request due to an uncontrollable event?



# Bypass Process – Step Four

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## ■ AMAT decision - potential outcomes

- Reject the project in whole – no funding, no work done
- Reject the project for bypass funding and reassigned to the AMP
- Approve the project in part – limited funding, limited scope of work
- Approve the project in whole – full funding



## ■ Type One Project: Implementation

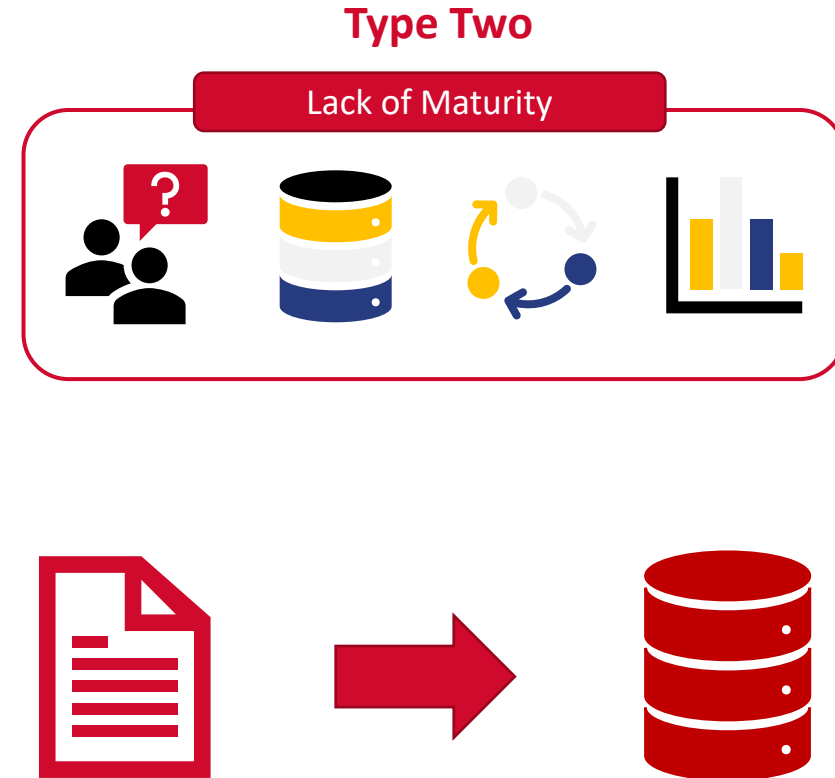
- Bypass requestor to implement project – coordinate, communicate, execute
- Closed when: system of record updated, necessary disposals complete





# Bypass Process – Step Five

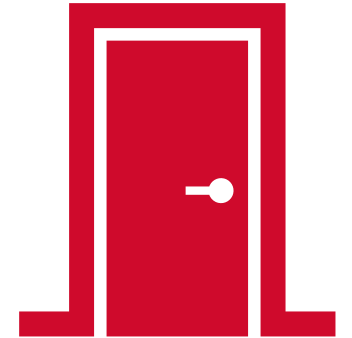
- 5) Corrective Action Plan (CAP)
  - Submitted and approved by AMAT within 30 days
    - ▶ Root cause of failure
    - ▶ Steps to be taken
    - ▶ Roles and responsibilities
    - ▶ Timeline
    - ▶ Metrics for progress
    - ▶ Future avoidance
  - CAP template and example



# Bypass Process – Step Five

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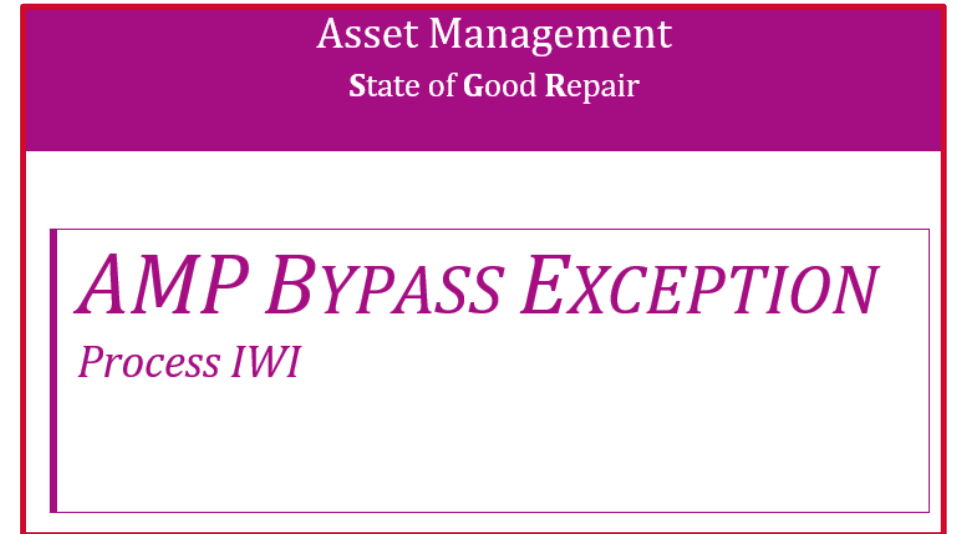
- Type Two Project: Implementation
  - Bypass requestor to implement project – coordinate, communicate, execute
  - Bypass requestor to implement CAP – coordinate, communicate, execute
  - Closed when:
    - ▶ System of record updated, necessary disposals complete
    - ▶ CAP carried out, root cause mitigated
    - ▶ AMAT approval
- Updates to AMAT at least every 90 days until closed



# Bypass Exception Process Review

- Bypass exception process – to get the endorsement of AMAT

- 1) Gather all available information/perform analysis
- 2) Create a narrative outlining the request
- 3) Fill out and submit bypass Microsoft Form
  - Checkpoint ----
- 4) Presentation to AMAT
  - Type One Implementation ----
- 5) Create an approved Corrective Action Plan (CAP)
  - Type Two Implementation ----



# Reference Material

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- [Bypass Exception Process Folder](#)

- Bypass Exception Process
- Bypass Exception Process CAP Template
- Bypass Exception Process CAP Update Template
- Bypass Exception Process FAQ's

**Questions?**

# Bypass Exception Process Training

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**Test**

# We Make Lives Better Through Connections.

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