

# STATEMENT OF WORK

[insert applicant/grantee name]

[insert project name]

## FY14 Grant Application Solicitation – Positive Train Control Implementation Projects

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### I. BACKGROUND

*Instructions: The “Background” section of the SOW is intended to provide a consistent frame of reference to the applicable solicitation and funding source of all grants/cooperative agreements awarded funding by the FRA. This section also provides high-level overview information regarding the project and applicant/grantee.*

On July XX, 2014, the Federal Railroad Administration (FRA) issued a Notice of Funding Availability (NOFA) in the Federal Register soliciting applications for positive train control implementation (PTC) projects. The appropriations authority to fund PTC implementation projects under this solicitation was provided by Congress under the FY14 Omnibus Appropriations Act.

In response to the NOFA, the [insert applicant/grantee name] (the “Grantee”) submitted an application for [insert project name] (the “Project”). The FRA reviewed the Grantee’s application against the eligibility, evaluation, and selection criteria outlined in the NOFA. On the basis of this evaluation, the FRA selected the [insert applicant/grantee name] for an award, through a cooperative agreement between FRA and the Grantee, of \$[insert amount] for the Project.

*The applicant/grantee should provide no more than two additional paragraphs capturing the following information: a brief statement regarding the purpose of the PTC project, the transportation challenge the project aims to address, any other Federal funding committed to the project, and any other existing or pending projects related to the delivery or benefits/outcomes of the project.*

### II. OBJECTIVE

*Instructions: The “Objective” section of the SOW is intended to provide a clear description of the work that will be accomplished under the grant/cooperative agreement.*

The objective of this Grant/Cooperative Agreement is for the Grantee to [insert a brief description of the project that will result from the proposed scope of work].

The Project will consist of the following: [Describe the project components in bullets]

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Completion of the [insert project name] will result in improved [insert the safety, transportation, and other public benefits/outcomes that will result from the project].

### III. PROJECT LOCATION

*Instructions:* The “Project Location” section of the SOW is intended to provide information related to the geographic location of the project. Research and development projects should indicate the location where the R&D activities are occurring, as well as the location of where the project may be deployed (if known).

The Project is located in [insert city/town, county, state, university, etc.]

### IV. DESCRIPTION OF WORK

*Instructions:* The “Description of Work” section breaks out the scope of work for the project into discrete tasks, which assists both the applicant/grantee and FRA in the administration and oversight of the project. Each task typically specifies a standard set of deliverables necessary to satisfy FRA’s requirements for the task and allow the grantee to proceed to subsequent tasks. Due to the varying nature of PTC projects, FRA is only prescribing the requirements for the first task. Applicants/grantees should use their best judgment to logically organize their scope of work into separate tasks.

#### **Task 1: Detailed Project Work Plan, Budget, and Schedule**

For this initial task, the Grantee will prepare a Detailed Project Work Plan, Budget, and Schedule for the following tasks. The project work plan will describe, in detail, the activities and steps necessary to complete the tasks outlined in the statement of work. The work plan will also include information about the project management approach (including team organization, team decision-making, roles and responsibilities and interaction with FRA), as well as address quality assurance and quality control procedures. In addition, the work plan will include the project schedule (with grantee and agency review durations), a detailed project budget, and an environmental class of action recommendation memorandum (if applicable). If the Grantee needs to secure an agreement with the host railroad to access the railroad’s property and perform the engineering, environmental, or construction activities, the executed agreement should be included with the work plan. Similarly, agreements governing the maintenance of the project should also be included. The Detailed Project Work Plan, Budget, and Schedule will be reviewed and approved by the FRA.

The Grantee acknowledges that work on subsequent tasks will not commence until the Detailed Project Work Plan, Budget, and Schedule has been completed, submitted to FRA, and the Grantee has received approval in writing from FRA. The FRA will not reimburse the Grantee for costs incurred in contravention of this requirement.

