



U.S. DOT Federal Transit Administration

TPM-20 Office of Capital Project Management
Project Management Oversight

Oversight Procedure 25 – Recurring Oversight and Related Reports

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 ongoing or recurring oversight of major capital transit projects. In addition, it describes the expected type and quality of reports of the PMOC's findings, conclusions, and recommendations based on oversight activities.

2.0 BACKGROUND

In its project management oversight program, FTA oversees projects designated as major capital projects. These projects can extend for miles and cross jurisdictional boundaries while fitting into existing urban, rural, and railroad environments. They are designed to accommodate and transport persons while providing comfort, convenience, safety, and enjoyment.

Ongoing and recurring oversight by the PMOC helps FTA to accomplish its fundamental stewardship role, and provides Project Sponsors with technical oversight to identify and avoid problems, capture opportunities, mitigate risks, and meet the requirements of 49 CFR Part 633, the Project Management Oversight Rule. This rule states that "Project management oversight means the monitoring of a major capital project's progress to determine whether a project is on time, within budget, in conformance with design criteria, constructed to approved plans and specifications, and is efficiently and effectively implemented." The PMO rule also describes the roles and responsibilities of FTA and recipients of federal funds (Project Sponsors) with respect to the PMO program and Project Management Plans (PMPs).

OP 01 includes a discussion of the PMOC's role in oversight for FTA, while this OP focuses on ongoing and recurring oversight and the related support function of reporting. Note that OP 02 outlines the requirements for the PMOC Status Report, which highlights the PMOC's activities and related expenditure information and is intended for internal FTA use only.

3.0 OBJECTIVES

The primary objective of this OP and its related reports is to provide the FTA with timely information, supported by the PMOC's professional opinions, regarding the project's progress with respect to its intended scope, cost and schedule, its compliance with safety and other federal requirements, with the goal of providing its promised benefits.

The PMOC obtains important information in the course of overseeing the project related to the planning, design, and construction of the project, as well as the Project Sponsor's ability to implement the project. As part of ongoing monitoring, the PMOC is expected to proactively work with the FTA to identify potential problems and offer alternative approaches and suggestions to avoid or mitigate the problems. The PMOC is expected to promptly transmit information to FTA and keep the FTA informed of findings, project status, issues of concern, and recommendations for action. The reporting function of the PMOC allows the FTA to make proper and timely decisions regarding project advancement and funding, as well as appropriate corrective actions.

4.0 REFERENCES

The PMOC should be familiar with and have an understanding of the references listed in Appendix A of OP 01, "Administrative Conditions and Requirements." This Appendix provides a listing of the principal, but by no means the only, references to Federal legislation, regulations, and guidance applicable to the Project Sponsor's project development activities and the PMOC's oversight function.

5.0 PROJECT SPONSOR SUBMITTALS

Appendix D of this OP lists some of the project materials that the PMOC may review to perform its recurring oversight and monitoring functions.

6.0 SCOPE OF WORK

6.1 Meetings with the Project Sponsor

Recurring PMOC oversight of FTA funded projects will generally be on monthly basis until after the signage of a construction grant agreement upon which PMOC recurring oversight will be limited to quarterly reviews. However, the FTA may require more frequent oversight should the recipient fail to meet the requirements of the Project Management Plan (PMP) and/or the project may be at risk of going over budget or falling behind schedule or exhibit other significant problems. Oversight of projects monitored more frequently than quarterly will revert to quarterly oversight once the recipient has satisfactorily demonstrated compliance with the PMP and the FTA determines that the project is no longer at risk of going over budget or falling behind schedule or has resolved the problem that led to increased oversight. It must be noted that the limitation to quarterly reviews after signage of construction grant agreement does not apply to projects funded under TIGER and Hurricane Sandy programs.

FTA's Work Order Manager directs the PMOC to hold meetings with the Project Sponsor based on the project's activity level, which are typically quarterly unless more frequent oversight is required. The PMOC is encouraged to recommend adjustments to the meeting's frequency as the activity level changes.

The duration of the PMOC's visit will depend on the stage of the project's development, as well as the project's activity level. For projects in construction, the PMOC should anticipate sufficient time for being on-site to participate in site tours, meetings with individuals representing all aspects of the project (including quality control/quality assurance and safety personnel), and discussion with the

agency's management. The PMOC assesses the status of the project, including challenges, upcoming events, milestones passed etc.

