

**High Speed Intercity Rail Program
Chicago to Iowa City**

Program Management Plan

August 6, 2010

Contents

1) Introduction	4
2) Project Management Team	4
a) Program Organization Chart, Roles and Responsibilities	5
b) Organizational Requirements During Construction.....	10
3) Program Management Budget.....	11
4) Construction Schedule.....	11
5) Document Control Procedures	12
6) Change Order Procedures.....	13
7) Quality Control and Quality Assurance.....	13
8) Materials Testing Policies and Procedures.....	14
9) Internal Plan Implementation/Reporting Procedures	14
a) Design	14
b) Construction.....	14
c) Costs.....	15
d) Schedule	15
e) Significant Changes	15
f) Quality Management.....	15
g) Communications	15
10) Testing Criteria.....	16
11) Program Management Plan Updates.....	16
12) Periodic Budget and Schedule Updates to the FRA	16
Appendix A.....	
PMT Checklist.....	
Appendix B.....	
PMT Meeting Agenda Checklist.....	
Appendix C	
Sample Change Order Form.....	

Appendix D
Sample Non-Compliance Statement Form
Appendix E.....
Sample Certified Payroll Form

1) Introduction

This Program Management Plan (PMP) demonstrates how the overall Chicago to Iowa City High Speed Intercity Passenger Rail Program (Program) will be managed using accepted project management techniques, in response to the Project Management Plan requirements identified in Section 4.2.6 of the Notice of Funding Availability. The project management activities are described herein as the Program Management Plan, to reflect the broad applicability of these techniques to all parts of the Program, and to distinguish the Program-level management activities from management of the individual projects.

The PMP will provide a useful tool for the project team to use to oversee development, construction and operations of the Program. Iowa Department of Transportation (Iowa DOT), Illinois Department of Transportation (Illinois DOT), the host railroads, Amtrak, the host station cities, and the Federal Railroad Administration (FRA) will use this plan to help ensure that a quality program will be developed, constructed and operated.

This PMP details and documents the low risk level associated with the Program's delivery within budget, on time, and as designed. The purpose of this is to document the Program's structure and procedures for:

- Staff Organization
- Program Management Budget
- Construction Schedule
- Document Control Procedures
- Change Order Procedures
- Organizational Requirements during Construction
- Quality Control
- Material Testing
- Internal Plan Implementation
- Testing Criteria
- Program Management Plan Update Procedures
- Periodic Reporting to FRA

2) Project Management Team

A Program Management Team (PMT) has been established for the Program. This team consists of representatives from several internal Iowa DOT and Illinois DOT offices, FRA, and the consultant team. The PMT oversees implementation of policy goals, establishes outcomes for individual projects, and provides the day-to-day management of the Program. The PMT is charged with developing and delivering a series of quality, constructible projects, as well as the initiation and ongoing operation of passenger rail service between Chicago and Iowa City. Specific responsibilities of the PMT are outlined in detail in Appendix A, a sample PMT checklist, and include:

- Develop the overall Program
- Provide continuous guidance and ownership—from design through construction, and through operation
- Identify issues and develop solutions collaboratively and collectively;
- Establish an appropriate schedule
- Keep the Program on time and within budget for the entire lifecycle – from development, through design and construction, to operation

- Build on previous work
- Identify resources and work with other Iowa DOT and Illinois DOT managers to schedule those resources when needed
- Continuously evaluate and improve the Program

The PMT will meet monthly to discuss Program development and issues that need resolution. A PMT Meeting Agenda Checklist is included in Appendix B. In addition, daily internet communications, conference calls, and small group meetings will be utilized to address any items that need immediate attention. The goals and objectives will be evaluated and refined throughout the design phase and throughout construction. Any significant modifications to these goals will be documented by the Iowa DOT and Illinois DOT Program Co-Managers in future updates to the PMP.

The Program Co-Managers (Tamara Nicholson and George Weber) will lead the PMT. Representatives from the offices listed below have primary responsibility for PMT activities associated with the Program. The listing includes both key offices and as needed technical specialists and advisors. The extent of each individual office's involvement with the Program will vary by phase of the Program and will depend on the needs as determined by the Program Co-Managers.

a) Program Organization Chart, Roles and Responsibilities

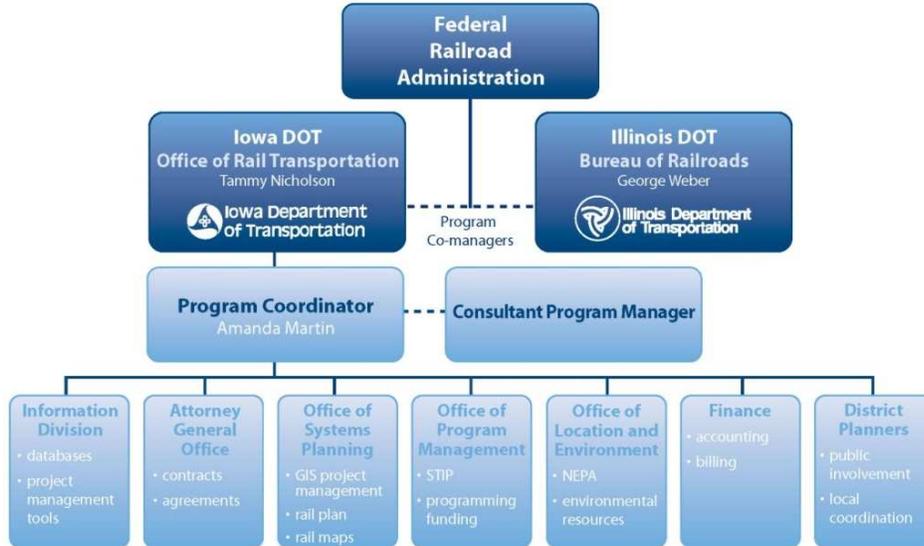
The Iowa DOT and Illinois DOT have established a multidisciplinary PMT for the design and construction of the Program. The organizational and management structures have been established with defined responsibilities that support an effective decision-making and management process. Appropriate lines of communication and coordination have been established at their respective levels.

