HONOLULU AUTHORITY for RAPID TRANSPORTATION

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EXECUTIVE DIRECTOR AND CEO

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Board of Directors Meeting
Ali'i Place, Suite 150
1099 Alakea Street, Honolulu, Hawaii
(meeting room entrance on Richards Street)
Thursday, January 16, 2014 8:30 am

Agenda

I. Call to Order by Chair

II. Public Testimony on All Agenda Items

III. Approval of Minutes of the December 19, 2013 Board of Directors Meeting

IV. Contractors' Disadvantaged Business Enterprise Efforts

V. Update on HART/Ansaldo/Department of Transportation Services/Oahu Transit Services Working Group

VI. Presentation on Fiscal Year 2015 Capital Budget – Planning and Right of Way

VII. Fare Study Workshop Presentation

VIII. Discussion of November and December 2013 Monthly Progress Reports

IX. Construction Update

X. Traffic Update

XI. Litigation Update

XII. Executive Director and CEO's Report

XIII. Executive Session
Pursuant to Hawaii Revised Statutes Section 92-4 and Section 92-5(a)(4), the Board may enter into Executive Session to consult with its attorneys on questions and issues on a matter pertaining to the Board's powers, duties, privileges, immunities and liabilities.

XIV. Adjournment

Note: Persons wishing to testify on items listed on the agenda are requested to register by completing a speaker registration form at the meeting or online on the HART section of the www.honolulutransit.org website. Each speaker is limited to a **two-minute** presentation.

Persons who have not registered to speak in advance should raise their hands at the time designated for public testimony and they will be given an opportunity to speak following oral testimonies of the registered speakers.

Any physically challenged person requiring special assistance should call (808) 768-6258 for details at least three days prior to the meeting date.

HART-OTS-DTS Working Group

Summary and Update

January 16, 2014

Overview and Purpose of HART-OTS-DTS Working Group

- Formed in April 2013
- Consists of Representatives from HART, OTS and DTS, plus other relevant agencies and organizations
- Conduct research, prepare and present data and documentation, and identify opportunities for coordination and cooperation between HART, OTS and DTS as it relates to seamless intermodal operations between Rail, TheBus and TheHandi-Van.

Working Group Members

- Meeting regularly since June 2013
- Various agencies & departments represented, including:
  - CCH Department of Transportation Services (DTS), Chair of Working Group
  - Honolulu Authority for Rapid Transportation (HART)
  - Oahu Transit Services (OTS)
  - CCH Department of Information Technology (DIT)
  - Ansaldo Honolulu Joint Venture (AHJV)
  - Innovative Paradigms (Paratransit services)
  - Other stakeholders and partners

Working Group Activity to date

- Monthly updates from sub-committees
- Presentations on a wide variety of topics:
  - Fare Collection Study Update
  - Bike Share System Planning
  - Transit Oriented Development (TOD)
  - NACTO Urban Street Design Guide
- Investigations, Research, Studies
- Information Sharing

Working Group Accomplishments and Ongoing Activities

- Multimodal Fare Collection Study started in September
- DIT and HART collaboration on computer data needs and fiber cable distribution
- Station Design and TOD coordination ongoing and expanding to include more stakeholders
- Bus-Rail Service Integration Planning
  - Service level planning for 2017 and 2019
  - Physical integration of bus and rail service
- Rail Station Walk Audits
  - Focus on Access and TOD opportunities

Multimodal Fare Collection Study

- Implement a “next generation” regional fare collection system
- Enable interoperability between TheBus, paratransit service (Handi-Van), and the Honolulu Rail System
- Have a fare collection system in place for the Honolulu Rail System opening in 2017
- Consultant in place since September 2013
- Regular meetings with oversight team that includes DTS, HART, OTS, DIT and Ansaldo

Bus-Rail Integration Planning

- Ensure physical and operational compatibility between bus and rail
- Involve HART, DTS, OTS and other stakeholders
- Ensure connections (bus stops, transit centers, route changes, etc) are in place for the start of rail in 2017
- Ensure rail station designs meet the needs of all users and into the future (Station Access Planning)

Bus-Rail Service Integration Planning

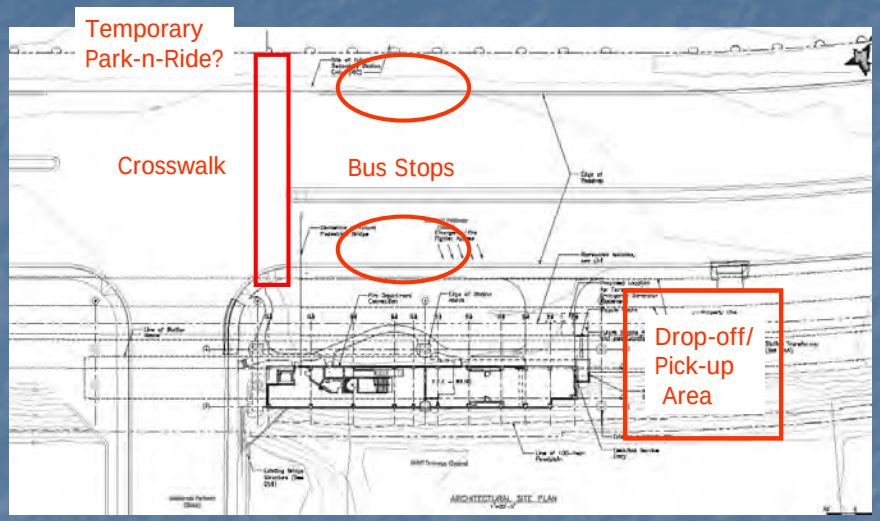
Station Access Planning

2017 Bus-Rail Operations
Bus Service Costing Exercise

Weekday		Saturday		Sunday		State Holiday		Current Allocation of Route Costs		
Current	Proposed	Current	Proposed	Current	Proposed	Current	Proposed	Marginal Cost	Fixed Cost	Total Cost
$95,125,625	#NAME?	$14,426,761	#NAME?	$13,695,237	#NAME?	$1,482,089	#NAME?	$124,729,713	$57,763,634	$182,493,347

Route	Proposed Status	Weekday		Saturday		Sunday		State Holiday		Current Allocation of Route Costs		
		Current	Proposed	Current	Proposed	Current	Proposed	Current	Proposed	Marginal Cost	Fixed Cost	Total Cost
A	Re-Route	$4,334,839	#NAME?	$570,135	#NAME?	$442,339	#NAME?	$50,729	#NAME?	$5,398,041	$2,499,889.41	$7,897,931
C	Re-Route	$3,244,313	#NAME?	$618,615	#NAME?	$662,313	#NAME?	$57,485	#NAME?	$4,582,726	$2,122,308.39	$6,705,035
D	New Route	$0	#NAME?	$0	#NAME?	$0	#NAME?	$0	#NAME?	$0	$0.00	$0
E	Status Quo	$2,148,108	$2,148,108	$258,478	$258,478	$262,215	$262,215	$43,309	$43,309	$2,712,109	$1,256,006.26	$3,968,116
1	Status Quo	$4,420,036	$4,420,036	$1,092,284	$1,092,284	$788,240	$788,240	$105,947	$105,947	$6,406,507	$2,966,920.46	$9,373,428
1L	Status Quo	$1,773,240	$1,773,240							$1,773,240	$821,205.90	$2,594,446
2	Status Quo	$5,097,070	$5,097,070	$946,844	$946,844	$943,922	$943,922	$87,923	$87,923	$7,075,759	$3,276,858.19	$10,352,618
2L	Status Quo	$494,144	$494,144							$494,144	$228,843.41	$722,988
3	Status Quo	$4,136,045	$4,136,045	$605,753	$605,753	$465,452	$465,452	$56,684	$56,684	$5,263,934	$2,437,782.65	$7,701,716
4	Status Quo	$2,678,603	$2,678,603	$351,975	$351,975	$350,683	$350,683	$35,728	$35,728	$3,416,989	$1,582,443.28	$4,999,432
5	Status Quo	$412,355	$412,355	$79,646	$79,646	$81,560	$81,560	$7,375	$7,375	$580,936	$269,037.38	$849,973
6	Status Quo	$2,229,897	$2,229,897	$414,554	$414,554	$247,072	$247,072	$38,362	$38,362	$2,929,885	$1,356,860.27	$4,286,745
7	Status Quo	$1,092,797	$1,092,797	$152,118	$152,118	$104,408	$104,408	$14,864	$14,864	$1,364,187	$631,769.46	$1,995,957
8	Status Quo	$1,844,806	$1,844,806	$372,999	$372,999	$402,489	$402,489	$35,293	$35,293	$2,655,586	$1,229,829.69	$3,885,416
9	Status Quo	$2,530,928	$2,530,928	$336,392	$336,392	$266,466	$266,466	$34,331	$34,331	$3,168,117	$1,467,187.91	$4,635,304
9s	Status Quo	$395,315	$395,315	$85,829	$85,829	$89,530	$89,530	$7,947	$7,947	$578,623	$267,966.13	$846,589
10	Status Quo	$629,324	$629,324	$84,345	$84,345	$90,593	$90,593	$7,970	$7,970	$812,233	$376,153.40	$1,188,386
11	Status Quo	$820,166	$820,166	$139,009	$139,009	$129,381	$129,381	$12,871	$12,871	$1,101,427	$510,082.38	$1,611,509
13	Status Quo	$4,050,848	$4,050,848	$791,758	$791,758	$770,174	$770,174	$59,707	$59,707	$5,672,487	$2,626,987.87	$8,299,474
14	Status Quo	$711,113	$711,113	$170,422	$170,422	$183,046	$183,046	$12,024	$12,024	$1,076,605	$498,587.17	$1,575,192
15	Status Quo	$516,864	$516,864	$83,851	$83,851	$90,062	$90,062	$7,741	$7,741	$698,517	$323,490.57	$1,022,008
16	Status Quo	$82,925	$82,925							$82,925	$38,403.61	$121,329
17	Status Quo	$416,899	$416,899	$71,978	$71,978	$61,901	$61,901	$7,123	$7,123	$557,900	$258,369.47	$816,270
18	Status Quo	$308,982	$308,982	$55,158	$55,158	$55,790	$55,790	$5,565	$5,565	$425,496	$197,051.83	$622,548
19	Status Quo	$2,540,016	$2,540,016	$435,825	$435,825	$468,374	$468,374	$43,881	$43,881	$3,488,097	$1,615,373.99	$5,103,471

Rail Station Walk Audits



Summary of Recommendations (1 of 2)

#	Station	Recommendation	Stakeholders	Issues
1	East Kapolei	Bus stops on Kualakai Pkwy	HDOT, City	Coordinate with HDOT on location and design
2	East Kapolei	Crosswalk on Kualakai Pkwy	HDOT, City	Coordinate with HDOT on location and design
3	East Kapolei	Drop-off/Pick-up area (off street)	HDOT, HART, City	HDOT access to Kualakai Parkway
4	East Kapolei	Extend bike path and connect with bike lanes	HDOT, City, DHHL	Add bike lanes on streets, work with HDOT on bike path
5	East Kapolei	Temporary Park-and-Ride	UHWO, HDOT, HART, DHHL?	Coordinate with UHWO or DHHL
6	UH West Oahu	Bus stops on Campus Access Road	UHWO, City	Coordinate with UHWO on location and design. Ensure buses can go through to Farrington.
7	UH West Oahu	Drop-off/Pick-up area within Park-and-Ride	HART, UHWO	Ensure design includes space for kiss-and-ride and Handi-Van
8	UH West Oahu	Extend bike path and connect to Ho'opili, add bike lanes to streets	HDOT, City, DLNR, UHWO	Add bike lanes on streets, work with HDOT on bike path
9	West Loch	Improve ped and bike access around station	HDOT, City	Follow recommendations of previous studies (e.g. bike plan, station access report)
10	West Loch	Connect to Pearl Harbor Bike Path	HDOT, City	May require easement through private property
11	West Loch	Pursue TOD opportunity above parking	HART, City	Not a catalytic project, but could be a good opportunity
12	Waipahu TC	Provide more capacity on Hikimoe for bus transfers	City	Consider closing street to non-transit vehicles, widen sidewalks
13	Waipahu TC	Regulate parking on Moloalo St to provide room for drop-off & pick-up traffic	City	Regulation and enforcement
14	Waipahu TC	Improve ped and bike access around station	HDOT, City	Follow recommendations of previous studies (e.g. bike plan, station access report)
15	Waipahu TC	Add lighting to improve perception of safety	City	

HART-OTS-DTS Working Group

Goal:

The best multimodal transit system in the U.S.

Mahalo!

HART Permitted Interaction Group
Fare Study Workshop Curriculum

SESSION 1- Open session with Board (Non-PIG) January 16, 2014

TOPIC	LEARNING OBJECTIVE
	Presenter: Trevor Finley, CH2M Hill
Fare 101	• Introduction of the CH2M Hill team • Purpose of study; goals and objectives • The reason for fares – why we have them
	Presenter: Roger Morton, OTS

Understanding the Current System	• System Statistics
	  o Bus facts and stats
	• Rider Classes
	  o Types of riders

	Presenter: Roger Morton, OTS

TheBus Fare Structure	• Adult cash fare
	• Transfers
	• Passes
	• Discounted fares
	• Handi-Van fare structure
	  o Qualification process
	  o Reservation process
	  o Role of Taxis
	• Special passes and programs
	  o Types of passes and why
	• Percentage of each fare type used

	Presenter: Roger Morton, OTS

Fare Collection	• Bus Farebox
	  o Current GFI farebox
	  o How it works
	  o What data is collected
	  o Maintenance
	• Cash handling
	  o How is cash collected
	  o How is it processed
	• Deposits

Notes

Open Session – Full Board

Permitted Interaction Group

HONOLULU RAIL TRANSIT PROJECT

November 2013

Cost, Schedule, Risk data date 10/25
Other Activities 11/30

MONTHLY PROGRESS REPORT

HART

HONOLULU AUTHORITY for RAPID TRANSPORTATION

www.HonoluluTransit.org

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1 EXECUTIVE SUMMARY.

1.1 Key Activities This Month

The Honolulu Authority for Rapid Transportation (HART) selected CH2M Hill, Inc. to provide General Engineering Consultant (GEC) support services. The $46.1 million five-year contract covers the following work: oversight support for design review; scheduling and cost estimating; environmental and planning; and interface management. The contract's scope of work reflects HART's more active role in implementing and managing all design and construction contracts by focusing on more specialized areas where expertise is needed.

Hundreds of Jobs Generated by Rail
Since the rail transit project resumed construction in September of this year, more than 900 people are directly employed to construct the rail system. Additionally, the project is creating indirect jobs in businesses providing goods and services to those working on the project.

Economists expect even more employment – known as induced employment – to be generated by the overall expansion of Oʻahu's economy as a result of construction activity. The number of jobs is expected to rise even higher as work progresses throughout the alignment, including construction and design of the operations and control center, the 21 rail stations and several park-and-ride facilities. In addition, transit-oriented development (TOD) is expected to generate more jobs well into the future.

TOD Plans Unveiled
Earlier this month, the City and County of Honolulu unveiled plans for TOD around the 21 rail stations and sought input from the public about what they would like to see in these TOD communities. Some ideas included restoring existing main streets as well as creating more parks and bike lanes.

1.2 Key Current Issues

Archaeological Inventory Survey (AIS) Reports and Review
The Data Recovery Plan for City Center was submitted to the State Historic Preservation Division (SHPD) for review and approval on October 28. The deadline for public comments on this plan is December 2. The Archaeological Monitoring Plans for Airport and City Center, and the City Center Burial Treatment Plan are being prepared for submittal to SHPD.

Coordination with SHPD and the Oʻahu Island Burial Council (OIBC) as well as outreach to descendant families continue on the seven iwi kūpuna (human skeletal remains) discovered previously during the City Center AIS field work. All seven iwi kūpuna continue to be protected in place.

State Lawsuit
The State of Hawaiʻi First Circuit Court approved a stipulation of the parties on June 19, 2013, which resolved the remaining issues in the case. The Final Judgment remains to be entered by the court; upon entry of the Final Judgment the case will be concluded.

Federal Lawsuit
On November 7, the Plaintiffs filed an objection to the Notice of Compliance that the three required additional studies had been completed. The objection was only to the Beretania Street Tunnel Alternative analysis. The U.S. District Court has set a status/scheduling conference for December 11 in San Francisco. Any conference memoranda must be filed by December 4.

The Limitations on Claims Notice for the Honolulu Rail Transit Project was published in the November 1 Federal Register. Claims seeking judicial review must be filed on or before March 31, 2014.

Oral arguments in the U.S. Ninth Circuit Court of Appeals were heard on August 15 in San Francisco. The judgment in this case is still pending.

1.3 Project Scope Status Overview

There have been no project scope changes; the project scope continues to reflect the Final Environmental Impact Statement (FEIS), Record of Decision (ROD) and Full Funding Grant Agreement (FFGA). While the scope has not changed, the Contract Packaging Plan (CPP) is being modified with certain facility design and construction work re-packaging.

1.4 Project Schedule Status Overview

Despite the AIS delay, HART is implementing measures to maintain the March 30, 2019 full revenue service date (RSD), 10 months ahead of the January 31, 2020 FFGA RSD. The March 2019 RSD is the milestone date reflected in the FFGA Master Project Schedule (MPS) and is consistent with all FFGA request submittals.

