



## **Oversight Procedure 02 – PMOC Implementation/Transition Plans and PMOC Status Reports**

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### **1.0 PURPOSE**

The purpose of this Oversight Procedure (OP) is to describe the review, analysis, and recommended procedures and reporting requirements that the Federal Transit Administration (FTA) expects from the Project Management Oversight Contractor (PMOC) regarding two types of administrative tasks: Implementation/Transition Plans and PMOC Status Reports.

While this OP focuses on Capital Investment Grant (CIG) projects, which have specific requirements by law, it also applies to all capital projects. FTA will issue Implementation Plans (IPs) to clarify the specific reviews and expected deliverables based on the project types.

### **2.0 BACKGROUND**

#### **2.1 PMOC Implementation and Transition Plans**

FTA requires PMOCs to develop Implementation Plans (IPs) to ensure that they conduct adequate and comprehensive oversight work. FTA requires PMOCs to develop Transition Plans to ensure continuity in the performance of oversight.

#### **2.2 PMOC Status Reports**

FTA requires PMOCs to manage the activities and related costs and hours spent during oversight, and to report on projected and actual time and cost expenditures. Such reporting allows FTA to monitor oversight efforts by Task Order for a specific PMOC. When PMOC reports are aggregated, FTA can monitor the entire oversight program.

### **3.0 OBJECTIVES**

#### **3.1 Implementation Plans and Transition Plans**

An IP is critical to project management and oversight execution. The IP outlines the oversight activities within the overall Task Order to be performed as directed by the Contracting Officer's Representative (COR) or Alternate Contracting Officer's Representative (ACOR). The IP outlines the scope, the funding table, and the schedule of deliverables for review. An IP is provided by FTA with input from the PMOC. The IP is not a contractual document and there is not a deliverable.

A Transition Plan should convey essential project information to an incoming PMOC from an outgoing PMOC. This plan should promote a seamless transition from the current PMOC to the new PMOC with minimum disruption to the project sponsor or FTA.

#### **3.2 PMOC Task Order Cost Status Reports**

PMOC Task Order Cost Status Reports document the cost progression of a project over a specific reporting period. This frequency is found in Section F of the Task Order award

document. The purpose is to provide FTA with an update on the Task Order's financial status as well as identify funding needs.

#### **4.0 REFERENCES**

The PMOC shall become familiar with the following references reviewing the project sponsor's work. These are the principal references, but this list is not exhaustive:

- OP 01: Administrative Conditions and Requirements
- OP 25: Recurring Oversight and Related Reports

#### **5.0 PROJECT SPONSOR SUBMITTALS – N/A**

#### **6.0 SCOPE OF WORK**

##### **6.1 PMOC Implementation Plan / Transition Plan**

###### **6.1.1 Implementation Plan**

FTA will use IPs to direct the work against the Task Order. The IP is not a contractual document but rather a supplementary guidance document that prescribes the work that will be completed within the scope and funding outlined in the Task Order and within the incremental funding available or to be available. **The IP may be directly tied to the incremental funding, but it is not required. However, the IP funding for each Contract Line Item Number (CLIN) cannot exceed the Task Order funding.**

**See Appendix A for an IP template.**

###### **6.1.2 Transition Plan**

When changes occur in PMOC assignments at the Task Order level, FTA will require the outgoing PMOC to develop a transition "report" and the incoming PMOC to develop a transition "plan." Changes in assignments may be due to the development of a conflict of interest or FTA's determination that it is in its best interests to replace or supplement a PMOC. Transition Reports and Plans may be required for Task Order assignments if the work is particularly complex or for other reasons indicated by FTA.

Upon notice from the ACOR of an incoming PMOC to replace or supplement an existing PMOC, the COR/ACOR will notify the project sponsor in a timely fashion, address the project sponsor's concerns, and set up a transition schedule that fits well with previously arranged meetings to the extent possible.

The ACOR will also establish a transition dialogue between the incoming and outgoing PMOC and set forth the priorities for both PMOCs. The ACOR's overall objectives are to minimize disruption to the project sponsor, facilitate teamwork between the PMOCs, and ensure that transition steps are accomplished.

One element of a successful transition could include an introductory meeting with the incoming PMOC, FTA, the outgoing PMOC, and the project sponsor staff. Activities could include a project tour, copies of project sponsor documents, PMOC reports, key FTA letters or approval documents, and any other pertinent documents. The electronic format of the documents will be

directed by the COR/ACOR. In all circumstances, it will be imperative to arrange for the outgoing PMOC to orient the incoming PMOC to the project, including its characteristics, major project issues, baseline project information, and FTA's expectations.

FTA's Office of Program Management will strive to achieve transition periods of at least two months. During the transition, the outgoing and incoming PMOCs will be expected to collaborate and execute a smooth transition.

The incoming PMOC shall perform services as follows:

1. Develop a Transition Plan. Coordinate and integrate incoming PMOC services and work products with the outgoing PMOC to identify transition elements and develop schedule and milestones.
2. Establish key contacts among the personnel of the incoming and outgoing PMOCs, FTA Region and Headquarters, and the project sponsor.
3. Develop a list of documents needed for the transition period as applicable, including, but not limited to, the following:
  - a) The latest project baseline documents (Project Development, Engineering, or Full Funding Grant Agreement (FFGA)) and all amendments, application materials, letters of no prejudice, etc.;
  - b) Relevant project sponsor management plans, such as Project Management Plan (PMP), Quality Assurance/Quality Control (QA/QC) plan, Fleet Management Plan(s), etc.;
  - c) Lessons Learned Reports, Monitoring Reports, Quarterly Progress Review Meeting Reports, Final Closeout Monitoring Report;
  - d) Project-related design and construction documents, construction contract agreement, general and special provisions, technical specifications, baseline, and updates of project cost and schedule;
  - e) Other documents recommended by FTA and outgoing PMOC; and
  - f) List of project contact information for contractor, consultants, and project sponsor's representatives associated with the project;
4. Be adequately prepared for the initial monthly or quarterly meeting, interviews, site tours, conference calls, follow-up meetings, etc. by:
  - a) Conducting pre-meetings between FTA and outgoing PMOC;
  - b) Providing appropriate personnel at meetings, interviews, or tours;
  - c) Being prepared and knowledgeable of the content in materials prepared by the project sponsor, outgoing PMOC, and FTA on major issues; being aware of sensitive issues;
  - d) Listening carefully, particularly to key issues/potential impacts to project progress;
  - e) Promoting a "partnership" relationship and minimizing project sponsor impacts;
  - f) Making every effort to understand the project conditions and taking project photos during the tour;
5. Act in a manner consistent with FTA's direction on priorities and expectations.
  - a) Conduct an adequate number of site visits, meetings, or project sponsor personnel interviews to be cost-effective.

