



## **Oversight Procedure 01 – Administrative Conditions and Requirements**

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### **1.0 PURPOSE**

The purpose of this Oversight Procedure (OP) is to describe the administrative conditions and requirements associated with the performance of oversight by the Project Management Oversight Contractors (PMOC) for the Federal Transit Administration (FTA).

### **2.0 BACKGROUND**

As part of its responsibility to prudently use public funds, FTA performs project oversight to ensure that major capital transit projects are executed professionally, efficiently, and in conformance with applicable statutes, regulations, and guidance, and sound engineering and project management practices.

FTA performs oversight through its own staff and through its contractors, the PMOCs. While these OPs are meant to instruct both FTA staff and its PMOCs, the PMOCs in fact perform most of the oversight. Therefore, the OPs refer to the reviewer as the PMOC.

### **3.0 OBJECTIVES**

FTA requires project oversight that is proactive, includes investigation of issues and conditions, dialogue and problem solving with the project sponsor, and provision of professional opinions and recommendations for action. Reports that support the oversight activities should be concise and provide FTA with critical input to its decision making on project advancement and funding.

### **4.0 REFERENCES**

See Appendix A for the principal, but by no means the only, references to Federal legislation, regulation and guidance with which the PMOC should have a good understanding as related to the project sponsor's project work and the oversight function.

### **5.0 PROJECT SPONSOR SUBMITTALS - NA**

### **6.0 SCOPE OF WORK**

#### **6.1 General Administrative Requirements and Documents**

##### **6.1.1 Contracts**

Every five years, FTA issues a request for proposals for project management oversight services for its major capital projects. A group of firms is selected for award of indefinite-delivery indefinite-quantity

contracts for oversight services, over a period of five years, for a not-to-exceed contract amount. Specific assignments for oversight work are negotiated with individual firms and are authorized through task orders, and within task orders, through work orders. A PMOC may be issued one or more task orders under its contract.

Contract Line Item Numbers (CLINs) are primarily used for administration and accounting. The contract includes the CLINs and SubCLINs listed below:

CLIN 0001 CONTRACT AND PROGRAM SUPPORT  
CLIN 0002 PROJECT MANAGEMENT REVIEW SERVICES  
CLIN 0003 TECHNICAL REVIEW SERVICES  
CLIN 0004 OTHER REPORTS, REVIEWS, AND PLANS  
CLIN 0005 OTHER DIRECT COSTS

**CLIN 0001** CONTRACT AND PROGRAM SUPPORT covers services that are required by FTA in support of the PMOC's contract, the PMO program, and special tasks including technical assistance to project sponsors.

0001A Special Tasks

**CLIN 0002** PROJECT MANAGEMENT REVIEW SERVICES covers services that typically are required at intervals. These review services are normally specified and managed by FTA regional staff.

0002A Project Management Reviews (Project Management Plan Reviews, Project Sponsor Management Capacity and Capability Reviews, Safety Security Management Plan Reviews, Real Estate Reviews, Quality Assurance/Quality Control Program Reviews, etc.)

0002B On-site Monitoring and Reporting (Recurring Oversight and Related Reports),

**CLIN 0003** TECHNICAL REVIEW SERVICES covers oversight reviews and analyses of project scope, schedule, cost, risk and contingency, as well as other scope reviews, vehicle reviews and readiness reviews. These services are normally specified and managed by FTA headquarters staff.

0003A Scope, Cost, Schedule Characterization Reviews (Value Engineering-Constructability Review; Project Transit Capacity Review; NEPA and Design Document Comparative Review; Project Scope Review; Project Delivery Method Review; Capital Cost Estimate Review; Project Schedule Review; Americans with Disabilities Act Review; Buy America Review)

0003B Vehicles Reviews (Fleet Management Plan Review; Bus and Rail Vehicle Technical Review)

0003C Risk and Contingency Reviews

0003D Readiness Reviews (Readiness to Enter Engineering; Readiness to Execute/Amend FFGA; Readiness to Procure Construction Work; Readiness for Revenue Operations; Letter of No Prejudice Review)

0003E Small Starts Reviews

0003F Special Project Reviews

#### **CLIN 0004 OTHER REPORTS, REVIEWS, AND PLANS**

0004A Implementation Plans and Transition Plans, PMOC Status Reporting, Lessons Learned Reports, Before and After Study Reviews, and Annual New Starts Reviews

#### **CLIN 0005 OTHER DIRECT COSTS (primarily travel expenses)**

### **6.1.2 Roles and Responsibilities**

The project sponsor is fully responsible for development and implementation of the capital transit project. The project sponsor is responsible for planning, design, and bidding the contract documents, supervising, administering, inspecting and accepting construction, and performing testing and start up.

FTA administers grants and loans to State and local public bodies, and in public-private partnerships to private entities, to acquire, construct, and reconstruct transit facilities. As a steward of public funds, FTA provides oversight to ensure that FTA-funded transit projects are implemented responsibly – that scope, schedule and cost are in balance and the project design and construction conform to statutes, regulations, guidance, etc.

FTA performs oversight through its own staff and through its PMOCs to ensure the adequacy of the project sponsor's management capability and capacity, assess the reasonableness of the scope, schedule and cost, and assess the likelihood the cost and schedule will hold through revenue service. As part of oversight, FTA and the PMOCs identify problems, suggest solutions to the project sponsor, and report to FTA their findings, professional opinions, and recommendations.