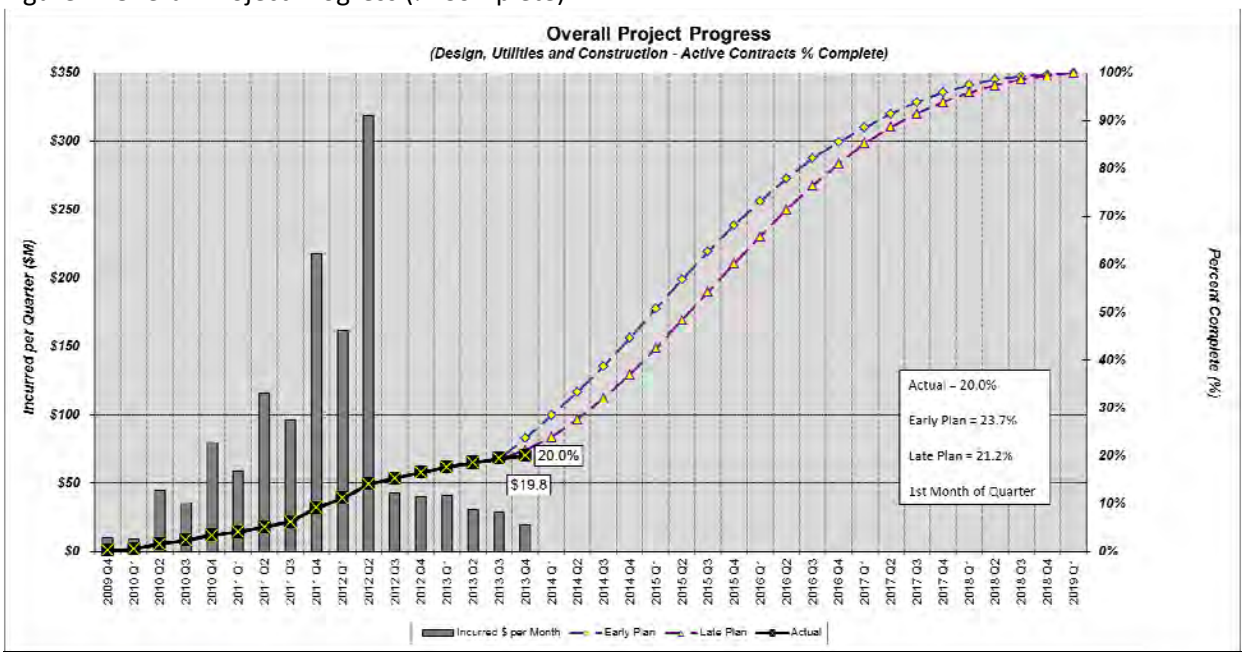
HART continues to closely monitor and manage the MPS and all key milestones. In an effort to mitigate the AIS delay, several contract packages are being combined to maximize economies of scale and reduce interface needs between design and construction contractors to achieve both cost and schedule benefits. HART continues to work with contractors to refresh the MPS as a result of the approximately 1-year construction delay. These updates are displayed in the latest Summary MPS on page 21 and Procurement Tracking Reports starting on page 26.

1.5 Project Progress Overview

Overall project, construction, design and utilities progress is presented below and on the following pages in terms of actual versus planned percent complete by quarter, in accordance with the FFGA MPS and Project Budget. Individual construction, design and utilities contract status is presented in Sections 3.2 through 3.5 of this report.

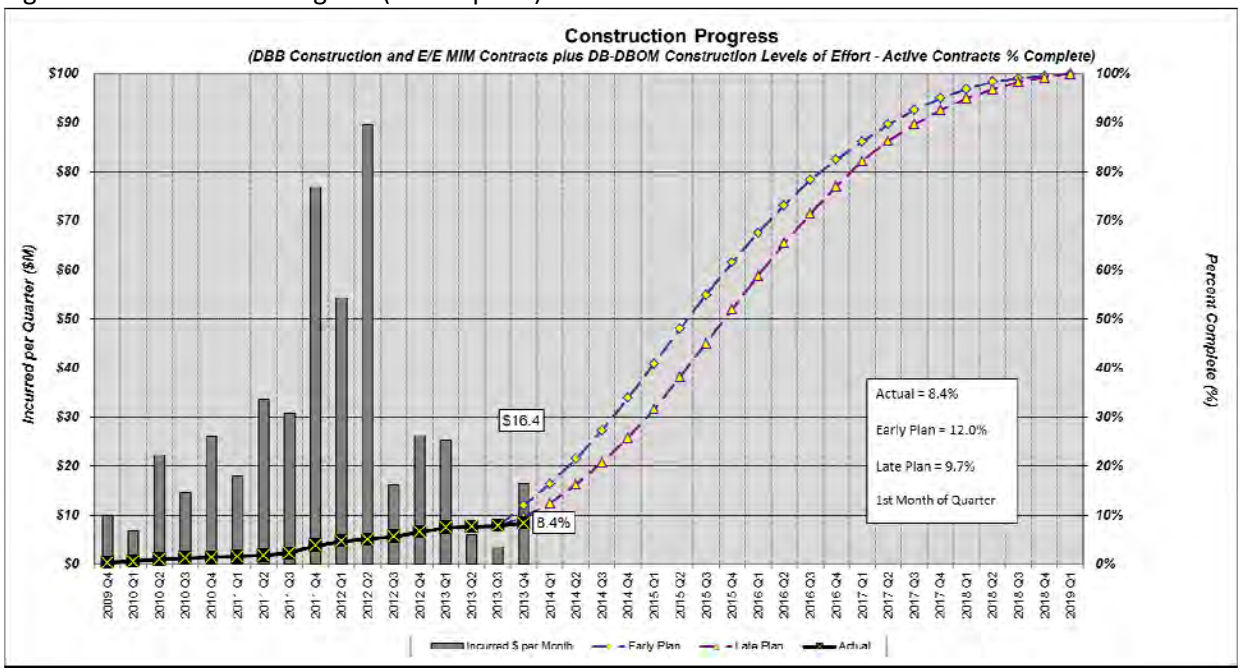
At present "overall" project progress is based on the weighted value progress of the individual construction and design contracts (Design-Build [DB], Design-Bid-Build [DBB], Design-Build-Operate-Maintain [DBOM], Elevator/Escalator Manufacture-Install-Test-Maintain [MIM], Final Design [FD] and DB-DBOM design levels of effort), not including City or non-design consultant labor. Overall Project Progress reflects all project elements as budgeted. Utilizing the existing Project progress method through October 25, 2013, progress is 20%, versus the early plan of 23.7% and the late plan of 21.2%, as shown in Figure 1.

Figure 1. Overall Project Progress (% Complete)



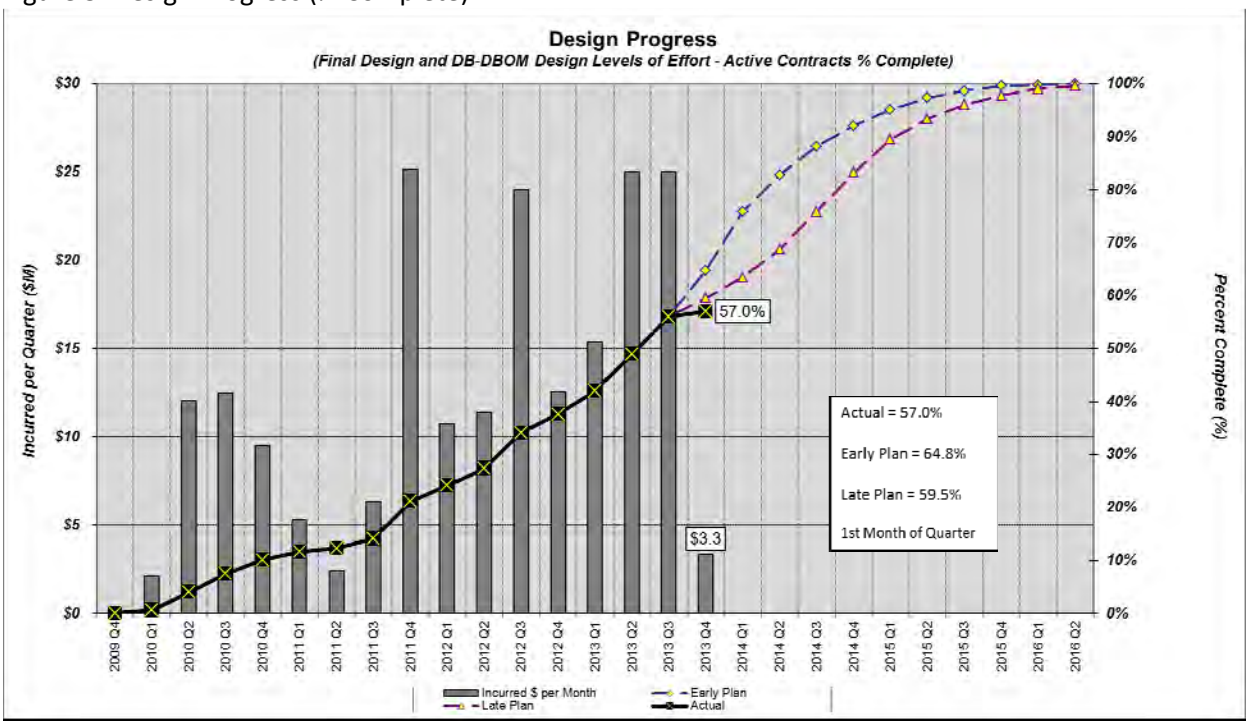
Overall construction progress as of October 25, 2013 is 8.4%, versus the early plan of 12% and the late plan of 9.7%, as shown in Figure 2 below. Overall construction progress is based on the weighted average progress of the individual DBB and E/E MIM construction contracts and the DB-DBOM construction levels of effort, not including consultant construction engineering and inspection (CE&I) services.

Figure 2. Construction Progress (% Complete)



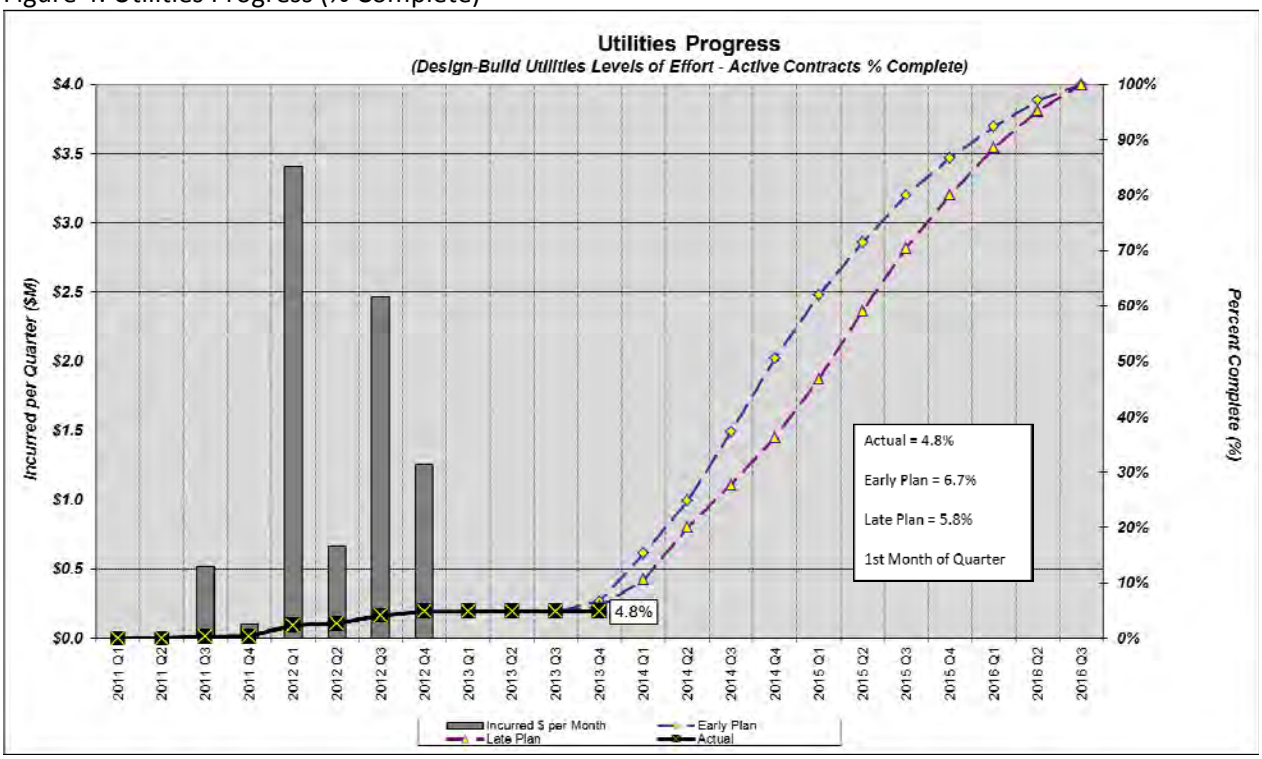
Overall design progress through October 25, 2013 is 57.0%, versus the early plan of 64.8% and the late plan of 59.5%, as shown in Figure 3 on the next page. Overall design progress is based on the weighted average progress of the individual FD contracts and the design levels of effort of the DB and DBOM construction contracts, not including City or non-design consultant labor.

Figure 3. Design Progress (% Complete)



Overall utilities progress through October 25, 2013 is 4.8%, versus the early plan of 6.7% and the late plan of 5.8%, as shown in Figure 4 below. Overall utilities progress is based on the weighted average progress of the DB utilities levels of effort.

Figure 4. Utilities Progress (% Complete)



1.6 Financial Status Overview

1.6.1 Project Budget

The total incurred cost (actual expenditures plus approved requests for payment) as of October 25 was $789M, or 18.4% of the FFGA Current Project Budget (excluding contingencies and finance charges) of $4.296B.

The total committed amount as of October 25 was $2.411B, or 56.1% of the FFGA Current Project Budget (including awarded design contract allowances of $5.9M, but excluding uncommitted contingencies and finance charges).

The total amount Authorized for Expenditure (AFE) by way of Notices to Proceed (NTPs) was $1.57B, or 36.6% of the FFGA Current Project Budget (excluding uncommitted contingencies and finance charges). During this reporting period, HART issued multiple Notices to Proceed per the Figure 5 table below. In addition to the NTPs, two Change Orders and a Contract Amendment were executed during the month of October as detailed in the table below. For the period, there is a total AFE increase of $44.7M as the result of the issued NTPs, executed Contract Changes, and Contract Amendment.

Figure 5. Total Authorized for Expenditure (AFE) Increase

Notices to Proceed			
Contract		Scope	Amount ($)
FD-550	Dillingham and Kakaʻako Station Group	NTP 1B	4,593,942
FD-240	Farrington Highway Stations Group	NTP 1.2	1,756,031
FD-430	Airport Sect. Guideway/Utilities FD	NTP 3A	5,892,216
FD-440	Airport Station Group FD	NTP 3	2,623,356
MM-915	HDOT Consultant	NTP 4	200,000
MM-935	Real Estate Consultant	Multiple Task Orders	11,429
MM-940	Kakoʻo Consultant	Task Order No. 08	35,026
MM-946	On-Call Hazmat Contractor	NTP 2	600,019
UTIL	Utilities by Utility Companies	Multiple NTPs	1,320,000
Change Orders/Cost Adjustment			
DB-120	West Oʻahu Farrington Hwy DB	CO 00037	(24,815)
DBOM-920	Core Systems DBOM	CO 00005	27,124,854
FD-530	City Center Guideway/Utilities FD	CA 00001	532,800
Net AFE Increase			**44,664,858**

To date, 25 of the 42 planned design, construction and consultant support contracts have been awarded.

During the October 2013 cost period, there was a $22.1M drawdown to Project Contingency and a resulting balance of $615M. Cost contingency details, along with a discussion of contingency management and the proposed Cost Contingency Drawdown Chart are presented in Section 2.4.

1.6.2 Project Funding

There were no New Starts drawdowns received in October.

County General Excise Tax (GET) surcharge for the quarter ended September 30, 2013 was $63,791,075, which was the highest amount received to date. See Section 2.2 for project funding details.

1.6.3 Full Funding Grant Agreement (FFGA) Status

FTA approved the application for $236,277,358 in FY 2013 New Starts allocation on September 24 and the grant award was executed on October 4. Although the $236.3M is less than the $250M FY 2013 increment identified in the FFGA, it will not negatively impact the Project's cash flow. The $14M shortfall ($250M minus $236M) will be recovered in a future year's allocation.

Further details on the New Starts funding and drawdown amounts by federal fiscal year are provided in the table below.

Figure 6. Drawdown by Fiscal Year

Federal Fiscal Year Allocation	Obligation Amounts	Drawdown Amounts	Available Balance
2008	$ 15,190,000	$ 15,190,000	---
2009	$ 19,800,000	$ 19,800,000	---
2010	$ 30,000,000	$ 30,000,000	---
2011	$ 55,000,000	$ 55,000,000	---
2012	$200,000,000	$ 59,542,736	$140,457,264
2013	$236,277,358	**---**	$236,277,358
	$556,267,358	**$179,532,736**	**$376,734,622**

1.7 HART Board of Directors Meetings and Events in November

HART Government Affairs/Audit/Legal Matters Committee Meeting
Thursday, Nov. 21, 2013, 8:30 a.m., Mission Memorial Annex Conference Room, 550 S. King St., Honolulu
Open to the Public.

HART Transit-Oriented Development Committee Meeting
Thursday, Nov. 21, 2013, 9:00 a.m., Mission Memorial Annex Conference Room, 550 S. King St., Honolulu
Open to the Public.

HART Board of Directors Meeting
Thursday, Nov. 21, 2013, 9:30 a.m., Mission Memorial Annex Conference Room, 550 S. King St., Honolulu
Open to the Public.

HART Finance Committee Meeting
Thursday, Nov. 21, 2013, 10:00 a.m., Mission Memorial Annex Conference Room, 550 S. King St., Honolulu
Open to the Public.

2 PROJECT BUDGET AND SCHEDULE

2.1 Project Budget

The FFGA Baseline Project Budget is $5.122B, which includes approximately $644M in allocated and unallocated contingencies and $173M in finance charges. Reported budget amounts relate to the FTA New Starts project and exclude $42M in FTA-ineligible financing costs that will be incurred beyond FFGA completion.

The total committed amount as of October 25 was $2.411B (including awarded design contract allowances of $5.9M, but excluding uncommitted contingencies and finance charges), or 56.1% of the FFGA Current Project Budget (excluding uncommitted contingencies and finance charges).

In October 2013, the Project incurred $26.3M in costs (actual expenditures plus approved requests for payment as of the cost data date of October 25). This brought the total incurred cost to date to $789M, or 18.4% of the Project Budget (excluding contingencies and finance charges). The FFGA Financial Plan (*Honolulu Rail Transit Project Final Financial Plan for Full Funding Grant Agreement*, June 2012, Tables 2-4 and A-1) projected cumulative capital expenditures of $1.5B through first quarter FY2014.