- b) Do not discuss the outgoing PMOC's products or services with the project sponsor
  - c) Provide adequate input to the outgoing PMOC on the incoming PMOC transition activities during that period of performance when the outgoing PMOC has responsibility for project monitoring.
  - d) Achieve a sufficient level of knowledge about the outgoing PMOC's oversight activities. Maintain traceability of information or assessments developed by the outgoing PMOC until and unless otherwise directed by the ACOR.
6. Complete familiarization with the project sponsor's project, reports, and information and achieve readiness to assume oversight responsibilities.

The outgoing PMOC should do the following (this list is not exhaustive):

1. Develop a transition "report" to convey pertinent facts to the incoming PMOC for an effective transition of oversight activities with minimum disruption to the project sponsor.
2. Prepare a "close-out" Task Order proposal that includes "close-out" schedules and deliverables with a final report and lessons-learned document. Prepare a list of transfer documents and information to the incoming PMOC and other transition elements identified above.
3. Orient the incoming PMOC by facilitating introductions to the project sponsor. Provide the requested documents and, if necessary, assist the incoming PMOC in locating and securing the information. Additionally, provide the incoming PMOC with any other documents that might be pertinent to understanding the condition and status of the project sponsor and the project. Conduct project site tours with the project sponsor and incoming PMOC.
4. Coordinate and integrate the services and work products of the incoming PMOC with your own.
  - a) Identify transition elements and develop a schedule and milestones.
  - b) Incorporate the incoming PMOC's input into the monitoring reports.
  - c) Maintain traceability of information or assessments developed by the incoming PMOC, until otherwise directed by the ACOR.
  - d) Provide appropriate personnel to participate in conference calls and meetings during the transition.

### **6.1.3 Schedule for Transition Plans**

Transition Plans and Reports shall be delivered in accordance with the Task Order.

### **6.2 Task Order Cost Status Reports**

The Task Order Cost Status Report provides an update to FTA regarding the Task Order financial status and highlights critical funding needs at both the Task Order and CLIN level.

These reports shall reflect (1) direct labor hours by categories by CLIN, including subcontract hours; and (2) elements of cost by direct loaded dollars, subcontracts, and Other Direct Costs (ODCs), etc., that have been incurred and/or committed. Proprietary rate information should not be discussed in the Status Reports. The costs that have been committed, but are unpaid to date, will be noted in the Status Reports. Where the burn rate and cumulative amounts on the monthly

reports differ from those anticipated at Task Order award, the contractor must provide a reconciliation of the difference and a plan for future expenditure rates, as part of the monthly report.

The PMOC Status Reports will assist in FTA's efforts to improve the accountability and effectiveness of its oversight program on major capital transit projects. PMOCs are required to use prudent management procedures in the performance of contracts and Task Orders that provide for:

- Funding notifications to FTA once the funding level of any CLIN reaches 75 percent expenditure;
- Funding notification to FTA once the funding level of the total Task Order amount reaches the 75 percent expenditure;
- Addressing any PMOC staffing changes;
- Planning and control of costs and schedules;
- Measurement of performance (value for completed tasks and major subtasks); and
- Generation of timely and reliable information to be reported.

Upon receipt of the PMOC Status Reports, FTA can monitor the status of the oversight, verify the reasonableness of the PMOC's invoices considering achieving performance, verify reported costs and expenses accrued during reporting periods, and estimate costs to be accrued during subsequent reporting periods.

It should be noted that PMOC program managers are responsible for the quality and timeliness of performance, productivity, and costs. They are also in charge of mitigating adverse aspects of operations and assuring that the Project Management Oversight (PMO) program complies with applicable law and is managed with integrity.

PMOC's controls are the organization, policies, and procedures used to reasonably ensure that:

1. PMO programs achieve their intended results;
2. Resources are used consistently with FTA's mission;
3. Programs and resources are protected from waste, fraud, and mismanagement;
4. Laws and regulations are followed; and
5. Reliable and timely information is obtained, maintained, reported, and used for decision making.

PMOC Status Reports are for FTA staff use only.

## **7.0 REPORTS, PAPERS, PRESENTATIONS**

The PMOC shall provide the COR/ACOR with a written report, formatted in compliance with OP 01, of their findings, analyses, recommendations, professional opinions, and description of the review activities undertaken, as well as other supporting information.

After the COR/ACOR has transmitted formal acceptance of the report, the PMOC should share the report with the project sponsor. If there are differences of opinion between the PMOC and the project sponsor regarding the PMOC's findings, the COR/ACOR may direct the PMOC to

reconcile their findings with the project sponsor and provide the COR/ACOR with a report addendum covering the modifications agreed upon by the project sponsor and PMOC.

When directed by the COR/ACOR, the PMOC shall perform data analysis and develop data models that meet FTA requirements using Microsoft Office products, such as Excel and Word, and use FTA templates when provided.

Upon approval by the COR/ACOR, the PMOC may add other software as required, but they should provide the COR/ACOR with documentation and report data when complete.

## **7.1 Implementation Plan**

The IP is not a PMOC deliverable but rather a guidance document initiated by the ACOR with input from the PMOC that provides direction and guidance to the PMOC for the efforts under the Task Order. The outline of the IP template is shown in Appendix B.

