

**U.S. DOT Federal Railroad Administration
Office of Passenger and Freight Programs**

Monitoring Procedure 21 – Management & Technical Capacity/Capability (MTCC)

1.0 PURPOSE

This Monitoring Procedure (MP) describes FRA expectations for the Monitoring and Technical Assistance Contractor (MTAC) on how to evaluate the Grantee’s management, organization, and capability to effectively and efficiently plan, develop, manage, and complete a major federally-assisted capital rail project.

2.0 KEY PRINCIPLES

A high level of management expertise and technical capacity and capability to conduct the work are fundamental building blocks for project success.

MTAC areas of focus on the Grantee:

1. The MTAC evaluation will cover the Grantee’s “extended team” -- executive leadership, project team, host railroads, consultants and contractors on the Grantee’s team, other partners, and third-party contributors.
 - a. Organization
 - b. Personnel qualifications and experience
 - c. Team members’ understanding of their project roles and the project’s critical issues
2. Grantee’s overall approach to the work
 - a. Policies and procedures
 - b. Use of project control methods
 - i. developing and updating cost estimates and schedules
 - ii. collecting costs and measuring against WBS; forecasting cost-to-complete
 - iii. identifying, managing, and mitigating risks; identifying variances
 - iv. developing recovery plans

3.0 REQUIRED DOCUMENTS

In addition to the conduct of interviews, the MTAC will obtain and review the following documents from the Grantee:

1. Management & Technical Capacity and Capability Plan (MTCC)
 - a. MTCC is the PMP Sub-Plan that is the subject of this Monitoring Procedure. The MTCC document or plan is prepared by the Grantee before each project phase begins, or at least, very early in each project phase. See MTCC Table of Contents in Appendix A.
 - b. Grantee’s agreement(s) / draft agreements with FRA, contracts with consultants and contractors, railroads and other parties.
3. Project Management Plan (PMP) and other Sub-plans
 - a. To provide context, these plans are necessary for the MTAC’s evaluation of the Grantee’s management and technical capacity and capability.

4.0 SCOPE OF WORK

If the MTAC determines that the Grantee is inadequate or weak because of its organization, personnel qualifications, and experience, or approach or ability to perform the work, the MTAC should make recommendations for corrective action and a time frame for the action.

4.1 Description of Grantee's Approach to Project

Evaluate the Grantee's approach to the following:

1. Management of professional staff and construction contractors to progress the work
4. Management of third-party contracts in compliance with Federal requirements
5. Compliance with FRA grant provision and reporting requirements
 - i. Compliance with federal grant provisions, for example:
 - ii. Title VI of Civil Rights Act of 1964, Disadvantaged Business Enterprise (DBE)
 - iii. Americans With Disabilities Act
 - iv. Uniform Property Acquisition and Relocation Act of 1970
 - v. Construction program assurances as described in SF424-d
 - vi. Requirement for matching funds and related intergovernmental/local agreement
6. Management and technical capacity and capability to perform specific aspects of the work, such as:
 - a. Conducting planning analyses for corridor and train capacity, operations, ridership, infrastructure
 - b. Designing and engineering the project
 - c. Developing/delivering the project so that it meets goals, objectives, and outcomes
 - d. Responding in a timely manner to RFIs from Congress, FRA, MTAC, etc.
 - e. Developing/implementing a sound community relations program
 - f. Accounting for real estate acquisitions and relocations; maintenance of a project property inventory
 - g. Developing/implementing safety and security measures
 - h. Cost estimating and scheduling

1.1 Organization, Personnel Qualifications, and Experience

1. Evaluate the completeness of the organizational information provided and assess whether the organizational structures are conducive to effective and efficient project implementation.
7. Evaluate the roles, responsibilities, and interfaces among the Grantee's team.
 - a. Assess the effectiveness of the lines of authority and responsibility between the executive leadership and the project team, and between the project team and partners and third-parties. Include the:
 - i. Executive leadership
 - ii. Project team of staff, consultants, and contractors
 - iii. Partners including host railroads, other transportation entities, as well as state, regional, and local jurisdictions
 - iv. Third party contributors to the project program