The total amount Authorized for Expenditure (AFE) by way of Notices to Proceed (NTPs) is $1.6B, or 36.6% of the FFGA Project Budget (excluding uncommitted contingencies and finance charges).

To date, 25 of the 42 planned design, construction and consultant support contracts have been awarded. A re-packaging of the contracts has decreased the total number of planned design, construction and consultant support contracts from 49 per the baselined Contract Packaging Plan to 43. Additionally, by way of exercising a contract option for the HDOT Design Coordination Consultant, another contract was eliminated, reducing the number of contracts to 42. The Contract Packaging Plan will be updated to reflect the re-packaging.

2.2 Project Revenue and Costs

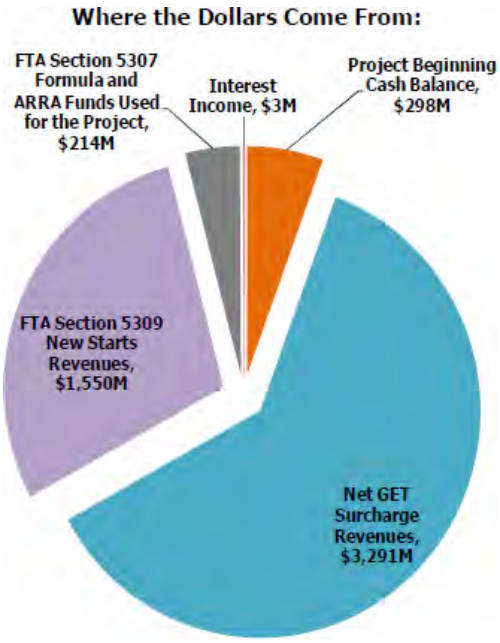
Total cash received to date since the start of Preliminary Engineering is $1,249M.

The FFGA Financial Plan (Table A-1 *Capital Plan Cash Flows*) projects Net GET Surcharge Revenue of $898M for FYs 2010-2014. As of the October 25 cost data date, approximately $765M has been received since the Project's entry into FTA's Preliminary Engineering phase of project development. See Figure 7 on the next page for Project funding and Figure 8 for planned versus received funding.

Project revenue is presented against costs incurred as of the October 25 cost data date in Figure 9 on page 12. Cash Balance for the period is $463.6M as detailed on Figure 10 also on page 12.

Project costs are detailed in Figure 11, Figure 12 and Figure 13 on pages 13 through 19. Cost reports are run from the HART Contract Management System (CMS). Figure 11 presents costs for each contract by HART CPP contract number. Figure 12 on page 16 and Figure 13 on pages 17 through 19 present summarized and detailed project costs by FTA Standard Cost Categories (SCC).

Figure 7. Project Funding Sources (YOE $M)



Source: FFGA Financial Plan, p. 2-1

Figure 8. Planned vs. Received Project Funding

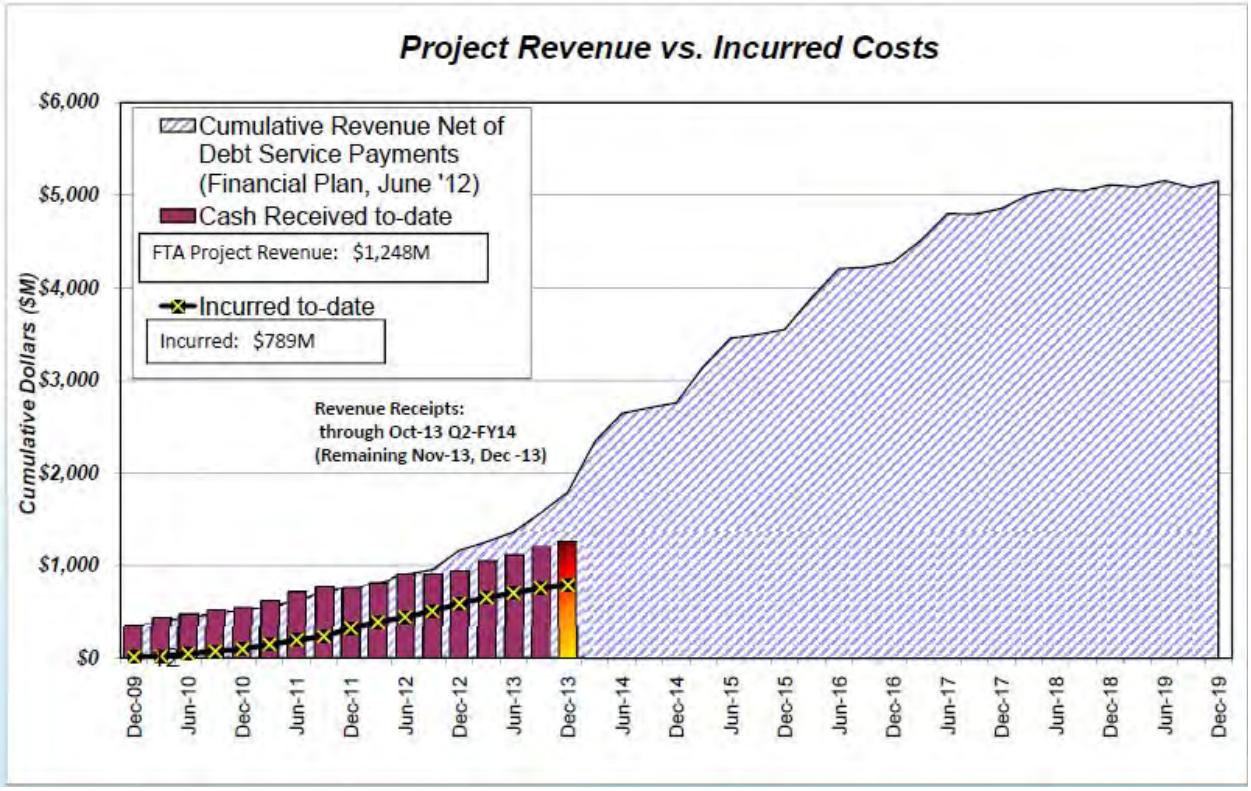
Funding Source	*Pre-FFGA Project*[1]	FFGA Project Period		Total Project
	2007 - 2009 Actuals Received	Planned[2] ($YOE M)	2009 - Present Actuals Received	2007 - Present Actuals Received
	[A]		[B]	[C] = A +B
Beginning Project Cash Balance[3]	*0*	**298**	298	**298**
Interest Income on Cash Balance	*7*	**3**	2	**9**
FTA Section 5309 New Starts Revenue	*0*	**1,550**	180	**180**
FTA Section 5307 Formula Funds	*0*	**210**	0	**0**
ARRA Funds	*0*	**4**	4	**4**
Net General Excise Tax (GET) Surcharge revenues FY2010-FY2023	*378*	**3,291**	765	**1,143**
Total	***385***	**5,356**	**1,249**	**1,634**

[1] GET and Interest Income received during Pre-Preliminary Engineering (pre-PE) phase prior to entry into PE

[2] FFGA Financial Plan, Table A-1 *Capital Plan Cash Flows*.

[3] Beginning Project Cash Balance at Entry into Preliminary Engineering (PE) on October 16, 2009 (the FFGA Project start date) = GET, investment and miscellaneous income minus pre-PE expenditures.

Figure 9. Project Revenue versus Incurred Costs



Planned Funding levels as per the June 2012 FFGA Finance Plan
Data date for Revenue & Incurred Cost = October 25, 2013

Figure 10. Cash Balance Summary

OCTOBER 2013 CASH BALANCE SUMMARY	
Beginning Cash Balance 10/1/2013	419,946,244
Expenditures:	
Operating Expenditures	(1,022,002)
Capital Expenditures	(19,234,138)
Expenditures Total:	(20,256,140)
Receipts:	
GET Surcharge	63,791,075
FTA Drawdown	0
Interest	24,313
Other (rental, refunds, copy fees, etc.)	67,613
Receipts Total:	63,883,001
Ending Cash Balance 10/31/13	463,573,106

Figure 11. Project Costs by Contract

HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: October 2013

Project Monthly Cost Report by Contract - One Line Summary

		A	B	C=A+B	D	E	F
		COMMITTED			AFE	INCURRED	PERCENT
CPP No	Title	Original	Changes	Current *	AFE**	Incurred To Date	%
ART	Project Wide ART	0	0	0	0	0	0%
CCH-100	Inactive Hart/City CCH	15,348,443	0	15,348,443	0	14,925,228	97%
CCH-101	HART/ City Dept of BFS	105,092	0	105,092	0	0	0%
CCH-102	HART/ City DDC Land Division	256,201	0	256,201	0	173,182	68%
CCH-107	HART/ City Corporation Counsel (COR)	1,906,920	0	1,906,920	0	13,906	1%
CCH-108	Board of Water Supply (BWS)	928,325	0	928,325	0	928,325	100%
DB-120	West Oahu/Farrington Hwy Guideway	482,924,000	39,397,464	552,321,464	830,555,530	193,427,474	35%
DB-200	Maintenance & Storage Facility DB	195,258,000	25,922,398	221,180,398	154,211,132	54,582,635	25%
DB-320	Kamehameha Hwy Guideway DB	372,150,000	6,710,981	378,860,981	168,877,062	85,764,186	23%
DBB-185	WOFH/KHSG Construction	0	0	0	0	0	0%
DBB-275	Pearl Highlands Pkg. Str Cnstr. OLD	0	0	0	0	0	0%
DBB-470	Airport Station Group Cnstr.	0	0	0	0	0	0%
DBB-505	Airport Section Utilities Cnstr.	0	0	0	0	0	0%
DBB-510	City Center Section Utilities Cnstr.	0	0	0	0	0	0%
DBB-520	Airport-City Center Guideway Cnstr.	0	0	0	0	0	0%
DBB-580	Dillingham/Kaka'ako SG Contruction	0	0	0	0	0	0%
DBB-600	UHWO PnR/Hoopili Stn Finishes Cnstr.	0	0	0	0	0	0%
DBOM-920	Core Systems Design Build O/M	573,782,793	29,167,350	602,950,143	514,430,792	47,535,609	8%
FD-140	West Oahu Station Group Final Design	7,789,000	-0	7,789,000	5,575,579	5,125,258	66%
FD-240	Farrington Highway Stations Group 2	9,300,896	2,907,349	12,208,045	9,867,090	8,478,450	69%
FD-245	Pearl Highlands Pkg. Str. FD OLD	0	0	0	0	0	0%
FD-340	Kamehameha Hwy Station Group H2R2 FD	8,702,592	0	8,702,592	7,797,781	6,294,534	72%
FD-430	Airport Sect. Guideway/Utilities FD	38,840,960	739,114	39,580,074	37,992,060	26,870,128	68%
FD-440	Airport Station Group FD	10,177,365	0	10,177,365	9,128,022	6,598,970	65%
FD-530	City Center Guideway/Utilities FD	43,948,220	532,800	44,481,020	35,162,448	13,571,148	31%
FD-550	Dillingham and Kaka'ako SG FD	18,321,918	0	18,321,918	5,899,146	0	0%
FD-600	UHWO Pkg-Hoopili Station Finishes FD	0	0	0	0	0	0%
HRT-200	HART Labor	19,251,942	0	19,251,942	0	16,167,253	84%
HRT-201	HART DDC	11,958,053	0	11,958,053	0	13,506,965	113%
MI-930	Elevators & Escalators Install/Maint	50,982,714	0	50,982,714	5,442,108	0	0%

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

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HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: October 2013

Project Monthly Cost Report by Contract - One Line Summary

		A	B	C=A+B	D	E	F
		COMMITTED			AFE	INCURRED	PERCENT
CPP No	Title	Original	Changes	Current *	AFE**	Incurred To Date	%
MM-280	WOFH/KHSG CE&I	0	0	0	0	0	0%
MM-385	Pearl Highlands Garage and Ramps CEI	0	0	0	0	0	0%
MM-500	Airport-City Center Utilities CEI	0	0	0	0	0	0%
MM-525	Airport-City Center Guideway CEI	0	0	0	0	0	0%
MM-590	Aiport/Dillingham/Kaka'ako SG CE&I	0	0	0	0	0	0%
MM-600	UHWO Pkg-Hoopili Stn Finishes CEI	0	0	0	0	0	0%
MM-900	Program Mgt Support Consit (PMSC-1)	36,727,162	0	36,727,162	20,700,000	20,774,593	57%
MM-901	Program Mgt Support Consit (PMSC-2)	33,376,897	0	33,376,897	11,240,790	14,583,766	44%
MM-905	MM-905 Gen Engrg Consit EIS/PE	0	78,564,942	78,564,942	78,564,942	74,193,319	94%
MM-910	MM-910 Gen Engrg Consit FD-Construct	150,000,000	0	150,000,000	150,000,000	127,687,120	85%
MM-915	HDOT Traffic Mgmt. Consult.	1,600,000	-600,000	1,000,000	800,000	523,251	52%
MM-920	HDOT Coordination Consit WOFH	3,000,000	7,500,000	10,500,000	7,000,000	4,870,944	46%
MM-921	HDOT Coordination Consit KHG	10,000,000	-1,400,000	8,600,000	4,000,000	588,746	7%
MM-922	HDOT Coord. Consit. Airport	12,000,000	-5,600,000	6,400,000	3,000,000	1,058,943	17%
MM-923	HDOT Coordination Consit City Center	0	0	0	0	0	0%
MM-925	HDOT Labor - Highway Group	550,000	0	550,000	550,000	268,827	49%
MM-926	HDOT Labor - Airport Group	0	0	0	0	0	0%
MM-930	HDOT State SQA Manager & Consultant	1,272,400	583,142	1,855,542	322,293	142,024	8%
MM-935	Real Estate Consultant	3,000,000	0	3,000,000	2,370,772	312,133	10%
MM-940	Kako'o Consultant	1,000,000	0	1,000,000	540,516	264,974	26%
MM-945	On-Call Contractor	0	0	0	0	0	0%
MM-946	On-Call Hazmat Removal Contractor	3,000,000	0	3,000,000	1,600,019	538,346	18%
MM-950	OCIP Consultant	1,250,000	0	1,250,000	437,500	521,563	42%
MM-951	Owner-Controlled Insurance Program	0	0	0	0	0	0%
MM-975	LEED Commissioning Services for MSF	278,630	0	278,630	278,630	58,660	21%
OTHER	Project Wide	0	0	0	0	0	0%
PA-101	Programmatic Agreement Humanities	0	0	0	0	0	0%
PA-102	Programmatic Agreement HPC	400,000	0	400,000	200,000	42,247	11%
PA-103	Programmatic Agreement HPC Park Impr	0	0	0	0	0	0%
ROW	Real Estate / Right-of-Way	49,019,536	0	49,019,536	0	45,392,277	93%

* Current Committed = Original Contract + CCO /Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

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HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: October 2013

Project Monthly Cost Report by Contract - One Line Summary

		A	B	C=A+B	D	E	F
		COMMITTED			AFE	INCURRED	PERCENT
CPP No	Title	Original	Changes	Current *	AFE**	Incurred To Date	%
UTIL	Utilities by Utility Companies	27,652,988	450,000	28,102,988	5,279,000	3,253,758	12%
Total Project:		**2,196,060,846**	**214,875,540**	**2,410,936,386**	**1,571,823,211**	**789,039,337**	

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

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Figure 12. Project Costs by SCC – Summary

HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: October 2013

Project Monthly Cost Report by SCC Summary

Page: 1 of 1

		A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
SCC	Title	Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
1. Subtotal 10 - 80 SCC Costs										
10	Guideway & Track Elements	1,114,215,147	20,577,149	1,134,792,296	520,996,879	11,250,010	3,359,000	1,134,792,296	0	29,542,146
20	Stations,Stops,Terminals,Intermo	421,804,740	(25,138,472)	396,666,268	50,982,714	0	0	396,666,268	0	0
30	Support Facilities;Yards,Shops, A	92,535,015	10,312,330	102,847,345	102,847,345	6,503,881	3,100,808	102,847,345	0	5,490,378
40	Sitework & Special Conditions	983,178,121	(26,308,090)	956,870,031	546,134,708	82,354,272	2,791,656	956,870,031	0	246,419,339
50	Systems	221,284,301	22,246,822	243,531,123	228,370,910	22,888,690	2,150,000	243,531,123	0	0
60	ROW, Land, Existing Improvement	197,397,947	277,800	197,675,747	52,297,336	1,158,572	0	197,675,747	0	45,982,209
70	Vehicles	186,829,020	4,713,997	191,543,017	191,543,017	1,514,720	0	191,543,017	0	212,900
80	Professional Services	1,087,830,119	(15,557,196)	1,072,272,923	711,860,827	102,494,608	(19,724,125)	1,072,272,923	0	462,392,364
Subtotal:		4,305,074,410	(8,875,659)	4,296,198,751	2,405,033,736	228,270,861	(8,322,661)	4,296,198,751	0	789,039,337
2. NTP										
NTP	Authorized For Expenditure	0	0	0	0	1,344,755,883	0	0	0	0
Subtotal:		0	0	0	0	1,344,755,883	0	0	0	0
3. Contingency										
CNTR	Contingency	541,689,343	22,177,316	563,866,659	5,902,850	(1,203,533)	155,080,621	563,866,659	0	0
PRJ	Contingency	101,871,170	(13,301,657)	88,569,513	0	0	0	88,569,513	0	0
Subtotal:		643,560,513	8,875,659	652,436,172	5,902,850	(1,203,533)	155,080,621	652,436,172	0	0
4. Finance Charges - Eligible										
OTH	Finance Charges	173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
Subtotal:		173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
FTA TOTAL PROJECT COSTS		5,121,693,166	0	5,121,693,166	2,410,936,386	1,571,823,211	146,757,960	5,121,693,166	0	789,039,337
4. Finance Charges -Ineligible Costs										
FINC	Finance Charges	42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
Subtotal:		42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
INELIGIBLE COSTS		42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
Total Project:		5,163,693,166	0	5,163,693,166	2,410,936,386	1,571,823,211	146,757,960	5,163,693,166	0	789,039,337

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

*** Changes Identified= Pending + Probable + Potential Changes

**** Est. At Completion = Original Contract + CCO/Amendments + Changes Identified

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Figure 13. Project Costs by SCC – Level 2

HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: October 2013

Project Monthly Cost Report SCC Level 2

Page: 1 of 3

		A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
SCC	Title	Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
1. Subtotal 10 - 80 SCC Costs										
10	Guideway & Track Elements	1,114,215,147	20,577,149	1,134,792,296	520,996,879		3,359,000	1,134,792,296	0	28,542,146
10.04	Guideway: Aerial Structure	1,022,380,671	17,183,225	1,039,563,896	435,276,279	1,176,828	3,359,000	1,039,563,896	0	8,015,048
10.08	Guideway: Retained Cut or Fill	7,492,944	(1,056,688)	6,436,256	6,436,256	0	0	6,436,256	0	0
10.09	Track: Direct Fixation	79,347,205	3,515,585	82,862,790	75,055,594	10,048,614	0	82,862,790	0	20,527,100
10.11	Track: Ballasted	3,293,724	(595,849)	2,697,875	2,697,875	0	0	2,697,875	0	0
10.12	Track:Special (Switches, turnouts)	1,700,603	1,530,876	3,231,479	1,530,876	30,876	0	3,231,479	0	0
20	Stations, Stops, Terminals, Intermod	421,804,740	(25,138,472)	396,666,268	50,982,714		0	396,666,268	0	0
20.01	At-grade station, stop, shelter,..	6,111,332	0	6,111,332	0	0	0	6,111,332	0	0
20.02	Aerial Station, stop, shelter,mall	294,563,457	(21,400,000)	273,163,457	0	0	0	273,163,457	0	0
20.06	Automobile parking multi-story str	66,408,765	0	66,408,765	0	0	0	66,408,765	0	0
20.07	Elevators, Escalators	54,721,186	(3,738,472)	50,982,714	50,982,714	0	0	50,982,714	0	0
30	Support Facilities;Yards,Shops, A	92,535,015	10,312,330	102,847,345	102,847,345		3,100,808	102,847,345	0	5,490,378
30.02	Light Maintenance Facility	7,591,888	(5,095)	7,586,793	7,586,793	0	0	7,586,793	0	175,000
30.03	Heavy Maintenance Facility	38,099,138	(226,453)	37,872,685	37,872,685	15,655	1,349,878	37,872,685	0	2,657,874
30.04	Storage or Maintenance of Way Buil	7,797,460	(61,550)	7,735,910	7,735,910	0	150,122	7,735,910	0	123,606
30.05	Yard and Yard Track	39,046,529	10,605,428	49,651,957	49,651,957	6,488,026	1,600,808	49,651,957	0	2,533,898
40	Sitework & Special Conditions	983,178,121	(26,308,090)	956,870,031	546,134,708		2,791,656	956,870,031	0	246,419,339
40.01	Demolition, Clearing, Earthwork	29,980,158	(2,308,147)	27,672,011	8,022,858	2,045,233	0	27,672,011	0	241,537
40.02	Site Utilities, Utility Relocation	299,449,756	4,444,187	303,893,943	100,876,394	7,286,502	824,826	303,893,943	0	9,346,181
40.03	Haz. mat'l, contam'd soil removal	9,199,237	(5,421,634)	3,777,603	3,016,085	1,936,104	(391,304)	3,777,603	0	554,431
40.04	Environmental Mitigation	26,979,122	4,976,801	31,955,923	16,543,497	1,922,708	0	31,955,923	0	3,430,633
40.05	Site structures, retaining walls,	7,998,960	1,062,414	9,061,374	8,902,848	1,920,019	0	9,061,374	0	575,338
40.06	Pedestrian/bike access/landscaping	41,073,897	799,143	41,873,040	5,049,834	1,973,419	0	41,873,040	0	0
40.07	Auto, bus, van accessways	181,979,367	(11,580,007)	170,399,360	35,486,916	2,638,419	0	170,399,360	0	1,254,888
40.08	Temporary Facilities/Indirect Cost	386,517,624	(18,280,847)	368,236,777	368,236,777	76,072,001	2,358,134	368,236,777	0	231,016,331
50	Systems	221,284,301	22,246,822	243,531,123	228,370,910		2,150,000	243,531,123	0	0
50.01	Train control and signals	81,982,556	23,236,140	105,218,696	105,218,696	22,816,050	0	105,218,696	0	0
50.02	Traffic signals and crossing prot.	10,458,226	(206,890)	10,251,336	0	0	0	10,251,336	0	0
50.03	Traction power supply: substation	29,500,926	1,526,385	31,027,311	31,027,311	59,020	0	31,027,311	0	0
50.04	Traction power distribution: cate	32,878,150	(2,881,277)	29,996,873	25,087,996	0	1,721,574	29,996,873	0	0
50.05	Communications	53,691,339	673,878	54,365,017	54,365,017	113,620	428,426	54,365,017	0	0

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

*** Changes Identified= Pending + Probable + Potential Changes

**** Est. At Completion = Original Contract + CCO/Amendments + Changes Identified

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Costs Reported as of Month Ending: October 2013

Project Monthly Cost Report SCC Level 2

		A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
SCC	Title	Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
1. Subtotal 10 - 80 SCC Costs										
50	Systems	221,284,301	22,246,822	243,531,123	228,370,810		2,150,000	243,531,123	0	0
50.06	Fare collection system and equipme	9,159,277	58,822	9,218,099	9,218,099	0	0	9,218,099	0	0
50.07	Central Control	3,613,827	(160,036)	3,453,791	3,453,791	0	0	3,453,791	0	0
60	ROW, Land, Existing Improvement	197,397,947	277,800	197,675,747	52,297,336		0	197,675,747	0	45,382,209
60.01	Purchase or lease of real estate	179,360,664	0	179,360,664	46,401,859	880,772	0	179,360,664	0	42,758,148
60.02	Relocation of existing households	18,037,283	277,800	18,315,083	5,895,477	1,158,572	0	18,315,083	0	3,224,061
70	Vehicles	186,829,020	4,713,997	191,543,017	191,543,017		0	191,543,017	0	212,900
70.01	Light Rail	166,721,386	5,915,687	172,637,073	172,637,073	1,514,720	0	172,637,073	0	0
70.06	Non-revenue vehicles	14,346,923	(1,320,375)	13,026,548	13,026,548	0	0	13,026,548	0	212,900
70.07	Spare parts	5,760,711	118,685	5,879,396	5,879,396	0	0	5,879,396	0	0
80	Professional Services	1,087,880,119	(15,357,296)	1,072,272,923	711,860,827		(13,724,125)	1,072,272,923	0	462,392,364
80.01	Preliminary Engineering	94,055,262	24,203,496	118,258,758	109,197,560	29,927,112	369,567	118,258,758	0	95,506,879
80.02	Final Design	228,321,632	(33,594,355)	194,727,277	178,878,907	17,471,297	166,018	194,727,277	0	73,246,523
80.03	Project Management Design & Cons	363,849,768	(3,142,981)	360,706,787	283,566,204	72,090,271	(7,323,901)	360,706,787	0	231,434,460
80.04	Constr. Admin. & Management	199,656,728	(1,576,800)	198,079,928	35,665,055	9,914,197	0	198,079,928	0	37,151,894
80.05	Professional Liability & other Ins	46,549,724	(7,510,408)	39,039,316	2,174,657	10,091,497	(2,160,000)	39,039,316	0	2,106,756
80.06	Legal; Permits,Review Fees ect..	67,641,005	32,777	67,673,782	33,741,059	9,907,416	0	67,673,782	0	9,711,132
80.07	Surveys, Testing, Investigation, I	21,759,336	7,223,668	28,983,004	20,730,316	9,438,799	0	28,983,004	0	8,334,101
80.08	Start up	65,996,664	(1,192,593)	64,804,071	47,907,069	9,390,997	(775,809)	64,804,071	0	4,900,620
NT	Authorized For Expenditure	0	0	0	0		0	0	0	0
NTP	Notice To Proceed	0	0	0	0	1,344,755,883	0	0	0	0
Subtotal:		4,305,074,410	(8,875,659)	4,296,198,751	2,405,033,736	1,573,026,744	(8,322,661)	4,296,198,751	0	789,039,337
2. Contingency										
CNTR	Contingency	541,689,343	22,177,316	563,866,659	5,902,650		155,080,621	563,866,659	0	0
90.02	Allocated Contract Contingency	540,101,329	(18,534,085)	521,567,244	0	0	125,133,465	521,567,244	0	0
90.03	Allowances	1,588,014	3,214,841	4,802,855	5,902,650	(1,203,533)	1,500,000	4,802,855	0	0
90.07	Known Change Contingency	0	37,496,561	37,496,561	0	0	28,447,156	37,496,561	0	0
PRJ	Contingency	101,871,170	(13,301,657)	88,569,513	0		0	88,569,513	0	0
90.01	Unallocated Project Contingency	101,871,170	(13,301,657)	88,569,513	0	0	0	88,569,513	0	0
Subtotal:		643,560,513	8,875,659	652,436,172	5,902,650	(1,203,533)	155,080,621	652,436,172	0	0

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

*** Changes Identified= Pending + Probable + Potential Changes

**** Est. At Completion = Original Contract + CCO/Amendments + Changes Identified

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HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: October 2013

Project Monthly Cost Report SCC Level 2

		A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
SCC	Title	Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
3. Finance Charges - Eligible										
OTH	Finance Charges	173,058,243	0	173,058,243	0		0	173,058,243	0	0
100.1	Finance Charges:Project-Eligible	173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
Subtotal:		173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
FTA TOTAL PROJECT COSTS		5,121,693,166	0	5,121,693,166	2,410,936,386	1,571,823,211	146,757,960	5,121,693,166	0	789,039,337
4. Finance Charges -Ineligible Costs										
FINC	Finance Charges	42,000,000	0	42,000,000	0		0	42,000,000	0	0
100.2	FTA Non-Eligible Costs	42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
Subtotal:		42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
INELIGIBLE COSTS		42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
Total Project:		5,163,693,166	0	5,163,693,166	2,410,936,386	1,571,823,211	146,757,960	5,163,693,166	0	789,039,337

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

*** Changes Identified= Pending + Probable + Potential Changes

**** Est. At Completion = Original Contract + CCO/Amendments + Changes Identified

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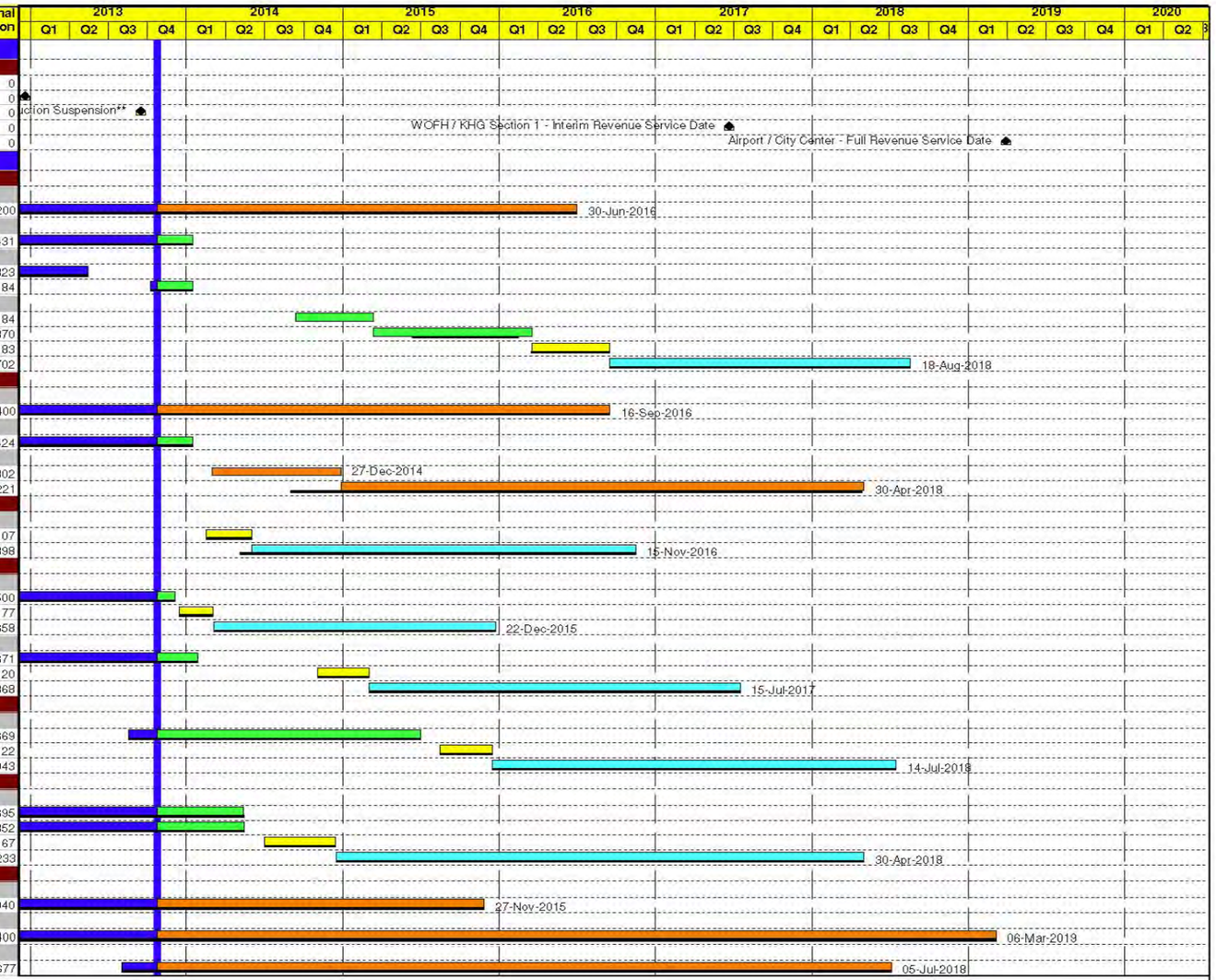
2.3 Project Schedule

The HRTP Master Project Schedule (MPS) has been updated as of October 25, 2013 as shown in the Master Project Schedule Summary (MPSS) in Figure 14 on the next page. This was statused against the FFGA Baseline MPS. The baseline and actual/planned durations of each contract are displayed for comparison.

Figure 14. HRTP Master Project Schedule (MPS) Summary

Activity Name	Current Start	Current Finish	Original Duration
KEY DATA			
MILESTONES			
Letter of No Prejudice #2 - LONP 2	06-Feb-2012 A		0
Full Funding Grant Agreement - (FFGA)		19-Dec-2012 A	0
AIS Complete **Lift Construction Suspension**		16-Sep-2013 A	0
WOFH / KHG Section 1 - Interim Revenue Service Date		20-Jun-2017*	0
Airport / City Center - Full Revenue Service Date		30-Mar-2019	0
CONTRACTS - DESIGN & CONSTRUCTION			
WEST OAHU / FARRINGTON HIGHWAY (WOFH) - SECTION 1			
WOFH Guideway & Utilities			
SUMM: DB-120 - WOFH Guideway - Design & Construction (Design-Build)	01-Dec-2009 A	30-Jun-2016	1200
West Oahu Station Group (WOSG)			
SUMM: FD-140 - West Oahu Station Group - Design	15-Jun-2012 A	15-Jan-2014	431
Farrington Hwy Station Group (FHSG)			
SUMM: FD-240 - Farrington Highway Station Group - Design	12-Jan-2011 A	16-May-2013 A	323
SUMM: FD-240 - Farrington Highway Station Group - Design Support	07-Oct-2013 A	15-Jan-2014	84
UH West Oahu Park n Ride & Ho`opili Station Finishes			
SUMM: FD-600 UH West Oahu Park & Ride and Ho`opili Station Finishes - Procurement	10-Sep-2014	12-Mar-2015	184
SUMM: FD-600 UH West Oahu Park & Ride and Ho`opili Station Finishes - Design	13-Mar-2015	16-Mar-2016	370
SUMM: UH West Oahu Park n Ride & Ho`opili Station Finishes - Bid & Award	17-Mar-2016	15-Sep-2016	183
SUMM: DBB-600 UH West Oahu Park & Ride / Ho`opili Station Finishes - Construction	16-Sep-2016	18-Aug-2018	702
KAMEHAMEHA HIGHWAY (KH) - SECTION 2			
Kamehameha Highway Guideway & Utilities			
SUMM: DB-320 - KHG Guideway - Design & Construction (Design-Build)	12-Jul-2011 A	16-Sep-2016	1400
Kamehameha Highway Stations			
SUMM: FD-340 - Kamehameha Highway Station Group - Design	26-Nov-2012 A	15-Jan-2014	424
Pearl Highlands Parking Structure & Ramps			
SUMM: Pearl Highlands Pking Structure & H2 Ramps - DB Procurement	01-Mar-2014	27-Dec-2014	302
SUMM: DB-275 - Pearl Highlands Pking Structure & H2 Ramps - Design & Construction (Desigr	27-Dec-2014	30-Apr-2018	1221
West Oahu / Farrington Highway & Kamehameha Station Combined Package			
West Oahu / Farrington Highway & Kamehameha Station Group Construction			
SUMM: West Oahu / Farrington & Kamehameha Station Group - Bid & Award	15-Feb-2014	01-Jun-2014	107
SUMM: DBB-185 - West Oahu / Farrington Hwy & Kamehameha Station Group - Construction	02-Jun-2014	15-Nov-2016	898
AIRPORT - SECTION 3			
Airport Utility Relocation			
SUMM: FD-430 - Airport Utilities - Design	05-Jan-2012 A	04-Dec-2013	500
SUMM: Airport Utilities - Bid & Award	16-Dec-2013	02-Mar-2014	77
SUMM: DBB-505 - Airport Utilities - Construction	05-Mar-2014	22-Dec-2015	658
Airport Stations			
SUMM: FD-440 - Airport Station Group - Design	14-Nov-2012 A	26-Jan-2014	671
SUMM: Airport Station Group - Bid & Award	01-Nov-2014	28-Feb-2015	120
SUMM: DBB-470 - Airport Station Group - Construction	01-Mar-2015	15-Jul-2017	868
CITY CENTER (CC) - SECTION 4			
City Center Stations			
SUMM: FD-550 - Dillingham & Kaka'ako Station Group - Design	19-Aug-2013 A	01-Jul-2015	669
SUMM: Dillingham & Kaka'ako Station Group - Bid & Award	15-Aug-2015	14-Dec-2015	122
SUMM: DBB-580 - Dillingham & Kaka'ako Station Group - Construction	15-Dec-2015	14-Jul-2018	943
Airport & City Center Guideway / City Center Utilities Combined Package			
Airport & City Center Guideway / City Center Utility Relocation			
SUMM: FD-430 - Airport Guideway - Design	05-Jan-2012 A	12-May-2014	695
SUMM: FD-530 - City Center Guideway & Utilities - Design	31-Jul-2012 A	15-May-2014	352
SUMM: Airport & City Center Guideway / City Center Utilities - Bid & Award	01-Jul-2014	14-Dec-2014	167
SUMM: DBB-520 - Airport & City Center Guideway / City Center Utilities - Construction	15-Dec-2014	30-Apr-2018	1233
PROJECT WIDE - ALL SECTIONS			
Maintenance & Storage Facility (MSF)			
SUMM: DB-200 - MSF - Design & Construction (Design-Build)	25-Jul-2011 A	27-Nov-2015	940
Core Systems			
SUMM: DBOM-920 - Core Systems - Design & Construction	13-Jan-2012 A	06-Mar-2019	2400
Elevators & Escalators			
SUMM: MI-930 - Elevators and Escalators - Des, Manufacture, Install & Test	02-Aug-2013 A	05-Jul-2018	1677



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Design Build
Construction
Design
Bid/Award
Baseline Milestone
Milestone
FFGA Ba...
Actual Work

- Design Duration = NTP to Bid Ready
- Construction Durations (DBB) = NTP to Substantial Completion

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Honolulu Rail Transit Project
As of: 25-Oct-2013

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MPS Summary
Design & Construction Contracts

2.4 Contingency Management

The FFGA Baseline Budget for Project Contingency is approximately $643.6M and consists of the following elements:

1) Unallocated Contingency – Reserve contingency to address unknown changes to the Project and not currently allocated to a particular work package.
2) Project Allocated Contingency – Contingency allocated to each work package to address potential uncertain changes within each respective work package.
3) Allowance – A reserve designated for Final Design contracts and committed under the contracts.