The PMT will address and resolve all Program matters in a thorough, professional, and timely manner with shared objectives of providing a high quality Program, within budget, and on schedule. All Program matters will be resolved in accordance with existing Iowa DOT, Illinois DOT, and FRA policy procedures and agreements.

The Iowa DOT will be the lead agency for the Program, and will have overall responsibility for Program implementation. Certain portions of the infrastructure are wholly within a state, and the respective state DOT will be responsible for those improvements. However, Iowa DOT will be responsible for all portions of the Program which span state boundaries. For example, Iowa DOT will be responsible for equipment acquisition, negotiation of final agreements with the Iowa Interstate Railroad, and integration of Positive Train Control. In each of these cases, economies of scale, in addition to systems integration considerations, favor a unified approach under a single contract, which would likely be let by the Iowa DOT.

The PMT will look for other areas to take advantage of additional economies of scale as the project evolves. For example, track rehabilitation and signal installation programs on the Iowa Interstate Railroad may be most efficient if a single contract is let for the entire length of the line, rather than having separate contracts for each state. A unified contractual structure will allow greater control over scheduling and coordination of contractors. Under the Program Management structure, Iowa DOT would be the lead agency for this work.

Program Management Organization



Additional detail about individual roles and the coordination between the key offices in the organization chart and other offices providing support is listed below.

Title	Primary Responsibilities
Program Co-Managers (Tamara Nicholson and George Weber)	The Program Co-Managers perform managerial functions in formulation, development, implementation, and evaluation of major policy, budgetary, and organization components pertaining to the Program. The Program Co-Managers will be responsible for defining outcomes and goals of the Program. The Program Co-Managers will manage the Program through development, design, permitting, pre-construction and construction administration activities through the PMT and Construction Management Team. Upon completion of construction, the Program Co-Manager will be responsible for the ongoing operation of the service. The Program Co-Managers will be responsible for negotiations with host railroads and affected agencies.
Program Co-Coordinators (Amanda Martin and Michael Garcia)	The Program Co-Coordinator serves as the overall coordinators for all Program activities throughout the development phases of the Program and is the contract manager through the construction phase. The Program Co-Coordinators are responsible for day-to-day implementation of the Program (during both construction and operation), and reports to and supports their respective Program Manager. The Program Coordinator is responsible for all agreements needed throughout the entire Program. In coordination with the Program Co-

	Managers, the Program Coordinator is responsible for updating the Program PMP. The Program Coordinator is the point of contact for FRA during Program development activities. The Co-Coordinators will assign leaders for individual projects.
Consultant Program Manager	The Consultant team which supports the Program will report to the Consultant Program Manager, and will be responsible for defining scope, schedule, budget, and deliverables for the consultant's work. The Consultant Program Manager will report to Amanda Martin of the Iowa DOT.
Iowa DOT Office of Rail Transportation and Illinois DOT Bureau of Railroads	These offices will ultimately be responsible for implementation of the Program, including design, construction, and operations. The Program Co-Managers and Co-Coordinators are assigned to these offices. The Office of Rail and Bureau of Rail Transportation are comprised of interdisciplinary teams which span organizational boundaries and have authority to coordinate between divisions within their respective DOTs.
Iowa DOT Office of Systems Planning	The Office of Systems Planning integrates transportation plans across modes, and will be involved with start-up of service and address connectivity issues.
Iowa DOT District Office 6 and Illinois DOT District 2 Office; (Including the District Planners)	In addition to overall Program coordination, these Iowa and Illinois District Offices are responsible for working with local transportation partners and providing guidance in the development and implementation of the Program to ensure compliance with state and federal requirements. For example, station projects will be administered through the respective District offices. These offices have knowledge of local priorities and will be responsible for public outreach.
Iowa DOT Office of Program Management and Illinois DOT Office of Planning and Programming	The Iowa Office of Program Management will provide overall scope, schedule, and budget management for the Program. These two offices are responsible for ensuring the Program is included in the respective State Transportation Improvements Plans (STIP).
Iowa DOT Office of Location and Environment and Illinois DOT Office of Design and Environment	These offices are responsible for design and environmental work associated with certain elements of the Program.
Information Technologies	Both DOTs have Information Technology Divisions to support work on the Program, including database structuring, project management tools, design and analysis tools, and financial tools.
Iowa DOT Attorney General's Office and Illinois DOT Office of Chief Counsel	These offices will be responsible for legal documents and agreements with the host railroads and service providers (for example, Iowa Interstate and Amtrak), for contracts with partner agencies (for example, the agreements for stations), and for agreements with the FRA.
Iowa and Illinois DOT Offices of Contracts	The Office of Contracts will support all aspects of the Program Team where contracts with outside agencies are involved. These offices will be responsible for contract

	<p>letting, bid review, disadvantaged business enterprise requirements and monitoring, and external civil rights compliance. Working with the construction team, and the Consultant Program Manager, these offices are responsible for ensuring contract compliance by consultants and contractors.</p>
--	---

The following provides a brief description of the qualifications of the key personnel on the PMT.