- b. Evaluate the staff qualifications and experience (see Appendix B of this MP for a sample) and assess whether the Grantee possesses the appropriately qualified staff and/or third-party consultants to:
 - i. Obtain support and incorporate requirements from jurisdictions through which the project passes; from third parties including railroads, utility companies, and adjacent parcel owners
 - ii. Secure and administer the required local funding
 - iii. Conduct planning, feasibility studies, alternatives analyses, as well as environmental reviews
 - iv. Design, and manage the project construction using appropriate delivery method(s), e.g. design/bid/build, design/build, construction management/general contractor (CM/GC), etc.
 - v. Maintain operations on the existing rail system at the same time as adding infrastructure and service
 - vi. Acquire and commission vehicles
- 8. Assess the agency's history of performance, financial stability, adequacy of management systems, and conformance with the terms of previous awards, etc.
- 9. Review the Grantee's agreements / draft agreements with FRA, as well as its contracts, and agreements with railroads, and other parties.
- 10. Evaluate the Labor Hour Distribution and Staffing Plan over the project life (see Appendix C and Appendix D for examples), and assess the adequacy of staffing and project budget for staffing.
- 11. Evaluate the adequacy of the Grantee's physical resources to effectively advance the project, such as office space, equipment, and furnishings.

1.2 Description of Management Processes and Procedures

Evaluate the Grantee's processes and procedures related to:

- 1. Agency board decision-making authority
- 12. Agency and Project leadership and executive staff decision-making authority
- 13. Legal services
- 14. Procurement services
- 15. Financial planning and management such as developing budgets for capital projects and operations; securing matching funds; managing cash flow
- 16. Community outreach

1.3 Resumes of Project Team Members

- 1. Evaluate the resumes of project team members.
- 2. Conduct personal interviews of Grantee leadership and key staff (See Appendix E for Sample Questionnaire)

1.0 REFERENCES – SEE MP 01

APPENDIX A

Management & Technical Capacity/Capability (MTCC) Table of Contents

KEY

C – COMPLETE for each phase. Unlike other PMP Sub-plans in which a preliminary or draft document is further developed in subsequent phases, the items below must be fully provided for the current phase and, to the extent possible, be provided for the subsequent phase as well.

Management & Technical Capacity/Capability - Table of Contents					
	Elements	Planning	PE	Final Design	Construction
1.0	Approach to the Project				
	Description of Grantee's Approach to Project covering: <ul style="list-style-type: none"> • Planning / Concept Design • Preliminary Engineering • Final Design • Bidding through Construction, Testing, Startup, RevOperations 	C	C	C	C
2.0	Organizational Charts				
	Organizational Charts for: <ul style="list-style-type: none"> • Grantee's executive leadership • Its project team of staff, consultants, and contractors; • Its partners in the effort including host railroads, other transportation entities, as well as state, regional, and local jurisdictions; • Third party contributors to the project program 	C	C	C	C
	Staff Qualifications and Experience Chart	C	C	C	C
	Description of roles, responsibilities, interfaces among key project team members through responsibility matrix	C	C	C	C
	Staffing Plan - Labor Hour Distribution over Life of Project	C	C	C	C
	Copies of Relevant RFPs / Contracts / Agreements	C	C	C	C
3.0	Description of Management Processes and Procedures				
	Agency Board decision-making authority	C	C	C	C
	Agency Leadership and Executive Staff decision-making authority	C	C	C	C
	Project Leadership and Executive Staff decision-making authority	C	C	C	C
	Legal services for contracts, ADR	C	C	C	C
	Financial Management, funding approval processes/authorities	C	C	C	C
	Procurement services	C	C	C	C
	Community outreach and relations, interface with State and Local Agencies and Media; Public Hearings	C	C	C	C
4.0	Resumes of project team members	C	C	C	C

