Oversight Procedure 03 – Special Tasks

1.0 PURPOSE

The purpose of this Oversight Procedure (OP) is to describe the performance and deliverables that the Federal Transit Administration (FTA) expects from the Project Management Oversight Contractor (PMOC) for the following:

- Required special tasks; and
- Project management and technical review services performed under other OPs.

While this Oversight Procedure was written with focus on Capital Investment Grant (CIG) projects, which have specific requirements in law, it is applicable to all capital projects as well. The FTA will issue Implementation Plans (IPs) which will clarify the specific reviews and the expected deliverables based on the project types.

2.0 BACKGROUND

FTA may occasionally issue work orders to one or more PMOCs to perform special tasks for program-wide and project-related activities. In the past, special tasks assigned to PMOCs have included:

- Developing technical papers in support of FTA's risk management program;
- Studying factors leading to project cost increases on major capital projects;
- Updating the project management OPs; and
- Providing technical assistance to project sponsors in a structured way, similar to a teacher-student relationship.

3.0 OBJECTIVES

The PMOCs will use their professional experience and expertise in both program-wide and project-specific ways to:

- Advance current industry practices and increase the knowledge base among Sponsors;
- Improve FTA's oversight capabilities for the various phases of major capital transit projects; and
- Deliver higher-quality transit projects that meet project goals, budget, and schedule requirements.

4.0 REFERENCES

References shall be provided by the FTA Alternate Contracting Officer Representative (ACOR).

5.0 PROJECT SPONSOR SUBMITTALS

If applicable, submittals will be indicated by FTA in the task order implementation plan or as directed by the ACOR.

6.0 SCOPE OF WORK

FTA may require the PMOC to:

- Provide special oversight and special studies;
- Support the Office of Inspector General (OIG) / Government Accountability Office (GAO) audits by providing reports and requested research material;
- Participate in webinars or similar meetings with individuals from both within and outside the industry to brainstorm new, innovative technologies and techniques that FTA may choose to adopt, possibly as part of a pilot program;
- Provide special technical assistance, such as emergency support and other work as directed by the Administrator. This work may entail the following:
 - Site visits and interviews:
 - Technical assistance to newer Sponsors and Sponsors with smaller or atypical capital projects to develop their project plans, schedules, and procedures;
 - o Project investigations;
 - Preparation of professional papers based on research and development of concepts, trends, information, etc.;
 - o Examinations of agency histories; etc.
- Provide technical assistance to Sponsors related to the following:
 - o Project Management Plan, schedules, budget, and cost estimates;
 - o Project organization and staffing requirements;
 - o Project control and reporting systems;
 - o Supporting plans (addressing quality, safety and the like);
 - Policies and procedures, project investigations, project delivery requirements, and methods;
 - Contracting strategies; and
 - o Overall process of setting up a project management office.

The scope of this PMOC work may be tailored to focus on specific project issues and areas as requested by the Sponsor or specified by FTA.

Special studies required by FTA may focus on processes and projects that include:

- "State of the art" advances in technology, systems, materials, vehicles, and equipment;
- New and unique project delivery approaches and methods;
- Updated management systems and metrics; and
- Impacts of new procurement practices, alternative funding sources, and new FTA requirements.

The PMOC may need to provide FTA and designated third parties with written documents explaining findings, conclusions, and recommendations The PMOC may need to:

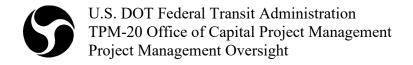
- Present papers and studies in meetings;
- Represent FTA;
- Lead or participate in meetings with parties, such as:
 - o Project sponsors and their representatives;
 - o Legislators, legislative staff, U.S. Department of Transportation Secretary and staff;
 - o Office of Management and Budget;
 - o GAO:
 - o OIG; and
 - Non-governmental entities and industry associations, such as the Transportation Research Board, American Public Transportation Association, National Transit Institute, American Society of Civil Engineers, American Institute of Architects, American Planning Association, community representatives and professional peer groups, etc.

Representation of FTA or participation in meetings may include:

- Preparation of advance meetings and briefings with FTA staff to discuss concepts, project issues, industry conditions or trends, etc.;
- Participation in and presentations at meetings, workshops, and conferences;
- Development of meeting agendas;
- Documentation of results of meetings in reports; and
- Debriefings, follow-up papers, or other documents.

7.0 REPORTS, PAPERS, PRESENTATIONS

The PMOC shall provide FTA with written materials that fulfill the requirements above and as stated in the assigning work order. When applicable, follow the report formatting requirements of OP 01 or other OPs as indicated in the work order. When necessary, 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. The PMOC may add other software as required but shall make documentation and report data available to FTA.