Apart from oversight, FTA and the PMOCs occasionally provide technical assistance to project sponsors. Such assistance may include providing information and instruction in project management and project analysis practices, and sharing technical expertise in transit project design and construction. In the course of performing oversight, the PMOCs must bring to FTA's attention the occasions when the project sponsor could benefit from technical assistance. FTA will issue direction to the PMOC through the work order scope to cover these occasions.

The FTA Office of Capital Project Management (TPM-20) within the Office of Program Management (TPM) in Washington, D.C. and the FTA Regional Offices (TROs) are responsible for providing project oversight starting prior to Engineering, and the Full Funding Grant Agreement (FFGA) or prior to the Small Starts Grant Agreement (SSGA), into construction, substantial completion, testing, start-up, and revenue service. As a general rule, recurring oversight (periodic and quarterly) is conducted by TROs; whereas, reviews for scope, schedule, cost, contingency and risk, etc. are usually initiated by TPM. TPM and TRO, along with the FTA Office of Procurement, administer the PMOC contracts, task orders and work orders.

The PMOCs' primary FTA points of contact are FTA's Alternate Contracting Officer Representatives (ACOR) and Work Order Managers from TRO or TPM. The primary staff person in the FTA Office

of Procurement is the Contracting Officer (CO). The Contracting Officer's Representative (COR) for the PMO program is part of TPM. The Alternate COR assumes the duties of the COR in his or her absence. ACORs were previously referred to as FTA "Task Order Managers."

The PMOCs are responsible for rigorously but non-intrusively analyzing progress on projects; positively and constructively interacting with the project sponsor to solve problems; and maintaining objectivity in discussions of findings, conclusions and recommendations with FTA and the project sponsor.

One of the most important reviews is the assessment of project sponsors' management capacity and capability to successfully implement projects. Through a review of project sponsors' organizations, personnel qualifications and experience, and the project sponsors' stated approaches to the work and understanding of the work, PMOCs can assess the project sponsors ability to perform the work responsibly and keep projects on time, on budget, and in accordance with approved plans and specifications.

The PMOCs also review the planning, design, construction and operations of the project in the context of the existing transit system. The review covers all project components – guideway structures, stations, maintenance and storage facilities, sitework, power, signal and communications systems; fare collection; real estate; vehicle design and manufacturing – as well as overall project quality and capacity, safety, cost estimates, schedules, and assessments of risk.

After PMOCs are awarded contracts, they may be awarded task orders and work orders within task orders to perform oversight. Task orders will typically cover all projects by a particular project sponsor. "Programmatic" task orders issued from TPM can cover special studies and research, as well as technical reviews of project scope, schedule, cost, risk, and other tasks, as necessary.

The PMOCs' main responsibilities include:

- Investigating project conditions and core documents; visiting project sites; reviewing pertinent documents; performing interviews; all in sufficient detail as to become familiar with the proposed project goals, site conditions, design criteria, operations plans, drawings and specifications, value engineering studies, peer and constructability reviews, schedules, cost estimates, risks, bid packages and contracts, construction progress, methodology for resolving changes and claims, and conducting project closeout;
- Assessing project sponsors' management capacity and capability to manage the projects, to meet goals related to design capacity, scope, schedule, budget, quality, and safety both during construction and in revenue service;
- Identifying problems and uncertainties in a timely manner;
- Making recommendations and proactively solving problems with the project sponsor and FTA staff;
- Providing professional opinions on the project sponsors' work to the FTA;
- Discussing findings, conclusions and recommendations with the project sponsor and FTA;
- Providing supporting reports and presentations to the FTA;

- Engaging in other duties and responsibilities as requested by FTA.

In the performance of the above, the PMOCs are to accomplish, among other duties, the following:

1) Communications

- a) Develop and regularly maintain contact throughout a project sponsor's organization with key personnel in planning, design and construction departments as well as operations, operations planning, procurement, legal, budgeting and real estate; and avoid relying on only one source for information;
- b) Develop and regularly maintain contact with FTA ACORs and Work Order Managers at both headquarters and the region;
- c) Maintain a log of project contacts;
- d) Coordinate with other PMOCs covering the same project sponsor;
- e) Remind the project sponsor of its responsibility for the project; and that PMOC oversight or technical assistance in no way relieves the project sponsor of responsibility;
- f) Provide informal communication to the project sponsor on the results of PMOCs' reviews and analysis after approval from FTA. Provide draft reports to FTA and receive comments from FTA before providing copies to the project sponsor. Discuss draft findings with the project sponsor prior to finalizing reports.

2) Oversight assessments, recommendations, reporting

- a) Identify sources of information to allow the FTA to directly question the project sponsor on the accuracy or completeness of their information. Present information without taking it out of context. Efficiently verify the information with trusted sources, before presenting it as fact. Describe PMOC assumptions used to form conclusions and the methods used to come to those conclusions. Support PMOC statements, observations, findings, conclusions and professional opinions with project information, appropriate analysis and interpretation of the project information by qualified PMOC personnel with relevant and appropriate project development, design and construction experience.
- b) Based on a cost-effective mix of random and planned sampling and, in certain cases, sampling all of the information provided from the project sponsor, perform quantitative and qualitative checks on project sponsors' project information.
- c) Provide reports that are focused, clear, coherent, accurate, complete, objective and unbiased. Perform work in a cost-efficient manner.
- d) Specifically cost-related
  - i) Regarding the project sponsors' cost estimating methodologies, verify that current market conditions for bidding of construction contracts are taken into account; provide professional estimators' opinions as to whether project sponsors' cost estimate information is complete, coordinated, and unbiased;
  - ii) Describe the context of key cost assumptions and decisions by involved parties such as the project sponsors, and their consultants and contractors; state reservations about costs in estimates or bids.