APPENDIX C

Labor Hour Distribution over the Life of Project

Agency Staff - Project Labor Distribution (FTE)														
Position	Person's Name	2014	2014 (one year only shown for example)											
			Jan	Feb	Mar	Apr	May	Jun	July	Aug	Sept	Oct	Nov	Dec
Executive Director		0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2
Deputy Executive Director		-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Specialist		0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1
Administrative Assistant/Reception		-	-	-	-	-	-	-	-	-	-	-	-	-
Civil Systems Integration Manager		0.2	0	0	0	0	0	0	0.4	0.4	0.4	0.4	0.4	0.4
Chief of Staff		1	1	1	1	1	1	1	1	1	1	1	1	1
Electrical Engineer		0.5	0	0	0	0	0	0.5	0.5	1	1	1	1	1
Senior Civil/Structural Engineer		-	-	-	-	-	-	-	-	-	-	-	-	-
Administrative Assistant		-	-	-	-	-	-	-	-	-	-	-	-	-
Director's Office FTE Total		24	1.3	1.3	1.3	1.3	1.3	1.3	1.8	2.2	2.7	2.7	2.7	2.7
Program Manager		0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2	0.2
Project Development Coordinator		0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1	0.1
Project Manager		0.2	0	0	0	0	0	0	0.4	0.4	0.4	0.4	0.4	0.4
Project Development Manager		1	1	1	1	1	1	1	1	1	1	1	1	1
Project Development Coordinator		0.5	0	0	0	0	0	0.5	0.5	1	1	1	1	1
Administrative Assistant		-	-	-	-	-	-	-	-	-	-	-	-	-
Project Development FTE Total		24	1.3	1.3	1.3	1.3	1.3	1.3	1.8	2.2	2.7	2.7	2.7	2.7
Civil Engineering Manager														
Senior Civil Engineer														
Senior Architect														
Architect														
Civil Engineer														
Permits Administrator														
Permit Assistant														
Senior Civil Engineer														
Civil Engineer														
Right of Way Assistant														
Administrative Assistant														
CADD Operator														
Civil Engineering FTE Total														
Systems Engineering Manager														
Engineering Systems Inspector														
Senior Systems Engineer														
Systems Engineer														
Systems Engineer														
Senior Systems Engineer														
Senior Systems Engineer														
Administrative Assistant														
Systems Engineering FTE Total														
etc														
Project Controls FTE Total														
etc														
Construction Management FTE Total														
etc														
Environmental FTE Total														
etc														
Real Estate FTE Total														
TOTAL AGENCY FTE		48	2.6	2.6	2.6	2.6	2.6	2.6	3.6	4.4	5.4	5.4	5.4	5.4

APPENDIX C

Labor Hour Distribution over the Life of Project

Consultant - Project Labor Distribution (Hours/FTE)														
Position	Person's Name	2014	2014 (one year only shown for example)											
			Jan	Feb	Mar	Apr	May	Jun	July	Aug	Sept	Oct	Nov	Dec
Project Management and Control		669		54	77	61	80	61	64		54	77	61	80
Project Manager		779	40	50	96	61	80	61	64	40	50	96	61	80
Project Controls Mgr		168	40	8	10	8	10	8	8	40	8	10	8	10
Project Controls		876	8	80	96	76	100	76	80	8	80	96	76	100
Administrative Support		393	40	48	58	15	20	15	16	40	48	58	15	20
QA Manager		171		16	19	15	20	15	16		16	19	15	20
Service Planning Manager		172		16	19	15	20	16	16		16	19	15	20
Environmental Analysis Manager		0												
Systems Integration Mgr		520		48	58	46	60	48	48		48	58	46	60
Design Integration Engineer		689		64	77	61	80	61	64		64	77	61	80
Vehicle Manager		0												
Electrification System Mgr		940	40	80	96	76	100	76	80	40	80	96	76	100
Utilities Coordination		171	0	16	19	15	20	15	16	0	16	19	15	20
QC Manager		0	0	0	0	0	0	0	0	0	0	0	0	0
Quality Control		0	0	0	0	0	0	0	0	0	0	0	0	0
Systemwide Electrical		0												
Systemwide Electrical Mgr		940	40	80	96	76	100	76	80	40	80	96	76	100
Systemwide Electrical		174	0	16	19	16	20	16	16	0	16	19	16	20
Quality Control		72	0	0	0	0	20	16	16	0	0	0	0	20
Signal System Mgr		623	48	58	48	60	46	48	55	48	58	48	60	46
Civil Coordination		623	48	58	48	60	46	48	55	48	58	48	60	46
Quality Control		0	0	0	0	0	0	0	0	0	0	0	0	0
Communications System		0												
Communications System Mgr														
etc														
etc														
etc														
etc														
etc														
etc														
Total Hours		7980	304	692	836	661	822	656	694	304	692	836	661	822
Total FTE's based on 160hrs/month		49.875	1.9	4.33	5.23	4.13	5.14	4.1	4.34	1.9	4.33	5.23	4.13	5.14

Total Project Labor Distribution (FTE)														
Position	Person's Name	2014	2014 (one year only shown for example)											
			Jan	Feb	Mar	Apr	May	Jun	July	Aug	Sept	Oct	Nov	Dec
Total Agency FTE		48	2.6	2.6	2.6	2.6	2.6	3.6	4.4	5.4	5.4	5.4	5.4	5.4
Total Consultant FTE		49.9	1.9	4.3	5.2	4.1	5.1	4.1	4.3	1.9	4.3	5.2	4.1	5.1
Total		97.9	4.5	6.9	7.8	6.7	7.7	7.7	8.7	7.3	9.7	10.6	9.5	10.5