Tammy Nicholson, P.E.

Director, Office of Rail Transportation Iowa Department of Transportation
 800 Lincoln Way Ames, IA 50010
 515.239.1653
tamara.nicholson@dot.iowa.gov

Ms. Nicholson is the office director for the Office of Rail Transportation. Her primary responsibility is to manage and coordinate the activities of the 13 employees in the office. These responsibilities include: Iowa track inspection, State Safety Manager, Iowa passenger rail initiatives, Highway-Railroad Crossing Safety program, financial programs associated with rail economic developments, Iowa freight rail coordination, rail legislation activities and advocacy. Tammy also serves as the Iowa DOT’s primary liaison to the Federal Railroad Administration. She is a member of the AASHTO Standing Committee on Rail Transportation, a member of the Executive Board for the PRIIA Section 305 Next Generation Equipment Committee and holds a position on the Section 305 Technical Committee Subcommittee. She participates on various Transportation Research Board (TRB) committees as a friend of the committee, including TRB AR010 Committee on Intercity Passenger Rail and TRB AR040 Committee on Local and Regional Rail Freight Transport. Ms. Nicholson previously served as the Project Manager for the I-74 Iowa-Illinois Corridor Study from 2000-2007, and served as the Project Engineer for numerous highway planning studies from 1992-2006. Tammy has been employed at the Iowa Department of Transportation since 1990, holds a BS in Civil Engineering from Iowa State University and completed the Certified Public Manager Program from Drake University in 2009.

Tammy will be the co-manager of the project for the Iowa DOT.

George Weber

Bureau Chief, Bureau of Railroads
 Illinois Dept. of Transportation
 JR Thompson Center, Suite 6-600
 100 West Randolph
 Chicago, IL 60601
 Phone: 312-793-4222
 Fax: 312-793-5674
George.Weber@illinois.gov

George Weber is the Bureau Chief for the Illinois Department of Transportation Bureau of Railroads. He was appointed to this capacity in January 2009 after serving as Acting Bureau Chief for two years. In his current capacity, he is responsible for all state railroad programs , including rail freight assistance, rail policy, intercity passenger rail, high speed rail and the CREATE program. Mr. Weber has been with the Department since 1991 serving until his appointment as Acting Bureau Chief, as the Rail Passenger Section Chief in overseeing the State's passenger rail program. He was responsible for coordinating and managing all activities of the State's passenger rail program to encourage public use.

Mr. Weber was primarily responsible for overseeing and managing the largest expansion of passenger rail service in the Midwest in over a decade. In early 2006, he coordinated with Amtrak the successful implementation of four more round trips on Illinois' three downstate corridors. This expansion resulted in Illinois having the second largest state-sponsored program in the US, second only to California in term of operations and funding. The corridor coalitions that George formed in the late 90's were the beginning of the grass roots movement that resulted in the eventual service expansion.

Besides his daily duties of managing the State's Rail Programs, he also is the Illinois representative for the Midwest Regional Rail Initiative and States for Passenger Rail Coalition. He has also participated in various compacts including the Midwest High Speed Rail Compact as well as the Midwest Interstate Passenger Rail Compact. In January 2007, George was named employee of the quarter in recognition for his outstanding service to the Department. In October 2009, George was the recipient of the 2009 Award of Merit for Professional Excellence for his professional and technical excellence in Railroad Policy development and his contribution to the State's High Speed Rail Initiative.

Prior to joining IDOT, Mr. Weber worked for Amtrak from 1980 through 1991. He began his career with Amtrak in Chicago serving as a Trainmaster in the busy Chicago terminal until 1986 when he relocated to Albany, New York to assist in the takeover by Amtrak of the train and engine crews from the various railroads. He also served in similar operational capacities in St. Cloud, Minnesota and Denver, Colorado before accepting the position with the State of Illinois.

Mr. Weber began his railroad career in 1977 with Conrail as a Block Operator before advancing to a Yardmaster's position with both Conrail and Amtrak. George was a member of the US. Army from 1969 through 1972 and completed his military stint with an 18 month tour in Vietnam. George will be the co-manager of the project for the Illinois DOT.

Amanda Martin

Freight and Passenger Policy Coordinator Office of Rail Transportation Iowa Department of Transportation 800 Lincoln Way Ames, IA 50010

515.239.1653

amanda.martin@dot.iowa.gov

Ms. Martin is the responsible for both freight and passenger rail policy coordination for the Iowa DOT. Her responsibilities include coordinating and promoting passenger rail activities in Iowa, representing Iowa at the MWRRI (Midwest Regional Rail Initiative), preparing report/summaries of passenger rail information for external and internal customers, coordinating with the FRA & Amtrak on the development of new passenger rail service, giving presentations about passenger rail to internal and external audiences and managing and monitoring all new passenger rail projects. Over the past 12 years Amanda has worked on several planning projects covering the modes of aviation, transit, highway and railroad. Before joining the Office of Rail Transportation, Amanda managed Iowa's 9 MPOs (Metropolitan Planning Organizations) and 18 RPAs (Regional Planning Affiliations). Due to the work with the MPOs and RPAs, she is very familiar with several federal funding programs through FTA & FHWA and their electronic accounting management programs (e.g. TEAM & FMIS). Amanda has a B.S. in Community and Regional Planning from Iowa State University.

Amanda will be the Program Coordinator for Iowa DOT.

b) Organizational Requirements During Construction

The staff listed below will support the PMT during the construction phase of the Program. This staff has primary responsibility for the construction activities associated with the Program. Actual Program staffing may vary depending upon on the inspection needs determined by the Construction Engineer.