The $643.6M Baseline Budget for Total Project Contingency does not include amounts for Known Changes yet to be finalized at the time the Bottom-Up Estimate (BUE) was prepared. Further explanation of Known Changes and how it is managed will be detailed later in this section.

As discussed in Section 1.6, the Current Project Contingency Budget is $615M, down from the FFGA Baseline budget of $643.6M.

FFGA Project Contingency Current Budget

Report Month	Period Beginning: Current Budget Contingency ($M)	Contingency Drawdown ($M)	Period Ending: Current Budget Contingency ($M)
	[a]	[b]	[c] = a + b
May '13 Monthly Progress Report	$652.7	$1.6	$654.3
June '13 Monthly Progress Report	$654.3	$0.0	$654.3
July '13 Monthly Progress Report	$654.3	$0.0	$654.3
August '13 Monthly Progress Report	$654.3	($5.3)	$649.0
September '13 Monthly Progress Report	$649.0	($5.8)	$643.2
October '13 Monthly Progress Report	$643.2	($6.1)	$637.1
November '13 Monthly Progress Report	$637.1	($22.1)	$615.0

As the project progresses, budget savings will be realized due to a combination of favorable contract awards and through contract savings methods, such as contract re-packaging, and those savings will be transferred into contingency absorbing the cost of AIS related change orders. Project Contingency will continue to be drawndown as the project progresses. The following list details ways in which contingency can either increase or decrease:

1) The budgeted amount for a contract package is either lower or higher than the actual executed contract amount. Contingency will increase if the budgeted amount is higher than the actual contract amounts which results in a budget surplus, and vice versa if the budgeted amount is lower.
2) Increase of a contract amount through the execution of a change order or contract amendment. Contingency is decreased and transferred to the appropriate SCC.
3) Transfer of work scope, e.g. utility relocation, between contract packages through a change order. The scope value from one contract is decreased and transferred to Contingency. Contingency is then decreased by the same scope value and transferred to the other contract. Contingency is used as a "holding account" in this instance.
4) Revisions to contract packaging. It is anticipated that the consolidation of future contract packages into a single contract package would result in a budget savings due to the resulting

efficiencies from reducing redundant overhead costs. Budget savings would be transferred to Contingency.

5) Utilization of allowance in design contracts. The allowance amount to be utilized will decrease this contingency category and will be transferred to the appropriate SCC.

The $22.1M contingency drawdown resulted from the following change orders and contract amendment processed during the October 2013 reporting period:

- $24.8k contingency credit from executed change order No. 37 on the West O'ahu Farrington Highway Guideway DB contract (DB-120);
- $15.7k contingency drawdown from contract change order No. 13 on the Maintenance and Storage Facility DB contract (DB-200);
- $23.3M contingency drawdown for change order No. 05 for the platform safety gates on the Core Systems Design-Build-Operate-Maintain (DBOM) contract (DBOM-920), of which $3.8M was covered from "known" changes contingency covering the entire $27.1M change order;
- $1.2M contingency credit due to aligning the contract budget to the contract award value for Dillingham and Kaka'ako Stations Group FD (FD-550)

The table below summarizes the Project Contingency budget and SCC designation as of October 2013:

Figure 15. Project Contingency Budget

Contingency	SCC Code	Budget ($M)
Unallocated Contingency	90.01	$101.9
Allocated Contingency	90.02	$540.1
Allowances	90.03	$1.6
Baseline FFGA Project Contingency Budget	***90.01 - 90.03***	***$643.6***
Contingency Transfers to date	90.02 & 90.03	($28.6)
Current FFGA Project Contingency	***90.01 - 90.03***	***$615.0***

Changes Identified and Project Performance

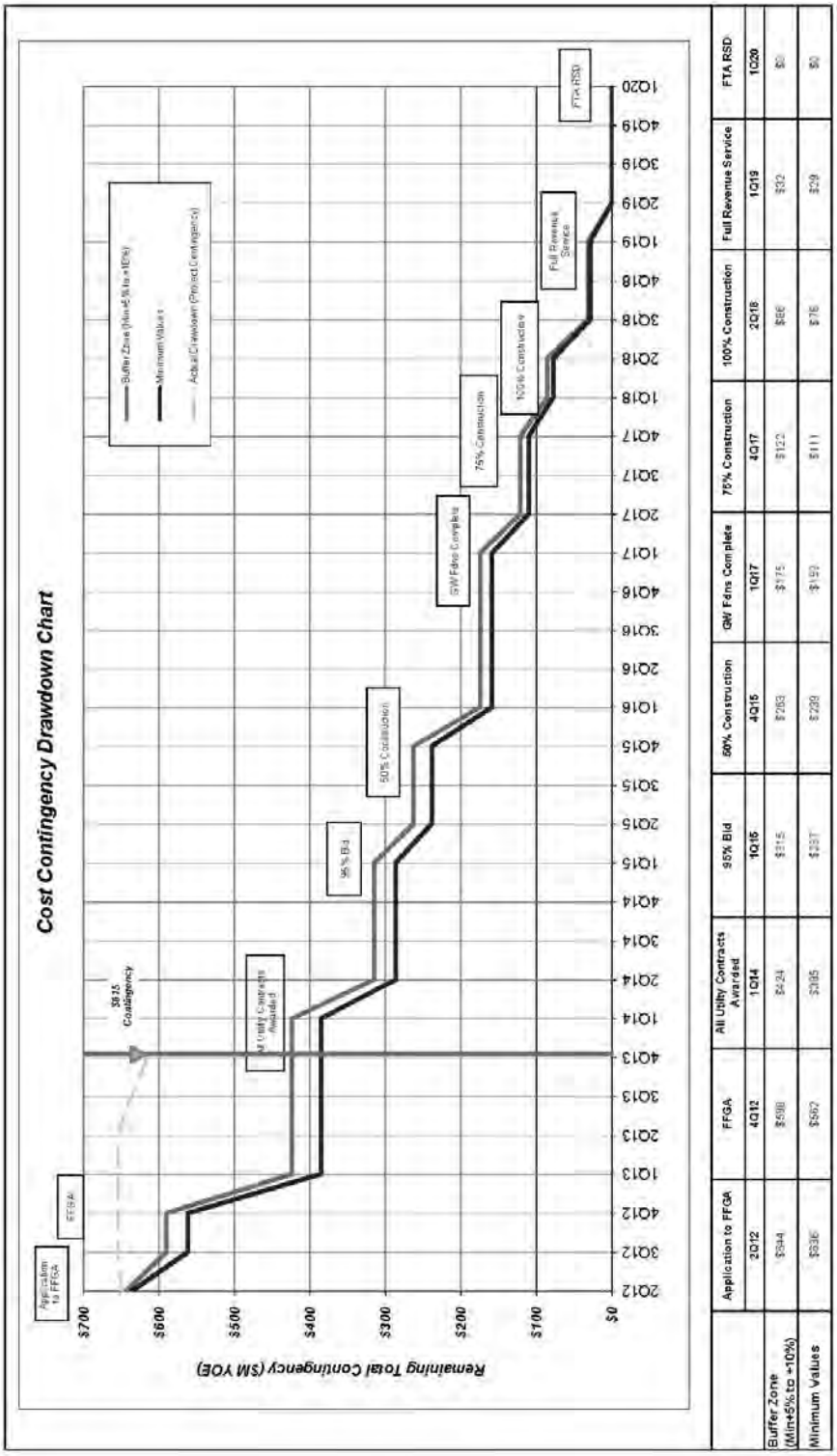
HART and the PMOC continue to hold a monthly breakout session to review changes being considered for each contract. Changes are tracked by four categories which are determined by how well defined a change is and are summarized as Changes Identified in Project Cost reports. HART continually manages the strategy to avoid or mitigate as well as plan the timing of any potential changes. Breakout session discussions focus on opportunities to reduce costs and accelerate contract-scheduled activities to attain key milestones earlier than targeted. The session concludes with an overview of the cost and schedule drawdown curves, if and when changes might occur, in order to assess project performance against total project contingencies and buffer float.

The Risk and Contingency Management Plan (RCMP) has been revised for the FFGA and is in final state of review and completion. It is consistent with the FFGA submittals, including the CPP, MPS, Project Budget and Financial Plan. As part of the final review, the cost and schedule contingency drawdown curves were updated. These curves establish minimum and buffer zone levels of cost and schedule contingency in accordance with FTA recommendations. Over the course of the project, if the cost or schedule contingency trend into the buffer zone (the area above the minimum contingency), Project Management will immediately implement actions to maintain the level of contingency appropriate for the project stage. The Cost Contingency Drawdown Curve, subject to FTA/PMOC review as part of the RCMP revision process, is presented in Figure 16 on page 25. As of this reporting period, none of the executed change orders reduced the Baseline Budget Contingency amount below the buffer zone.

Known Changes Contingency

Known Changes, though tracked separately from the Project Contingency established under the FFGA, functions like contingency and is designated as SCC 90.07 on project cost reports. In re-baselining the Project Budget for FFGA, a bottoms-up estimate (BUE) was developed for each work package identified in the CPP based on the level of design and current pricing of material, equipment, construction labor, professional services, real estate and all other costs. These revised estimates took into account the reduction of contingency to reflect the advancement of Final Design since the Preliminary Engineering phase. Contingency was then allocated in accordance with FTA guidelines and current risk modeling methodologies. The net effect was a reduction of approximately $170M of contingency between the previous Final Design Project Budget and the FFGA Project Budget. Included in the base costs of the BUE were elements that were considered "Known" or pending changes that were still subject to final negotiations with contractors and the execution of change orders. The estimated costs for Known Changes were applied to work packages established under the FFGA. Based on the level of risk, the estimated costs for Known Changes were either classified as base cost or as separate contingency for specific work packages (contingencies eventually convert to base costs via change order). Of the total $170M estimated for Known Changes, $97M was classified as base cost and allocated to multiple contracts. The remaining $74M was classified as "contingency" in order to process all changes using a consistent methodology of transferring budget from contingency to the appropriate base cost code when a change order is executed. As it was intended for this reserve, the majority of the change orders executed since the BUE draws against this contingency since these were partially defined already. To date, the Current Known Changes balance stands at $37.5M, down from the original amount of $73.9M as shown in Figure 13.

Figure 16. Draft Cost Contingency Drawdown Chart



3 CONTRACT STATUS

3.1 Procurement Status

Figure 17. Procurement: Design-Build (DB), Design-Build-Operate-Maintain (DBOM) and Manufacture-Install-Maintain (MIM) Contracts

Procurement Tracking Report

Contract No.	Contract Name	Contractor	Dates	Issue RFP	Issue NTP	Contract Completion
Design-Build Contracts						
DB-120	West Oahu/Farrington Highway Guideway (WOFH)	Kiewit Infrastructure West Company (KIWC)	*Current Forecast* Actual Date	Apr 03 '09	Dec 01 '09	*Feb 29 '16*
DB-200	Maintenance and Storage Facility (MSF)	Kiewit / Kobayashi Joint Venture (KKJV)	*Current Forecast* Actual Date	Jul 24 '09	Jul 25 '11	*Nov 30 '15*
DB-275	Pearl Highlands Parking Structure / Bus Transit Center		*Current Forecast* Actual Date	*Mar 01 '14*	*Dec 28 '14*	*Apr 30 '18*
DB-320	Kamehameha Guideway (KHG)	Kiewit Infrastructure West Company (KIWC)	*Current Forecast* Actual Date	Mar 19 '10	Jul 12 '11	*Jul 29 '16*
Design-Build-Operate-Maintain Contract						
DBOM-920	Core Systems Contract	Ansaldo Honolulu JV	*Current Forecast* Actual Date	Aug 17 '09	Jan 13 '12	*Mar 31 '19*
Manufacture - Install - Test-Maintain						
MI-930	Elevators and Escalators	Schindler Elevator Corporation	*Current Forecast* Actual Date	Dec 18 '12	Aug 02 '13	*Mar 15 '18*

Figure 18. Procurement: Final Design (FD) Contracts

Procurement Tracking Report

Contract #	Contract Name	Contractor Name	Dates	Issue RFQ	Issue NTP	Contract Completion
Final Design Contracts						
FD-140	West Oahu Station Group Final Design	URS Corporation	*Current Forecast* Actual Date	Jun 14 '10	Jun 15 '12	*Jun 30 '16*
FD-240	Farrington Highway Station Group Design Support	URS Corporation	*Current Forecast* Actual Date	Jun 10 '13	Sep 30 '13	*Nov 14 '16*
FD-340	Kamehameha Highway Station Group Final Design (includes H2/R2 Ramp)	Anil Verma Assoc, Inc.	*Current Forecast* Actual Date	Jun 28 '11	Nov 26 '12	*Oct 31 '16*
FD-430	Airport Section Guideway and Utilities Final Design	AECOM Tech Svcs, Inc.	*Current Forecast* Actual Date	Jan 26 '11	Jan 05 '12	*Jun 30 '17*
FD-530	City Center Section Guideway and Utilities Final Design	AECOM Tech Svcs, Inc.	*Current Forecast* Actual Date	Dec 16 '11	Jul 31 '12	*Apr 30 '18*
FD-440	Airport Station Group Final Design	AECOM Tech Svcs, Inc.	*Current Forecast* Actual Date	Mar 30 '12	Nov 14 '12	*Jul 15 '17*
FD-550	Dillingham and Kaka'ako Station Groups "East Side Stations" Final Design	Perkins & Will	*Current Forecast* Actual Date	Nov 16 '12	Jul 31 '13	*Jul 30 '18*
FD-600	UH West Oahu Park-and-Ride and Ho`opili Station Finishes Final Design		*Current Forecast* Actual Date	*Sep 10 '14*	*Mar 12 '15*	*Sep 29 '18*

Figure 19. Procurement: Design-Bid-Build (DBB) Contracts

Procurement Tracking Report						
Contract No.	Contract Name	Contractor Name	Dates	Advertise for Bids	Issue NTP	Contract Completion
Design-Bid-Build (DBB) Contracts						
DBB-505	Airport Section Utilities Construction		*Current Forecast* Actual Dates	*Dec 16 '13*	*Mar 05 '14*	*Dec 22 '15*
Re-Pkg DBB-185	West Oahu/Farrington Hwy/Kamehameha Hwy Station Groups "West Side Stations" Construction *[Airport Station not included]*		*Current Forecast* Actual Dates	*Feb 15 '14*	*Jun 01 '14*	*Nov 14 '16*
DBB-470	Airport Station Group Construction		*Current Forecast* Actual Dates	*Nov 01 '14*	*Mar 01 '15*	*Jul 15 '17*
Re-Pkg DBB-580	Dillingham/Kaka'ako Station Groups "East Side Stations" Construction		*Current Forecast* Actual Dates	*Aug 15 '15*	*Dec 15 '15*	*Aug 14 '18*
DBB-520	Airport and City Center Sections Guideway Construction / City Center Section Utilities Construction		*Current Forecast* Actual Dates	*Jul 01 '14*	*Dec 15 '14*	*Apr 29 '18*
DBB-600	UH West Oahu Park-and-Ride and Ho`opili Station Finishes Construction		*Current Forecast* Actual Dates	*Mar 15 '16*	*Sep 15 '16*	*Aug 15 '18*

Figure 20. Procurement: Construction Engineering and Inspection Services (CE&I) Contracts

Procurement Tracking Report						
Contract No.	Contract Name	Contractor Name	Dates	Advertise RFQ	Issue NTP	Contract Completion
Construction Engineering & Inspection (CE&I) Services Contracts						
MM-290	Construction Engineering & Inspection West Side Sections		*Current Forecast* Actual	Jul 26 '13	*Dec 30 '13*	*Mar 01 '19*
MM-595	Construction Engineering & Inspection East Side Sections		*Current Forecast* Actual	Jul 26 '13	*Jan 30 '14*	*Mar 01 '19*

Figure 21. Procurement: Project Management and Specialty Consultant Services Contracts

