



U.S. Department of Transportation
Federal Highway Administration

Project Management Plan Guidance Update

*FHWA Office of Infrastructure
Major Projects Team*

June 21, 2017

Agenda

1. What is the purpose of the FHWA project management plan?
2. Why and how was the guidance updated?
3. What is in the new guidance?
4. How should the guidance be implemented?
5. Questions and input from participants

Project Management Plan Purpose

As outlined in 23 USC 106(h)(2), the project management plan is a “roadmap” for managing a major project’s scope, costs, schedule and quality

- Serves as a **guide** for implementing a major project
- Clearly **defines** roles, responsibilities, procedures, processes, and resources necessary to deliver the project on time and on budget, while maximizing safety and quality, in a manner that maintains public trust, confidence and support

Why was the guidance updated?

- Better align with the current practices adopted by many project sponsors and outlined in the Project Management Institute's Project Management Book of Knowledge (PMBOK)
- Streamline requirements to provide project sponsors more flexibility when developing project management plans
- Address Office of the Inspector General recommendations from 2015 Major Projects Audit
 - Clarify when the project management plan should be updated
 - Document FHWA assessment of project management plan implementation by project sponsor

Why was the guidance updated?

- Clarify requirements for non-traditional procurements
 - Provides definition of project sponsor
 - Outlines expectations for plans with multiple project sponsors
- Supersede the January 2009 Project Management Plan Guidance

How was the guidance updated?

- FHWA review of current project management plan best practices and input from stakeholders
- Draft guidance posted in Federal Register on Nov. 7, 2016
 - Received comments from PA, TX, FL, NY and WI DOTs
 - Comments related to review/approval, OINCCs, projects requiring project management plans, multiple project sponsors
- Final guidance posted in Federal Register Notice on May 22, 2017
 - Includes FHWA responses to comments received from the Nov. 7 Federal Register Notice
- Implementation Webinars
 - June 14, 2017 – FHWA only
 - June 21, 2017 – FHWA & External Stakeholders

What Is in the Guidance?

Projects That Require a Project Management Plan

- **Major Projects**

The recipient of Federal financial assistance for a Title 23 project with a minimum estimated total cost of \$500 million or a project that has been identified as a major project

- **Operationally Independent and Non-Concurrent Construction Projects (OINCC)**

When a project sponsor plans to spread construction of a project over such a long period that it is reasonable to treat portions of the overall project as separate and independent projects for purposes of determining whether major project requirements apply

Additional Project Management Plan Considerations

■ Phasing

- If the project sponsor determines that there are insufficient financial resources immediately available to complete the entire project as defined in the National Environmental Policy Act (NEPA) decision document, financial plans may identify a phasing plan that will address the purpose and need of the overall project in the short term
- Project management plans should include the entire scope of the project's NEPA decision document

Additional Project Management Plan Considerations

■ **Project Sponsor Definition**

- The agency or other entity, including any private entity that provides funding for the project and administers any construction or construction engineering/inspection activities for the project.
- When a private entity is responsible for submitting the project management plan, the plan should be coordinated with the public Project Sponsor

■ **Multiple Project Sponsors**

- Prepare a single project management plan with the executive leadership endorsement signed by all sponsors

OR

- Prepare separate plans describing each project sponsor's portion of the project; however, each plan should be coordinated, consistent, and submitted to FHWA for approval at the same time

Project Management Plan Submittal Process

- **Plans should be submitted and approved by FHWA prior to the approval of the Initial Financial Plan for construction**
- **Executive Leadership Endorsement**
 - A written endorsement of the plan by the project sponsor's executive leadership
 - Sample included in Attachment A of Guidance

Project Management Plan

Submittal Process

FHWA Review and Approval

1. The plan will be submitted to the FHWA Division Office by the project sponsor
2. The Division will coordinate with the FHWA Major Projects Team for review and approval
3. Approval will be based upon a compliance review that will evaluate the documented procedures and processes to manage the project and the project management team roles
4. The FHWA will determine a plan's acceptance (with comments and/or an approval) no later than 60 days after the document is received by the Major Projects Team
5. The Division provides approval to project sponsor after receiving concurrence from the Major Projects Team

Project Management Plan Updates

- All project management plan updates should be submitted to FHWA
- Plans with Significant Changes
 - Require revised plan to be submitted to FHWA for Division approval with Major Projects Team concurrence
 - Defined as:
 - Organizational structure changes in the sponsor's project management team
 - Change to project management procedures or processes from those that were identified and approved in the current plan

Project Management Plan Contents

2017	2009
<ol style="list-style-type: none"> 1. Project Purpose, Goals, Objectives and Metrics 2. Project Description 3. Project Procurement 4. *Project Organizational Management 5. Project Management Controls (Contract Administration, Change Management, Claim Management, Scope, Cost, Schedule, *Risks, and *Quality) 6. *Project Communications Management. 7. *Project Documentation & Reporting 8. Project Closeout 9. *Project Oversight 10. *Management of Project Management Plan 11. *Other Possible Sections (as necessary) 	<ol style="list-style-type: none"> 1. Project Descriptions and Scope of Work. 2. Goals and Objectives. 3. Project Organizational Chart, Roles, and Responsibilities 4. *Project Phases 5. Procurement and *Contract Management 6. *Cost Budget and Schedule 7. *Project Reporting and Tracking 8. *Internal and External Stakeholder Communications 9. Project Management Controls (Scope, Cost, Schedule, Claims, etc.) 10. *Design Quality Assurance/Quality Control (QA/QC) 11. *Construction Quality Assurance/Quality Control (QA/QC)
<p>★ *Changes in red</p>	