Title	Primary Responsibilities
Construction Engineer	The Construction Engineer is responsible for management of the field staff that provides construction and materials inspection. This responsibility includes oversight on contract administration issues, compliance of materials, quality of work performed, and approval of non-substantial change orders. The Construction Engineer will provide field input into construction related problems for process improvements. The Construction Engineer will also maintain a close working relationship with all involved parties. The Construction Engineer reports directly to the Program Co-Managers.
Construction Field Staff	These staff report to the Construction Engineer and are responsible for: <ul style="list-style-type: none"> a. Ensuring contract work is completed in compliance with the plans, specifications, and contract documents. b. Interacting with the general public, contractors, suppliers, cities, and counties. c. Performing Program audits and preparing as-builts for review. d. Documenting the contractor’s progress and construction activity to ensure an accurate record is kept. e. Performing materials sampling, inspection, and quality control testing activities.

Equipment Inspectors	Equipment inspectors will review the construction and perform inspections on new equipment at the point of manufacture to ensure that it meets the contracted requirements. The equipment inspectors will also be responsible for ensuring the entity performing operations and equipment maintenance meets the required maintenance criteria.
----------------------	--

3) Program Management Budget

More detailed information about the financial plan including budget and schedule is located in the Project Financial Plan included in the Application. A summary of the relevant portions of the FRA "Category 80" budget, which includes project management and administration costs is shown below.

PROFESSIONAL SERVICES - (FRA "Category 80" Costs)	
Preliminary Engineering/Project Environmental	\$4,962,800
Final Design	\$12,196,900
Project Management for Design and Construction	\$5,769,600
Construction Administration & Management	\$3,919,700
5% Contingency	\$1,342,450
Total	\$28,191,500

Throughout the Program the Iowa DOT and Illinois DOT will provide periodic updates to the project budget and schedule. Detailed budget information is available in the Budget and Schedule Form; property acquisition, utility relocation costs are included in the Application, under budget "Category 40."

4) Construction Schedule

Construction is scheduled to start in year 2013 and last through year 2014. The following is a summary of the proposed construction schedule for the 12 projects. A detailed Program schedule is included in the Service Development Plan in Chapter 6.

Construction Schedule	2013				2014			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Illinois Track Improvements								
Iowa Track Improvements								
Illinois Train Control & Comms								
Iowa Train Control & Comms								
Geneseo, Illinois, Station								
Iowa City, Iowa, Station								
Moline, Illinois, Station								
Iowa City, Iowa, Layover Facility								
Colona, Illinois, Improvements								
Rock Island, Illinois, Yard Bypass								
Wyanet Connection								
Eola Yard Improvements								

As the Program advances, the team will look for ways to accelerate the schedule. Commissioning of each phase of the project is included in its respective construction schedule.

A detailed construction schedule will be developed as part of the design for each individual project.

5) Document Control Procedures

As lead agency, the Iowa DOT will maintain the official Program record throughout development of the Program with all members of the PMT having access to its information. There is a Program directory on the internal Iowa DOT computer server where all of the active Program information will be stored. This Program directory will be used throughout the development, design, and construction of the Program.

Iowa DOT also maintains an electronic records management system (ERMS) that is utilized to store Program development records. At the close of a Program, the Program directory will be archived and all final development reports and documents will be stored in the ERMS system. Contract administration and construction field records will also be maintained by the Iowa DOT.

A document control matrix will be used track individual documents submitted as a part of the Project Delivery Plan. A sample of the Document Control Matrix is shown below.

<u>Item Submitted</u>	<u>File Name</u>	<u>Location within file</u>	<u>Submission Date to FRA</u>	<u>Version #</u>
			<u>xx/xx/xxxx</u>	

6) Change Order Procedures

Fundamentally, the goal of the PMT is to deliver a project with no change orders. Ensuring that all parties to a given contract have a thorough and consistent understanding of the scope, schedule, and budget *before* a contract is awarded is a key step to elimination of change orders. A thorough design process by personnel experienced with the affected design disciplines will help the Program reduce the likelihood of change orders during construction. However, when issues arise necessitating a change in project scope, schedule, or budget, the project will follow a pre-determined change order process.

Where a specific project is let by a state DOT or municipality, that entity's change order process will be followed, so long as that process is compliant with the applicable state and federal acquisition regulations. However, on Program-level contracts, the Iowa DOT will be responsible for contract letting and any subsequent change orders.

Change order steps for each agency include written notification to the affected consultant, internal staff, project team and the Financial Team with a detailed explanation describing the nature of the change and its purpose, a cost estimate for the change, and the impact of the change on the schedule. A sample change order form is included in Appendix C.

Some projects will be let by the host railroads. Prior to letting such contracts, the DOT will meet with the host railroad to ensure that the railroad's contracting process complies with the applicable acquisition requirements from letting (bidding), to execution, to close-out. The DOT responsible for a specific project will be involved with any change orders to help verify that the railroads are working as good stewards of the public funds invested.

7) Quality Control and Quality Assurance

Iowa DOT and Illinois DOT have established quality control and quality assurance procedures which will be observed in all work let by the DOTs.

During the development phase of the Program, the quality of the design is checked at major milestones to ensure the plans, specifications and estimates are well-coordinated and present a biddable set of construction documents. During the construction phase, normal construction quality assurance/quality control audit and oversight will be undertaken. In addition the following enhanced procedures will be implemented:

- An individual within the district offices will be responsible for coordinating with the field inspectors to process materials certifications, approved materials quantities, and material test results.
- An individual from the district offices will be responsible for visiting the site during construction to perform an audit. The audit will include a review of all pay quantities, material certifications, material sources, and material test results.
- An individual from the district offices will perform periodic reviews during construction to audit contractor payments and quality assurance/quality control testing and reporting.

