FTA Region IV
State Programs Meeting
September 14, 2007
FTA State Programs Meeting – Day 2

• Today’s Agenda
  - Project Planning & Development
  - Break
  - Project & Construction Management
  - Working Lunch: Safety and Security
  - Next Steps: Action Plan
  - Wrap-up and Evaluations
Project Planning and Development

- Grant Making and TEAM
- Time Management for Grants
- FTA and State Role in the NEPA Process
• What do all of these terms mean?
  – Program, Grant, Project, Construction Management

• What does FTA do?
  – Management and Oversight
    • Project Management Oversight (PMO) Program (Major Capital Projects)
    • Facility Projects (Other than Major Capital Projects)

• Tools and Resources
• **Program Management**
  - Manage the FTA programs in accordance with the grant application, grant agreement, and all applicable laws and regulations using sound management practices.
  - Monitor subrecipients’ compliance with programs

• **State Management Plans**
  - Required for Sections 5310, 5311, 5316, and 5317 Programs
  - Document administration and management of programs
Grant Management

• Grant Management
  – Administer and manage the grant in compliance with the grant agreement and applicable FTA circulars and regulations.
  – Develop and implement procedures to manage and report on progress of projects, to expend grant funds in a timely and effective manner and, to close out grants when activity is complete.

• TEAM
  – Certifications and Assurances
  – Financial and Milestone Reporting
• Project Management
  – Monitor projects 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

• Project Management Plan
  – Written document prepared by recipient that explicitly defines all tasks to implement a project.
• Construction Management
  - Involves those actions necessary to monitor the successful completion of the project and the delivery of fully functional facilities.

• Monitoring Construction Projects (SMR)
  - Ensure projects satisfy Environmental requirements
  - Ensure quality and cost control
  - Document procedures in State Management Plan
Construction Management

- Management of Contractors
- Schedule and Cost Controls
- Document Control Procedure
- Change Order Procedure
- Quality Control and Quality Assurance functions, procedures and responsibilities
- Interface with ongoing transit operations
- Coordination between different contractors on the same project
- Regular Progress Reporting
- Meetings
- Safety
• **Project Management Oversight (PMO) Program**
  - Major Capital Projects
    - Program
    - Project Management Plan
  - Assign PMO Contractors to supplement FTA technical staff
    - Evaluate grantee project management and technical capacity and capability to successfully implement projects
    - Monitor Projects to determine whether they are progressing on-time, within budget, and in accordance with approved grantee plans and specifications
    - Provide reviews and reports to FTA
    - Monthly site visits and Quarterly reports
Project Management Plan

1. Project Overview
   - Background (Authorization/ PRD)
   - Stakeholders
   - Scope/Budget/Schedule
   - Delivery Strategy

2. Organization and Staffing
   - Position within Owner Organization
   - Project Organization
   - Key Personnel Job Functions

3. Project Management and Controls
   - Scope Control and Configuration Management
   - Budget and Cost Control
   - Schedule Control
   - Project Accounting
   - Project Reporting
   - Records Management

4. Planning / Conceptual Design Phase Management
   - Planning Studies
   - Site Investigations
   - Permitting
   - Environmental Clearance
   - Real Property Acquisition

5. Final Design Phase Management
   - Design Management
   - Design Standards
   - Design Reviews
   - Value Engineering
   - Constructability Reviews
Project Management Plan

6. Construction Phase Management
   - Construction Management
   - Field Inspection
   - Third Party Construction
   - Change Management
   - Construction Safety
   - Design Support

7. Closeout Phase Management
   - Test and Start-up
   - Operator Training
   - Contract Closeout
   - Administrative Closeout

8. Quality Management
   - Design QA/QC
   - Construction QA/QC
   - Final Acceptance and Approval

9. Risk Management
   - Risk Identification and Analysis
   - Risk Monitoring and Response

10. Procurement and Contract Administration
    - Procurement Plan
    - Contract Administration
      - Professional Services
      - Construction
      - Equipment Supply/Install
    - Third Party Agreements

11. Communications
    - Project Team
    - Community
    - Media
    - Government
FTA Management & Oversight

- Regular Monitoring
- TEAM Reporting – Financial Status and Milestone Progress Reports
- Annual Oversight Assessments
- FTA Oversight Reviews
- Meetings – Monthly or Quarterly
- Site Visits
Tools and Resources

• Tools
  – Construction Project Management Handbook

• Resources
    http://www.fta.dot.gov/funding/oversight/grants_financing_3875.html
  – Quality Assurance and Quality Control Guidelines
    http://www.fta.dot.gov/funding/oversight/grants_financing_3876.html

• Training
  – NTI Course, Management of Transit Construction Projects
    http://www.ntionline.com/CourseInfo.asp?CourseNumber=FP017
Please take a few minutes to complete the evaluation form located in the last TAB of your binders.
Next Steps

Philosophy and Plan for Going Forward
OBJECTIVE: To develop a plan of action for the next 12 months.
TO SUPPORT, PROMOTE, AND ENHANCE THE STATE ADMINISTERED PROGRAMS IN THE SOUTHEASTERN REGION THROUGH THE FOLLOWING:

1. Cross-training and developing skills for both program development and management.

2. Building a more effective and interactive FTA/STATE DOT partnership.

3. Becoming a constructive and dynamic resource for program assistance to State DOTs and FTA Staff.
NEXT STEPS

• WHAT: Building a more effective and interactive FTA/STATE DOT partnership. (#2)

• HOW: Communication/Conferencing
  • Meetings/Conferences
    • Frequency – Annual or Semi-annually?
    • Location – Atlanta, Rotation, Volunteer?
    • Participants – DOT, Transit Associations, other State agencies, Others?
NEXT STEPS

• Conference Calls
  • Frequency – Monthly or Quarterly?
  • Topics?

• Emails
  • Frequency
• HOW: FTA Partnership Meetings with Individual State DOTs
  • Quarterly
  • Alternating Locations or Conference Calls
  • Operational in 2 States for the past 2 years
  • Just Started in 3rd State
  • Who’s interested?
• WHAT: Becoming a constructive and dynamic resource for program assistance to State DOTs and FTA Staff.

• HOW: Program Assistance/Training
  • State needs/topics?
  • Regional training in Atlanta
  • Training at the State level
  • Hosting NTI Courses
NEXT STEPS

LET’S REVIEW OUR PLAN OF ACTION