The PMOC should be proactive in its oversight role. Through investigation and dialogue with the Project Sponsor, the PMOC should provide suggestions and recommendations to assist the FTA in solving any issues, as well as offer professional opinions based on its observations, knowledge, experience etc.

The information collected, findings, PMOC's analysis, recommendations, and professional opinions should be reflected in the PMOC's report so the report supports and assists in the oversight activity. The PMOC's report allows FTA to take actions and make decisions in a timely manner. The report is a critical input to FTA in its determinations regarding project advancement and funding as well as potential corrective actions.

All reports should be written simply and clearly. They should use all available tools to convey meaning, such as narrative, photos, tables etc. The PMOC should refer back to paragraphs if necessary and should minimize repetition within a report. The reports should include the PMOC's professional opinions regarding project status, as well as suggested alternative solutions and recommended courses of action. The reports should "tell it like it is."

Within 24 hours after the PMOC's meeting with the Project Sponsor, the PMOC shall provide a brief email to FTA with its assessment of the project, as well as project update and any issues in bullet format.

6.2 PMOC's Recurring Report

The PMOC's Recurring or Monitoring Report provides FTA with an update of the entire project including critical issues, PMOC concerns, recommendations, and professional opinions regarding the project's status. In addition, the PMOC's report should be based on the PMOC's independent observations and opinions derived from the information gathered at its meetings with the Project Sponsor. At a minimum, all recurring reports should contain the following content in the order outlined below. For projects with a SSGA or FFGA, the report shall also include the items outlined in the PMOC's Monitoring Plan approved by the FTA Work Order Manager.

6.3 Comprehensive Report

The length of the Comprehensive report shall be a maximum of 20 pages, excluding the appendices.

6.3.1 Report Content

- 1) Cover Page**
See OP 01 for formatting.
- 2) Executive Summary**

The Executive Summary shall be succinct and contain information that is of interest to FTA executive staff / upper management. It should brief the reader in a clear, concise manner on the current status of the project, including any major issues impacting the project's scope, schedule, budget, safety, and quality. This section shall not be more than three pages long and should include the following information:

A. Project description (one paragraph)

This section should enable the reader to identify the project and differentiate it from others. The description should include information about the name and location of the project, the mode of the project, the name of the project sponsor, the cost, the type of work done, and the service provided by the project once it is completed.

B. Project status

In bullet format, provide a status update on cost, scope and schedule. Also provide a status update on significant project activities and/or key milestones. These activities shall be updated or removed upon completion or resolution. Only highlight the critical project aspects and most important current information from the body of the report.

C. Core accountability information

- Cost
 - Original (baseline) total project cost (if FFGA or SSGA, cost indicated in agreement)
 - Forecast (current) total project cost
- Schedule
 - Original project revenue service date (if FFGA or SSGA, date indicated in agreement)
 - Forecast (current) project revenue service date
- Contingency
 - Original unallocated contingency
 - Current (remaining) unallocated contingency
 - Original total contingency
 - Current (remaining) total contingency
- Earned Value Parameters
 - Budgeted cost of work completed to date (Earned value/percent complete)
 - Budgeted cost of work scheduled to date (Planned value)
 - Actual cost of work completed to date (Actual expenditures)
- Contracts Awarded
- Major Issues
- Date of Next Meeting

D. Major problems and/or issues

Discuss any major issues impacting the project's scope, schedule, budget, funding, safety, and/or quality. If there are no major issues, then state this in the report. Issues raised here should be significant issues of concern having an impact on the project's implementation that should be brought to the FTA's attention, with the PMOC providing its opinion and recommendations. In addition, address whether or not the Project Sponsor is taking action to resolve the issues in an appropriate manner and if the Project Sponsor's actions are in conformance with the approved PMP and/or RCMP.

Use the following table to report the core accountability information:

FFGA Core Accountability Items			
Project Status:		Original at FFGA:	Current Estimate (EAC):
Cost	Cost Estimate	\$	\$
Contingency	Unallocated Contingency	\$	\$
	Total Contingency (allocated plus Unallocated)	\$	\$
Schedule	Revenue Service Date		
		Amount (\$)	Percent (as percent of total)
Planned Value to Date	Total budgeted cost of work scheduled to date <i>(if available)</i>	\$	%
Earned Value to Date	Budgeted cost of work completed to date, i.e actual total value of work earned or done <i>(if available)</i>	\$	%
Actual Cost	Total cost of work completed to date <i>(actual total expenditures)</i>	\$	%
Contracts		Amount (\$)	Percent
	Total contract awarded to date		(as percent of all total contract)
	Total construction contract awarded to date (construction contractsonly)		(as percent of all construction contract only)
	Physical construction work completed based on earned value (if available)		(as percent of all construction contract only)
	Physical construction work completed based on field inspections		(as percent of all construction contract only)
Major Issues	Status	Comments / Action / Planned Action	
Date of Next Quarterly Meeting (if known):			