The PMT will oversee Quality Assurance and Quality Control (QA/QC) for projects developed and let by the host railroads. To ensure the goals of the Program and of individual projects are fulfilled, as

part of the quality control process, the PMT will provide inspectors and auditors to verify the quality of the work performed and to verify that the quantity of the work performed matches the contractual scope and the invoiced amounts.

The PMT will be responsible for QA/QC overall systems integration and integration, particularly with respect to railroad signal and Positive Train Control (PTC) implementation. This will be a particularly important element, since the PTC system installed on IAIS must be fully interoperable with both BNSF and Amtrak systems, and must be able to effect seamless handoffs between all three railroads. In this regard, not only must the hardware be compatible, but the configuration of the software and data protocols must be compatible. The QA/QC process for the systems components will begin during the design development phase, and will continue through design, contract letting, commissioning phases of the work.

8) Materials Testing Policies and Procedures

Materials testing for individual projects let under public agencies will be performed in accordance with the agencies' respective testing programs. To the extent possible, pre-qualified products and suppliers will be used. In addition, field personnel will provide inspection to evaluate compliance with contract requirements. Non-complying test results will be documented with a non-compliance notice, such as the sample including in Appendix D. A summary of non-complying results will be maintained and updated with each progress voucher.

Prior to approving progress payments, field personnel will review contractor submittals to ensure appropriate documentation with respect to materials testing is on file to support payment. This includes material approval documentation, certified payrolls, and other submittals required by the contract. A sample certified payroll form is included in Appendix E. When documentation deficiencies are noted, payment will be withheld for the affected items until the deficiencies are corrected. The contractor will be advised in writing of payments that are withheld and the reason for withholding for each progress voucher.

9) Internal Plan Implementation/Reporting Procedures

The implementation and reporting procedures are intended to provide an overview of the steps the PMT will take to ensure the Program proceeds smoothly, and that accurate records are kept to document all major decisions.

Upon Notice to Proceed from the Federal Railroad Administration, a detailed schedule outlining all major activities and milestones will be developed for the Program. Leads for individual projects will be responsible for developing their respective project schedules (e.g., final design, environmental documentation, construction) and milestones in an integrated manner that achieves the schedule goals of the Program schedule.

a) Design

During the final design phase of the Program, all Program reporting is handled at the PMT level. Each office reports at the meetings on progress and issues that may need to be addressed. In addition, when the host railroads are involved, their information will be documented as part of the design effort. The PMT minutes will document any issues discussed and decisions made during the meetings.

b) Construction

The administration of a major Program such as this Program involves significant documentation requirements. Examples of these requirements include measurements to support payments, material test results, civil rights compliance, environmental compliance, accident reporting, and working day reports. The purpose of these reports is to provide regular updates on the status of costs, schedule, significant changes, and quality management during the construction of a Program. These documentation requirements and others will be utilized for the Program.

c) Costs

Overall Program costs will be reported on a monthly basis by the PMT.

The construction costs will be reported following each progress voucher. The report is generated from field personnel and includes a summary of Program and item level costs. The original Program quantity/amount, current Program quantity/amount, and paid to date quantity/amounts are available in this report.

d) Schedule

The status of working day charges for each individual project is available from a report generated following each progress voucher. The report lists the original and current number of working days allowed, the number of working days charged, and the percent of time used. A contractor furnished construction progress schedule will be required for this Program. The schedule will be discussed at each regular coordination meeting, and updates will be required, as appropriate. A summary of forecasted work will be included in the minutes of the coordination meetings.

e) Significant Changes

A summary report of modifications to the individual projects or contracts within the Program will be available. The status of each modification, the items involved, and the total amount will be reported. The report will include sufficient description, reason, and cost and time justification to adequately document the change.

f) Quality Management

Field personnel will provide inspection to evaluate compliance with contract requirements. Non-complying test results will be documented with a non-compliance notice. A summary of non-complying results will be maintained and updated after each progress voucher.

Prior to approving progress payments, field personnel will review contractor submittals to ensure appropriate documentation is on file to support payment. This includes material approval documentation, certified payrolls, and other submittals required by the contract. When documentation deficiencies are noted, payment will be withheld for the affected items until the deficiencies are corrected. The contractor will be advised in writing of payments that are withheld and the reason for withholding for each progress voucher.

g) Communications

Successful Program management requires effective communications between all parties. Critical communications including preconstruction conferences, regular coordination meetings, public notices, and dispute resolution meetings will be documented and distributed to all parties. The distribution of these reports will include appropriate staff responsible for monitoring the Program and the effective implementation of the PMP.

10) Testing Criteria

The testing criteria will be developed on a project-specific basis for each individual project. In some cases, such as for track construction, the testing will be quite simple, since the quality of the work and conformance to contract criteria can often be determined by construction observation, materials testing, and by geometry car trips. In other cases, the testing of individual projects can be quite complex. For example, testing of the Positive Train Control systems and electronic air brake systems for conformance with contract requirements, as well as for conformance to the system safety plan, regulatory requirements, and operational testing will, of necessity, be an involved procedure with a detailed validation process. For such complex systems, detailed procedures will be written to guide the testing process.