## **7.2 PMOC Status Report at Task Order Level: Body of Report**

Unless otherwise directed by the COR, PMOC Status Reports should cover only one Task Order. Refer to Appendix B for a template of tables and charts to be included in the report. The information in the report and the format may be changed at the discretion of the COR/ACOR. Additionally, the reports should include the following:

### **1. Summary of Task Order Status**

- a) Period covered (month and year)
- b) Percent expended of authorized/obligated amount (dollars and hours) on Task Order
- c) Anticipated date of 75 percent expenditure level of the authorized/obligated amount (dollars or hours) for the Task Order
- d) Anticipated date of 75 percent expenditure level of any CLIN
- e) Time remaining until end date of Task Order (in months)
- f) Task Order period of performance end date
- g) Identify any PMOC contract funding risks: This should be a brief narrative of important issues that could impact the successful performance of this Task Order that FTA should be aware of or needs to address. This would include Task Order period of performance expirations, Task Order funding levels hitting 75 percent expenditures or any CLIN that is approaching the 75 percent expenditure funding level.

### **2. List**

- a) List of Task Order Implementation and the total cumulative H.2 funding. See table in Appendix B.
- b) Major completed PMOC tasks for project(s)
- c) PMOC staffing: Highlight any PMOC staffing issues or changes to the PMOC team overseeing the Task Order.
- d) Significant issues encountered during the covered period in the project(s) or by the PMOC. This should only include project issues that would impact the PMOC reviews. An example would be that the project is on hold due to funding issues, so the risk review is delayed.

- e) Significant events in the next 90 days: Examples of a significant event would be a quarterly meeting, a risk review, the completion of the PMP, etc.

**3. Brief narrative**

- a) Description of variances between planned and actuals for the level of effort (hours and dollars) per CLIN level

**4. Costs and labor hours: Cost and hours utilization information are to be consistent with the monthly invoices but may not match exactly, depending upon billing cycles.**

- a) Task Order and Incremental Funding obligations and expenditures per CLIN
- b) In a table, record Task Order planned per month, planned to date, actual per month, and actual to date for cost and hours.
- c) In one graph show Task Order cost utilization for planned and actuals to date for the PMOC/subconsultants, as well as for Small Business Enterprise (SBE), Disadvantaged Business Enterprise (DBE), Women Owned (WO), HubZone (HZ), Service Disabled, Women-Owned Small Business (WOSB), Veteran-Owned Small Business (VOSB), and Service-Disabled Veteran-Owned Small Business (SDVOSB). In another graph similarly show Task Order hours utilization.

**7.3 PMOC Status Reporting at Contract Level – Body of Report**

This report is to be provided at the direction of the COR. Provide a contract level progress, status, and management report that consolidates information for all Task Orders issued under the contract. This report shall include the following information:

1. Listing of all active Task Orders;
2. Listing of all inactive Task Orders and date of closure and final total cost;
3. Percentage of contract expenditures for SBE, DBE, WO, HZ, WOSB, VOSB, SDVOSB .
4. Cost summaries for each Task Order, including:
  - a) Cumulative amount obligated to each Task Order. Actual committed costs to date for each Task Order and Task Order not-to-exceed (NTE) amounts.
  - b) Ratio of expenditures for prime contractor to subcontractors;
  - c) Estimate of cost to complete;
  - d) Notation of Task Orders with overruns over 10 percent with explanation; and
  - e) Notation of Task Orders with significant issues and/or problems.



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**APPENDIX A: ACCEPTABLE QUALITY LEVEL**

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[PLACEHOLDER FOR AQL TABLE]



**APPENDIX B: IMPLEMENTATION PLAN TEMPLATE**

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TEMPLATE

Contract No. <<Insert>> – Task Order No. <<Insert>>

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**INSTRUCTIONS: This 2024 Implementation Plan (IP) is a revised version of the 2019 Interim Implementation Plan. This document is not a contractual document but rather a supplemental guidance document to direct work against the Task Order. This template provides the framework to the Contracting Officer’s Representative (COR)/Alternate Contracting Officer’s Representative (ACOR) for directing work; however, it is meant to be flexible such that Regions can adapt as necessary for specific projects and regional needs. This document is initiated by the Federal Transit Administration (FTA) COR/ACOR with input from the Project Management Oversight Contractor (PMOC). There is no contractual period of performance.**

**\*The scope and funding in the IP for each Contract Line Item Number (CLIN) cannot exceed that outlined in the Task Order. Exceeding the CLIN funding and total funding of the Task Order requires a contract modification.**

Date: October 18, 2023

Title: <<Insert>>Project Title  
<<Insert>>Project sponsor  
<<Insert>>City and State

PMOC: <<Insert>>  
<<Insert>>Name, email, and contact number  
<<Insert>>Full Address

ACOR: <<Insert>> Name, email, and contact number

Subject Matter Expert: <<Insert>> Name, email, and contact number *(could be the same as ACOR)*

Contract Number: <<Insert>>

Task Order Number: <<Insert>>

Implementation Plan (IP)#: <<Insert>>

\*Is this the original IP or a revision

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\*What revision # is it?

Will there be a new Incremental Funding Request tied to this IP? Yes or NO

If no, how will this IP funding be covered?

**\*Reminder: The scope and funding cannot exceed what is outlined in the Task Order. The IP funding for each CLIN must stay within the CLIN funding NTE in the Task Order. Exceeding the Task Order scope or CLIN funding requires a contract modification.**

## **SECTION A: BACKGROUND**

**(This is to be provided by ACOR; what is provided below is a sample only)**

The <<Insert>> is constructing the High-Capacity Transit Corridor Project to provide fast, reliable public transportation services to a rapidly developing area and to ease congestion in the east-west transportation corridor between Nevada and the University of Nevada. The Project is also intended to provide basic mobility in areas with diverse populations.

FTA approved the request by the City and County of Nevada to advance the project into Preliminary Engineering on October 16, 2009, Final Design on December 29, 2011, and Full Funding Grant Agreement (FFGA) on December 19, 2012.

The total project is approximately a 20-mile portion of the 34-mile Locally Preferred Alternative (LPA), extending from East Nevada via the airport. The project includes 21 stations. The alignment is elevated, except for an at-grade portion of 2,400 linear feet at the Nevada Community College station. The project is expected to average a total of 87,500 boardings at start of revenue service and 156,300 boardings in the year 2033. It will provide two significant areas with potential for Transit-Oriented Development near the airport and in the surrounding industrial areas.

When the East Nevada Transit Corridor System (the System) opens for service, the Operations and Maintenance (O&M) of the System will be undertaken by a private entity (the Entity) but under the management and oversight of the Department of Transportation Services (“DTS” or “the Agency”) which is a department of the City and County of Honolulu. This Scope of Work is to request the PMOC assess the Management Capacity and Capability (MCC) of the Agency to provide adequate management and oversight of the Entity’s O&M of the System.