Project Management Plan Contents

2017	2009
<p>Attachments:</p> <ul style="list-style-type: none">A. Sample Project Sponsor EndorsementB. Project Management Plan Checklist	<ul style="list-style-type: none">12. *Environmental Monitoring13. *Right of Way14. *Safety and Security15. *Traffic Management16. *Project Communications (Media and Public Information)17. *Civil Rights Program18. Closeout Plan19. Project Documentation20. Other Possible Sections21. Appendices22. Executive Leadership Endorsement23. Project Management Plan Checklist

1. Project Goals, Objectives, and Metrics

- Describes the project purpose, i.e. rationale for the project that is consistent with NEPA Purpose and Need statement
- Identifies project goals, i.e. long term vision for the project
- Describes project objectives, i.e. specific, measurable, short term actions that outline the "who, what, when, where, and how" of a project
- Outlines project metrics, i.e. project targets and tracking requirements

2. Project Description

- Provides narrative description of project scope
- Includes
 - Map
 - Date of NEPA Decision Document(s) (month/year)
- Documents OINCC determinations, if applicable
- Includes detailed description of the project phases if phasing plan is presented in financial plan

3. Project Procurement

- Describes how the Project Sponsor will or has acquired services such as environmental studies, design and construction
- Summarizes how procurement decisions are to be made including selection of consultants and /or contractors and contracting and delivery methods to be utilized

4. Project Organizational Management

- Outlines the organization structure for the project and define the roles and responsibilities of the project team
- Provides graphical representation of the organization such as organizational chart

5. Project Management Controls

- Describes project management controls for the project
- Documents how and when project performance is reported
- Addresses the following controls
 - Contract Administration: Discusses how the Project Sponsor will document, monitor and control contract administration activities for the project, including change management and claims management process
 - Scope: Documents the processes for defining, tracking, and controlling overall project scope

5. Project Management Controls

- Addresses the following controls (cont.)
 - Cost: Outlines how the Project Sponsor will document, monitor, and control project cost
 - Schedule: Documents processes and tools used for tracking schedule, identifying scheduled deviations, and addressing schedule issues
 - Risks: Discusses how the Project Sponsor will document, monitor, and control project risks
 - Quality: Discusses how the Project Sponsor will document monitor and control all aspects of project quality throughout the life of the project

6. Project Communications Management

- Addresses processes and procedures to ensure effective communications between project team members and stakeholders
- Outlines how informal and formal communications will be conducted and managed

7. Project Documentation & Reporting

- Describes how project records will be managed
- Discusses how lessons learned will be tracked throughout the life of the project and the final documentation of all lessons learned

8. Project Closeout

- Outlines the processes and procedures for contract closeout plan
- Discusses the requirements for a coordinated transition from the construction phase to the operations and maintenance phase

9. Project Oversight

- Documents the oversight roles and responsibilities of both the Project Sponsor(s) and FHWA to effectively manage the Federal requirements applicable to the project, including review and approval actions
- References existing program level stewardship and oversight agreements between the Project Sponsor and FHWA (e.g., FHWA/State DOT Oversight Agreement)

10. Management of Project Management Plan

- Outlines the processes and procedures for maintaining and updating the project management plan
- Describes how the Project Sponsor will ensure that the roles, responsibilities, procedures, and processes in the project management plan are current and being implemented
- Identifies the project management team member responsible for managing the project management plan.

11. Other Possible Sections

- Other sections and/or appendices may be added to the project management plan as appropriate
 - Additional sections should enhance the management of the project and ensure that project goals and objectives are met
 - Sections should be added for aspects of the project that pose a significant risk and/or require processes and procedures that are unique to the project
- Additional sections may include civil rights, right of way, utilities, environmental monitoring, project agreements, and dispute resolution

How Should the Guidance Be Implemented?

Implementation of New Guidance

- Effective May 22, 2017
- All new project management plans and project management plans updates should be submitted to meet the requirements of the new guidance

Expectations of Project Sponsor

- Submit project management plans in accordance with the new guidance
- Include signed certification
- Address comments from FHWA in a timely manner
- Proactively coordinate with FHWA regarding issues or concerns

Expectations of FHWA Division Office

- Ensure project management plans are submitted according to appropriate schedule
- Coordinate communication between project sponsor(s) and FHWA HQ such as resolution of comments
- Ensure that plan meets requirements outlined in guidance
 - Ensure that the scope of the major project is consistent with the environmental document
 - Verify the processes and commitments in project management plan are consistent with project implementation
 - Monitor the need for updates and FHWA approvals.
- Submit completed checklist to FHWA HQ
- Provide approval to project sponsor

