



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;
 - Project investigations;
 - Preparation of professional papers based on research and development of concepts, trends, information, etc.;
 - Examinations of agency histories; etc.
- Provide technical assistance to Sponsors related to the following:
 - Project Management Plan, schedules, budget, and cost estimates;
 - Project organization and staffing requirements;
 - Project control and reporting systems;
 - Supporting plans (addressing quality, safety and the like);
 - Policies and procedures, project investigations, project delivery requirements, and methods;
 - Contracting strategies; and
 - 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:
 - Project sponsors and their representatives;
 - Legislators, legislative staff, U.S. Department of Transportation Secretary and staff;
 - Office of Management and Budget;
 - GAO;
 - 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
1	The PMOC shall perform Special Tasks in program-wide and project-specific matters to advance common industry practices and improve FTA oversight of capital transit projects.	R1a. The PMOC shall develop and document a process for using their professional expertise and judgment to perform Special Tasks.	<input type="checkbox"/>	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
		R1b. The PMOC shall use their process and professional expertise, experience, and judgment to analyze and prepare deliverables for Special Tasks required by FTA.	<input type="checkbox"/>	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.	<input type="checkbox"/>	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

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	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.	<input type="checkbox"/>	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.	<input type="checkbox"/>	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.	<input type="checkbox"/>	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

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	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.	<input type="checkbox"/>	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
CE	Categorical Exclusion
CER	Cost Estimating Relationship
CFR	Code of Federal Regulations
CIG	Capital Investment Grant
CLIN	Contract Line Item Number
CM	Construction Manager

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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

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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

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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

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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

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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

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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