As PMOC products are delivered to the FTA, it is the responsibility of the FTA Work Order Manager to evaluate the deliverables against the criteria set forth in the Acceptable Quality Level (AQL) tables associated with each OP. The FTA Work Order Manager should maintain a copy of the completed assessment of the PMOC's deliverables for ongoing discussions with the PMOC and for future reference during the formal contractor's performance evaluation period. Copies of the completed assessments shall be made available to the headquarters' COR upon request. PMOC performance is formally evaluated on an annual basis; however, expect that the FTA Work Order Manager will provide the PMOC with informal feedback on the firm's performance no less than once every three months. The evaluation system used is the federal government's Contractor Performance Assessment Reporting System (CPARS) – a web-based system administered by the Department of the Navy located at <http://www.cpars.gov>. CPARS transmits the final evaluations to the Past Performance Information Retrieval System (PIRS), a multi-federal agency repository of past performance assessments.

The PMOC shall specifically and promptly advise the CO that its Task Order budget with respect to obligated funds to date, not just the task order award amount, has been seventy-five percent (75%) exhausted in the performance of such Task Order; and shall state whether, in the opinion of the PMOC, the assigned responsibilities under the Task Order can be completed without exceeding the applicable budget.

### **6.1.3 Task Orders**

To begin the Task Order process, FTA Headquarters or Regional staff considers a project sponsor and its current and foreseeable projects. As a general rule, Task Orders will be written for oversight of all projects by a particular project sponsor. However, when the projects are too many or too large for the capacity of one PMOC, the project sponsor's work will be divided among two or more PMOCs.

The FTA ACOR will develop a draft Task Order and a related Independent Government Estimate (IGE). After internal approval of these documents, FTA will issue the schedule and scope of work to PMOCs as a request for cost proposal. Within seven days of receipt (or as noted in the task order proposal request), the PMOCs should submit cost proposals for the scope of work for each year of the Task Order. The cost proposal should be supplemented as required with work and staffing plans.

The not-to-exceed value of most Task Orders will be under \$5 million. For these Task Orders, TPM-20 (Office of Capital Project Management) will develop a short list of three PMOCs based on responses in the request for proposal, conflict of interest matrix, interviews, and experience and capacity to undertake the work. After the PMOCs submit cost proposals and supplementary plans, FTA Regional and Headquarters staff reviews the materials and make a selection. The COR then issues the Task Order to the PMOC.

For Task Orders with a value of over \$5 million, the FTA Procurement Office issues to all PMOCs having no conflict of interest, the schedule and scope of work as a request for cost proposal. After the PMOCs submit cost proposals and supplementary plans, the FTA Procurement Office, with the assistance of the Regional and Headquarters staff, reviews the materials and makes a selection. The CO then issues the Task Order to the PMOC.

In the interest of economy and efficiency, follow-up Task Orders will typically be issued to the PMOC holding the initial Task Order for oversight of a particular project sponsor's projects. However, if the performance of the PMOC is unsatisfactory, or if introducing competition is deemed in the best interest of the government, FTA will follow the processes above for issuing a new Task Order under or over \$5 million, as necessary.

Upon selection and award of the Task Order, the PMOC is required to submit a Task Order Implementation Plan, outlining the proposed approach to the overall task, identifying activities to be performed, and providing a schedule and cost breakdown for the activities. Monthly PMOC Status Reports are required to track estimated versus actual costs for each Task Order.

Activities performed under Task Orders will be authorized through Work Orders. Some Work Orders will be written broadly, for example, covering all recurring oversight activities on a project (such as monthly and quarterly meetings and supporting reports). Other Work Orders will be written more detailed, for example, covering specific reviews (such as project sponsor management capacity and capability, scope, schedule, cost, and risk). When services are performed, the PMOC should bill by Work Order for labor hours and expenses.

In a single year, the funding for all Task Orders will not exceed the total amount available to FTA for major capital project oversight, as documented in the one-year program plan for the TPM-20 (Office of Major Capital Project Management). Therefore, while Task Order dollar amounts will cover two to five years of work, funding will be incrementally provided on a one-year basis.

#### **6.1.4 Work Orders**

A Work Order is issued under an existing Task Order. The cost of the Work Order is included in the total authorized Task Order amount. The FTA Work Order Manager, supported by the FTA ACOR, other FTA staff and the PMOC (if requested to participate by FTA) formulates and documents the scope of work in the format shown in Appendix B and develops an IGE in the format shown in Appendix D. The Work Order will describe the work to be performed and it may refer to certain OPs or parts of OPs to guide the performance of the work. It will include a not-to-exceed cost and a defined schedule. The Work Order will also refer to applicable CLINs.

After internal approval of the draft Work Order and IGE by the FTA, the COR requests a cost proposal from the PMOC. Within five (5) business days of receipt, the PMOC should submit its cost proposal using the formats in Appendices D and E, adjusting them as required to fit the scope of work.

The Task and Work Order Managers then review the proposal and submit comments to the COR. If the proposal is accepted, the COR will authorize the PMOC to proceed. If the proposal is not accepted, the COR, ACOR, and Work Order Managers collectively negotiate with the PMOC to achieve a resolution to accept, modify, or reject the proposal.