APPENDIX D

Sample Staffing Plan

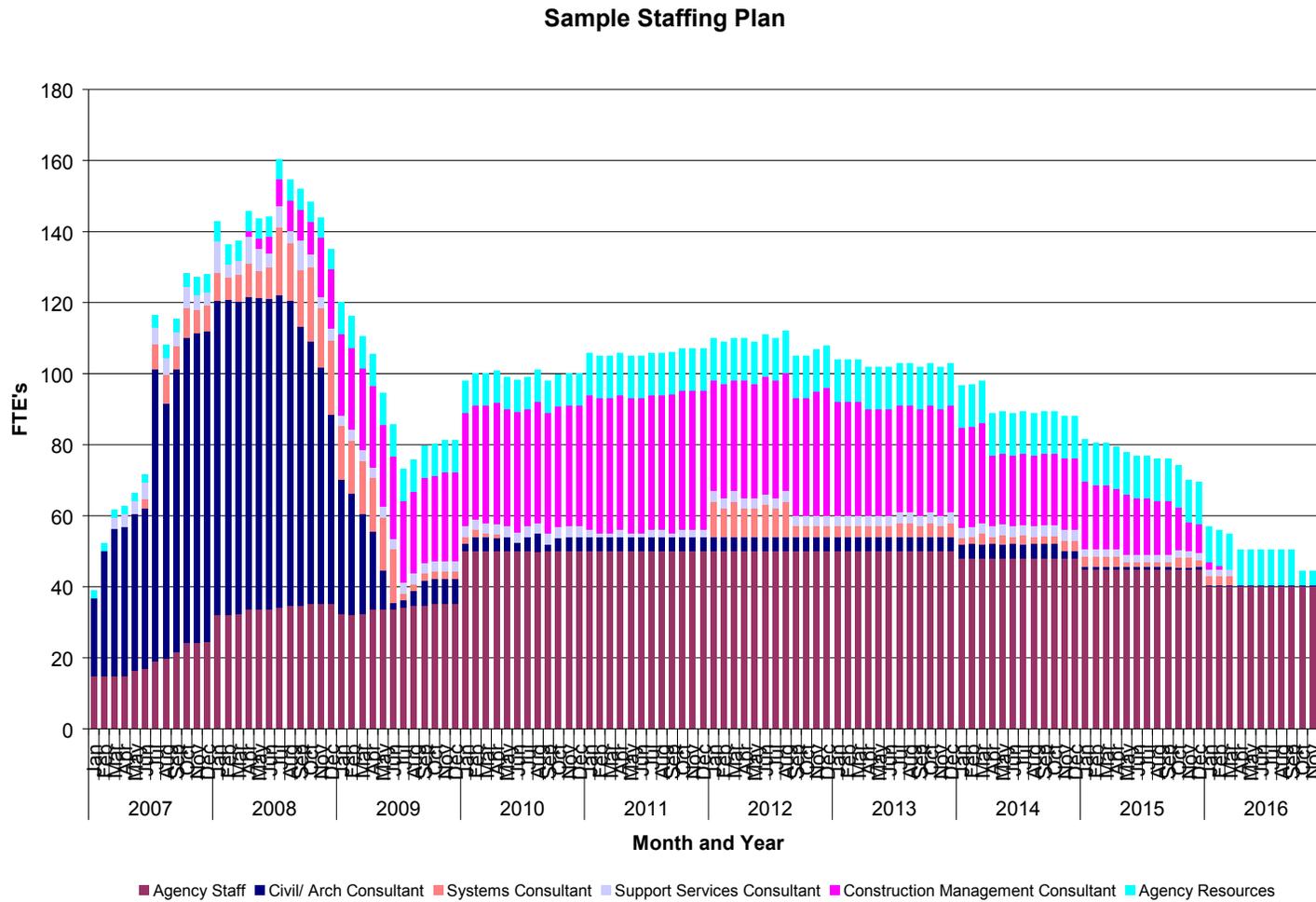


Figure 1. Sample Staffing Plan Over Project Life

APPENDIX E

Sample Questionnaire for Interviews

1. Organizational Experience- AGENCY Project History
Agency to describe all projects in the last 5 years with a construction cost of \$100M or more - provide description, cost, schedule, project delivery methods, issues, personnel, etc.
2. Questions for Key Individuals within AGENCY and on Project Team – note that the questions are tailored to the position within the organization.

AGENCY EXECUTIVE DIRECTOR and other AGENCY LEADERSHIP

Similar to below.

