

Appendix C

Sample Questionnaire

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 or on Project Team – note that the questions are tailored to the position within the organization.

VP ENGINEERING

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 Engineering 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 the AGENCY Engineering Dept. What resources, if any are available for this project from the AGENCY Office of Engineering?
8. What level of personal involvement do you anticipate in the following project activities?
 - a) Environmental monitoring and reporting
 - b) ROW acquisition
 - c) Grants administration
 - d) Project Controls
 - e) Design submittal reviews
 - f) QA/QC
 - g) Safety
 - h) Final acceptance
 - i) CO negotiation
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?
12. Do you envision AGENCY staff beyond that described in PMP dated __? Will this staff be adequate?
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)

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- 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 is your role in addressing those challenges?
16. 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?
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. 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 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) Environmental monitoring and reporting
 - b) IGA interpretation/compliance
 - c) Third Party coordination (treat these individually)
 - d) ROW acquisition
 - e) Grants administration
 - f) PMP updating
 - g) Project Controls (AGENCY staff)
 - h) Contract administration
 - i) Estimating
 - j) CO/Claims
 - k) Consultant oversight
 - l) DBE monitoring
 - m) Document control
 - n) Reporting

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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 Engineering Dept.
12. Do you envision AGENCY staff beyond that described in PMP? 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 & SAFETY 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
 - 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?

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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 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 Engineering, 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.)?
24. Has the QPP 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 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?

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?

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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
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 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 Engineering, Project Director, all Dep. 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 RAIL 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

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- 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?
 12. Please describe your interface with: VP Engineering, 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 PMP? Do you have any concerns about 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?

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- a) Management of environmental mitigation compliance during design and construction. Explain reporting process.
 - b) Management of coordination with local, state and federal agencies. ROW acquisition. Identify key entities and contact personnel.
 - c) Management of "Before and After Study".
 - d) Development and execution of project agreements. Identify major agreements that you would be responsible for developing and executing.
 - e) Coordination with regional transportation plan. What are your responsibilities in this area?
 - f) Coordination with other active Federal, State and county projects.
 - g) Coordination of ROW acquisition.
 - h) 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?
 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**
- **Director of the Office of Major Capital Projects**
- **Etc.**