Expectations of FHWA HQ

- Ensure project management plan meets project management plan guidance requirements
- Coordinate comments with the Division Office
- As needed, participate in conference calls to coordinate the resolution of comments
- Provide technical assistance to project sponsor in developing project management plan
- Provide concurrence to Division Office

Project Management Plan Resources

Guidance:

<https://www.fhwa.dot.gov/majorprojects/pmp/guidance.cfm>

Federal Register Notice:

<https://www.federalregister.gov/documents/2017/05/22/2017-10262/project-management-plan-guidance>

Project Management Plan Examples:

<https://www.fhwa.dot.gov/majorprojects/pmp/resources.cfm>

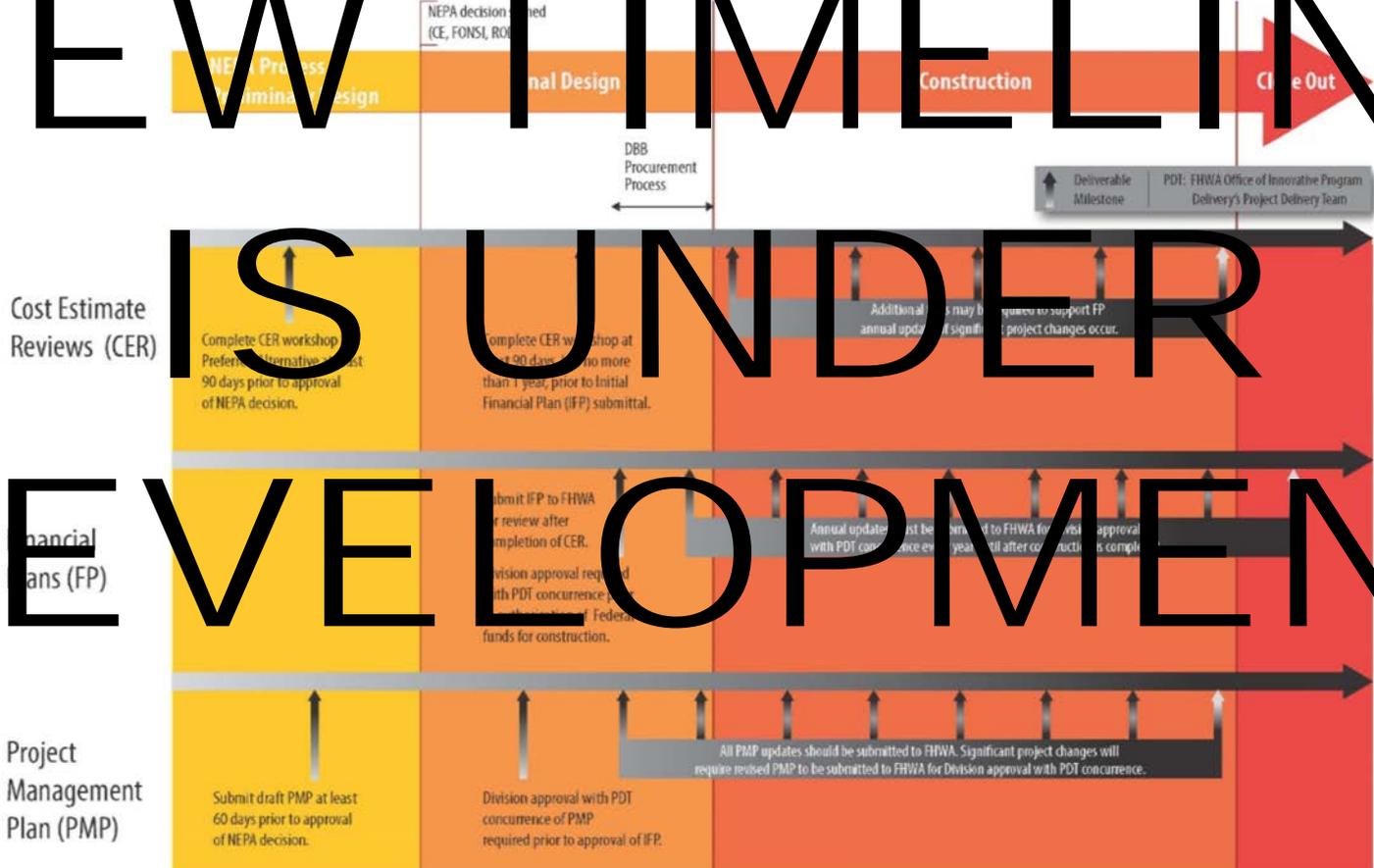
Timeline

Major Projects Deliverable Timeline for Design-Bid-Build (DBB) Projects



NEW TIMELINE

IS UNDER DEVELOPMENT



Contact Information

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Office of Infrastructure

Major Projects Team

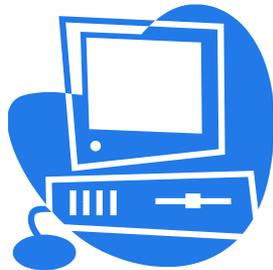
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Questions & Input

Submit a question using the chat box



Or



Dial *6 to call in your question by phone