Note: Include any change orders with the data in the table above

3) Table of Contents

4) Body of Report

At a minimum, all projects shall include the information below. For projects with a SSGA or FFGA, the body of the report shall also include the items outlined in the PMOC's Monitoring Plan as approved by the FTA. The report should not contain, or at least

minimize the amount of historical project information included. If there is no change on a particular item from the previous month's report, then indicate this in the report.

- A. Project Status – For each item below, provide a status update, observations, issues/concerns, and recommendations. One or two photos may also be included to better convey an issue or key milestone activity.
- Design (by contract, if multiple contracts)
 - Construction (by contract, if multiple contracts)
 - Real estate acquisition (if applicable)
 - Third party agreements and coordination (i.e., railroad, utilities, other agencies, etc.)
 - Environmental mitigation measures

- B. Project Management Plan (PMP) and Sub-Plans – Include discussion on the status of the Project Sponsor's PMP and sub-plans (i.e., under development, under review, or approved/accepted).

In addition, verify that the Project Sponsor is following the procedures and practices established in the PMP and sub-plans.

- C. Project Management Capacity and Capability – Through the PMOC's observations and discussions with the Project Sponsor, as well as its review of the PMP and sub-plans, the PMOC shall determine if the Project Sponsor has the management capacity and capability to sufficiently complete the project and compliance with all applicable statutes, regulations, circulars, and technical standards.

- D. Project Cost

- Table showing original budget, current budget, expenditures to date, earned value, and estimate to complete by SCC for the subject month
- Explanation of variances between planned and actual costs to date
- Discussion of funding sources

- E. Project Schedule

- Table showing key milestone dates – planned and actual
- Explanation of variances between baseline schedule and current schedule
- 90-day look ahead of important activities by the Project Sponsor, FTA, and the PMOC
- Critical and near critical paths, as well as provide explanation for changes in critical path from previous month and recommended Project Sponsor actions to recover time

- F. Quality Assurance / Quality Control (QA/QC) – This section shall discuss the PMOC's observations, issues/concerns, and recommendations with regard to QA/QC, as well as any scheduled audits, audit results, non-compliances, etc.

- G. Safety and Security – This section shall discuss the PMOC's observations, issues/concerns and recommendations with regard to safety and security activities.

- Hazard Analysis and Threat and Vulnerability Analysis results
- Development of Safety and Security Design Criteria
- Certifiable Elements and Items List (CELs and CILs)
- Design Criteria Conformance
- Construction Specification Conformance
- Construction Safety and Security Plan
- Safety and Security Review Committees
- Safety and Security Involvement in Change Order Process
- Testing and Start Up
- Operational Readiness
- State Safety Oversight Agency coordination
- FRA coordination, if applicable.

- H. Americans with Disabilities Act (ADA) – This section shall discuss the PMOC’s observations, issues/concerns and recommendations with regard to compliance with the Americans with Disabilities Act.
- I. Buy America – This section shall discuss the PMOC’s observations, issues/concerns and recommendations with regard to compliance with Buy America as applicable to the project. The PMOC should confirm that the Project Sponsor understands that Buy America compliance applies not only to bus and rail vehicles but is also required for procurement of all manufactured products, including all iron and steel, as defined in 49 CFR 661. Further that, domestic manufacture of all federally-funded procurements is required and should be certifiable.
- J. Vehicle Technology – This section shall discuss the PMOC’s observations, issues/concerns and recommendations with regard to Vehicle Technology as applicable to the project.
- Each Comprehensive Report should contain a vehicle status report which contains:
 - Vendor(s), Models, Year(s), and Number of Vehicles and Identification used for this project
 - New Technologies utilized for this project and/or the industry
 - Upcoming significant events
 - Vehicle Testing, if applicable
 - PMOC review of Bus Testing report
 - Status of Bus Testing for Model used in Project.

5) Project Risk

Discuss Project Sponsor’s status of risk management, including treatment of risks and related mitigation actions, as well as contingencies.

6) Discussion of Monitoring Plan Items

For projects with a SSGA or FFGA, discuss items identified in the Monitoring Plan that are not captured in the list of items listed above.