11) Program Management Plan Updates

The PMP is a living document and will be updated on an annual basis, at major milestones throughout the lifetime of the project, or when the Program Co-Managers determine an update is warranted. Initial updates to the PMP which add relevant details will be made once a funding agreement is signed with the Federal Railroad Administration. The FRA will be sent copies of the updates at regular intervals.

12) Periodic Budget and Schedule Updates to the FRA

The PMT will provide periodic updates to the Federal Railroad Administration throughout the life of the project. The updates to the FRA will be made on a monthly basis. The updates will include a status of the Program budget, and budgets for individual projects which are underway, the schedule, the progress made and milestones reached since the last update, the work anticipated to be completed prior to the next update, and any problems that have arisen since the last updated.

Appendix A

PMT Checklist

PMT RESPONSIBILITY CHECKLIST

Notes

This checklist briefly explains when Districts are to establish a project management team (PMT) and outlines the team's responsibilities. For the basic agenda for PMT meetings, see the subsequent checklist.

B.1 ESTABLISHMENT OF PMTS

Districts are responsible for ensuring that PMTs are established for all projects requiring an environmental document. Specifically, this requirement applies to all environmental assessments (EAs), findings of no significant impact (FONSI), and environmental impact statements (EISs) but not to categorical exclusions (CEs).

B.3 SPECIFIC PMT RESPONSIBILITIES

PMTs are to accomplish the following in keeping with project needs. Note that some of the PMT responsibilities outlined in this checklist are concurrent rather than linear.

- 1. Assist in developing a project concept that meets the purpose and need statement for the project.
- 2. Prepare and maintain a project schedule.
 - a. Provide the project schedule to the scheduling engineer, who shall:
 - Incorporate it into the production schedule.
 - Maintain a list of projects with a PMT and the members assigned to each team.
 - b. Revise the schedule.
- 3. Request that the Office of Location & Environment determine the appropriate level of environmental documentation.
- 4. Determine the level of detail for the public involvement and establish the process.
 - a. Establish the public involvement process in accordance with Chapters 5 and Chapter 6, Guide to Public Involvement – Parts I and II, respectively.
 - b. Identify the external customers and their level of involvement.
 - c. Identify the affected agencies, such as federal agencies, cities, counties, and emergency providers.
 - d. Implement an early and ongoing public involvement process.

Notes

- 5. Prepare a project cost estimate.
 - a. Provide the cost estimate to the Highway Division management team (HDMT) for approval.
 - b. Provide justification for changes to the HDMT for approval.
- 6. Initiate and manage the value engineering (VE) process.
 - a. Determine the applicability of VE.
 - “Carry out a value engineering analysis during the design phase for all projects on the NHS with an estimated total cost of \$25 million or more.” (Refer to 23 U.S.C. 106 (g)(2) and 23 C.F.R. 627 for further guidance on the applicability of VE.)
 - Use VE where it would be advantageous to the project, regardless of the project size or federal requirements.
 - b. Determine the appropriate time to initiate a VE study. Opportunities are, at a minimum, during corridor evaluation and design evaluation.
 - c. Establish a schedule for preparing the final VE report.
 - d. Provide a copy of the VE schedule to the scheduling engineer.
 - e. Assign a value engineering team in one of three ways (as necessary for flexibility and maximum opportunities):
 - Option 1 (recommended): Request that the value engineering team be assembled from internal resources.
 - Option 2 (recommended): Request that the VE process be outsourced or compose the team of a combination of internal and external resources.
 - Option 3: Use PMT members. A PMT-staffed VE study may be the most practical for selected issues. If this option is used:
 - Ensure that all members serving on the value engineering team have received VE training.
 - Do not include the PMT member and the District representative in the area being studied. For example:
 - If the VE study is to evaluate the corridor or alignment phase, the PMT representative from Corridor Development and the district planner from the area being studied may not serve on the value engineering team. Any other resource individual from Corridor Development and another district planner may be designated to replace them.
 - If the VE study is to evaluate a design element, the PMT design engineer and the assistant district engineer (ADE) may not serve on the value engineering team. Any other design engineer and another ADE may be designated to replace them

Notes

- f. Forward requests for a value engineering team to the value engineering coordinator in the Engineering Bureau of the Highway Division. The value engineering coordinator then has the following responsibilities:
 - Arrange for resources (internal and/or external).
 - Obtain the necessary review documents and meeting location.
 - Assemble the value engineering team as requested.
 - Provide support (process and programmatic) to the PMT.
 - Monitor VE activities throughout Iowa DOT to ensure that studies are conducted when required by 23 C.F.R. 627.
- g. Define the boundaries (scope) of the VE study.
- h. Ensure that the value engineering team has all appropriate and relevant project information available for its review.
- i. Oversee the process to keep the report of findings within the predefined scope.
- j. Implement the results of the VE study.
 - Provide the value engineering coordinator with a copy of the final value engineering report and a list of recommendations to incorporate into the project.¹
 - Alternatively, provide written comments to the value engineering coordinator as to why a VE recommendation was not incorporated into the project.
- 7. Provide general project coordination.
 - a. Order the traffic analysis and turning movements.
 - b. Ensure that the following peripheral functions are provided with continuous access to project information and are included in the decision-making process in their areas of responsibility:
 - Support Services Bureau* – utilities involvement
 - Modal Division* – railroad agreements
 - Support Services Bureau* – city and county agreement needs
 - Office of Traffic & Safety* – reviews and determinations
 - Office of Local Systems* – local government agencies
 - Office of Contracts* – contract packaging
 - Statewide Operations Bureau* – specifications and special provisions

¹ Federal regulations require that Iowa DOT file an annual Value Engineering Report containing a summary description of each VE project, formal VE recommendations, a list of recommendations implemented, and estimated cost savings realized from VE. (Refer to FHWA Policy Guide G6011.9 and the Value Engineering Web site at www.fhwa.dot.gov/ve/index.htm for additional information.)