Procurement Tracking Report

Contract No.	Contract Name	Contractor Name	Dates	Issue RFQ	Issue NTP	Contract Completion
Project Management and Specialty Consultant Services Contracts						
MM-901	Program Management Support Consultant - 2 (PMSC-2)	InfraConsult LLC	*Current Forecast*			*Feb 28 '15*
			Actual	Aug 03 '11	Mar 08 '12	
MM-910	General Engineering Consultant II (GEC-2) (Final Design and Construction)	Parsons Brinckerhoff	*Current Forecast*			*Aug 01 '14*
			Actual	Sep 03 '09	Aug 02 '11	
MM-913	General Engineering Consultant III (GEC-3)		*Current Forecast*		*Dec 16 '13*	*Mar 01 '19*
			Actual	Jul 26 '13		
MM-935	Real Estate Consultant	Paragon Partners, Ltd.	*Current Forecast*			*Mar 13 '17*
			Actual	Apr 01 '11	Mar 14 '12	
MM-937	Real Estate Mapping & Surveying		*Current Forecast*	*Nov 12 '13*	*Jan 30 '14*	*Dec 30 '17*
			Actual			
MM-940	Kako'o Consultant	Pacific Legacy, Inc.	*Current Forecast*			*Feb 14 '17*
			Actual	May 20 '11	Mar 30 '12	
MM-945	On-Call Construction Contractor		*Current Forecast*	*Jan 30 '14*	*Mar 15 '14*	*Mar 03 '19*
			Actual			
MM-950	Owner Controlled Insurance Program (OCIP) Consultant	Marsh USA, Inc.	*Current Forecast*			*May 09 '17*
			Actual	Jan 31 '12	Jun 05 '12	
MM-951	Owner Controlled Insurance Program (OCIP) Brokerage Services		*Current Forecast*			*Jul 31 '14*
			Actual	Jun 04 '13	TBD	
MM-960	Archeological & Cultural Monitoring		*Current Forecast*		*Dec 15 '13*	*May 30 '18*
			Actual	Sep 10 '13		
MM-962	CORE Systems Support - Recompete		*Current Forecast*		*Dec 30 '13*	*Mar 01 '19*
			Actual	Sep 13 '13		
MM-964	Safety / Security Support		*Current Forecast*		*Dec 30 '13*	*Dec 14 '17*
			Actual	Oct 23 '13		
MM-966	Financial Support Services		*Current Forecast*	*Dec 30 '13*	*Feb 28 '14*	*Dec 30 '15*
			Actual			
MM-975	LEED Commissioning Services for the Maintenance and Storage Facility (MSF)	Enovity, Inc.	*Current Forecast*			*Jan 14 '16*
			Actual		Oct 07 '10	
PA-102	Historic Architecture Design Services	Fung Associates, Inc.	*Current Forecast*			*May 01 '16*
			Actual	Mar 15 '13	Aug 01 '13	

Figure 22. Procurement: HDOT Consultant Services and Other Contracts

Procurement Tracking Report

Contract No.	Contract Name	Contractor Name	Dates	Issue RFQ	Issue NTP	Contract Completion
Hawaii Department of Transportation (HDOT) Consultant Services Contracts						
MM-915	HDOT Traffic Management Coordination Consultant	ICX Transportation Group	*Current Forecast*			*Jul 01 '17*
			Actual	Aug 15 '11	Jun 12 '12	
MM-920	HDOT Design Coordination Consultant - West Oahu/Farrington Highway Guideway Section	AECOM Tech Svcs, Inc.	*Current Forecast*			*Jun 15 '18*
			Actual		Jun 08 '11	
MM-921	HDOT Design Coordination Consultant - Kamehameha Highway Guideway Section	AECOM Tech Svcs, Inc.	*Current Forecast*			*Jul 15 '15*
			Actual		Jun 29 '12	
MM-922	HDOT Design Coordination Consultant - Airport and City Center Guideway Sections	SSFM International	*Current Forecast*			*Jun 15 '18*
			Actual		Jun 12 '12	
Other Contracts						
MM-946	On-Call HazMat Contractor	CH2M Hill	*Current Forecast*			*Feb 15 '17*
			Actual		Sep 07 '12	

3.2 Design-Build (DB) Contract Status

Contract DB-120: West O'ahu/Farrington Highway Guideway (WOFH)

DB Contractor: Kiewit Infrastructure West Company (KIWC)

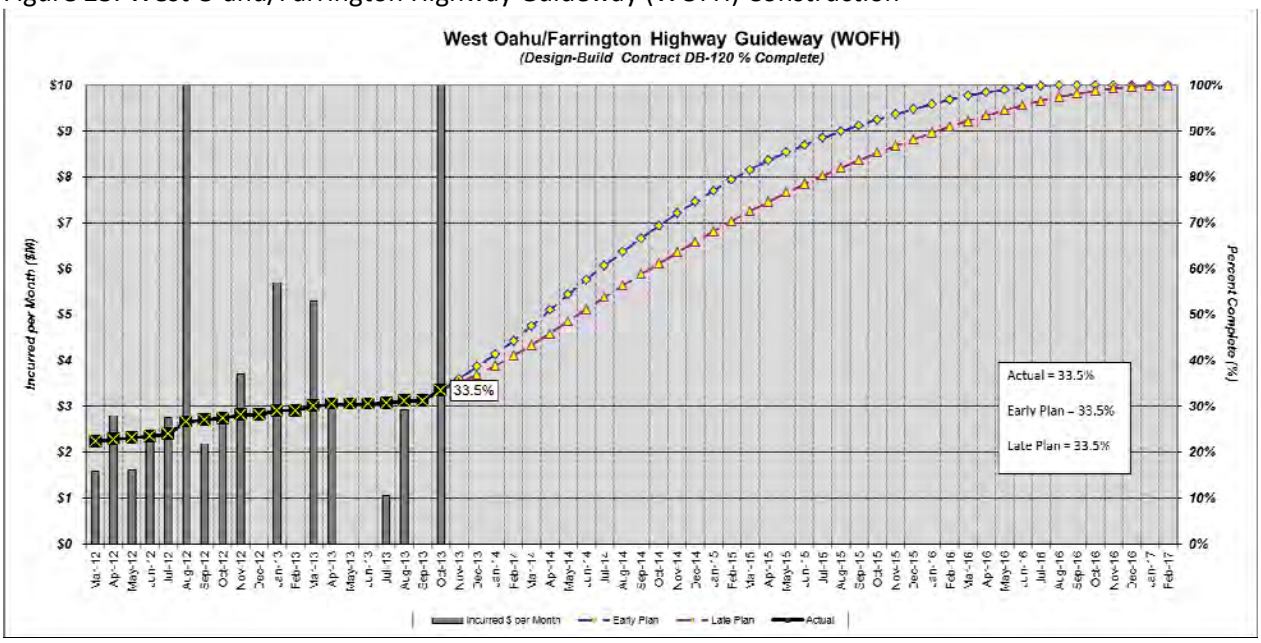
Committed:[1]	$552,321,464		Actual DBE Participation:	$2,329,922
Authorized:[2]	$330,555,530	(59.8%)	DBE % Attained:	0.48%
Incurred to date:	$193,427,474		Substantial Completion:	February 2016

[1] Commitment as of October 25 = Contract value (not including contingency) + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of October 25 is 33.5%, versus the early plan of 33.5% and the late plan of 33.5%, as shown in Figure 23 below. Design is 96% complete, based on Schedule of Milestones completion. KIWC transmitted a draft revised schedule based on the restart of construction in September 2013 and the progress curve has been updated accordingly.

Figure 23. West O'ahu/Farrington Highway Guideway (WOFH) Construction



- **Activities this month**
  - KIWC continued maintenance activities along Farrington Highway as part of the Joint Use and Occupancy Agreement with HDOT.
  - Work is proceeding on potholing for utilities in Farrington Highway.
  - Drilled shaft, transition zone, column and bearing pedestal installations are ongoing in Work Area 1B.
  - Wet utility installation ongoing in Work Area 2 – Phases 1A and 1B.
  - Work commenced on AT&T conflict relocation in Work Area 2 – Phase 1A.
  - Stage 1 Intelligent Transportation Systems (ITS) work is ongoing.
  - Precast Yard set-up is ongoing.
  - Dry utility installation work completed on HECO conflict relocation @ 1-508-E1. Work on HECO conflict relocations @ 4-689-M1 & 4-693-E1 awaiting HECO Hold-Offs to complete. Commenced street light relocations in Work Area 2.
  - A total of 458 contract submittals have been received (13 currently under review).
  - KIWC has completed 68 of 127 or 54% of the anticipated final design submittals.

- HART has received 229 Requests for Information (RFIs) from the contractor (3 voided and none are open).
- HART is working with KIWC to develop an issues list to identify critical claims that require immediate resolution.

Install capital rebar at Pier 94.

30inch water line installation in WA 2 – Phase 1A.

Cast pallet carrier foundation, in casting beds, at Precast Yard.

- **Look Ahead**
  - Site assessment and completion of demolition plan at the 'Banana Patch' and TMKs 9-4-048-046 and 9-4-048-047 properties.
  - Continue interface and final design activities.
  - Stage 1 Intelligent Transportation System (ITS) work to be completed.
  - Resolution of delay claims.
  - HECO & HDOT Coordination
  - LCC Coordination and work.
  - Pier 253 MOT and Structure access.

Contract DB-200: Maintenance and Storage Facility (MSF)

DB Contractor: Kiewit/Kobayashi Joint Venture (KKJV)

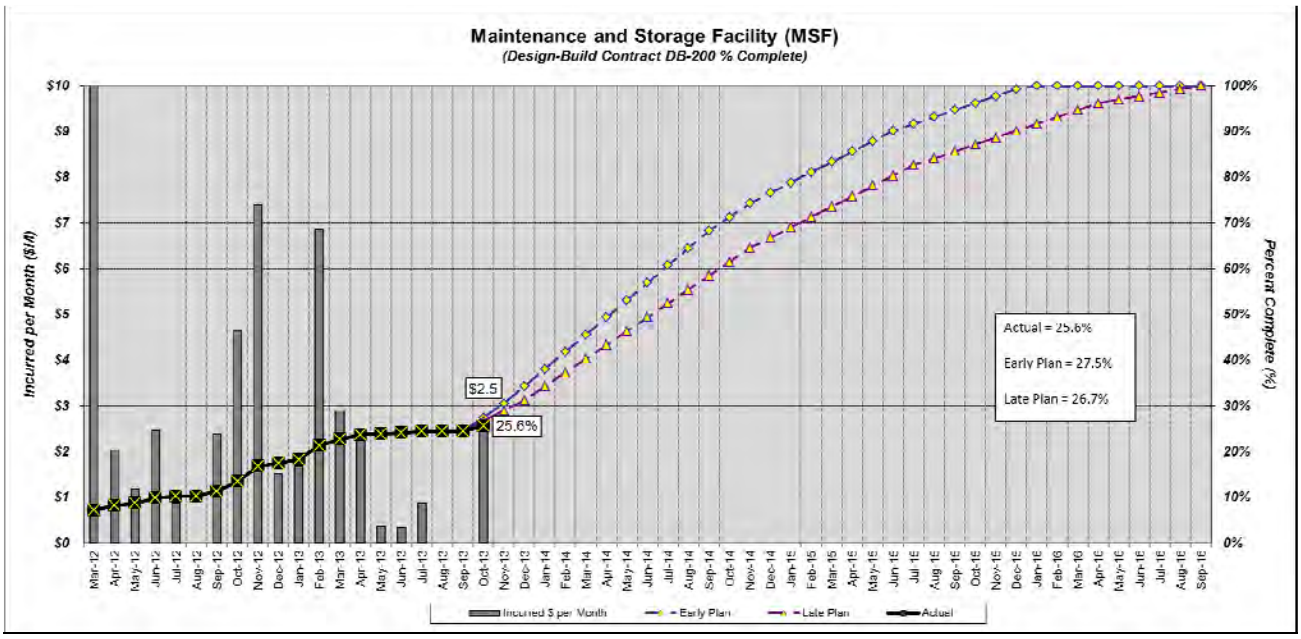
Committed:[1]	$221,180,398		Actual DBE Participation:	$23,740
Authorized:[2]	$154,211,132	(69.7%)	DBE % Attained:	0.012%
Incurred to date:	$54,582,635		Substantial Completion:	December 2015

[1] Commitment as of October 25 = Contract value (not including contingency) + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of October 25 is 25.6%, versus the early plan of 27.5% and the late plan of 26.7%, as shown in Figure 24 below. Design is 98% complete, based on Schedule of Milestones completion. A revised baseline schedule was submitted by KKJV and accepted by HART. The new substantial completion date is December 27, 2015.

Figure 24. Maintenance and Storage Facility (MSF) Construction



- **Activities this month**
  - KKJV continued monitoring Best Management Practice (BMP) measures for permit compliance.
  - KKJV continued with clearing and grubbing activities.
  - KKJV continued to cut and fill native topsoil for mass grading operations throughout the site.
  - KKJV continued to cut and grade detention basin.
  - KKJV continued to excavate trenches for storm and sewer lines.
  - KKJV continued to install storm and sewer lines with their respective manholes.
  - A shipment of concrete crossties, contact rail, and DF fasteners arrived during November.
  - Continued working with the Core Systems Contractor to resolve design interface issues.
  - HART working with KKJV in the development of issues list and the determination of critical claims that require immediate resolution.
  - HART working with KKJV and HNTB on the design for the yard reconfiguration work.
  - Continued workshops with the CSC contract on changes to the yard reconfiguration work.
  - A total of 165 total contract submittals have been received (8 under review).
  - KKJV has completed 7 of 9 or 77% of the anticipated final design submittals.
  - HART has received 155 Requests for Information (RFIs) from the contractor (4 open).

Installing storm drain lines

Installing sheeting boxes for storm drain lines installation

Installing storm drain lines

Backfilling storm drain lines

Clearing and grubbing

Clearing and grubbing

Excavating and grading the detention basin

Excavating and grading the detention basin

- **Look Ahead**
  - Continue mass grading activities.
  - Continue installing sewer lines and manholes.
  - Continue installing storm drain lines and manholes.
  - Commence installation of soil slope stabilization.
  - Commence installation of retaining wall no. 9.
  - Continue interface and final design activities.
  - Continue with the resolution of changes.

Contract DB-320: Kamehameha Highway Guideway (KHG)

DB Contractor: Kiewit Infrastructure West Company (KIWC)

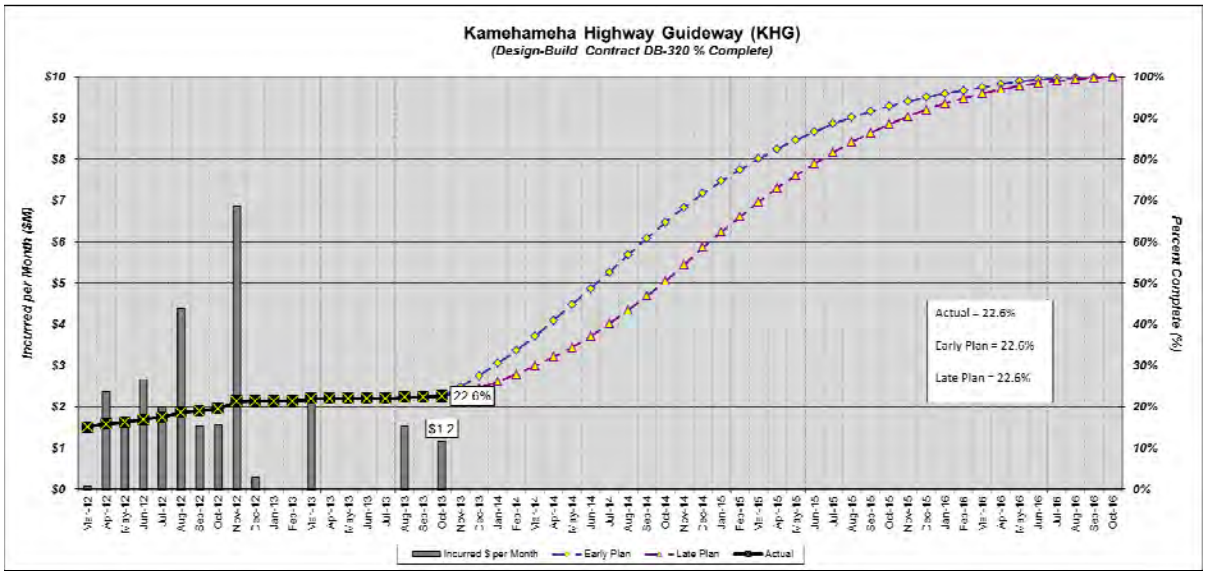
Committed:[1]	$378,860,981		Actual DBE Participation:	$297,630
Authorized:[2]	$168,877,062	(44.6%)	DBE % Attained:	0.08%
Incurred to date:	$85,764,186		Substantial Completion:	September 2016

[1] Commitment as of October 25 = Contract value (not including contingency) + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of October 25 is 22.6%, versus the early plan of 22.6% and the late plan of 22.6%, as shown in Figure 25 below. Design is 94% complete, based on Schedule of Milestones completion. KIWC has submitted a draft revised schedule based on the restart of construction on September 16, 2013 and the progress curve has been updated accordingly.

Figure 25. Kamehameha Highway Guideway (KHG) Construction



- **Activities this month**
  - KIWC continued to maintain the project site including laydown yards.
  - Interim Milestone Schedule dates in SP 4.1 were given to KIWC to incorporate in their schedule.
  - HART received a draft schedule which combines WOFH and KHG as agreed to by HART.
  - KIWC met with all utility companies to review and incorporate their time frames in KIWC's schedule.
  - HDOT issues continue to be discussed to determine resolution at the executive level. KIWC and HART executives met and agreed to allow KIWC to close lanes during holidays.
  - HART working with KIWC to resolve critical claims that require immediate resolution.
  - A total of 168 contract submittals have been received (5 under review).
  - KIWC has completed 10 of 41 or 24% final design submittals.
  - HART has received 82 Requests for Information (RFIs) from the contractor (0 open).
  - KIWC began excavating Test Shaft T-13, but encountered issues and chose to abandon the hole.
  - KIWC is filing a claim with the Owner Controlled Insurance Program (OCIP) for the problems encountered on Test Shaft T-13.
  - New Test Shaft T-13B location was identified and drilling began on Nov. 21.
  - Access and mobilization of cranes and equipment was completed at Test Shaft T-12 location.