7) Action Item Table

See Appendix B of this OP for table format.

8) Appendices

The following are items that should be included as appendices. Other appendices are included if deemed necessary or as requested by the FTA Work Order Manager.

- a. Safety and Security Checklist – Include on a quarterly basis, more frequent if updated prior to scheduled quarterly submission or at the request of FTA. For required content and format, see Appendix C of this OP.
- b. Top 10 Project Risks – Include on a quarterly basis, more frequent if updated prior to scheduled quarterly submission, or at the request of FTA. For format, see Appendix E of this OP.
- c. Roadmap to Revenue Operations – Once a project has a SSGA or FFGA, include this submission, as a separate attachment, on quarterly basis unless otherwise required by the FTA. (Note, the PMOC should obtain the information in the report from the sponsor’s integrated project schedule.)
- d. Project Map – Include in recurring reports
- e. List of Acronyms – This list should reference basic acronyms found in the report. Each acronym should be fully spelled out the first time it is used in the report.

6.4 Mini Report

In an effort to streamline the process of reporting and to provide FTA with project information in a more timely way, a shorter, more focused report, the “Mini-Report,” may be ordered by the WOM at his/her discretion. A Comprehensive Report is needed on a quarterly basis. However, if the project requires additional reports in between (e.g. monthly reports), the WOM has the option of ordering a “Mini” report in lieu of the “Comprehensive.

With regard to the “Mini,” it is important to not similarly shorten the update meetings with the Project Sponsors. Only the report has been changed to be more targeted and focused in its coverage of critical issues, so as to bring to FTA the most pressing information. The “Mini” report should follow the outline for the Comprehensive report described above; however, with the exception of the Executive Summary and the Project Overview, the PMOC should include only those sections in the body of the report, necessary to inform FTA of the most critical project occurrences, issues, and next steps, as well as professional opinions and recommendations. These reports should be no more than twelve pages long.

The following options are available upon direction of the FTA Regional Office:

- 1) The “Mini” report can be supported with additional information in report appendices. This approach retains the quick-read aspect of the “Mini” without losing the detail that may be needed to cover a topic.
- 2) The “Comprehensive recurring” report can be used in lieu of the “Mini” if coverage of every topic is deemed necessary.

6.5 Quarterly Meetings and Supporting Meeting Notes

The FTA Regional office, the PMOC, and Project Sponsor typically meet on a quarterly basis, standard operating procedure (SOP) TPM CPM-001 dated April 2014 or most current update applies.

The meeting is usually led by the FTA Regional Administrator, with the Project Sponsor's executive management also participating. The Quarterly Meeting allows the FTA and Project Sponsor executive management the means to accelerate the resolution of project issues and support the project moving forward.

Prior to the meeting, the PMOC coordinates with the FTA ACOR or Work Order Manager, as well as the FTA Region to set the meeting date. In addition, the PMOC will assist in preparing the meeting's agenda. The agenda should be tailored to the specific needs of the project, and include issues that require executive management direction. The PMOC may be asked to prepare an Annotated agenda to aid the FTA in conducting the meeting. Prior to the Quarterly Meeting, the PMOC will meet with FTA staff to brief them on the agenda items and major issues of concern.

The PMOC shall take meeting notes that will serve as the official record of the meeting. The notes should completely capture the discussion. They should also include the status of prior and current action items with the responsible party identified, as well as the sign-in sheet of meeting attendees. The format of the meeting notes shall be left to the discretion of the FTA Work Order Manager.

6.6 Special Meetings and supporting Trip Reports

When conducting or attending special meetings or site visits (i.e., visits to vehicle manufacturing facilities, etc.), the PMOC shall prepare a Trip Report. Trip Reports summarize the items discussed and should be no more than seven pages long.

6.7 Final Report

After construction is complete, construction contracts are closed, and the project is in revenue operations, or when a PMOC task order is complete, a Final Report shall be submitted to FTA. While this report should be organized according to the outline for the recurring reports, it should highlight in a broad way the most important events, issues, hurdles, resolutions, actions taken and actions pending during the project life, so that the report is instructive to others. In addition, the Final Report should describe the impacts of the project on the Grantee's staff (administration, operations and maintenance), include lessons learned, and transit operations/overall system performance.

7.0 REPORT, PRESENTATION, RECONCILIATION

The PMOC shall provide the FTA with written reports of its findings, analysis, recommendations, professional opinions, and a description of the review activities undertaken.