Invoices should be in the format described in Section G.10 and G.11 of the contract, and shall include the worksheets provided in Appendix E. Invoices should be submitted to the Task and Work Order Managers. The COR should be emailed a PDF copy of each invoice submitted. The cost of each Work Order must be tracked separately in invoices with a breakdown by SubCLIN. See Appendix F for an OP-CLIN list. Work Order Implementation Plans may be called for by FTA for Work Orders

that cover large or complex scopes of work, or for oversight activities for which there is no associated SubCLIN.

If a PMOC fails to meet the desired outcomes of a given Work Order, the PMOC may be required to rework the deliverable. If a rework is required by FTA, the PMOC will perform such additional work at cost without fee.

## **7.0 REPORTING, PRESENTATIONS, RECONCILIATION**

For most oversight activities, the PMOC is required to provide FTA with a supporting written report of findings, analysis, recommendations, professional opinions, and a description of the review activities undertaken.

The sequence and distribution for all reports is as noted in Section 7.0 of OP 25.

Reports should be submitted via email. Unless specifically requested, no paper copies of reports should be submitted. In addition, the PMOC may be required to post reports to an FTA website (to be identified in future.)

After FTA approval, the PMOC may be instructed to share the report with the project sponsor. In the event that differences of opinion exist between the PMOC and the project sponsor regarding the PMOC's findings, the FTA may direct the PMOC to reconcile with the project sponsor and provide FTA with a report addendum covering the agreed modifications by the project sponsor and PMOC. On occasion, the PMOC may be required to make presentations of project reports or other studies to FTA, the project sponsor, or third parties.

### **7.1 Format for Reports**

The PMOC should be concise and avoid repeating text. Instead, the PMOC should refer back to the original text. Provide current information and avoid long historical narratives or lists of events. Use bold or underline text for emphasis. Creatively portray information to aid understanding, e.g., photographs, tables, graphs, etc. Use Microsoft Word, Excel, and Microsoft Project. Typically, use Times Roman 12 point font. Refer to "PMOC" instead of "contractor" to distinguish from construction contractors. All reports should include the following.

- 1) Cover page (See Appendix G for sample cover page and required information.)
- 2) Executive Summary (three pages max) – simply written summary of the most important findings, professional opinions, conclusions, and recommendations. This section should include a one paragraph description of the project scope.
- 3) Table of Contents
- 4) Body of Report – By topic
  - a) Findings (include photos of site conditions to aid in understanding )
  - b) Analysis, professional opinions regarding status, recommendations for action with time frame for performing recommended actions
- 5) Appendix
  - a) Acronyms used
  - b) Supporting checklists, tables, spreadsheets, photos, etc.
  - c) PMOC team – list personnel, qualifications for performing the review



## Oversight Procedure 01 – Administrative Conditions and Requirements

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## APPENDIX A

### References

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The following are the principal, but by no means the only, references to Federal legislation, codification, regulation and guidance with which the PMOC should have a good understanding as related to the project sponsor's project work being reviewed under the Oversight Procedures (OPs):

#### Legislative

- Moving Ahead for Progress in the 21<sup>st</sup> Century Act, or MAP-21, Public Law 112-141, July 6, 2012

#### United States Code

- 49 U.S.C Section 5327, Project Management Oversight
- 49 U.S.C Section 5309, Fixed Guideway Capital Investment Grants

#### Regulations

- Project Management Oversight, 49 C.F.R. Part 633
- Major Capital Investment Projects, 49 C.F.R. Part 611
- Joint FTA/FHWA regulations, Metropolitan Planning, 23 C.F.R. Part 450
- Joint FTA/FHWA regulations, Environmental Impact and Related Procedures, 23 C.F.R. Part 771
- U.S. DOT regulation, Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally Assisted Programs, 49 C.F.R. Part 24

#### FTA Circulars

- C 4220.1F (Previously C4220.1D) Third Party Contracting Requirements
- C 5010.1D (Previously C5010.1C) Grant Management Guidelines
- C 5200.1A (Previously C5200) Full Funding Grant Agreements Guidance
- C 5800.1 (Previously C6800.1) Safety and Security Management Plan

#### Guidance

- FTA Master Agreement, FTA MA
  - <http://www.fta.dot.gov/documents/17-Master.pdf>
- Project and Construction Management Guidelines, 2011 Update
  - [http://www.fta.dot.gov/images/content\\_images/FTA\\_Project\\_and\\_CM\\_Guidelines\\_-\\_July\\_2011\\_Update\\_12-01-26.pdf](http://www.fta.dot.gov/images/content_images/FTA_Project_and_CM_Guidelines_-_July_2011_Update_12-01-26.pdf)
- Guidance for Transit Financial Plans, June 2000
  - <http://www.fta.dot.gov/images/gftfp.pdf>
- New Starts
  - [http://www.fta.dot.gov/planning/newstarts/planning\\_environment\\_218.html](http://www.fta.dot.gov/planning/newstarts/planning_environment_218.html)
  - [http://www.fta.dot.gov/planning/newstarts/planning\\_environment\\_213.html](http://www.fta.dot.gov/planning/newstarts/planning_environment_213.html)
- Construction Project Management Handbook, March 2012
  - [http://www.fta.dot.gov/documents/FTA\\_Report\\_No.\\_0015.pdf](http://www.fta.dot.gov/documents/FTA_Report_No._0015.pdf)
- Best Practices Procurement Manual, FTA, 2001
  - [http://www.fta.dot.gov/documents/BPPM\\_fulltext.pdf](http://www.fta.dot.gov/documents/BPPM_fulltext.pdf)

**APPENDIX B**

**Work Order Sample**

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**Federal Transit Administration**