#### ***Task 1 Deliverables:***

- Detailed Project Work Plan, Budget, and Schedule
- Project Agreements (if applicable)

**Task 2: [insert task name]**

[insert a description of the task and the deliverables that will be completed under the task]

**Task 2 Deliverables:**

- [insert names of required deliverables to be completed under this task]
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**Task 3: [insert task name]**

[insert a description of the task and the deliverables that will be completed under the task]

**Task 3 Deliverables:**

- [insert names of required deliverables to be completed under this task]
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- Final Performance Report (the final deliverable listed in the “description of work” section of the SOW must be the Final Performance Report. This report must be submitted within 90 days of the end of the grant’s period of performance and should describe the cumulative activities of the project, including a complete description of the Grantee’s achievements with respect to the project objectives and milestones)

**V. PROJECT SCHEDULE AND DELIVERABLES**

*Instructions:* The “Project Schedule and Deliverables” section outlines the period of performance for the grant/cooperative agreement and provides a concise table listing all of the deliverables required for the applicable tasks covered under the grant/cooperative agreement and their submission due date to FRA. The applicant/grantee must list every deliverable required for each applicable task, as well as any other deliverables FRA may require.

The period of performance for all work will be approximately [number] months, from [month/year] to [month/year]. The deliverables associated with this Grant/Cooperative Agreement are listed below. The Grantee must complete these deliverables to FRA’s satisfaction in order to be authorized for funding reimbursement and for the Project to be considered complete.

<u>#</u>	<u>Deliverable Name</u>	<u>Related Task</u>	<u>Due Date</u>
1			Month Day, Year
2			
3			
4			
5			
6			
7			

**VI. PROJECT ESTIMATE/BUDGET**

*Instructions: The “Project Estimate/Budget” section outlines the initial cost estimate for the project by task and by funding source. Both methods are required and necessary to assess project costs. The “funding source” estimate should list all funding sources contributing to the project (e.g. the FRA grant subject to this SOW, other FRA or Federal grants, the grantee’s contribution, and contributions from all other project partners).*

The total estimated cost of the Project is \$[amount], for which the FRA grant will contribute up to [percent amount]% of the total cost, not to exceed \$[amount]. Any additional expense required beyond that provided in this grant to complete the Project shall be borne by the Grantee.

Note: FRA will consider salvaged rail and materials as program income under 49 C.F.R. 18.25. The Grantee will apply the deductive method as described in 49 C.F.R. 18.25 unless otherwise instructed by FRA. The Grantee will report program income quarterly as part of the SF-425 Federal Financial Report.

**Project Estimate by Task**

<b>Task Number</b>	<b>Task Name</b>	<b>Total Cost</b>
1		\$
2		\$
3		\$
4		\$
<b>Total Project Cost</b>		<b>\$</b>

**Project Estimate Contributions**

<b>Funding Source</b>	<b>Project Contribution Amount</b>	<b>Percentage of Total Project Cost</b>
FRA Grant	\$	%
Grantee	\$	%
Project Partner 1	\$	%
<b>Total Project Cost</b>	<b>\$</b>	<b>%</b>

The Grantee will prepare the detailed Project budget as outlined in Task 1, which when approved by FRA, will constitute the Approved Project Budget. Revisions to the Approved Project Budget shall be made in compliance with Attachment 2, section 4 of the Cooperative Agreement.

## VII. PROJECT COORDINATION

*Instructions:* The “Project Coordination” section identifies all the project partners, funding recipients and sub-recipients, and other entities that possess responsibility for the implementation of the project.

The Grantee shall perform all tasks required for the Project through a coordinated process, which will involve affected railroad owners, operators, and funding partners, including:

- [list parties other than the Grantee]
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- FRA

## VIII. PROJECT MANAGEMENT

*Instructions:* The “Project Management” section identifies all actions the applicant/grantee will perform to ensure the effective management and oversight of the project.

The Grantee is responsible for facilitating the coordination of all activities necessary for implementation of the Project. Upon award of the Project, the Grantee will monitor and evaluate the Project’s progress through regular progress meetings scheduled throughout the Project’s duration. The Grantee will:

- Participate in a project kickoff meeting with FRA
- Complete necessary steps to hire a qualified consultant/contractor to perform required Project work
- Hold regularly scheduled Project meetings with FRA
- Inspect and approve work as it is completed
- Review and approve invoices as appropriate for completed work
- Perform Project close-out audit to ensure contractual compliance and issue close-out report
- Submit to FRA all required Project deliverables and documentation on-time and according to schedule, including periodic receipts and invoices
- Comply with all FRA Project reporting requirements, including, but not limited to:
  - a. Status of project by task breakdown and percent complete
  - b. Changes and reason for change in project’s scope, schedule and/or budget
  - c. Description of unanticipated problems and any resolution since the immediately preceding progress report
  - d. Summary of work scheduled for the next progress period
  - e. Updated Project schedule
- [list any other project management activities that may be necessary for the Project]