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**SECTION B: ROLES AND RESPONSIBILITIES MATRIX**

***(THE YELLOW CELLS ARE TO BE FILLED BY THE PMOC):***

*The PMOC should generate a Roles and Responsibility Matrix that identifies the appropriate PMOC team members who will work on this project by activity/deliverable. The PMOC may add additional deliverables/activities to the table.*

<i>Role/Project Deliverable or Activity</i>	<i>PMOC Key Personnel</i>		
	<i>Program Manager</i>	<i>ACOR</i>	<i>Additional SMEs</i>
<i>Reoccurring Oversight OP 25</i>			
<i>Special task review and report – OP 03</i>			
<i>Documentation Reviews</i>			
<i>Monthly calls</i>			
<i>Monthly Email Reports</i>			
<i>Cost Status Reports</i>			
<i>Draft Report</i>			
<i>Final Report</i>			

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## **SECTION C: SCOPE**

**(This is to be provided by the ACOR; what is provided below is a sample only. Remember that the scope of the Oversight Procedures (OPs) must be within the scope outlined in the Task Order.)**

The scope of this review is for the PMOC to assess and evaluate the readiness of the Agency to perform oversight of the O&M of the System by the Entity. It requires verifying that the Agency has demonstrated the capacity and capability to manage and oversee the maintenance and safe operation of the system in conformance with industry standards, standard of care, and conformance with contractual requirements.

To ensure that the Agency has the capacity and capability to oversee and manage the Entity, the PMOC's review must include, but not be limited to, the verification that the Agency:

- Has an overarching plan to manage and oversee the Entity, including plans to effectively interface with the Entity;
- Has a thorough understanding of the scope of the Entity's contractual requirements, including such items as document deliverables, budgeted staffing requirements, performance metrics, O&M schedules, maintenance inspection programs, procedural compliance reviews, training, safety and security, and reporting protocols;
- Has an approved organization chart and has hired or has a plan for hiring enough experienced staff in a timely manner to manage and oversee the operations of the system;
- Has provided adequate training for staff or has a plan to ensure adequate training of staff, including plans for continuous development of the team; and
- Has provided staff with a clear understanding of their roles and responsibilities.

If the PMOC determines that the Agency's MCC is inadequate in terms of (1) organization, personnel qualifications, and experience, (2) approach to the work, understanding of the work/ability to perform the work, and/or (3) documentation, then the PMOC should make recommendations for corrective action along with a time frame for these actions.

The Contractor shall perform the oversight and provide supporting reports for the oversight activities and professional services under the following CLINs and OPs:

- **CLIN 0002: On-Site Monitoring and Reporting**
  - The Contractor shall perform up to four Quartering Reports in accordance with OP 25: Reoccurring Oversight.
- **CLIN 0003: Baseline Oversight**

(Total Activities: 1/Total Hours: 120)

- The Contractor shall perform up to one Special Task Activity, in accordance with OP 03: Special Tasks. (120 labor hours for one Activity)
  - **CLIN 0005: Direct Expenses**
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After obtaining the approval of the COR/ACOR, the contractor is authorized to incur costs for direct travel and approved Other Direct Costs (ODCs), exclusive of subcontractor costs, overhead, and fees as part of this CLIN.

*Additional guidance is included in the Appendix. (This statement is only needed if you want to provide an Appendix.)*

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**SECTION D: SCHEDULE**

This schedule should be drafted by the ACOR with input from the PMOC.

Event	Responsible Party	Projected Date
Kickoff meeting/interviews	PMOC	One week after the Notice to Proceed (NTP) is issued
Bi-weekly email updates	PMOC	COB every Wednesday upon issuance of task
Monthly calls	PMOC	Once every month upon issuance of task
Draft Report	PMOC	
Final Report	PMOC	
Cost Status Reports	PMOC	*The 15 <sup>th</sup> of each month. (For OST projects, such as TIGER/BUILD/RAISE, or other situations, the ACOR has the option for quarterly Cost Status Reports)

\*NOTE: For the 2024 contract, OP 02 has been updated to remove the requirement for Monthly Cost Status Reports to be submitted on the 15th of each month. The revised OP refers to the Task Order dates. In general, ACORs should require Cost Status Reports to be submitted monthly. However, some smaller projects or non-major capital projects could warrant the use of quarterly Cost Status Reports. The COR/ACOR has the discretion for making this determination, and it must be done in writing so that clear direction is provided to the PMOC.

**SECTION E: COST/LABOR**

**\*Reminder: The cost at the CLIN level cannot exceed what is outlined in the Task Order**

Not-to-Exceed (NTE) **120** hours

\$ **xx** Labor (CLIN 003)  
 \$ **5,000** Travel, Other Direct Costs (CLIN 005)  
 \$ **xx** **NTE Total**

This breakdown of Task Order work is being delineated by the ACOR. Services performed or products delivered under this Implementation Plan are billable by Task Order under the appropriate CLIN category. All travel must be approved by the COR prior to taking the trip.



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Under no circumstances is the PMOC authorized to incur costs in excess of the authorized amount without prior authorization from the COR.

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**APPENDIX: ADDITIONAL GUIDANCE FOR THE PMOC IN PROVIDING OVERSIGHT FOR THIS TASK (ACORS SHOULD ONLY INCLUDE THE APPENDIX IF NEEDED FOR ADDITIONAL EXPLANATION OF THE WORK REQUIREMENTS. THIS SECTION CAN OUTLINE THE EXPECTATION FOR FTA/PMOC COMMUNICATIONS OR ANY REGIONAL EXPECTATIONS. THIS MAY NOT BE REQUIRED FOR MANY OPS, BUT IT MAY BE REQUIRED FOR OP 03.)**

### **B.1. AGENCY SUBMITTALS**

The submittals to be secured by the PMOC from the Agency shall be appropriate and shall include, but are not limited to, the following:

- Description of the Agency management tools and approach for oversight (controls and reporting) of the Entity performing the O&M. This includes:
  - Agency oversight organizational chart;
  - Description of roles, responsibilities, and interfaces among key Agency team members through responsibility matrix in relation to those of the Entity team members;
  - Resumes and Qualifications/Experience Chart for the Agency oversight team;
  - Staffing Plan; and
  - Training Plan;
- Rule Book (particularly focused on the Agency’s oversight tasks);
- Standard Operating Procedures (SOPs) of the Agency with focus on the oversight tasks; and
- Scope of Work (SOW) or contract documents for the Entity.