**WORK ORDER No. \_\_\_\_**

Date:

Summary title: **Review of X on Project Y, Project Sponsor Transit Agency ABC**  
Located in City, Region, State/s

PMOC: Firm name  
Lead person's name, title, phone, email  
Firm address

Contract No.: DTFT \_\_\_\_\_  
Task Order No.: \_\_\_\_\_, Project No. \_\_\_\_\_  
Work Order: Managed by (FTA Region) or (FTA Headquarters) – *select one*  
FTA ACOR: name, phone, email  
FTA Work Order Manager: name, phone, email

**BACKGROUND:** Provide history and references, etc. to set context for the work.

**SCOPE:** Insert a description of the scope of work;  
Refer to specific FTA Oversight Procedures, CLIN Nos.

**SCHEDULE:** Indicate work order duration, period of performance, milestones, due dates

**COST:** \$ \_\_\_\_\_ Labor  
\$ \_\_\_\_\_ Expenses  
\$ \_\_\_\_\_ Total Not-to-Exceed

This is being issued under COR authority.

Services performed or products delivered under this work order are billable by work order and CLIN. Under no circumstances is the PMOC authorized to incur costs in excess of the amount above without prior authorization from the COR.

**APPENDIX C**

**Work Order Cost Proposal Summary Page Sample**

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**COST PROPOSAL TO FTA**

Date:

Summary title:           **Review of X on Project Y, Project Sponsor Transit Agency ABC**  
                                  Located in City, Region, State/s

PMOC:                    Firm name  
                                  Lead person's name, title, phone, email  
                                  Firm address

Contract No.:           DTFT \_\_\_\_\_  
Task Order No.:        \_\_\_\_\_, Project No. \_\_\_\_\_, Work Order No. \_\_\_\_\_  
Task Order:            Managed by (FTA Region) or (FTA Headquarters)  
FTA ACOR:   name, phone, email  
FTA Work Order Manager:   name, phone, email

BACKGROUND:        Important history, references, etc. to set context for the work.

SCOPE:                Description of scope of work; ref. to FTA Oversight Procedures, CLIN Nos.

SCHEDULE:            Period of Performance, Schedule of Milestones, Due Dates

COST:                 \$ \_\_\_\_\_    Labor  
                           \$ \_\_\_\_\_    Expenses  
                           \$ \_\_\_\_\_    Total Not-to-Exceed  
                           (The PMOC agrees to notify the FTA Work Order Manager as soon as the  
                           PMOC becomes aware of the possibility of an overrun of the not-to-exceed  
                           amount.)

Provide cost proposal breakdown using format in Appendix D.

APPENDIX D

Work Order Cost Breakdown Sample

COST BREAKDOWN										Revised 09/29/09
Contractor: <b>XYZ Co.</b> Date: <b>10/7/2009</b> Task Order: <b>1</b> Work Order: <b>1</b> WO Description: <b>Sample Project</b>										NOTE: This format can be used for Work Order cost proposals, invoices, and independent government estimates.
G&A	Applies to PMOC labor only; does not apply to PMOC overhead or fee, subcontractor costs, or expenses.					5.00%				
Overhead	PRIME OVERHEAD RATE					130.00%				
Fee	Applies to PMOC labor, PMOC overhead, and G & A only.							8.00%		
SUB CLIN Number and Name	PERSONNEL	HOURS	HOURLY RATE	LABOR	G&A	PRIME OVERHEAD	LABOR + OVERHEAD + G&A	Fee on LABOR + OH + G&A	TOTAL with Fee	Small Business Sub-contracting Participation G-15
1A Special Tasks	Name, Firm, Title per contract	20.0	\$85.00	\$1,700	\$85	\$2,210	\$3,995	\$320	\$12,690	
	Name, Firm, Title per contract	40.0	\$75.00	\$3,000	\$150	\$3,900	\$7,050	\$564		
	Name, Firm, Title per contract	10.0	\$30.00	\$300	\$15	\$390	\$705	\$56		
	<b>Prime Totals</b>	<b>70.0</b>		<b>\$5,000</b>			<b>\$11,750</b>	<b>\$940</b>		
	Sub 1 - Name, Title	30.0								
	Sub 1 - Name, Title	20.0								
	Sub 2 - Name, Title	40.0								
	<b>Subcontractor Totals</b>	<b>90.0</b>								
<b>Total for this Product</b>									<b>\$24,123</b>	
2B On-Site Monitoring and Reporting	Name, Firm, Title per contract	20.0	\$85.00	\$1,700	\$85	\$2,210	\$3,995	\$320	\$12,690	
	Name, Firm, Title per contract	40.0	\$75.00	\$3,000	\$150	\$3,900	\$7,050	\$564		
	Name, Firm, Title per contract	10.0	\$30.00	\$300	\$15	\$390	\$705	\$56		
	<b>Prime Totals</b>	<b>70.0</b>		<b>\$5,000</b>			<b>\$11,750</b>	<b>\$940</b>		
	Sub 1 - Name, Title	40.0								
	Sub 2 - Name, Title	30.0								
	Sub 2 - Name, Title	20.0								
	<b>Subcontractor Totals</b>	<b>90.0</b>								
<b>Total for this Product</b>									<b>\$26,194</b>	
5A Travel Expense	city 1 - Staff	2	Trips at	\$1,000			\$2,000		\$12,000	
	city 2 - Subcontractor	2	Trips at	\$1,000			\$2,000			
	city 3 - Staff	2	Trips at	\$2,000			\$4,000			
	city 2 - Subcontractor	2	Trips at	\$2,000			\$4,000			
<b>Total Travel Expenses</b>										
5A Other Direct Exp	Staff	printing, phone charges					\$500		\$700	
	Subcontractor	printing, phone charges					\$200			
	<b>Total Other Direct Expenses</b>									
% SB Participation										
<b>Total Proposed</b>									<b>\$95,818</b>	

Note: Additional SubCLINs included in the Total Proposed Amount are not shown here as this sheet is for demonstration purposes.