Notes

- 8. Monitor and manage project development.
 - a. Monitor the project schedule of the assigned project to ensure that individual tasks are started and completed within the allotted time.
 - b. Make resource requests to appropriate office directors to ensure that internal and/or external resources are available to meet scheduling commitments.
 - c. Maintain a fiscally constrained project by adhering to the cost estimate.
 - d. Conduct meetings on a regular basis.
 - e. Maintain formal minutes. If possible, store the PMT meeting minutes in electronic files that are available (most likely as Read-Only) to those who have access to the Nterprise network.²
 - Provide information as to where project information can be obtained.
 - Provide paper copies to those few who do not have electronic connectivity.
 - f. Distribute the minutes to:
 - Engineering Bureau director
 - Scheduling engineer
 - Office directors in the Engineering Bureau
 - g. Maintain other business files. If possible, store the information in electronic project files that are available (most likely as Read-Only) to those who have access to the Nterprise network.

² For the sake of simplicity, a folder called “Can-Do Projects” could be created on the Nterprise drive. Subfolders could be created using the project number, and individual data files, such as the PMT minutes for a specific project, could be stored in the appropriate subfolders.

Appendix B

PMT Meeting Agenda Checklist

PMT MEETING AGENDA CHECKLIST

Notes

The following checklist¹ can be used as an agenda for PMT meetings to ensure that key development issues are discussed and tracked.

- 1. Review the project schedule, which should follow the Can-Do scheduling described in Chapter 2.

- 2. Review the development status.
 - a. Concept and corridor development progress
 - b. Design
 - c. Soils
 - d. Structures
 - Pinks
 - Type, size, and location (TS&Ls)
 - e. Ground survey
 - f. Environmental review
 - NEPA document (CE, EA/FONSI, EIS)
 - Cultural and historic surveys
 - Wetland surveys
 - Regulated materials surveys
 - Threatened and endangered species (T&E) surveys
 - g. Land corner survey
 - Corner certificates
 - Acquisition plats
 - h. Right-of-Way (ROW)
 - Relocation parcels
 - Layout
 - Reinforced-concrete box (RCB) parcels
 - Owner-tracking list (names and addresses)

- 3. Review project costs.

¹ Information provided in this checklist was developed by the Office of Design – Consultant Coordination Section.

- 4. Review the coordination status.
 - a. Traffic
 - Estimate
 - Traffic control review
 - b. Utilities involvement
 - c. Railroad and recreation trail agreements
 - d. City and county project agreements
 - e. Access reviews
 - f. Contract packaging
 - g. Value engineering
 - h. Lighting and signing
 - i. Public involvement
 - j. Interchange review (including interchange justification report, if needed)

Notes

Appendix C

Sample Change Order Form



Iowa Department of Transportation

Change Order

Non-Substantial:

Part Non-Part

No. _____

Substantial:

Concurrence Date _____

Contract Accounting ID No.: _____

County _____

Project No: _____

Kind of Work: _____ Date Prepared: _____

Contractor: _____

You are hereby authorized to make the following changes to the contract documents.

A - Description of change to be made or extra work to be done:

B - Reason for change or extra work:

(Continued on reverse side)

Approved _____ Date _____
District Construction Engineer Project Engineer Date

Receipt is acknowledged of this change or extra work and terms of settlement are hereby agreed to.

Approved contingent upon funds being available under the existing project agreement or upon additional Federal-aid funds being made available by a modified project agreement.

Contractor

By _____ Date _____

Date For the Division Administrator
Federal Highway Administration

Approved _____ Date _____
Assistant Construction Engineer

DISTRIBUTION: Project Engineer – Forward original to District.
District – Nonsubstantial – Forward original and one copy to the Office of Construction and two copies back to the Project Engineer.
- Substantial - Forward original and two copies to the Office of Construction.

C-1 –Settlement for cost of work to be made as follows:

Change Order No. _____

C-2 – Justification for cost(s)

D – ITEMS INCLUDED IN CONTRACT

Change No.	Line Item Number	Unit Price .xxx	Quantity .xxx	Amount .xx	If Credit Add "CR"
7					
7					
7					
7					
7					
7					
7					
TOTAL					

E – ITEMS NOT INCLUDED IN CONTRACT

Change No.	Item Description	Item Number	Function Code	Unit Price .xxx	Quantity .xxx	Amount .xx	If Credit, Add "CR"
8							
8							
8							
8							
8							
8							
8							
TOTAL							

Appendix D

Sample Non-Compliance Statement Form



Iowa Department of Transportation
NONCOMPLIANCE NOTICE

Contractor _____ Project No. _____

County _____ Contract ID No. _____ Date _____ Time _____

To: _____
(Name) (Title) (Signature)

You are hereby notified that the following observation and/or test noted _____

and is a violation of Article _____

The test data value is _____

and the specification limits are _____

Additional tests may be performed.

The violation identified in this notice shall be ceased and/or corrected. This may require a modification of current practices or removal and replacement of materials, including labor, at no cost to the Contracting Authority.

You are to determine corrective action necessary.

You are to determine if you wish to discontinue operations until the violation is corrected or additional tests confirm or refute this failing test.