### **B.2. PMOC Review Approach**

The PMOC shall refer to other applicable regulations, policies, guidelines, and circulars in determining the capacity and capability of the Agency to perform management and oversight of the O&M Entity. The PMOC shall perform the following:

1. Review the complete organization of the Agency to determine the likelihood of the team successfully meeting their management and oversight responsibilities.
2. Review the Agency staffing plan. Review the assigned and supporting staff qualifications, including, but not limited to, reviewing resumes and conducting interviews with key agency personnel and project leadership, based on PMOC-generated questionnaires. The purpose of the questionnaire is to gain insight into the interviewees’ background and experience, to understand their concept of their role, and to obtain their input as to the critical issues that must be managed and/or resolved to successfully meet the oversight and management responsibilities of the Agency.

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- a) Assess the reasonableness of the hours assigned for each staff member to ensure their sufficiency for their roles and responsibilities.
  - b) Analyze whether the Agency has the physical resources, such as sufficient office space, equipment, and furnishings, to effectively and efficiently undertake their management and oversight responsibilities.
3. Review the adequacy of the Agency’s methods, policies, and procedures and its ability to develop and update reasonable and realistic control mechanisms to monitor and ensure adherence of the Entity to the O&M requirements.
  4. Review and confirm that the Agency key document deliverables and SOPs are in place, current, accepted, and distributed to all personnel prior to the start of revenue service.
  5. Determine that the Agency has trained its staff to effectively oversee the Entity. The PMOC should assess the training program to determine if new and updated procedures and rules are provided within the training curriculum and to confirm that all training schedules or activities address training for all necessary staff, including supervisors, as applicable.
  6. Review the Emergency Preparedness Plan (including the roles and responsibilities between the Agency and the Entity during emergencies such as accidents, shutdowns etc. The PMOC shall also review the coordination with the affected community fire and police departments and first responding agencies. The documentation of completeness should include a description of the drill, date, procedures, attendees, and results of the drill.
  7. Review the status of any outstanding Third-Party Agreements.

### **B.3. REPORT, PRESENTATION, RECONCILIATION**

The PMOC shall provide FTA with a written report of their findings, analysis, recommendations, professional opinions, and a description of the review activities undertaken. Upon approval by FTA, the PMOC should share the report with the Agency. If there are differences of opinion between the PMOC and the Agency regarding the PMOC’s findings, FTA may direct the PMOC to reconcile with the Agency and provide FTA with a report addendum covering the agreed modifications.

The report formatting requirements of OP 01 apply. When necessary, the PMOC shall perform data analysis and develop data models that meet FTA requirements using Microsoft Office products such as Excel and Word and using FTA templates when provided. The PMOC may add other software as required but documentation and report data shall be made available to FTA.

### **B.4. REFERENCES**

The PMOC should become familiar with the following references to Federal legislation, regulation, and guidance before reviewing the project sponsor’s work. These are the principal references, but this list is not exhaustive:

#### **B.4.1. Regulations**

- [49 CFR Part 673](#) Public Transportation Agency Safety Plans

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- [49 CFR Part 674](#), State Safety Oversight

**B.4.2. FTA Circulars**

- [C 5800.1](#), Safety and Security Management Guidance for Major Capital Projects

**B.4.3. Oversight Procedures**

- OP 01 Administrative Conditions and Requirements
- OP 21 Management Capacity and Capability Review
- OP 54 Readiness for Service



**APPENDIX C: COST STATUS REPORT TEMPLATE OF TABLES**

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The tables below are suggested tables and formats for reporting Project Management Oversight Contractor (PMOC) contract status, but exact format and information provided can be modified at the discretion of the Contracting Officer’s Representative/Alternate Contracting Officer’s Representative (COR/ACOR), depending upon the needs for the project(s) that the PMOC is overseeing.

**Appendix C.1: Task Order Summary Table**

**Purpose: To provide a high-level summary of the key project parameters.**

Period covered (month(s) and year)	Project Data
Frequency of Cost Status Reports (monthly or quarterly)	
Task Order not to exceed (NTE) amount	
Task Order Incremental Funding amount	
Percent expended of obligated dollars	
Percent expended of obligated hours	
Anticipated date of 75% expenditure level of Task Order total CPFF dollars	
Anticipated date of 75% expenditure level of Task Order hours	
Anticipated date of 75% expenditure level of any Contract Line Item Number (CLIN)	
Time remaining until end date of Task Order (months)	
Task Order period of performance end date	
Key PMOC funding risks: For example, if CLIN 1 of the project has exceeded the 75% expenditure and if additional funds aren’t added to the project or a CLIN realignment isn’t in place by October, the PMOC will no longer be able to provide work associated with that CLIN.	

**Appendix C.2: Summary of Implementation Plan (IP) History and Total Incremental Funding**

**Purpose: To provide a high-level summary of the IPs that have been issued for a Task Order.**

IP # or Revision	Date	Total Amount
IP #1		
IP #1 Revision 1		
IP #1 Revision 2		
IP #2		
Total Funding Committed by IPs		

**Appendix C.3: Summary of Incremental Funding History**

**Purpose: To provide a high-level summary of the total Incremental funding awarded against the Task Order. Reporting is not per CLIN**

Incremental Funding Modification	Date Awarded	Total Funds (H.2 table)
Incremental Funding Modification		
Incremental Funding Modification		
Incremental Funding Modification		
Total Obligated Funding		

**Appendix C.4: Task Order funding Status (dollars)**

**Purpose - To provide a Task Order status per CLIN such that the remaining funds and total expenditures can be tracked.**

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Dollars	Not-To-Exceed CPFF (B table)	thru [insert reporting period]					
CLIN		Obligated (H.2 table)	IP	Committed	Remaining	Expended	%
1	\$220,845	\$160,552	\$160,552	\$100,000	\$60,293	\$85,645	53%
2	\$1,659,003	\$1,188,956	\$1,188,957	\$875,000	\$470,047	\$659,285	55%
3	\$0	\$0	\$0	\$0	\$0	\$0	0
4	\$175,411	\$57,161	\$57,161	\$2,500	\$118,250	\$499	1%
5	\$128,000	\$32,000	\$32,000	\$12,000	\$96,000	\$2,105	65%
<b>Total</b>	<b>\$2,183,259</b>	<b>\$1,438,669</b>	<b>\$1,438,670</b>	<b>\$989,500</b>	<b>744,590</b>	<b>\$747,534</b>	<b>52%</b>

\*The B Table is the table in the Task Order that shows the Task Order NTE funding per CLIN. There is no actual funding tied to the B table.