VP / DIRECTOR OF CAPITAL PROJECTS

1. What is your educational background? Do you have a copy of your resume?
2. Briefly describe your work experience prior to coming to AGENCY, especially on rail projects. On projects of comparable dollar volume. On projects in similar municipalities.
3. Describe AGENCY experience on large dollar projects in the last 5 years. Budget performance. Schedule performance.
4. How long have you worked with AGENCY and what positions have you held?
5. Briefly describe your role and responsibilities as VP/Director of Capital Projects as they relate to the AGENCY's Project.
6. Describe actions taken by you to complete other similar sized projects on budget and schedule. What actions would you take if you saw the project overrunning the project budget and schedule?
7. Describe your working relationship with other AGENCY Departments. What resources, if any are available for this project from the AGENCY's Capital Projects Group?
8. What level of personal involvement do you anticipate in the following project activities?
 - a) Project management
 - b) Financial management
 - c) Design and engineering
 - d) Environmental monitoring and reporting
 - e) ROW acquisition
 - f) Grants administration
 - g) Project Controls
 - h) QA/QC
 - i) Safety and security
 - j) Change order negotiation
 - k) Dispute resolution
 - l) Final acceptance
9. Who do you report to and how do you interface with your boss? Did you work with your boss prior to this project?
10. Who reports to you, what are their responsibilities and how do you interface with each? Did you work with them prior to this project?
11. Who has the authority to make personnel changes on this project?

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Sample Questionnaire for Interviews

12. What additional AGENCY staff will be required beyond that described in PMP dated _____ (or the current staffing plan)? When do you plan to bring on the additional staff?
13. Please describe your interface with:
 - a) Project Director (AGENCY)
 - b) Chief Operating Officer (AGENCY)
 - c) Manager of Project QA QC and Safety (AGENCY)
 - d) Dep. Director Project Development (AGENCY)
 - e) Dep. Director Design (AGENCY)
 - f) Dep. Director Construction (AGENCY)
 - g) Manager of Rail Communications (AGENCY)
 - h) Dep. Director Project Finance (AGENCY)
 - i) Contracting Officer (AGENCY)
 - j) Project Manager
 - k) Other parties as required
14. What do you see as the main challenges to completing the project on schedule and within budget?
15. What do you see as the greatest engineering challenge and how would you address it?
16. What do you see as the greatest construction challenge and how would you address it?
17. What is your role in addressing those challenges?
18. Describe AGENCY management approach to limit scope increase changes to the project. How will scope issues (scope creep) generated by Third Parties or Operating Entity review/technical support involvement be managed?
19. If you had to start over again, what would you do differently?

PROJECT DIRECTOR

1. What is your educational background? Do you have a copy of your resume?
2. Briefly describe your work experience prior to coming to AGENCY, especially on rail projects. On projects of comparable dollar volume.
3. How long have you worked with AGENCY and what positions have you held?
4. Briefly describe your role and responsibilities as Project Director.
5. Describe your prior project experience that gave you the skills to perform the duties of project director on a project of this size.
6. Do you have a copy of the PMP? Do you have any concerns about assigned responsibilities?
7. What are your personal responsibilities and what AGENCY resources are available to assist you to fulfill your assigned responsibilities in following areas?
8. What key support staff are assigned to assist in specific disciplines.
 - a) Design and engineering
 - b) Environmental monitoring and reporting
 - c) IGA interpretation/compliance
 - d) Third Party coordination (treat these individually)
 - e) ROW acquisition
 - f) Grants administration
 - g) PMP updating

APPENDIX E

Sample Questionnaire for Interviews

- h) Project Controls (AGENCY staff)
 - i) Contract administration
 - j) Estimating
 - k) CO/Claims
 - l) Consultant oversight
 - m) DBE monitoring
 - n) Document control
 - o) Reporting
9. Who do you report to and how do you interface with your boss? Did you work with your boss prior to this project?
 10. Who reports to you, what are their responsibilities and how do you interface with each? Did you work with them prior to this project?
 11. Describe your working relationship with the AGENCY Operations? Engineering? Procurement?
 12. Do you envision AGENCY staff beyond that described in PMP (or current staffing plan)? Will this be adequate?
 13. Please describe your interface with: (go up a level and down two levels on org chart)
 14. What do you see as the main challenges to completing the project on schedule and within budget?
 15. What is your role in addressing those challenges?
 16. Describe role of Operating Agency or Other Third Party Agency in submittal review/approval process. How will scope issues (scope creep) generated by them, review/technical support involvement be managed?
 17. What do you see as the greatest engineering challenge and how would you address it?
 18. What is your role in addressing those challenges?
 19. What do you see as the greatest construction challenge and how would you address it?
 20. What is your role in addressing those challenges?
 21. Were you involved in the development of the Quality Assurance Program Plan? If so what was your responsibility?
 22. If you had to start over again, what would you do differently?