Remarks: _____

Correction: _____

Signed: _____
Inspector

Appendix E

Sample Certified Payroll Form

Contractor _____
 Address _____
 Subcontractor _____
 Address _____
 Type of Work _____



Iowa Department of Transportation

**CERTIFIED
 TRANSCRIPT OF LABOR PAYROLL**

FOR USE ON ALL
 FEDERAL AID PROJECTS

Payroll No. _____ Sheet ____ of ____
 For Week Ending _____
 County _____, Iowa
 Contract ID No. _____
 Date of Letting _____ Wage Decision No. _____

Line No.	EMPLOYEE <i>(Include name & identifying number such as last four digits of employee's SSN)</i>	WORK CLASSIFICATION <i>(See Wage Decision for Title & Minimum Rate)</i>	ST or OT	Hours Worked Each Day							Total Hours	Rate Per Hour	Gross Amount Earned On This Project	Gross Amount Earned On All Work This Week	Deductions				Net Amount Earned
				S	M	T	W	T	F	S					Soc. Sec. Tax	Fed. W/H Tax	State W/H Tax	Other Approved Deductions <i>(Itemized)</i>	
1.																			
				Fringe Benefits <i>(if any)</i> if Paid in Cash															
				Total															
2.																			
				Fringe Benefits <i>(if any)</i> if Paid in Cash															
				Total															
3.																			
				Fringe Benefits <i>(if any)</i> if Paid in Cash															
				Total															
4.																			
				Fringe Benefits <i>(if any)</i> if Paid in Cash															
				Total															
5.																			
				Fringe Benefits <i>(if any)</i> if Paid in Cash															
				Total															
6.																			
				Fringe Benefits <i>(if any)</i> if Paid in Cash															
				Total															
7.																			
				Fringe Benefits <i>(if any)</i> if Paid in Cash															
				Total															
8.																			
				Fringe Benefits <i>(if any)</i> if Paid in Cash															
				Total															
9.																			
				Fringe Benefits <i>(if any)</i> if Paid in Cash															
				Total															

This space may be used for totals, footnotes, remarks, etc.

STATEMENT OF COMPLIANCE

COUNTY _____

PAYROLL NO. _____

I, _____, _____ do hereby state:
Name of signatory party Title

(1) That I pay or supervise the payment of the persons employed by _____
Contractor or subcontractor

on the Contract ID No. _____, that during the payroll period commencing on the _____ day of _____,

_____ , and ending the _____ day of _____ , _____ , all persons employed on said project have
(Year) (Year)

been paid the full weekly wages earned, that no rebates have been or will be made either directly or indirectly to or on behalf of said

_____ from the full weekly wages earned by any person and that no deductions have been
Contractor or subcontractor

made either directly or indirectly from the full wages earned by any person, other than permissible deductions as defined in Regulations, Part 3 (29CFR Subtitle A), issued by the Secretary of Labor under the Copeland Act, as amended (48 Stat. 948, 63 Stat. 108, 72 Stat. 967; 76 Stat. 357; 40 U.S.C. 276c), and described below:

See Deductions Column of this Payroll

(2) That any payrolls otherwise under this contract required to be submitted for the above period are correct and complete; that the wage rates for laborers or mechanics contained therein are not less than the applicable wage rates contained in any wage determination incorporated into the contract; that the classifications set forth therein for each laborer or mechanic conform with the work performed.

(3) That any apprentices employed in the above period are duly registered in a bona fide apprenticeship program registered with a State apprenticeship agency recognized by the Bureau of Apprenticeship and Training, United States Department of Labor, or if no such recognized agency exists in a State, are registered with the Bureau of Apprenticeship and Training, United States Department of Labor.

- (4) That:
- (a) WHERE FRINGE BENEFITS ARE PAID TO APPROVED PLANS, FUNDS OR PROGRAMS
 In addition to the basic hourly wage rates paid to each laborer or mechanic listed in the above referenced payroll, payments of fringe benefits as listed in the contract have been or will be made to appropriate programs for the benefit of such employees, except as noted in Section 4(c) below. Details of the fringe benefit plan, fund or program shall be furnished to the contracting authority upon request. The submittal shall include description of benefits, amount paid and if applicable, name of Trustee or third person to whom benefits were paid.
 - (b) WHERE FRINGE BENEFITS ARE PAID IN CASH
 Each Laborer or mechanic listed in the above referenced payroll has been paid as indicated on the payroll, an amount not less than the sum of applicable basic hourly wage rate plus the amount of the required fringe benefits as listed in the contract, except as noted in section 4(c) below.
 - (c) EXCEPTIONS

EXCEPTION (CRAFT)	EXPLANATION
Remarks	
Name and Title	Signature Date

The willful falsification of any of the above statements may subject the contractor or subcontractor to civil or criminal prosecution. See Section 1001 of Title 18 and Section 231 of Title 31 of the United States Code.

NOTE-

Whenever possible the name of employees shall be grouped on the payroll transcript under their appropriate classification:

1. Supervisory and administrative (if included)
2. Skilled labor
3. Intermediate labor
4. Unskilled labor

Payroll transcripts are to be submitted to the project engineer within seven days from the end of the period covered.

The prime contractor shall be responsible for the submission of copies of payrolls of all subcontractors. See Required Contract Provisions, Form FHWA-1273.

Date Rec'd Project Engineer's Office _____

Checked by *(If Applicable)* _____

STATEMENT BY PRIME CONTRACTOR *(If Applicable)*

This payroll for our subcontractor was received on _____

_____, and to the best of our knowledge is correct and complete. It was

(Year)

forwarded to the office of the project engineer on _____ ,

(Year)

Signed _____

Title _____