\*The H.2 Table is the table in the incremental funding modification that shows the funding that is obligated per CLIN. This is the funding available on the Task Order.

\*The incremental funding per CLIN (H.2 table) cannot exceed the Task Order NTE (B table).

\*Remaining is the amount of Task Order funds left per CLIN that can be obligated in future incremental funding modifications. Task order NTE – Obligated funds = remaining funds.

\*Committed amount = hours for all OPs completed + started + anticipated to start within current funding cycle)

Percent expended = The expended/obligated. If over 75percent expenditure, highlight and make notification to FTA that a contracting action will be required.

**Appendix C.5: Task Order funding status (hours)**

**Purpose: To provide a Task Order status per CLIN such that the remaining funds and total expenditures can be tracked.**

Hours	Not-To-Exceed	thru [insert reporting period]					
CLIN	Hours (B Table)	Obligated (H.2 table)	IP	Committed	Remaining	Expended	%

Hours	Not-To-Exceed	thru [insert reporting period]					
1	1846	612	612	460	1448	410	66%
2	6315	4618	4618	3614	1697	2140	46%
3	0	0	0	0	0	0	0
4	436	220	222	80	216	2	1%
<b>total</b>	8597	<b>5236</b>	5236	4154	<b>3361</b>	<b>2552</b>	<b>49%</b>

\*The B Table is the table in the Task Order that shows the Task Order NTE funding per CLIN. There is no actual funding tied to the B table.

\*The H.2 Table is the table in the incremental funding modification that shows the funding that is obligated per CLIN. This is the funding available on the Task Order.

\*The incremental funding per CLIN (H.2 table) cannot exceed the Task Order NTE (B table).

\*Remaining is the amount of Task Order funds left per CLIN that can be obligated in future incremental funding modifications. Task order NTE – Obligated funds = remaining funds.

\*Committed amount = hours for all OPs completed + started + anticipated to start within current funding cycle)



**Appendix C.6: Approval Deliverable Status**

**Purpose: A high level status of the key PMOC deliverables**

<i>Doc. Delivery Date</i>	<i>Doc. Type</i>	<i>Date Approved by FTA</i>	<i>Doc Description</i>	<i>CLIN No/OP</i>
3/19/2023	PMP Report	3/21/2023	PMP Adherence Review	OP 20
3/25/2023	PMOC Trip Report	3/28/2023	Burton Engineering prepared 1 trip report in accordance with OP 25 covering initial visit.	OP 25
3/15/2023	Monthly Cost Status Report	3/20/2023	PMOC prepared one cost report in accordance with OP 02.	OP 02
3/15/2023	Project sponsor meeting minutes	3/18/2023	PMOC prepared meeting minutes from 3/12/20 meeting.	OP 25
3/15/2023	Site visits	PENDING	PMOC prepared meeting minutes from 3/12/20 meeting.	OP 25

**Appendix C.7: DBE Notification**

**Purpose: A high-level status of the DBEs on the project**

DBE Status			
Firm name	SBE	SDB	WBE
Firm name	SBE	SDB	WBE
Risk Consultant			X
ABC	X		
Buy America firm		X	

