U.S. DOT Federal Railroad Administration

Office of Passenger and Freight Programs

Monitoring Procedure 02 – MTAC Implementation and Transition Planning

# PURPOSE

This Monitoring Procedure (MP) describes FRA requirements for the Monitoring and Technical Assistance Contractors (MTAC) when developing Implementation and Transition Plans.

# KEY PRINCIPLES

FRA requires MTACs to demonstrate management accountability; responsibility for quality, timely performance and productivity; compliance with laws and ethics guidelines; cost control; and recommendation of useful mitigations to minimize adverse impacts to the project from internal and external forces. The plans produced under this MP shall help the MTAC to achieve these ends. In addition, implementation plans shall show adequate and comprehensive oversight. Transition plans help to maintain continuity in the performance of oversight during a change in MTAC assignment.

# Scope of Work

## Implementation Plan

The Implementation Plan shall summarize the oversight work for the task order. The Implementation Plan serves as the MTAC’s representation that the work load, hours, and staffing are realistic and doable.

The Implementation Plan should demonstrate that the MTAC understands FRA’s purposes with respect to oversight, as well as the scope and nature of the work to be performed. It should define the nature, quantity, and quality of the MTAC’s intended services, products, and deliverables, and demonstrate readiness to perform them. The Implementation Plan details the summary information found in the Job Orders. It shows the oversight efforts by MP, by project, by calendar month, with reports and other deliverables noted.

After FRA accepts this Plan, unless otherwise directed, MTAC work should be performed in conformance with the Implementation Plan. If changes are necessary, they should be documented in the MTAC Status Report. Typically it is not necessary to update the Implementation Plan.

Incoming MTACs are responsible for the following:

1. Becoming familiar with the project
   1. Establishing key contacts among the personnel of the outgoing oversight contractor, the grantee and its team, and FRA and Volpe; scheduling, coordinating, and integrating services and work products with the current oversight contractor
   2. Gathering current documents to understand the project, such as:
      1. Baseline cost estimates and schedules
      2. Project drawings and analyses
      3. Grantee management plans, e.g. Project Management Plan, QA/QC plan
      4. Oversight reports by outgoing contractor
2. Preparing and participating in the initial meetings, interviews, site tours, conference calls, and follow-up meetings:
   1. Conducting sufficient pre-meetings between FRA and the outgoing contractor; conducting an adequate number of site visits, meetings, tours, or grantee personnel interviews to cost effectively bring the new team up to speed
   2. Making every effort to understand project conditions, including taking photos during site visits; quickly gaining knowledge of project content and sensitive issues; listening carefully for key issues that could impact project progress
   3. Achieving a sufficient level of knowledge about the outgoing contractor’s oversight activities and maintaining traceability on key information and assessments
   4. Promoting a “partnership” relationship with all parties to minimize impact of the transition on the grantee
3. Developing the Implementation Plan including the following elements.
   1. Description of the MTAC scope of work and period of performance (one page)
   2. By Job Order, a table listing the projects, MPs (review efforts), yearly schedule in months, staff assigned, labor hours, hourly rates, expenses, and total cost
   3. MTAC organization chart with labor categories, and resumes for each person
   4. Communications and document control:
      1. MTAC approach to communications with the Grantee and FRA, including frequency and how documented, coordinated, and reported, both formally and informally.
      2. MTAC approach to controlling correspondence to and from FRA; file control
   5. Cost control, invoicing, and financial administration:
      1. Compensation limits: Identify relevant compensation sub-limits or fixed price work
      2. Timekeeping: Describe how employees record daily project time charges, how the charges are accumulated into the corporate accounting system
      3. Invoicing: State how the MTAC intends to comply with FRA’s invoicing instructions including frequency, prime and subcontractor information

## Transition Plan

During the contract period, changes in MTAC Task Order assignment may occur to avoid conflicts of interest or for other reasons. At the beginning of this contract, a transition from FRA’s existing A/E contracts will occur.

The FRA Regional Manager/Project Manager will notify the Grantee of a pending change in a timely fashion – ideally two months before the actual turn over. FRA will set up a transition schedule that fits with previously arranged meetings wherever possible; arrange for the incoming MTAC to be introduced to the Grantee’s staff and consultant team; give the incoming MTAC a project tour; familiarize the MTAC with project documents, administrative matters such as invoicing and performance evaluations.

Outgoing oversight contractors are responsible for preparing Transition Plans, covering the following:

1. Coordinating with and integrating the work of the incoming MTAC
   1. Providing the incoming MTAC with a general orientation to the project to minimize the loss of knowledge during the transition
   2. Facilitating introductions to the grantee as well as supporting the incoming MTAC’s readiness to assume oversight responsibilities; providing a sufficient number of and qualified personnel to participate in conference calls and meetings during the transition
   3. Identifying transition elements and developing a schedule and milestones; assisting the new MTAC in locating the information
   4. Helping to maintain traceability of oversight information and assessments
2. Preparing contract “close-out” including:
   1. A Final Report for use by FRA and the incoming MTAC covering project facts, status, characteristics, major issues, and other information
   2. Close out / transition schedule
   3. Lessons learned / Best Practices
   4. Transfer of documents to incoming MTAC

## Timeframe for Implementation and Transition Plans

1. Unless otherwise indicated, the MTAC will deliver plans in accordance with the following timeline:

Calendar Days after

Request by FRA

Draft plan or revision of previous plan 15-21

Final plan 30

Readiness for meetings 30

Readiness to assume oversight responsibilities (transitions) 60