Reports shall follow the formatting requirements listed in OP 01, as well as the formatting requirements outlined in this OP.

7.1 Distribution of Reports

The following is the sequence for distribution of the PMOC's reports and meeting notes:

1. Draft report or meeting notes – One copy to the following individuals:
 - FTA Alternate Contacting Officer’s Representative (ACOR)
 - FTA Work Order Manager (if different from ACOR)
 - FTA Headquarters/TPM Office of Capital Projects staff assigned to project
 - Project Sponsor (at discretion of the FTA Work Order Manager)

2. Final report or meeting notes – Comments from both FTA region and headquarters are transmitted to the PMOC through the FTA’s Work Order Manager. Upon the incorporation of the FTA’s comments (and if applicable, the Project Sponsor’s), the PMOC shall submit one copy to the following individuals:
 - FTA ACOR
 - FTA Work Order Manager (if different from ACOR)
 - FTA Headquarters/TPM Office of Capital Projects staff assigned to project
 - FTA Contracting Officer’s Representative (COR)

Note that at the discretion of the FTA Work Order Manager, the PMOC may provide the draft report or meeting notes to the Project Sponsor for review at the same time it is submitted to the FTA. This review by the Project Sponsor is only to review the facts presented in the PMOC’s report for accuracy, not the PMOC’s assessment of the project.

Upon FTA’s submission of the PMOC’s final version of the report or meeting notes to the Project Sponsor, if differences of opinion exist between the PMOC and Project Sponsor regarding the PMOC’s findings, the FTA may direct the PMOC to reconcile with the Project Sponsor. The PMOC should then submit to FTA an amended report that highlights the modifications within 15 calendar days of such reconciliation.

7.2 Report Submission Due Dates

Below are the typical due dates for the various PMOC’s reports discussed in this OP. Note that these due dates may be modified by the FTA Work Order Manager and/or the individual PMOC work orders.

7.2.1 Recurring Reports

Draft reports are due 10 calendar days from the meeting. Final report are due 15 calendar days from meeting.

Within 24 hours after the PMOC’s meeting with the Project Sponsor, via a brief email, the PMOC shall provide to FTA its assessment of the project, as well as project update and any issues in bullet format.

7.2.2 Quarterly Meeting Notes

Draft Quarterly Meeting notes are due 10 calendar days from the date of the meeting and the final notes 15 calendar days from meeting.

7.2.3 Trip Reports

Draft trip reports are due 7 calendar days from the meeting and the final trip report 10 calendar days from meeting.

APPENDIX A

Acceptable Quality Level

	DESIRED OUTCOME	PERFORMANCE REQUIREMENT	CHECK LIST	ACCEPTABLE QUALITY LEVEL	PERFORMANCE MEASURE	MONITORING METHOD
1	The PMOC shall perform oversight and provide FTA with supporting periodic reports as well as quarterly meeting notes. The PMOC's recurring oversight primarily covers the Project Sponsor's management of project scope, cost, schedule, risk, safety and quality.	R1a. The PMOC shall develop and document a process for project reviews periodically, trip or final of Project Sponsor's management of scope, cost, schedule, risk, safety and quality.		Q1a. PMOC provides documentation of the process	M1a. Review of the process documentation.	MM1a. Periodic review by FTA or its agent.
		R1b. The PMOC shall use its process and project management judgment to review and evaluate the Project Sponsor's management of project scope, cost, schedule, risk, safety and quality.		Q1b. Review must be made and the PMOC provides internal verification that the process as documented has been followed.	M1b. Documented review and evaluation of the Project Sponsor's management of project scope, cost, schedule, risk, safety and quality.	MM1b. Periodic review by FTA or its agent and the PMOC's internal verification.
2	The PMOC shall, on a quarterly basis in a "Comprehensive Report" and at the end of the project in a Final Report, provide FTA with professional assessments of the reliability of Project Sponsor's management of project scope, cost, schedule, risk, safety and quality including status updates, observations, recommendations and graphics.	R2a. The PMOC shall provide FTA with its opinion and overall findings on Project Sponsor technical capacity and capability including a review of the Project Sponsor's organization, use of project controls and compliance with applicable statutes, regulations and agreements.		Q2a. Professional opinion of the Project Sponsor's technical capacity and capability.	M2a. Documented evidence of a thorough review of Project Sponsor technical capacity and capability supported by professional opinion.	MM2a. Periodic review by FTA or its agent.
		R2b. The PMOC shall provide FTA with its opinion and an accompanying update on project scope and status of project phase, whether design, bidding or construction.		Q2b. Professional opinion of the project scope and status of project phase, whether design, bidding or construction.	M2b. Documented evidence of a thorough review of project scope and status supported by professional opinion.	MM2b. Periodic review by FTA or its agent.
		R2c. The PMOC shall provide FTA its opinion and an accompanying update on the Project Management Plan and its Sub-plans.		Q2c. Professional opinion and status of the Project Management Plan and its Sub-plans.	M2c. Documented evidence of a thorough review of the Project Management Plan and its subplans.	MM2c. Periodic review by FTA or its agent.
		R2d. The PMOC shall provide FTA with a 90-day look ahead schedule for important activities and a table of critical activities including with an accompanying opinion and explanation of variances to the project schedule.		Q2d. Professional opinion of the project schedule status.	M2d. Documented evidence of a thorough review of project schedule and status supported by professional opinion.	MM2d. Periodic review by FTA or its agent.
		R2e. PMOC shall provide FTA with data on cost expended to date and cost to complete, including its opinion and explanation regarding cost variances during reporting periods.		Q2e. Professional opinion of project cost data.	M2e. Documented evidence of a thorough review of project cost data supported by professional opinion.	MM2e. Periodic review by FTA or its agent.
		R2f. The PMOC shall provide FTA with the status of the top risks to the project and mitigation actions as well as an opinion regarding current contingency amounts relative to the contingency management plan.		Q2f. Professional opinion of the top project risks.	M2f. Documented evidence of a thorough review of project risks supported by professional opinion.	MM2f. Periodic review by FTA or its agent.