PROJECT QA/QC MANAGER

1. What is your educational background? Do you have a copy of your resume?
2. Briefly describe your work experience prior to coming to AGENCY, especially on rail projects. What is your experience on projects of comparable dollar volume?
3. How long have you worked with AGENCY, and what positions have you held?
4. Briefly describe your role and responsibilities as Project QA/QC & Safety Manager.
5. What AGENCY resources are available to assist you to fulfill your assigned responsibilities in following areas?
 - a) Preparation of AGENCY Quality Program Plan (QPP)
 - b) Implementing and maintaining QPP
 - c) Preparation of AGENCY Safety and Security Management Plan (SSMP)
 - d) Implementing and maintaining SSMP

APPENDIX E

Sample Questionnaire for Interviews

- e) Review of DESIGNER OR CONSTRUCTION CONTRACTOR OR DESIGN BUILD CONTRACTOR System Safety/Security Certification Management Plan
 - f) DESIGNER OR CONSTRUCTION CONTRACTOR OR DESIGN BUILD CONTRACTOR Environmental, Safety and Health Plan
 - g) DESIGNER OR CONSTRUCTION CONTRACTOR OR DESIGN BUILD CONTRACTOR procedures related to system and construction safety
 - h) Audits/reviews of AGENCY and consultants
6. Whom do you report to, and how do you interface with them? Did you work with this individual prior to this project?
 7. Who reports to you, what are their responsibilities and how do you interface with each other? Did you work with them prior to this project?
 8. When will the Project QA/QC Supervisor and Project Safety Supervisor be hired?
 9. Do you envision the need for additional AGENCY staff beyond that described in PMP? Or do you believe staffing is adequately addressed?
 10. Please describe your interface with: VP/Director of Capital Projects, Project Director, all Deputy Directors
 11. What do you see as the main challenges to completing the project on schedule and within budget?
 12. What do you see as the greatest engineering challenge and how would you address it?
 13. What do you see as the greatest construction challenge and how would you address it?
 14. What was your responsibility in the development of the Quality Program Plan (QPP)?
 15. Were you involved in the development of the PMP? Does it reflect the appropriate QPP commitments?
 16. Are you satisfied with the consultants and AGENCY Quality Plans? What improvements would you like to see?
 17. Have you prepared a safety certification checklist and schedule? How is it updated?
 18. Audits
 - a) Who is audited?
 - b) Construction safety?
 - c) Frequency?
 - d) Who assists?
 - e) Follow up on findings?
 - f) Does AGENCY management support this process?
 - g) Are you satisfied with the audit process?
 - h) How can the process be improved?
 19. What do you see as the main challenges to obtaining safety certification?
 20. How do you interface with the Operating Agency on this issue?
 21. What is your recruitment plan for the "QA Specialist" and "Project Safety Supervisor"?
 22. Describe the process you envision to interface with the Contractor's Safety and Security Manager.
 23. Has AGENCY provided training to AGENCY and consultant staff on the Project's QPP and AGENCY's Project Management Procedures in accordance with the QPP? If so, is there documentation of training sessions (attendee sign-in sheets, training agenda and materials, etc.)?

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Sample Questionnaire for Interviews

24. Has the QPP been distributed to all personnel assigned to the Project (AGENCY, THE OPERATING AGENCY, CONSULTANTS, etc.)? Is there documentation for which Project staff members have received the QPP?
25. Have the Project Management Procedures established for this Project been distributed to all assigned project personnel (AGENCY, THE OPERATING AGENCY, CONSULTANTS, etc.)? Is there documentation of which Project staff members have received the procedures?