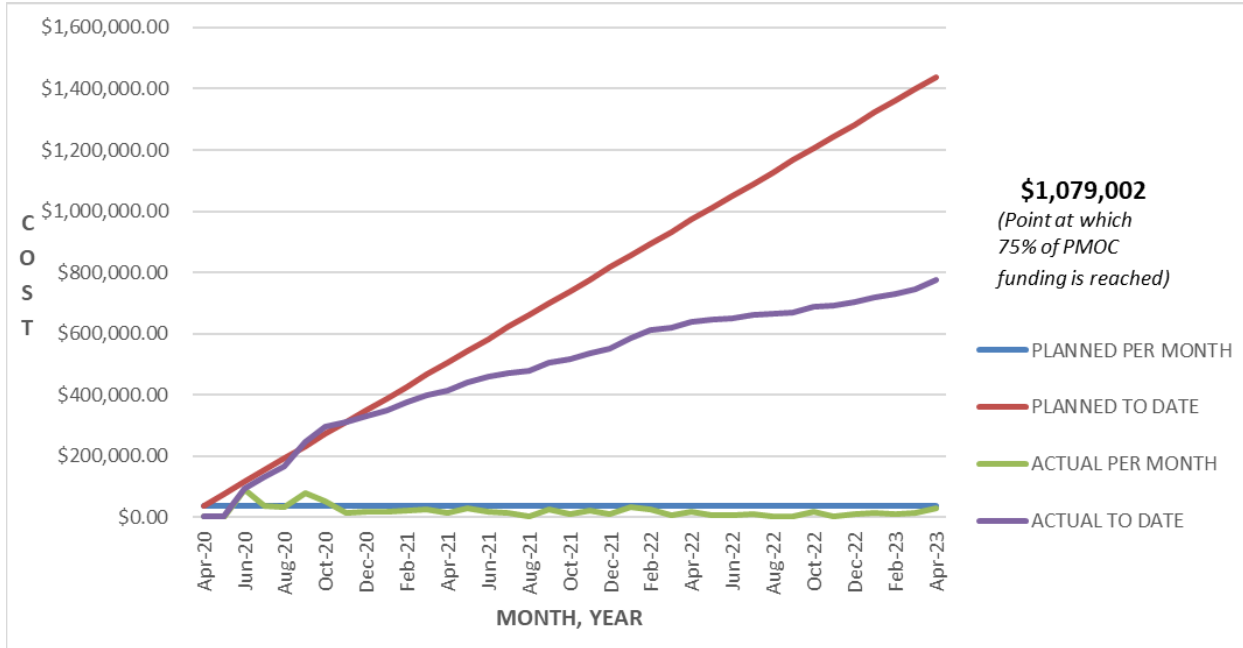


**Appendix C.8: Planned vs Actuals (cost and hours)**

**Purpose: To provide an indication of the PMOC’s burn rate.**

GANNETT FLEMING CONTRACT, TASK ORDER 69319520-F300073, KCMO, KANSAS CITY STREETCAR MAIN STREET EXTENSION										
TASK ORDER COST AND HOURS UTILIZATION										
	COST					HOURS				
	MONTH-YEAR	PLANNED PER MONTH	PLANNED TO DATE	ACTUAL/ MONTH	ACTUAL TO DATE	MONTH-YEAR	PLANNED PER MONTH	PLANNED TO DATE	ACTUAL/ MONTH	ACTUAL TO DATE
YEAR ONE	Apr-20	\$38,882.95	\$38,882.95	\$4,206.11	\$4,206.11	Apr-20	142	142	17.5	17.5
	May-20	\$38,882.95	\$77,765.89	\$0.00	\$4,206.11	May-20	142	283	0	17.5
	Jun-20	\$38,882.95	\$116,648.84	\$89,466.57	\$93,672.68	Jun-20	142	425	303.75	321.25
	Jul-20	\$38,882.95	\$155,531.78	\$37,901.99	\$131,574.67	Jul-20	142	566	126.75	448
	Aug-20	\$38,882.95	\$194,414.73	\$35,273.95	\$166,848.62	Aug-20	142	708	119.25	567.25
	Sep-20	\$38,882.95	\$233,297.68	\$79,204.59	\$246,053.21	Sep-20	142	849	263.5	830.75
	Oct-20	\$38,882.95	\$272,180.62	\$51,827.78	\$297,880.99	Oct-20	142	991	173.5	1004.25
	Nov-20	\$38,882.95	\$311,063.57	\$14,189.21	\$312,070.20	Nov-20	142	1132	55.5	1059.75
	Dec-20	\$38,882.95	\$349,946.51	\$19,191.46	\$331,261.66	Dec-20	142	1274	68.5	1128.25
	Jan-21	\$38,882.95	\$388,829.46	\$19,662.13	\$350,923.79	Jan-21	142	1415	63.5	1191.75
	Feb-21	\$38,882.95	\$427,712.41	\$24,181.74	\$375,105.53	Feb-21	142	1557	74	1265.75
	Mar-21	\$38,882.95	\$466,595.35	\$25,098.29	\$400,203.82	Mar-21	142	1698	82	1347.75
YEAR TWO	Apr-21	\$38,882.95	\$505,478.30	\$13,784.56	\$413,988.38	Apr-21	142	1840	44.25	1392
	May-21	\$38,882.95	\$544,361.24	\$28,538.55	\$442,526.93	May-21	142	1981	91.25	1483.25
	Jun-21	\$38,882.95	\$583,244.19	\$17,058.95	\$459,585.88	Jun-21	142	2123	56.5	1539.75
	Jul-21	\$38,882.95	\$622,127.14	\$13,201.28	\$472,787.16	Jul-21	142	2264	45.5	1585.25
	Aug-21	\$38,882.95	\$661,010.08	\$5,038.75	\$477,825.91	Aug-21	142	2406	19.5	1604.75
	Sept-21	\$38,882.95	\$699,893.03	\$26,487.35	\$504,313.26	Sept-21	142	2547	87.5	1692.25
	Oct-21	\$38,882.95	\$738,775.97	\$11,297.67	\$515,610.93	Oct-21	142	2689	35.5	1727.75
	Nov-21	\$38,882.95	\$777,658.92	\$21,709.92	\$537,320.85	Nov-21	142	2830	71.25	1799
	Dec-21	\$38,882.95	\$816,541.86	\$12,946.17	\$550,267.02	Dec-21	142	2972	44.5	1843.5
	Jan-22	\$38,882.95	\$855,424.81	\$34,370.82	\$584,637.84	Jan-22	142	3113	114.75	1958.25
	Feb-22	\$38,882.95	\$894,307.76	\$27,296.04	\$611,933.88	Feb-22	142	3255	102	2060.25
	Mar-22	\$38,882.95	\$933,190.70	\$7,846.21	\$619,780.09	Mar-22	142	3396	34	2094.25
YEAR THREE	Apr-22	\$38,882.95	\$972,073.65	\$17,962.83	\$637,742.92	Apr-22	142	3538	64	2158.25
	May-22	\$38,882.95	\$1,010,956.59	\$7,874.72	\$645,617.64	May-22	142	3679	28.75	2187
	Jun-22	\$38,882.95	\$1,049,839.54	\$5,991.25	\$651,608.89	Jun-22	142	3821	28	2215
	Jul-22	\$38,882.95	\$1,088,722.49	\$9,962.24	\$661,571.13	Jul-22	142	3962	40.25	2255.25
	Aug-22	\$38,882.95	\$1,127,605.43	\$5,395.69	\$666,966.82	Aug-22	142	4104	27.25	2282.5
	Sep-22	\$38,882.95	\$1,166,488.38	\$2,882.05	\$669,848.87	Sep-22	142	4245	18.5	2301
	Oct-22	\$38,882.95	\$1,205,371.32	\$18,276.65	\$688,125.52	Oct-22	142	4387	79.5	2380.5
	Nov-22	\$38,882.95	\$1,244,254.27	\$4,102.15	\$692,227.67	Nov-22	142	4528	17.75	2398.25
	Dec-22	\$38,882.95	\$1,283,137.22	\$9,998.67	\$702,226.34	Dec-22	142	4670	36.25	2434.5
	Jan-23	\$38,882.95	\$1,322,020.16	\$15,359.22	\$717,585.56	Jan-23	142	4811	67.75	2502.25
	Feb-23	\$38,882.95	\$1,360,903.11	\$12,359.72	\$729,945.28	Feb-23	142	4953	48.25	2550.5
	Mar-23	\$38,882.95	\$1,399,786.05	\$13,646.48	\$743,591.76	Mar-23	142	5094	63	2613.5
Apr-23	\$38,882.95	\$1,438,669.00	\$30,842.01	\$774,433.77	Apr-23	142	5236	130.5	2744	