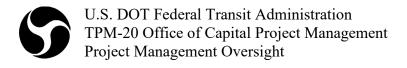


APPENDIX A: ACCEPTABLE QUALITY LEVEL

	Desired Outcome	Performance Requirement	Checklist	Acceptable Quality Level	Performance Measure	Monitoring Method
	The PMOC shall perform Special Tasks in program- wide and project- specific matters to advance common	R1a. The PMOC shall develop and document a process for using their professional expertise and judgment to perform Special Tasks.		Q1a. The PMOC develops a process and follows FTA instructions/directions.	M1a. The PMOC demonstrates evidence of a documented process.	MM1a. Review by FTA or its agent
1	industry practices and improve FTA oversight of capital transit projects.	R1b. The PMOC shall use their process and professional expertise, experience, and judgment to analyze and prepare deliverables for Special Tasks required by FTA.	completes refollows the d process, as sl internal verification.	Q1b. The PMOC completes reviews and follows the documented process, as shown by internal verification.	M1b. Deliverables for FTA required Special Tasks show documented professional judgment, observation, and opinion.	MM1b. Review by FTA or its agent
2	The PMOC shall use their professional expertise, experience, and judgment to perform Special Tasks related to capital transit	R2a. As directed by FTA, the PMOC shall develop, prepare, and present professional papers and special studies related to FTA-assigned Special Tasks.		Q2a. The PMOC includes their professional opinion, review, research, and analysis of Special Task-related materials and information.	M2a. The PMOC includes documented evidence of review, research, and analysis of all information related to the assigned Special Task, supported by professional opinion.	MM2a. Review by FTA or its agent

	Desired Outcome	Performance Requirement	Checklist	Acceptable Quality Level	Performance Measure	Monitoring Method
	projects as assigned by FTA.	R2b. When directed by FTA, the PMOC shall provide technical assistance and guidance to Sponsors in the development of their project management/execution plans, schedules, and procedures.		Q2b. The PMOC demonstrates professional expertise and experience in the technical assistance they provide to the project sponsor.	M2b. The PMOC provides documented evidence of assistance to help the project sponsor develop plans, schedules, and procedures, supported by professional expertise and experience.	MM2b. Review by FTA or its agent
		R2c. When directed by FTA, the PMOC shall represent FTA and participate in meetings with all applicable parties and representatives.		Q2c. The PMOC is professional in assigned representation and participation.	M2c. There is documented evidence of professional representation and participation at all levels.	MM2c. Review by FTA or its agent
		R2d. When representing FTA, the PMOC may be required to perform in a leadership role, conduct pre-meetings and briefings with FTA staff, participate in meetings, prepare meeting agendas, document the result(s) of meetings, and conduct debriefings.		Q2d. The PMOC is professional in all aspects of leadership, meeting conduct, and document preparation.	M2d. There is documented evidence of all Special Task-related leadership, preparation, participation development, documentation, and debriefing, supported by professionalism at all levels.	MM2d Review by FTA or its agent

	Desired Outcome	Performance Requirement	Checklist	Acceptable Quality Level	Performance Measure	Monitoring Method
3	The PMOC shall prepare required reports and papers and make necessary presentations.	R3. The PMOC shall provide FTA with written materials that fulfill the requirements of the assigned Special Task.		Q3. Reports and presentations are professional, complete, clear, concise, and well written. The findings and conclusions have been reconciled with other PMOC reports.	M3. The PMOC's findings, conclusions, recommendations, and written materials are professional, complete, clear, and concise. There is documented evidence that the findings and conclusions have been reconciled with other PMOC reports.	MM3. Review by FTA or its agent



APPENDIX B: ACRONYMS

Acronym	Term	
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	
СЕ	Categorical Exclusion	
CER	Cost Estimating Relationship	
CFR	Code of Federal Regulations	
CIG	Capital Investment Grant	
CLIN	Contract Line Item Number	
CM	Construction Manager	

Acronym	Term
CM/GC	Construction Manager/General Contractor
CMAR	Construction Manager at Risk
COR	Contracting Officer's Representative
СРМ	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

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	

Acronym	Term	
LPA	Locally Preferred Alternative	
MBE	Minority Business Enterprise	
MCC	Management Capacity and Capability	
MDBF	Mean Distance Between Failures	
МРО	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	
ОНА	Operational Hazard Analysis	
OIG	Office of Inspector General	
OMP	Operations and Management Plan	
OP	Oversight Procedure	
Р3	Public Private Partnership	
PCMG	Project and Construction Management Guidelines	
PD	Project Development	
PDM	Project Delivery Method	

Acronym	Term	
РНА	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	

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	

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	