	DESIRED OUTCOME	PERFORMANCE REQUIREMENT	CHECK LIST	ACCEPTABLE QUALITY LEVEL	PERFORMANCE MEASURE	MONITORING METHOD
2	The PMOC shall, on a quarterly basis in a "Comprehensive Report" and at the end of the project in a Final Report, provide FTA with professional assessments of the reliability of Project Sponsor's management of project scope, cost, schedule, risk, safety and quality including status updates, observations, recommendations and graphics.	R2g. PMOC shall provide FTA with its opinion and status updates of critical real estate, vehicle design and procurement, 3rd party agreements and other critical project items.		Q2g. Professional opinion and status updates of critical real estate, vehicle design and procurement, 3rd party agreements and other critical project items.	M2g. Documented evidence of a thorough review and status updates of real estate, vehicle, 3rd party agreements and other critical items supported by professional opinion.	MM2g. Periodic review by FTA or its agent.
3	The PMOC shall, on a quarterly basis in Quarterly Meetings, conduct discussions with the Project Sponsor regarding capabilities and approach to the project, use of project controls, and compliance with applicable statutes and regulations, and deliver to FTA Quarterly Meeting Notes capturing such discussions.	R3. The PMOC shall, on a quarterly basis in Quarterly Meetings, provide FTA with Quarterly Meeting Notes capturing discussions with the Project Sponsor regarding its capabilities and approach to the project, use of project controls, and compliance with applicable statutes and regulations,		Q3. Meeting Notes are professional, clear, concise, well written and completely capture the Quarterly Meeting discussions.	M3. Review of the PMOC's Meeting Notes by the FTA.	MM3. Periodic review by FTA or its agent.
4	The PMOC shall, as required by the FTA, provide FTA with focused and targeted professional assessments and status updates of the most critical project occurrences.	R4. The PMOC shall, as required by the FTA, provide FTA with its focused and targeted assessments of and professional opinions regarding the most critical project occurrences and issues and the PMOC's suggested alternative solutions and recommended courses of action.		Q4. Professional opinion regarding critical project occurrences and issues occurring during the reporting period.	M4. Documented evidence of a thorough review of critical project occurrences and issues supported by professional opinion.	MM4. Periodic review by FTA or its agent.
5	The PMOC shall, as required by the FTA, provide FTA with professional assessments and status updates of the project resulting from special project site visits or special meetings.	R5. The PMOC shall, as required by the FTA, provide FTA with an assessment of and professional opinion regarding subject items discussed at project meetings or site visits.		Q5. Professional opinion of project status and project issues as discussed in project site visits or other special meetings.	M5. Documented evidence of a thorough review of project status and project issues through site visits and special meetings supported by professional opinion.	MM5. Periodic review by FTA or its agent.
6	The PMOC shall provide FTA with a written report of its findings, analysis, recommendations, professional opinions and a description of the review activities undertaken.	R6. The PMOC shall present its findings, analysis, recommendations and professional opinions to FTA in a written report and, when so directed by FTA, seek to reconcile its findings with Project Sponsor to the extent possible. A report addendum shall be filed describing the results of reconciliation attempts.		Q6. Reports and presentations are professional, clear, concise, and well written. The findings and conclusions have been reconciled with other PMOC reports and have been reconciled with Project Sponsor to the extent possible.	M6. Review of the PMOC's presentation of findings, analysis, recommendations and professional opinions by the FTA.	MM6. Periodic review by FTA or its agent.