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**Appendix C.9: Travel Authorization Request Tracking**

**Purpose: To provide a status on CLIN 5 expenditures and Travel Authorization Requests (TAR) status.**

Month	Actual per month	Cumulative	TAR history
March 23	\$1,238	\$1,238	TAR approved January 4, 2023
April 23	\$866	\$2,105	TAR approved January 4, 2023
July 23	\$1,067	\$3,173	TAR approved June 6, 2023



**APPENDIX D: ACRONYMS**

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<b>Acronym</b>	<b>Term</b>
ACOR	Alternate Contracting Officer's Representative
ADA	The Americans with Disabilities Act
AGC	Associated General Contractors of America
ATC	Alternative Technical Concepts
AVS	Associate Value Specialist
BEA	Bureau of Economic Analysis
BLS	Bureau of Labor and Statistics
BRF	Beta Range Factor
BY	Base Year
CATEX or CE or CX or Exclusion	Categorical Exclusion
CCIP	Contractor Controlled Insurance Program
CE	Categorical Exclusion
CER	Cost Estimating Relationship
CFR	Code of Federal Regulations
CIG	Capital Investment Grant
CLIN	Contract Line Item Number
CM	Construction Manager

**TPM-20 Office of Capital Project Management  
Project Management Oversight**

Acronym	Term
CM/GC	Construction Manager/General Contractor
CMAR	Construction Manager at Risk
COR	Contracting Officer's Representative
CPM	Critical Path Method
CPTED	Crime Prevention Through Environmental Design
CR	Constructability Review
CVS	Certified Value Specialists
DB	Design-Build
DBB	Design-Bid-Build
DBE	Disadvantaged Business Enterprise
DBF	Design-Build-Finance
DBFOM	Design-Build-Finance-Operate and Maintain
DBOM	Design-Build-Operate and Maintain
DEIS	Draft Environmental Impact Statement
DF	Designated Function
DHS	Department of Homeland Security
DTS	Department of Transportation Services
EA	Environmental Assessment
EIS	Environmental Impact Statement

**TPM-20 Office of Capital Project Management  
Project Management Oversight**

Acronym	Term
EMP	Emergency Management Plan
ENR	Engineering News-Record
EPCM	Engineering/Procurement/Construction Management
ESWA	Early Systems Work Agreement
FEIS	Final Environmental Impact Statement
FEMA	Federal Emergency Management Agency
FFGA	Full Funding Grant Agreement
FHWA	Federal Highway Administration
FLSSC	Fire/Life Safety and Security Committee
FONSI	Finding of No Significant Impact
FRA	Federal Railroad Administration
FTA	Federal Transit Administration
GAO	Government Accountability Office
GC	General Contractor
GC/CM	General Contractor/Construction Manager
GMP	Guaranteed Maximum Price
HAZMAT	Hazardous Materials
IP	Implementation Plan
LONP	Letter of No Prejudice

**TPM-20 Office of Capital Project Management  
Project Management Oversight**

Acronym	Term
LPA	Locally Preferred Alternative
MBE	Minority Business Enterprise
MCC	Management Capacity and Capability
MDBF	Mean Distance Between Failures
MPO	Metropolitan Planning Organization
NEPA	National Environmental Policy Act
NTE	Not-to-Exceed
NTP	Notice to Proceed
O&M	Operation and Maintenance
OCIP	Owner Controlled Insurance Program
ODCs	Other Direct Costs
OHA	Operational Hazard Analysis
OIG	Office of Inspector General
OMP	Operations and Management Plan
OP	Oversight Procedure
P3	Public Private Partnership
PCMG	Project and Construction Management Guidelines
PD	Project Development
PDM	Project Delivery Method



**TPM-20 Office of Capital Project Management  
Project Management Oversight**

Acronym	Term
PHA	Preliminary Hazard Analysis
PMO	Project Management Oversight
PMOC	Project Management Oversight Contractor
PMP	Project Management Plan
POP	Project Oversight Plan
PTASP	Public Transportation Agency Safety Plan
QA/QC	Quality Assurance/Quality Control
R&D	Research and Development
RAMP	Real Estate Acquisition Management Plan
RAP	Rail Activation Plan
RCMP	Risk and Contingency Management Plan
RET	Risk Evaluation Tool
RFI	Request for Information
RFP	Request for Proposal
RFQ	Request for Qualifications
ROD	Record of Decision
ROW	Right-of-Way
RSD	Revenue Service Date
S/DBE	Small/Disadvantaged Business Enterprises

**TPM-20 Office of Capital Project Management  
Project Management Oversight**

Acronym	Term
SABCE	Stripped and Adjusted Base Cost Estimate
SABS	Stripped and Adjusted Base Schedule
SAVE	Society of American Value Engineers
SCC	Standard Cost Category
SCIL	Safety Certifiable Items List
SGR	State of Good Repair
SIT	System Integration Testing
SITP	Systems Integration Test Plan
SOP	Standard Operating Procedure
SOW	Scope of Work
SSCVR	Safety Certification Verification Report
SSGA	Small Starts Grant Agreement
SSI	Sensitive Security Information
SSMP	Safety and Security Management Plan
STIP	Statewide Transportation Improvement Program
SYGA	Single Year Grant Agreement
TAR	Travel Authorization Request
TBM	Tunnel Boring Machine
TCC	FTA Office of the Chief Counsel

**TPM-20 Office of Capital Project Management  
Project Management Oversight**

Acronym	Term
TCRP	Transit Cooperative Research Program
TIFIA	Transportation Infrastructure Finance and Innovation Act
TIGER	Transportation Investment Generating Economic Recovery
TIP	Transportation Improvement Program
TOD	Transit-Oriented Development
TPE	FTA Office of Planning and Environment
TPM	FTA Office of Program Management
TRB	Transportation Research Board
TSA	Transportation Security Administration
TVA	Threat and Vulnerability Assessment
URA	Uniform Relocation Assistance and Real Property Acquisition Act
U.S.C.	United States Code
VE	Value Engineering
VECP	Value Engineering Change Proposals
WBE	Women Business Enterprise
WBS	Work Breakdown Structure
YOE	Year of Expenditure