PROJECT SAFETY AND SECURITY MANAGER

1. What is your educational background? Do you have a copy of your resume?
2. Briefly describe your work experience prior to coming to AGENCY, especially on rail projects. What is your experience on projects of comparable dollar volume?
3. How long have you worked with AGENCY, and what positions have you held?
4. Briefly describe your role and responsibilities as Project Safety & Security Manager.
5. What AGENCY resources are available to assist you to fulfill your assigned responsibilities in following areas?
 - a) Preparing AGENCY Safety and Security Program Plan (SSPP)
 - b) Implementing and maintaining SSPPP
 - c) Preparing AGENCY Safety and Security Management Plan (SSMP)
 - d) Implementing and maintaining SSMP
 - e) Reviewing DESIGNER OR CONSTRUCTION CONTRACTOR OR DESIGN BUILD CONTRACTOR System Safety/Security Certification Management Plan
 - f) DESIGNER OR CONSTRUCTION CONTRACTOR OR DESIGN BUILD CONTRACTOR Environmental, Safety and Health Plan
 - g) DESIGNER OR CONSTRUCTION CONTRACTOR OR DESIGN BUILD CONTRACTOR procedures related to system and construction safety
 - h) Audits/ reviews of AGENCY and consultants
6. Whom do you report to and how do you interface with them? Did you work with this individual prior to this project?
7. Who reports to you, what are their responsibilities and how do you interface with each other? Did you work with them prior to this project?
8. When will Project Safety & Security Supervisor be hired?
9. Do you envision the need for additional AGENCY staff beyond that described in PMP? Or do you believe staffing is adequately addressed?
10. Please describe your interface with: VP/Director of Capital Projects, Project Director, all Deputy Directors
11. What do you see as the main challenges to completing the project safely and securely?
12. What do you see as the greatest engineering challenge and how would you address it?
13. What do you see as the greatest construction challenge and how would you address it?
14. What was your responsibility in the development of the SSPP and SSMP?
15. Were you involved in the development of the PMP? Does it reflect the appropriate SSPP and SSMP commitments?
16. Are you satisfied with the consultants and AGENCY SSPP and SSMP? What improvements would you like to see?

APPENDIX E

Sample Questionnaire for Interviews

17. Have you prepared a safety certification checklist and schedule? How is it updated?
18. Audits
 - a) Who is audited?
 - b) Construction safety?
 - c) Frequency?
 - d) Who assists?
 - e) Follow up on findings?
 - f) Does AGENCY management support this process?
 - g) Are you satisfied with the audit process?
 - h) How can the process be improved?
19. What do you see as the main challenges to obtaining safety certification?
20. How do you interface with the Operating Agency on this issue?
21. What is your recruitment plan for the "Project Safety Supervisor"?
22. Describe the process you envision to interface with the Contractor's Safety and Security Manager.
23. Has AGENCY provided training to AGENCY and consultant staff on the Project's SSPP and SSMP and AGENCY's Project Management Procedures in accordance with the SSPP and SSMP? If so, is there documentation of training sessions (attendee sign-in sheets, training agenda and materials, etc.)?
26. Have the SSPP and SSMP been distributed to all personnel assigned to the Project (AGENCY, THE OPERATING AGENCY, CONSULTANTS, etc.)? Is there documentation of which Project staff members have received the SSPP and SSMP?

DEPUTY DIRECTOR OF PROJECT FINANCE

1. What is your educational background? Do you have a copy of your resume?
2. Briefly describe your work experience prior to coming to AGENCY, especially on rail projects. In addition, what is your experience on projects of comparable dollar volume?
3. How long have you worked with AGENCY, and what positions have you held?
4. Briefly describe your role and responsibilities as Deputy Director Project Finance. Are you assigned to the Project full time?
5. Do you have a copy of PMP? Do you have any concerns about assigned responsibilities?
6. What are your personal job responsibilities and what AGENCY resources are available to assist you to fulfill your assigned responsibilities in following areas?
 - a) Development of detailed financial plan
 - b) Development of financial documentation in support of New Starts submittal
 - c) Development of financial documentation in support of FFGA
 - d) Development of project funding agreements
 - e) Maintaining cash flow requirements based on contract need
 - f) Management of capital funding sources to ensure funding matches construction draw down schedule
 - g) Coordination with AGENCY Financial Management Division on finance and accounting support
 - h) Coordination with funding partners to identify funding and support debt issuances

APPENDIX E

Sample Questionnaire for Interviews

7. Whom do you report to, and how do you interface with them (AGENCY VP of Finance)? Did you work with this individual prior to this project?
8. Explain your indirect reporting relationship with the Project Director. Do you foresee any problems arising due to this relationship structure? If so, please explain.
9. Who reports to you, what are their responsibilities and how do you interface with each other? Did you work with them prior to this project?
10. Do you envision the need for additional AGENCY staff beyond that described in PMP, or is it adequate?
11. Please describe your interface with: VP/Director of Capital Projects, Project Director, all Deputy Directors, etc.
12. What do you see as the main challenges to completing the project on schedule and within budget?
13. Describe the process of obtaining funding for THE OPERATING AGENCY or local municipality imposed preferential (out of scope) changes.
14. Describe the process of obtaining funding required beyond the budget.
15. Describe how the financial reporting/aspects of the project can be improved.