**APPENDIX E**

**Invoice Format Sample**

<b>INVOICE OVERVIEW</b>						
Contractor:	XYZ Co.					
Address:	2304 Maple St. San Francisco, CA 900.					
Taxpayer I.D. Number:	2339408					
Bank info for deposit:	Citibank account.....324999999					
Invoice Contact:	J. Smith, 415-999-9999, jsmith@xyz.net					
PMO CONTRACT No.:	DTFT60-04-D-0000X					
FTA CO:	J.W. Brown					
FTA COR:	A. B. Kim					
Invoice period of performance:	March 1 – March 31, 2008					
Invoice No.	12					
Invoice Date:	04/05/14					
Task Order Number	Task Order Description	Project Number	Task Order Expiration Date	FTA Task Order Manager		Initial / Date Invoice Approved
1	Perris Valley (Regional)	DC-03-XXXX	2/13/2013	M. Jones		
Work Order Number	Work Order Description	FTA Work Order Manager	Hours Billed this Invoice	Billed this Invoice	Initial / Date Invoice Approved	
1	Perris Valley - On-site Monitoring / Reporting	M. Davis	625	\$94,264		
2	Perris Valley - Readiness Reviews	M. Davis	100	\$5,000		
3	Perris Valley - Special Tasks	C. Lewis	175	\$50,000		
<b>Total Billed This Period</b>			<b>900</b>	<b>\$149,264</b>		
NOTE: Invoice Overview Format Applies to both Headquarter's and Regional Task Orders						

**INVOICE BREAKDOWN**

Contractor **XYZ Co.**

Invoice No.: **12**

Invoice Date: **04/05/14**

Task Order Number	Task Order Description	Task Order Dollars Not-to-Exceed Authorized	Task Order Hours Not-to-Exceed Authorized	Task Order Funded to Date	Task Order Hours to Date	Work Order Authorized to Date	Work Order Hours Authorized to Date	Work Order Dollars Billed to Date	Work Order Hours Billed to Date	Funded Balance Available	Hours Balance Available	Small Business Sub-Contracting Participation				
1	Perris Valley (Regional)	\$1,000,000	56400	\$650,000	43000	\$420,000	2100	\$359,264	1475	\$230,000	40900	Billed to Date				
												23%				
Work Order Number	Work Order Description	Not-to-Exceed Dollars Authorized	Not-to-Exceed Hours Authorized	Dollars Billed Previously	Hours Billed Previously	Dollars Billed This Period	Hours Billed This Period	Total Dollars Billed to Date	Total Hours Billed to Date	Fund Balance Remaining	Fund Balance Remaining	Funds Billed To Date (%)	Hours Billed To Date (%)	SB Billed Previously	SB Billed this Period	SB Billed to Date
1	Perris Valley - On-site Monitoring / Reporting	\$200,000	1000	\$80,000	275	\$94,264	625	\$174,264	900	\$25,736	100	87%	90%	\$16,000	\$4,900	\$20,900
2	Perris Valley - Readiness Reviews	\$160,000	800	\$120,000	200	\$5,000	100	\$125,000	300	\$35,000	500	78%	38%	\$30,000	\$500	\$30,500
3	Perris Valley - Special Tasks	\$60,000	300	\$10,000	100	\$50,000	175	\$60,000	275	\$0	25	100%	92%	\$2,000	\$10,000	\$12,000
<b>Total</b>		<b>\$420,000</b>	<b>2100</b>	<b>\$210,000</b>	<b>575</b>	<b>\$149,264</b>	<b>900</b>	<b>\$359,264</b>	<b>1475</b>	<b>\$60,736</b>	<b>625</b>	<b>86%</b>	<b>70%</b>	<b>\$48,000</b>	<b>\$15,400</b>	<b>\$63,400</b>

**COST BREAKDOWN**

NOTE: This format can be used for Work Order cost proposals, invoices, and independent government estimates.

Contractor: **XYZ Co.**  
 Date: **04/05/14**  
 Task Order: **1**  
 Work Order: **1**  
 WO Descr: **Sample Project**