APPENDIX B

Action Item Table

Item No.	Item	Responsible Party	Date Identified	Date Due	Date Completed	Status / Action Required

APPENDIX C

Safety and Security Checklist

Project Overview			
Project Mode (Rail, Bus, BRT, Multimode)			
Project Phase (PE, Final Design, Construction, Start-Up)			
Project Delivery Method (Design/Build, DBOM, CMGC, etc.)			
Project Plans	Version	Review by FTA	Status
Safety and Security Management Plan (SSMP)			
Safety and Security Certification Plan (SSCP)			
System Safety Program Plan (SSPP)			
System Security Plan or Security and Emergency Preparedness Plan (SEPP)			
Construction Safety and Security Plan (CSSP)			

Area of Focus	Y/N	Notes/Status
Safety and Security Authority		
Is the Project Sponsor subject to 49 CFR Part 659 state safety oversight requirements?		
Has the state designated an oversight agency as per 49 CFR Part 659.9?		
Has the oversight agency reviewed and approved the Project Sponsor's Security Plan or SSPP as per 49 CFR Part 659.17?		
Did the oversight agency participate in the last Quarterly Program Review Meeting?		
Has the Project Sponsor submitted its safety certification plan to the oversight agency?		
Has the Project Sponsor implemented security directives issued by the Department of Homeland Security and/or Transportation Security Administration?		
SSMP Monitoring		
Is the SSMP project-specific, clearly demonstrating the scope of safety and security activities for this project?		
Does the Project Sponsor review the SSMP and related project plans to determine if updates are necessary?		
Does the Project Sponsor implement a process through which the Designated Function (DF) for Safety and DF for Security are integrated into the overall project management team? Please specify.		
Does the Project Sponsor maintain a regularly scheduled report on the status of safety and security activities?		
Has the Project Sponsor established staffing requirements, procedures and authority for safety and security activities throughout all project phases?		
Does the Project Sponsor update the safety and security responsibility matrix/organizational chart as necessary?		
Has the Project Sponsor allocated sufficient resources to oversee or carry out safety and security activities?		
Has the Project Sponsor developed hazard and vulnerability analysis techniques, including specific types of analysis to be performed during different project phases?		

Area of Focus	Y/N	Notes/Status
Does the Project Sponsor implement regularly scheduled meetings to track to resolution any identified hazards and/or vulnerabilities?		
Does the Project Sponsor monitor the progress of safety and security activities throughout all project phases? Please describe briefly.		
Does the Project Sponsor ensure the conduct of preliminary hazard and vulnerability analyses? Please specify the analyses conducted.		
Has the Project Sponsor ensured the development of safety design criteria?		
Has the Project Sponsor ensured the development of security design criteria?		
Has the Project Sponsor ensured conformance with safety and security requirements in design?		
Has the Project Sponsor verified construction specifications conformance?		
Has the Project Sponsor identified safety and security critical tests to be performed prior to passenger operations?		
Has the Project Sponsor verified conformance with safety and security requirements during testing, inspection and start-up phases?		
Has the Project Sponsor evaluated change orders, design waivers, or test variances for potential hazards and/or vulnerabilities?		
Has the Project Sponsor ensured the performance of safety and security analyses for proposed work-arounds?		
<p>Has the Project Sponsor demonstrated through meetings or other methods the integration of safety and security in the following:</p> <ul style="list-style-type: none"> • Activation Plan and Procedures • Integrated Test Plan and Procedures • Operations and Maintenance Plan • Emergency Operations Plan 		
Has the Project Sponsor issued final safety and security certification?		
Has the Project Sponsor issued the final safety and security verification report?		
Construction Safety		
Does the Project Sponsor have a documented/implemented Contractor Safety Program with which it expects to comply?		
Does the Project Sponsor's contractor(s) have a documented company-wide safety and security program plan?		
Does the Project Sponsor's contractor(s) have a site-specific safety and security program plan?		
How do the Project Sponsor's OSHA statistics compare to the national average for the same type of work?		
If the comparison is not favorable, what actions are being taken by the Project Sponsor to improve its safety record?		
Federal Railroad Administration		
<p>If shared track: has the Project Sponsor submitted its waiver request application to FRA? (Please identify specific regulations for which waivers are being requested.)</p>		