MANAGER OF PUBLIC AFFAIRS & COMMUNICATIONS

1. What is your educational background? Do you have a copy of your resume?
2. Briefly describe your work experience prior to coming to AGENCY, especially on rail projects, as well as, on projects of comparable dollar volume.
3. How long have you worked with AGENCY and what positions have you held?
4. Briefly describe your role and responsibilities as Manager of Rail Communications.
5. Do you have a copy of PMP dated ___? Do you have any concerns about assigned responsibilities?
6. What are your personal responsibilities and what AGENCY resources are available to assist you to fulfill your assigned responsibilities in following areas?
 - a) Press Releases
 - b) News Conferences
 - c) Ground breaking events
 - d) Town meetings
 - e) Management of Arts In Transit Program
 - f) Communications with public officials
 - g) Communication of traffic impacts (planned and unplanned)
 - h) Media relationships
 - i) Online communications
7. Whom do you report to and how do you interface with them? Did you work with your boss prior to this project?
8. Who provides you with the approval and/or direction to share information with the public?
9. How do you ensure that a consistent message is sent to community/media from the Project team?
10. Who reports to you, what are their responsibilities, and how do you interface with each other? Did you work with them prior to this project?
11. Do you envision the need for additional AGENCY staff beyond that described in PMP? Or is this adequate?

APPENDIX E

Sample Questionnaire for Interviews

12. Please describe your interface with: VP/Director of Capital Projects, Project Director , all Dep. Directors
13. What do you see as the greatest community impact and how will you address it?
14. Do you have a copy of the Communications and Outreach Plan? Have you reviewed it?
 - a) Has this Plan been shared with the Project team (AGENCY, CONSULTANTS, etc.)? How often will this Plan be updated?
 - b) Who is the individual responsible for the oversight and execution of this Plan?
15. How often is the Project's website updated? Who is responsible for ensuring the content on the website is accurate and up-to-date?
16. What is the protocol for responding to a media inquiry concerning the Project?
17. Are there strategies/protocols for emergency situations (i.e., construction accident requiring closure of a major roadway)? If so, where can they be found, and is the Project Team (AGENCY, CONSULTANTS, etc.) aware of these protocols?

DEPUTY DIRECTOR OF PROJECT DEVELOPMENT

1. What is your educational background? Do you have a copy of your resume?
2. Briefly describe your work experience prior to coming to AGENCY, especially on rail projects. On projects of comparable dollar volume. On projects in same municipalities.
3. How long have you worked with AGENCY and what positions have you held?
4. Briefly describe your role and responsibilities as Deputy Director of Project Development. How much time do you expect to devote to this project?
5. Do you have a copy of the PMP? Do you have any concerns about your assigned responsibilities?
6. Describe your prior project experience that gave you the skills to perform the duties of Deputy Director Project Development on a project of this size.
7. At the current stage of the project, please describe the different responsibilities of Project Development and Project Design?
8. What are your personal responsibilities and what AGENCY resources are available to assist you to fulfill your assigned responsibilities in following areas?
 - a) Development of planning analyses, PE and FD drawings and specifications, cost estimates, schedules, and risk assessments
 - b) Management of environmental mitigation compliance during design and construction
 - c) Management of coordination with local, state and federal agencies.
 - d) Management of ROW acquisitions and relocations; identify personnel to assist you.
 - e) Management of "Before and After Study."
 - f) Development and execution of project agreements. Identify major agreements that you would be responsible for developing and executing.
 - g) Coordination with state transportation plans, state rail plans, multi-state rail network plans. What are your responsibilities in this area?
 - h) Coordination with other active Federal, State, and county projects.
 - i) Coordination of permit applications including environmental.
9. Who do you report to and how do you interface with your boss? Did you work with your boss prior to this project?

APPENDIX E

Sample Questionnaire for Interviews

10. Who reports to you, what are their responsibilities, and how do you interface with each? Did you work with them prior to this project?
11. Describe your working relationship with the AGENCY Engineering Dept.
12. Do you envision AGENCY staff beyond that described in PMP? Is this adequate?
13. Please describe your interface with Project Director, all Dep. Directors, the Operating Agency, other third parties.
14. What do you see as the main challenges to completing the project on schedule and within budget?
15. What is your role in addressing those challenges?
16. Describe role of THE OPERATING AGENCY in submittal review/approval process. How will scope issues (scope creep) generated by THE OPERATING AGENCY review/technical support involvement be managed?
17. What do you see as the greatest engineering challenge and how would you address it?
18. What do you see as the greatest construction challenge and how would you address it?
19. Were you involved in the development of the Quality Assurance Program Plan? If so what was your responsibility?
20. If you had to start over again, what would you do differently?

For all of the following positions, ask similarly tailored questions:

- Deputy Director Design/Engineering
- Deputy Director of Construction
- Contracting Officer
- Manager of Real Estate