G&A	Applies to PMOC labor only; does not apply to PMOC overhead or fee, subcontractor costs, or expenses.					5.00%					
Overhead	PRIME OVERHEAD RATE					130.00%					
Fee	Applies to PMOC labor, PMOC overhead, and G & A only.					8.00%					
SUB CLIN Number and Name	PERSONNEL	HOURS	HOURLY RATE (Fully Loaded Rate for CLIN 4)	LABOR	G&A	PRIME OVERHEAD	LABOR + OVERHEAD + G&A	Fee on LABOR + OH + G&A	TOTAL with fee	Small Business Sub-contracting Participation	
1A Special Tasks	Name, Firm, Title per contract	40.0	\$85.00	\$3,400	\$170	\$4,420	\$7,990	\$639			
	Name, Firm, Title per contract	80.0	\$75.00	\$6,000	\$300	\$7,800	\$14,100	\$1,128			
	Name, Firm, Title per contract	20.0	\$30.00	\$600	\$30	\$780	\$1,410	\$113			
	<b>Prime Totals</b>	<b>140.0</b>		<b>\$10,000</b>			<b>\$23,500</b>	<b>\$1,880</b>			<b>\$25,380</b>
	Sub 1 - Name, Title	70.0									
	Sub 1 - Name, Title	50.0									
	Sub 2 - Name, Title	60.0									
	<b>Subcontractor Totals</b>	<b>180.0</b>									<b>\$11,433</b>
<b>Total for this Product</b>									<b>\$36,813</b>		
2B On-site Monitoring and Reporting	Name, Firm, Title per contract	10.0	\$85.00	\$850	\$43	\$1,105	\$1,998	\$160			
	Name, Firm, Title per contract	20.0	\$75.00	\$1,500	\$75	\$1,950	\$3,525	\$282			
	Name, Firm, Title per contract	20.0	\$65.00	\$1,300	\$65	\$1,690	\$3,055	\$244			
	Name, Firm, Title per contract	10.0	\$55.00	\$550	\$28	\$715	\$1,293	\$103			
	Name, Firm, Title per contract	40.0	\$50.00	\$2,000	\$100	\$2,600	\$4,700	\$376			
	Name, Firm, Title per contract	10.0	\$30.00	\$300	\$15	\$390	\$705	\$56			
	<b>Prime Totals</b>	<b>110.0</b>		<b>\$6,500</b>			<b>\$15,275</b>	<b>\$1,222</b>			<b>\$16,497</b>
	Sub 1 - Name, Title	40.0									
	Sub 1 - Name, Title	40.0									
	Sub 2 - Name, Title	50.0									
<b>Subcontractor Totals</b>	<b>130.0</b>							<b>\$16,304</b>			
<b>Total for this Product</b>									<b>\$32,801</b>		
4A Other Reports, Reviews, and Plans	Name, Firm, Title per contract	10.0	\$185.00	\$1,850							
	Name, Firm, Title per contract	20.0	\$175.00	\$3,500							
	Name, Firm, Title per contract	20.0	\$165.00	\$3,300							
	Name, Firm, Title per contract	20.0	\$165.00	\$3,300							
	<b>Total for this Product</b>	<b>70.0</b>		<b>\$11,950</b>							<b>\$11,950</b>
5A Travel Expenses/ Other Direct Expenses	city 1 - Staff	2	Trips at	\$1,000			\$2,000				
	city 2 - Subcontractor	2	Trips at	\$1,000			\$2,000				
	city 3 - Staff	2	Trips at	\$2,000			\$4,000				
	city 2 - Subcontractor	2	Trips at	\$2,000			\$4,000				
	<b>Total Travel Expenses</b>										<b>\$12,000</b>
	Staff		printing, phone charges				\$500				
	Subcontractor		printing, phone charges				\$200				
<b>Total Other Direct Expenses</b>									<b>\$700</b>		
% SB Participation											
<b>Total Proposed</b>										<b>\$94,264</b>	

Note: Additional SubCLINs included in the Total Billed Amount are not shown here as this sheet is for demonstration purposes.

### SUBCONTRACTOR COST BREAKDOWN

NOTE: This format can be used for Work Order cost proposals, invoices, and independent government estimates.

Subcontractor: **Sub 1**  
 Date: **04/05/14**  
 Task Order: **1**  
 Work Order: **1**  
 WO Descr: **Sample Project**

G&A	Applies to PMOC labor only; does not apply to PMOC overhead or fee, subcontractor costs, or expenses.	0.00%							
Overhead	PRIME OVERHEAD RATE	125.00%							
Fee	Applies to PMOC labor, PMOC overhead, and G & A only.	8.00%							
SUB CLIN Number and Name	PERSONNEL	HOURS	HOURLY RATE	LABOR	G&A	Sub 2 OVERHEAD	LABOR + OVERHEAD +G&A	Fee on LABOR + OH + G&A	TOTAL with fee
1A Special Tasks	Name, Firm, Title per contract	30.0	\$70.00	\$2,100	\$0	\$2,625	\$4,725	\$378	
	Name, Firm, Title per contract	20.0	\$50.00	\$1,000	\$0	\$1,250	\$2,250	\$180	
	<b>Sub Labor</b>	<b>50.0</b>		<b>\$3,100</b>			<b>\$6,975</b>	<b>\$558</b>	<b>\$7,533</b>
2B On-site Monitoring and Reporting	Name, Firm, Title per contract	40.0	\$70.00	\$2,800	\$0	\$3,500	\$6,300	\$504	
	Name, Firm, Title per contract	0.0	\$50.00	\$0	\$0	\$0	\$0	\$0	
	<b>Sub Labor</b>	<b>40.0</b>		<b>\$2,800</b>			<b>\$6,300</b>	<b>\$504</b>	<b>\$6,804</b>
4A Other Reports, Reviews, and Plans	Name, Firm, Title per contract	20.0	\$70.00	\$1,400					
	Name, Firm, Title per contract	0.0	\$50.00	\$0					
	<b>Sub Labor</b>	<b>20.0</b>		<b>\$1,400</b>					<b>\$1,400</b>
5A Travel Expenses/ Other Direct Expenses	city 1 - city 2	2	Trips at	\$1,000			\$2,000		
	city 3 - city 2	2	Trips at	\$2,000			\$4,000		
	<b>Total Travel Expenses</b>								<b>\$6,000</b>
	city 1 - city 2	2	Trips at	\$1,000			\$2,000		
	city 3 - city 2	2	Trips at	\$2,000			\$4,000		
	<b>Total Travel Expenses</b>								<b>\$6,000</b>
	Subcontractor	printing, phone charges					\$100		
<b>Total Other Direct Expenses</b>								<b>\$100</b>	
<b>Total Billed This Period</b>									<b>\$27,837</b>

**COST BREAKDOWN BY CLIN AND SUBCLIN**

Contractor: XYZ Co.