KIWC continues oscillating +/-7 ft. dia. casing with the track crane oscillator to +/- 23 ft. depth at Test Shaft T-13B.

KIWC mobilizes equipment into the median of Kamehameha Hwy/Kuleana Rd & HECO Dwy, the site of Test Shaft T-11.

- **Look Ahead**
  - Continue interface and design activities.
  - Pour the Test Shaft T-13B.
  - Start excavation, pour and load test for Test Shafts T-11 and T-12.

3.3 Design-Build-Operate-Maintain (DBOM) Contract Status

Contract DBOM-920: Core Systems Contract (CSC)

DBOM Contractor: Ansaldo Honolulu Joint Venture (AHJV)

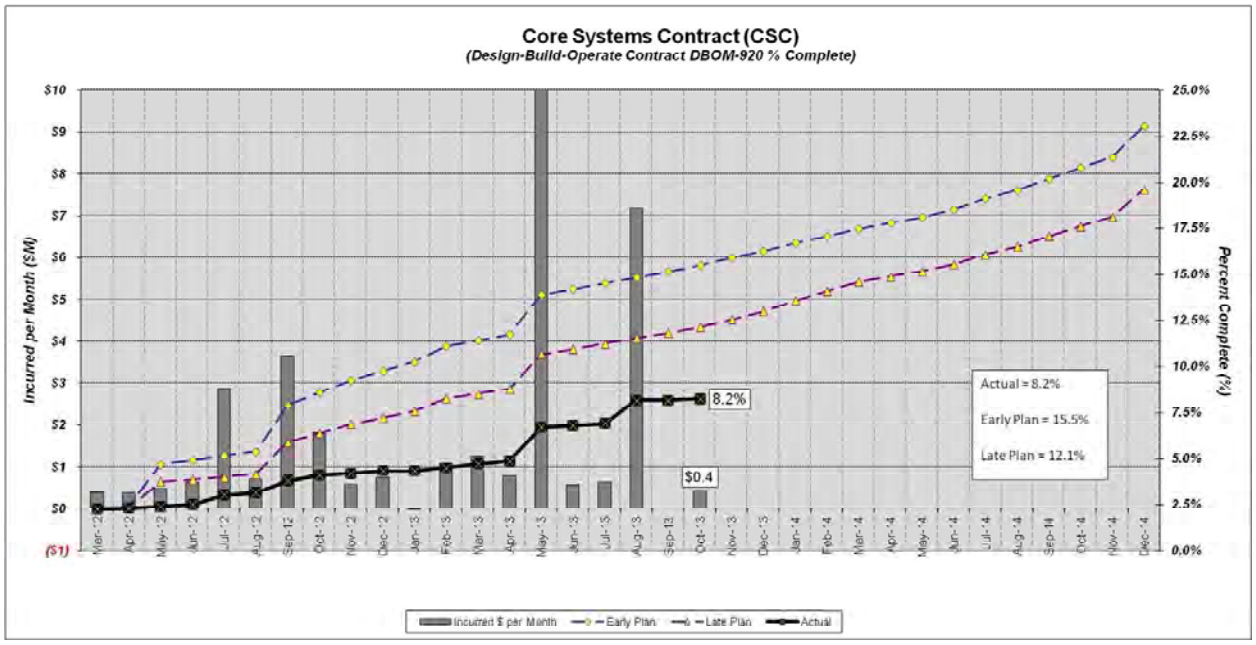
Committed:[1]	$602,950,143		Actual DBE Participation:	$105,179
Authorized:[2]	$514,430,792	(85.3%)	DBE % Attained:	0.024%
Incurred to date:	$47,535,609		Start-up Completion:	March 2019

[1] Commitment as of October 25 = Contract value (excluding contingency and $823.6 M O&M budget) + executed Change Orders. [2] Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of October 25 is 8.2%, versus the early plan of 15.5% and the late plan of 12.1%, as shown in Figure 26 below. Design is 29% complete. Financial progress is lagging actual design progress because milestones associated with design package documentation are incomplete and payment is not allowed. HART is working with AHJV on a revised schedule with interface milestones based on the restart of construction for fixed facility contractors in September 2013.

Figure 26. Core Systems Contract (CSC)



- **Activities this month**
  - AHJV continues to participate in Interface meetings, to issue/respond to Requests for Interface Data (RFIDs) and to coordinate fixed facility contractor interfaces. HART's interface partnering meetings continue jointly with AHJV and Kiewit to help expedite closure of interface issues. Final interfaces for the WOFH guideway are now being confirmed and accepted by AHJV.
  - AHJV continues to participate in MSF Workshop meetings to expedite completion of yard reconfiguration.
  - HART continued follow up with AHJV to resolve design submittals review comments.
  - Interim Design submittals continue particularly for Passenger Vehicles, Traction Electrification System, Train Control, Communications, and Maintenance of Way (MOW) Vehicles.
  - Completed review of four-car train operations with PMOC and requested acceptance by FTA to move forward.

- **Look Ahead**
  - Resolve interface issues with fixed facility contractors, particularly MSF and WOFH/KHG to support construction schedule.
  - Provide direction to AHJV on whether to implement four-car train operations.
  - Finalize rebaseline schedule as a result of revised access dates for fixed facilities.
  - Continue Passenger Vehicle Interim Design Review.

3.4 Final Design (FD) Contract Status

3.4.1 Station DBB Contracts Status (Executed and In Negotiation)

Contract FD-140: West O‘ahu Station Group Construction (WOSG) Final Design

Contractor: URS, Final Design Consultant (Engineer of Record)

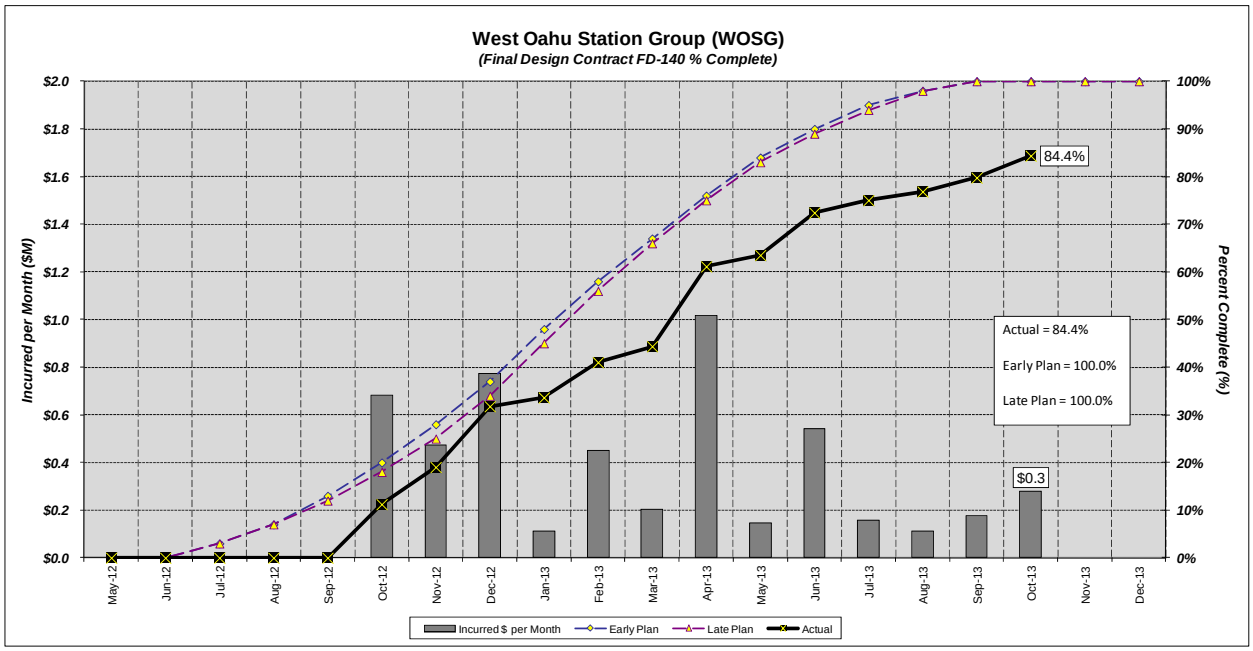
Committed:[1]	$7,789,000		Actual DBE Participation:	$0
Authorized:[2]	$5,575,579	(71.6%)	DBE % Attained:	0%
Incurred to date:	$5,125,258		Construction Docs Bid-Ready:	December 2013

[1] Total Commitment as of October 25 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of October 25 is 84.4%, versus the early and late plan of 100%, as shown in Figure 27 below. Design is 90% complete.

Figure 27. West O‘ahu Station Group (WOSG) Final Design



- **Activities this month**
  - Draft final design submittal package submitted for review.
  - Continued to hold weekly progress and interface meetings.
  - Continued development of standard platform canopy design.
  - Continued negotiation on interim park-n-ride, 46 KV relocation, Ho‘opili Station Design changes, and 4 & 6 bay canopy design.

- **Look Ahead**
  - Finalize request for change on interim park-n-ride design, 46KV relocation and Ho‘opili Station design.
  - Incorporate review comments.
  - Subsurface exploration at UH West O‘ahu Station.

Contract FD-240: Farrington Highway Station Group (FHSG) Final Design

HDR Engineering, Inc.
Start Date: January 12, 2011 End Date: April 5, 2013
URS Corporation
Start Date: September 27, 2013 End Date: November 14, 2016

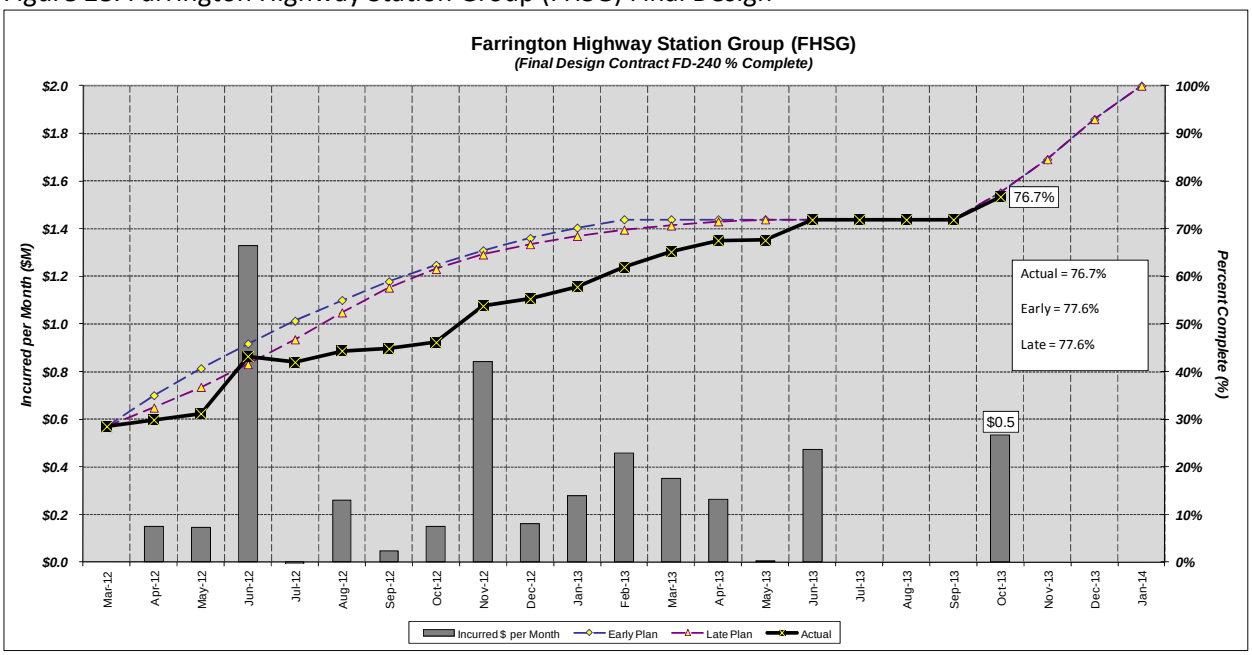
Committed:[1]	$12,208,045		Actual DBE Participation:	$254,809
Authorized:[2]	$9,867,090	(80.8%)	DBE % Attained:	4.63%
Incurred to date:	$8,478,450		Construction Documents Bid-Ready:	December 2013

[1] Commitment as of October 25 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of October 25 is 76.7%, versus the early and late plan of 77.6%, as shown in Figure 28 below. Design is 99% complete.

Figure 28. Farrington Highway Station Group (FHSG) Final Design



- **Activities this month**
  - Submitted various plans.
  - Schedule of milestone and schedule has been accepted.
  - Safety and security certification list has been submitted for review.
  - Final design development.
  - Coordinating to combine west station packages.
  - Continue to validate interface assumptions.

- **Look Ahead**
  - Continue final design package development.
  - Continue coordination to combine design packages into one construction contract.

Contract FD-340: Kamehameha Highway Station Group (KHSG) Final Design

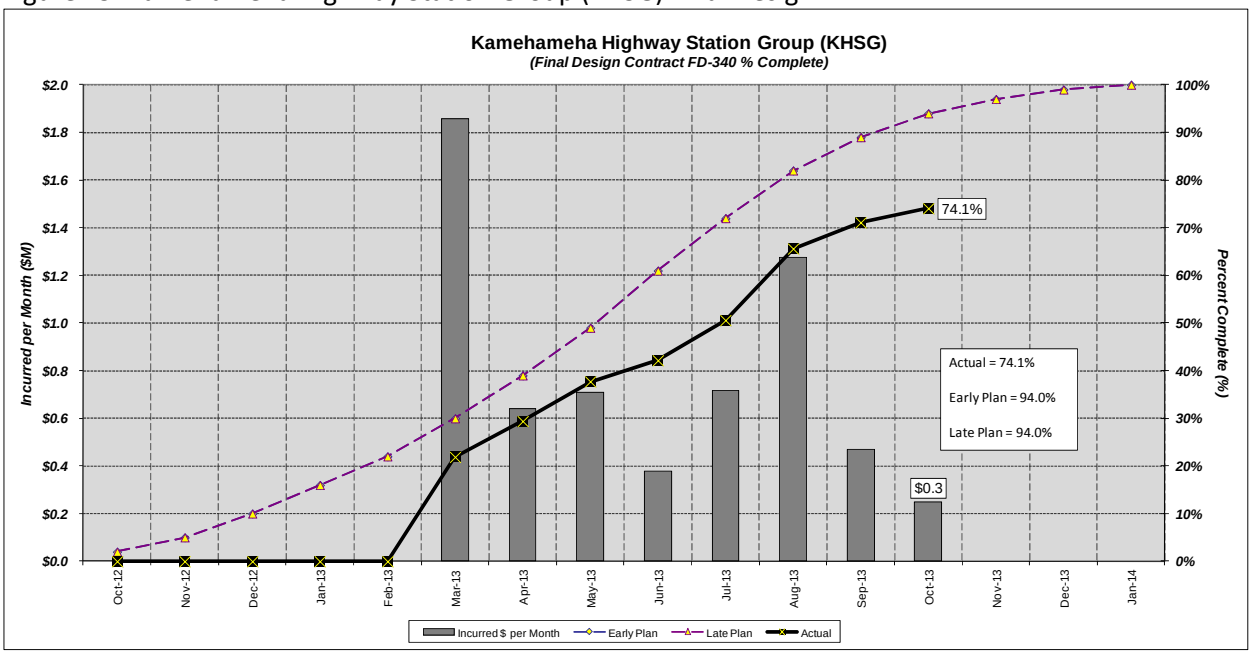
Contractor: Anil Verma Associates, Inc., Final Design Consultant (Engineer of Record)

Committed:[1]	$8,702,592		Actual DBE Participation:	$2,421,359
Authorized:[2]	$7,797,781	(89.6%)	DBE % Attained:	27.82%
Incurred to date:	$6,294,534		Construction Documents Bid-Ready:	December 2013

[1] Commitment as of October 25 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

Actual progress as of October 25 is 74.1%, versus the early and late plan of 94%, as shown in Figure 29 below. Design is 85% complete.

Figure 29. Kamehameha Highway Station Group (KHSG) Final Design



- **Activities this month**
  - Draft final design package submitted for review.
  - Continued to hold weekly progress and interface meetings.
  - Coordinated meetings with stakeholders: U.S. Navy, Aloha Stadium and HDOT.
  - Coordinating with URS to combine west station packages.
- **Look Ahead**
  - Finalize remaining request for changes.
  - Resolve Aloha Stadium parking lot coordination and finalize design.
  - Resolve sign bridge conflict and finalize design.
  - Coordinate with GEC to include Waiawa Stream Bank Protection design.

Contract FD-430 Airport Section Guideway and Utilities Final Design

Contractor: AECOM Technical Services, Inc., Final Design Consultant (Engineer of Record)

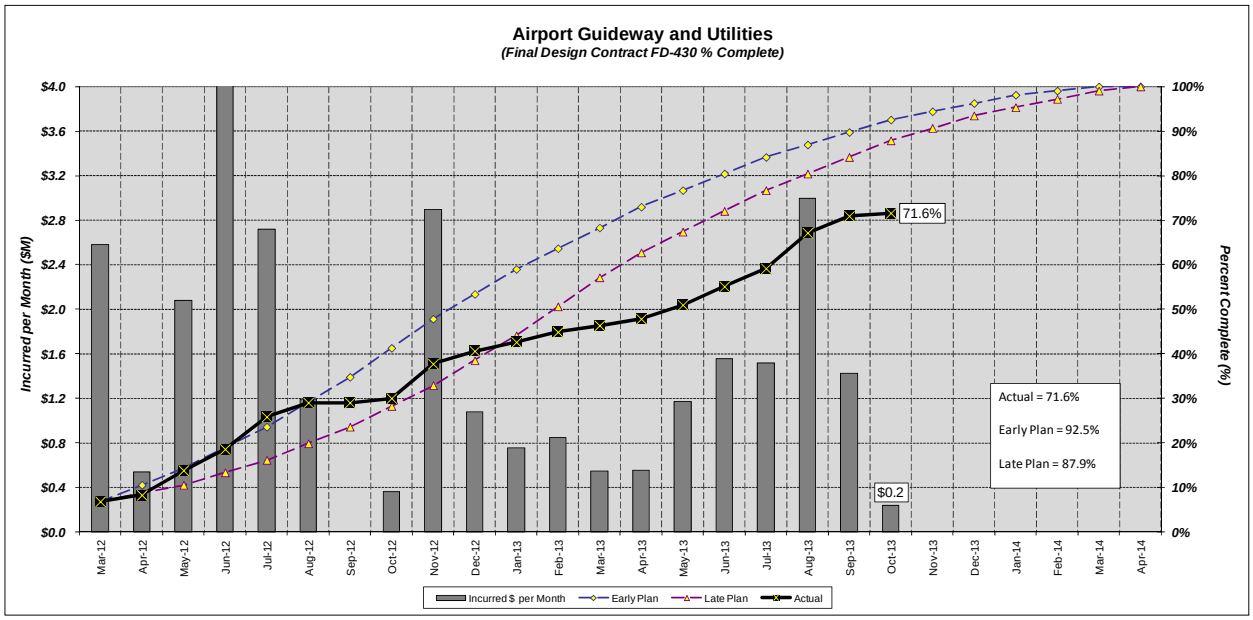
Committed:[1]	$39,580,074		Actual DBE Participation:	$145,701
Authorized:[2]	$37,992,060	(96.0%)	DBE % Attained:	0.38%
Incurred to date:	$26,870,128		Construction Documents Bid-Ready:	
			Utilities	October 2013
			Guideway	April 2014

[1] Commitment as of October 25 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of October 25 was 71.6%, versus the early plan of 92.5% and the late plan of 87.9%, as shown in Figure 30 below. Design is 65% complete.