Area of Focus	Y/N	Notes/Status
If shared corridor: has the Project Sponsor specified specific measures to address safety concerns?		
Is the Collision Hazard Analysis underway?		
Other FRA required Hazard Analysis – Fencing, etc.?		
Does the project have Quiet Zones?		
Does FRA attend the Quarterly Review Meetings?		

APPENDIX D

Project Sponsor Submittals

The following are some of the potential project materials that the PMOC may request from the Project Sponsor to review as part of the PMOC's recurring oversight and monitoring:

- Project Sponsor correspondence with FTA, other agencies, third parties, etc.
- Project Progress Reports
- PMP and sub-plans and other documents including, but not limited to:
 - Project Sponsor technical capacity and capability documents – organization charts, project staff resumes, contracts, and RFPs for consultants and other procurement contracts
 - Risk management documents including Risk and Contingency Management Plan
 - Document control plans and procedures
 - QA/AC plans and procedures
 - Safety and Security Management Plan
 - Fleet Management Plans
 - Real Estate Acquisition and Management Plan
- Third Party Agreements
- Environmental documents (i.e., Environmental Assessment, etc.)
- Environmental monitoring and mitigation reports
- Design Documents
 - Plans and Specifications
 - Basis of Design document
 - Design Criteria
 - Preliminary Hazard Analysis
 - Threat and Vulnerability Assessment
 - Geotechnical studies and reports
 - Value Engineering and Constructability Review reports
 - Specialty reports
- Project Schedule including Integrated Master Project Schedule and updates and schedule basis document
- Cost estimates in original and SCC format
- Cost estimating methodology report
- Expenditure reports, Estimates at Completion, and Contingency drawdown reports
- Real estate activity reports
- Before and After Study Report and Documentation
- Permits
- Project Delivery and Procurement Documents
 - Evaluation and selection of project delivery methods
 - Organization and coordination of contract packages
 - Terms and conditions of construction contracts
 - Solicitation materials such as Invitations for Bid and/or Requests for Proposal
 - Addenda to bid packages

- Bid results / tallies
- Independent cost estimates
- Negotiation summaries
- Construction Administration/Management files
 - Construction contracts
 - Contractor progress reports
 - Contractor pay requests
 - Contractor schedule updates and short range look-ahead schedules
 - Change order files (including potential change orders)
 - Claims files (including potential claims)
 - Request for Information (RFI) logs
 - Inspection and testing reports
 - Quality and safety reports
 - Meeting minutes
 - Contractor correspondence
 - Contract management reports
 - QA/QC audit reports

APPENDIX E

Example: Top 10 Project Risks Table

Risk No.	Risk Category		Risk Description	Status
	Cost	Sched.		
C-2	x	x	Insufficient extended curfews to complete all signal and grade crossing work.	Open. Construction has not started.
M-8	x		Bids for the station finishes construction contract may come in higher than the engineers estimate.	Open. This work has not yet been advertised for bid.
C-11 D-7	x	x	Utilities are not relocated on time.	Open. Utility relocation has not yet started.
C-12 C-13		x	Late delivery of locomotives and/or coaches and cab cars could delay project start-up.	Open. Vehicles are not yet in production.
R-10		x	Changes in FRA requirements could impact track, vehicles and signals.	Open.
C-3	x	x	The need to support and maintain freight operations may impair the productivity of signal and grade crossing work, resulting in those areas of work being delayed beyond the current schedule.	Open. Construction has not yet started.
C-8	x	x	Weather impacts or concerns and protection of the work.	Open. Construction has not yet started.
C-10		x	Coordination between multiple contractors.	Open. Construction has not yet started.
D-27		x	Additional noise mitigation measures may be required to meet National Environmental Policy Act (NEPA) requirements.	Open. Although the “NEPA requirements have been addressed in the revised FONSI, there may still be some local demand for additional noise mitigation measures.
C-14	x	x	Grade crossing upgrades require substantial coordination with locals resulting in potential delays.	New risk.