Invoice No. 12

Invoice Date: 04/05/14

CLIN	CLIN Description	T.O. Dollars Billed Previously	T.O. Hours Billed Previously	T.O. Dollars Billed This Period	T.O. Hours Billed This Period	T.O. Dollars Billed To Date	T.O. Hours Billed To Date
	<b>TOTAL</b>	<b>\$320,000</b>	<b>575</b>	<b>\$150,000</b>	<b>900</b>	<b>\$470,000</b>	<b>1475</b>
<b>1</b>	<b>Contract and Program Support</b>	<b>\$120,000</b>	<b>275</b>	<b>\$5,000</b>	<b>625</b>	<b>\$125,000</b>	<b>900</b>
0001A	Special Tasks	\$120,000	275	\$5,000	625	\$125,000	900
<b>2</b>	<b>Project Management Review Services</b>	<b>\$80,000</b>	<b>200</b>	<b>\$90,000</b>	<b>100</b>	<b>\$170,000</b>	<b>300</b>
0002A	Project Management Reviews						
0002B	On-Site Monitoring and Reporting	\$80,000	200	\$90,000	100	\$170,000	300
<b>3</b>	<b>Technical Review Services</b>	<b>\$120,000</b>	<b>100</b>	<b>\$5,000</b>	<b>175</b>	<b>\$125,000</b>	<b>275</b>
0003A	Scope, Cost, Schedule Characterization Reviews						
0003B	Vehicle Reviews						
0003C	Risk and Contingency Reviews						
0003D	Readiness Reviews	\$120,000	100	\$5,000	175	\$125,000	275
0003E	Small Starts Reviews						
0003F	Special Project Reviews						
<b>4</b>	<b>Other Reports, Reviews, and Plans</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>0</b>	<b>\$0</b>	<b>0</b>
0004A	Other Reports, Reviews, and Plans						
<b>5</b>	<b>Other Direct Costs</b>	<b>\$0</b>	<b>0</b>	<b>\$50,000</b>	<b>0</b>	<b>\$50,000</b>	<b>0</b>
0005A	Travel Expenses / Other Direct Expenses			\$50,000		\$50,000	
G & A can apply to PMOC labor and overhead; does not apply to PMOC fee, subcontractor costs or expenses.						\$0	0

# APPENDIX F

## OP-CLIN List

SubCLIN		OP	Description	Typically Issued By
<b>Contract and Program Support</b>				
0001A	Special Tasks	3	Special Tasks	TPM
<b>Project Management Review Services</b>				
0002A	Project Management Reviews	20	Project Management Plan Review	TRO
		21	Grantee Technical Capacity and Capability Review	TRO
		22	Safety and Security Management Plan Review	TRO
		23	Real Estate Review	TRO
		24	Quality Assurance/Quality Control Review	TRO
0002B	On-site Monitoring and Reporting	25	Recurring Oversight and Related Reports	TRO
<b>Technical Review Services</b>				
0003A	Scope, Cost, Schedule Characterization Reviews	30	Value Engineering-Constructability Review	TPM
		32A	Project Transit Capacity Review	TPM
		32B	NEPA and Design Document Comparative Review	TPM
		32C	Project Scope Review	TPM
		32D	Project Delivery Method Review	TPM
		33	Capital Cost Estimate Review	TPM
		34	Project Schedule Review	TPM
		35	ADA Review	TRO
		36	Buy America Review	TRO
0003B	Vehicle Reviews	37	Fleet Management Plan Review	TRO
		38	Bus and Rail Vehicle Technical Review	TRO
0003C	Risk and Contingency Review	40	Risk and Contingency Review	TPM
0003D	Readiness Reviews	51	Readiness to Enter Engineering	TRO
		52	Readiness to Execute FFGA	TRO
		53	Readiness to Bid Construction Work	TRO
		54	Readiness for Revenue Operations	TRO
		56	Letter of No Prejudice Review	TRO
0003E	Small Starts Reviews	60	Small Starts Readiness Review	TRO
0003F	Special Project Reviews	61	Special Project Review	TRO
		62	Asset Management System Review	TRO
<b>Other Reports, Reviews, and Plans</b>				
0004A	Other Reports, Reviews, and Plans	2	PMOC Implementation, Transition Plans, and PMOC Status Reporting	TRO
		26	Lessons Learned	TRO
		27	Before and After Study Review	TRO
		31	Annual NS Review	TPM

**APPENDIX G**

**Report Cover Page Sample**

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**CAPITAL COST ESTIMATE REVIEW**

**Great City Light Rail Subway Project**  
Great City Transportation Authority  
Region or City, State

May 1, 2008  
May 22, 2008, Rev. 1

PMOC Contract Number: DTFT\_\_-\_\_-\_\_-\_\_\_\_\_

Task Order Number: \_\_\_\_\_, Project Number: \_\_\_\_\_, Work Order No. \_\_\_\_\_

OPs Referenced: \_\_\_\_\_

**PMOC firm name, address**

PMOC lead person's name, affiliation if different from PMOC firm, phone, email

Length of time PMOC firm and person have been assigned to this project

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