Figure 30. Airport Guideway and Utilities Final Design



- **Activities this month**
  - Continue final design development.
  - Continued coordination with HDOT (Highway and Airport Divisions), utility companies, U.S. Navy and other stakeholders.
  - Continued weekly progress/design and interface meetings.
  - Continued geotechnical investigation.
  - Reviewing combined Airport and City Center construction cost estimate.

- **Look Ahead**
  - Finalize utilities final design development.
  - Continue geotechnical testing and potholing.
  - Continue guideway final design development.
  - Continue working on request for changes.

Contract FD-440: Airport Station Group (ASG) Final Design

Contractor: AECOM Technical Services, Inc., Final Design Consultant (Engineer of Record)

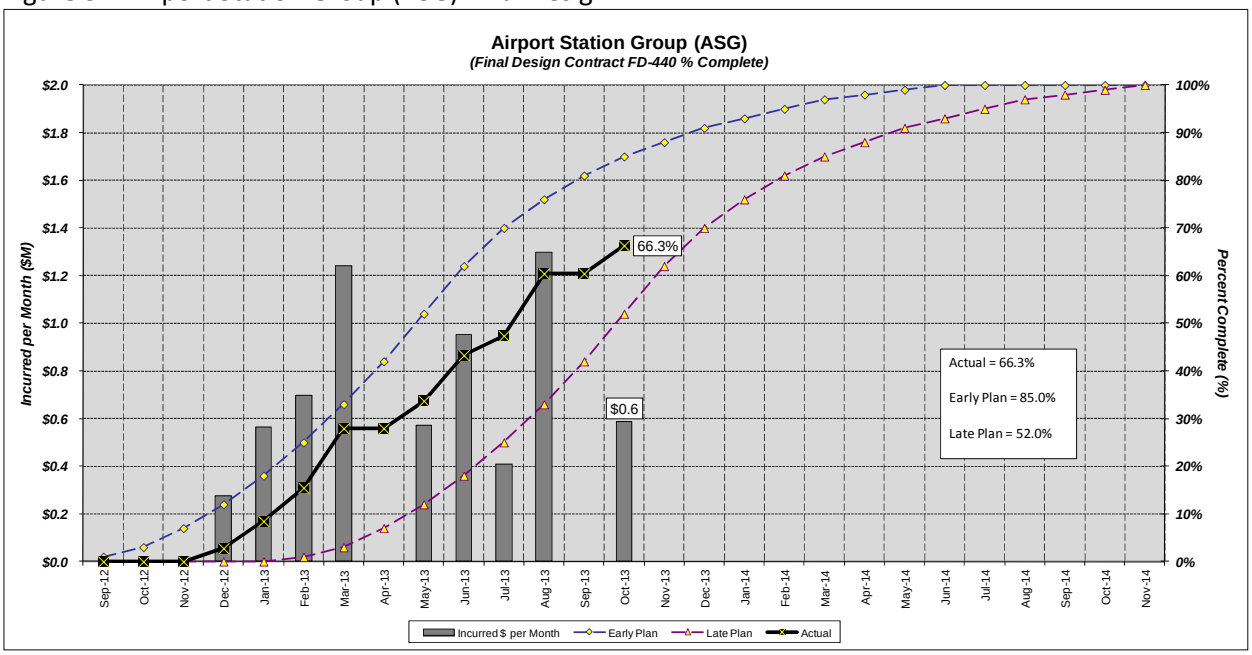
Committed:[1]	$10,177,365		Actual DBE Participation:	$215,936
Authorized:[2]	$9,128,022	(89.7%)	DBE % Attained:	2.12%
Incurred to date:	$6,589,970		Construction Documents Bid-Ready:	January 2014

[1] Commitment as of October 25 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of October 25 is 66.3%, versus the early plan of 85% and the late plan of 52%, as shown in Figure 31 below. Design is 80% complete.

Figure 31. Airport Station Group (ASG) Final Design



- **Activities this month**
  - Continued final design development.
  - Prepare for community meeting.
  - Continued weekly progress/design and interface meetings.
  - Reconcile engineer's estimate with construction budget.

- **Look Ahead**
  - Continue Coordination meetings with stakeholders: HDOT, U.S. Navy, and others.
  - Resolve TPSS location at Airport Station.
  - Resolve service driveway along Kamehameha Highway at Pearl Harbor Naval Base Station with HDOT.
  - Resolve Crossover comments and finalize design at Middle Street Station.
  - Process request for change for the Airport Station pedestrian bridges.

Contract FD-530: City Center Section Guideway and Utilities Final Design

Contractor: AECOM Technical Services, Inc., Final Design Consultant (Engineer of Record)

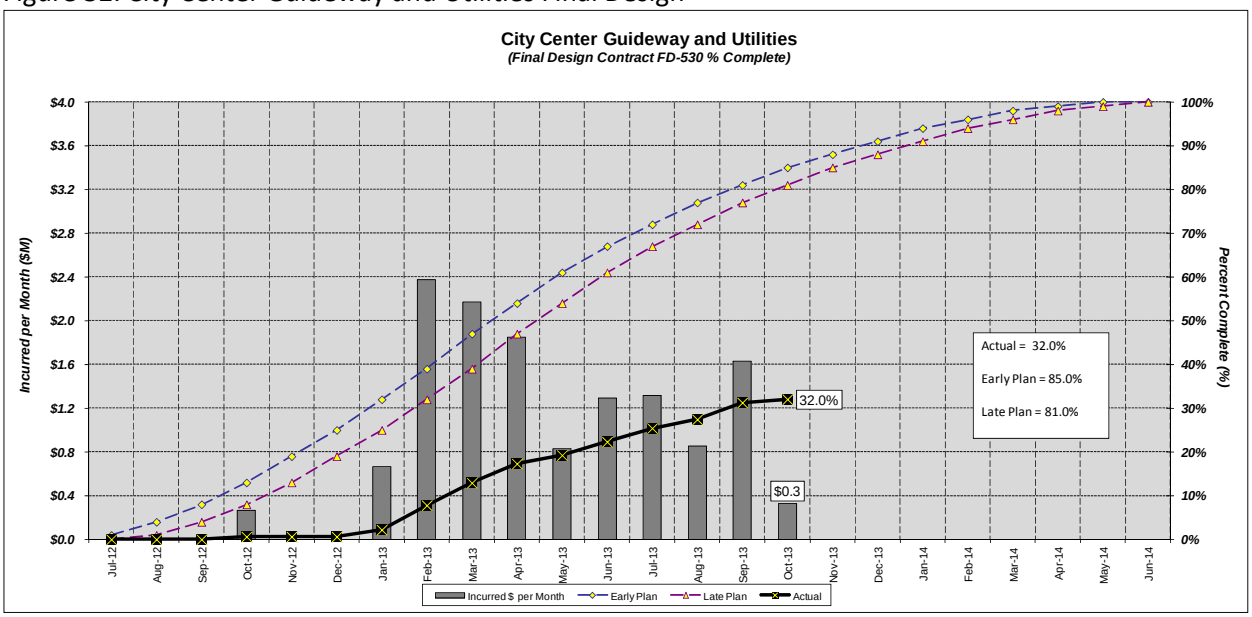
Committed:[1]	$44,481,020		Actual DBE Participation:	$139,883
Authorized:[2]	$35,162,448	(79.1%)	DBE % Attained:	0.32%
Incurred:	$13,571,146		Construction Documents Bid-Ready:	
			Utilities	August 2013
			Guideway	April 2014

[1] Commitment as of October 25 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

- **Contract Status**

Actual progress as of October 25 is 32%, versus the early plan of 85% and the late plan of 81%, as shown in Figure 32 below. Design is 50% complete.

Figure 32. City Center Guideway and Utilities Final Design



- **Activities**
  - Continued weekly progress/design and interface meetings.
  - Continued interim design development.
  - Continued to meet with various private and public stakeholders to coordinate station and guideway interface with their planned developments.
  - Continue geotechnical investigations.

- **Look Ahead**
  - Continue interim design development.
  - Finalize HECO sag calculation and thermal resistivity tests amendment.
  - Continue coordinating HECO design schedule.
  - Evaluate alternative designs along Dillingham Boulevard.

Contract FD-550: Dillingham and Kaka‘ako Station Group (DKSG) Final Design

Contractor: Perkins & Will, Final Design Consultant (Engineer of Record)

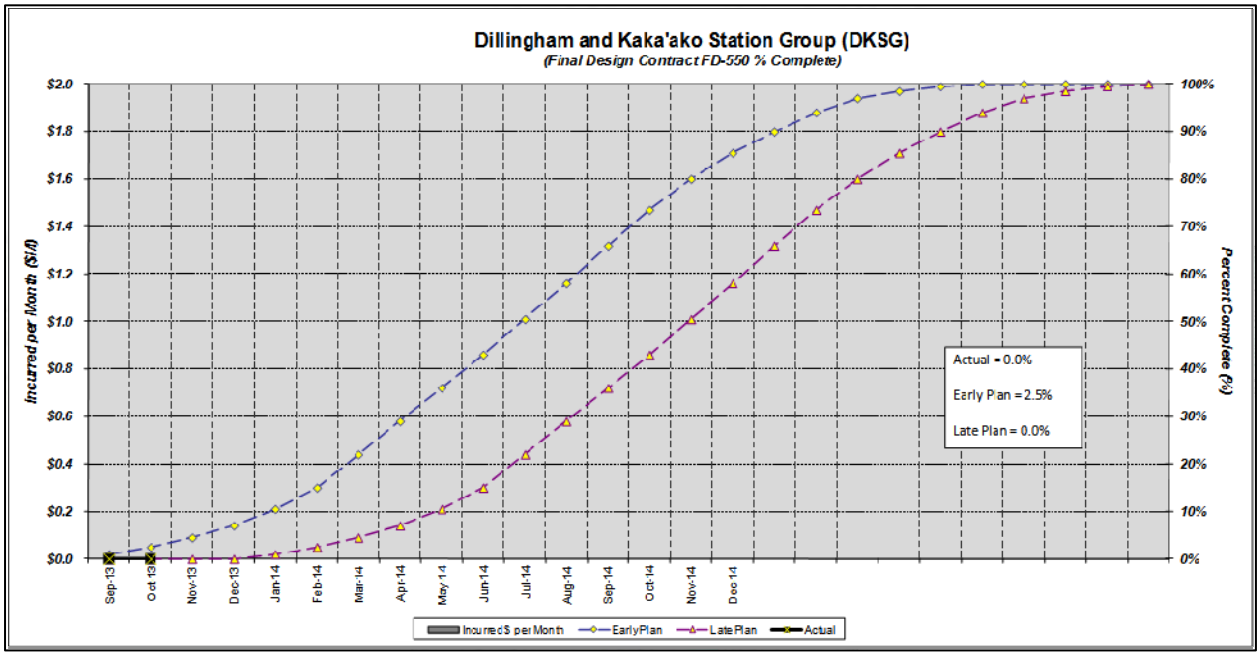
Committed:[1]	$18,321,918		Actual DBE Participation:	$0
Authorized:[2]	$5,899,146	(32.2%)	DBE % Attained:	0%
Incurred to date:	$0			

[1] Commitment as of October 25 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of October 25 is 0%, versus the early plan of 2.5% and late plan of 0%, as shown in Figure 33 below. Design is 15% complete.

Figure 33. Dillingham Kaka‘ako Station Group (DKSG) Final Design



- **Activities this month**
  - Continued preliminary engineering.
  - Reconcile budget validation.
  - Continued weekly progress/design and interface meetings.
  - Coordinated with various private developers and third party stakeholders.
  - Evaluated alternative design concepts at Downtown Station.

- **Look Ahead**
  - Continue updating preliminary design development.

3.5 Manufacture-Install-Maintain (MIM) Contract Status

Contract MI-930: Elevators & Escalators Install/Maintain

Contractor: Schindler Elevator Corporation

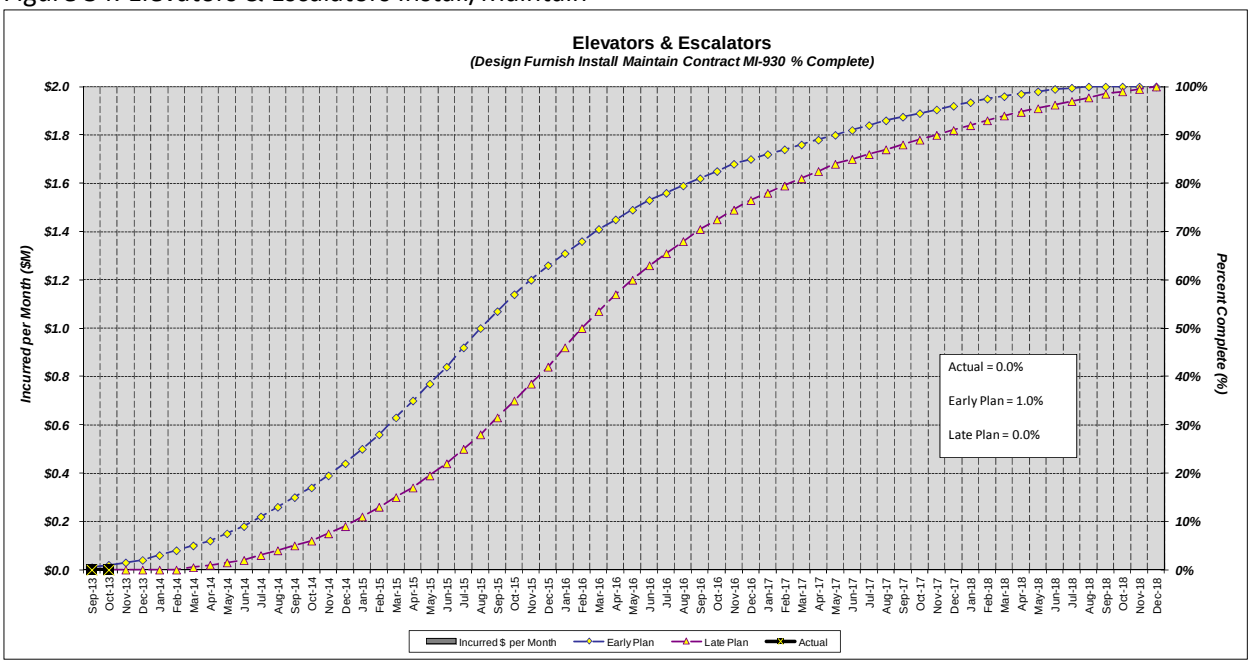
Committed:[1]	$50,982,714		Actual DBE Participation:	$0
Authorized:[2]	$5,442,108	(10.7%)	DBE % Attained:	0%
Incurred to date:	$0		Substantial Completion:	May 2018

[1] Commitment as of October 25 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of October 25 is 0%, versus the early plan of 1% and late plan of 0%, as shown in Figure 34 below. Design is 0.5% complete.

Figure 34. Elevators & Escalators Install/Maintain



- **Activities this month**
  - Schedule of Milestone's are under Review.
  - CMS training completed for Interface requirements.
  - Initial design continuing for the West Loch and Waipahu Transit Center Stations.

- **Look Ahead**
  - Initial kickoff meeting with design teams.
  - Initiate interface meetings between design teams and Core Systems Contractor.

3.6 Utility Agreements

- **Activities this month**
  - Buy America:
    - Oceanic Time Warner Cable (OTWC) - All materials in the utility agreement with OTWC will be Buy America Compliant.

- AT&T has provided a list of materials they will use in their work. HART has reviewed the list and determined which items are considered components. AT&T is verifying that the components are made in the USA.
- Hawaiian Telcom continues to assess the origin of the material on hand that Wavecom had purchased for the Project prior to Wavecom's acquisition by Hawaiian Telcom.
- HART reviews HECO material purchase orders as needed to verify materials that must be made in the USA.

o WOFH Section:
- Draft Amendments with Buy America Requirements have been sent for review to Oceanic Time Warner Cable (OTWC).
- The Hawaiian Telcom (HTI) Utility Construction Agreement (UCA) has not yet been executed. HTI is reviewing HART's comments to the draft UCA.
- Sandwich Isle Communications (SIC) UCA has not been executed. Currently, a UCA is not needed as there are no conflicts, however SIC has requested an agreement in the event a conflict arises. A draft construction agreement was submitted to SIC.
- HART and HECO have executed a Pre-Construction Agreement in advance to entering into a Construction Services Agreement. HART will perform the first three conflicts by its design builder, HECO will perform the remaining.
- HECO Design (11/19/13) and Construction Services Agreement was executed.

o KHG Section:
- There are no outstanding Engineering Service Agreements (ESAs) for the KHG section.
- Draft UCAs have been sent to OTWC and HTI for review and comment.
- The Tesoro UCA was executed on 9/12/13.
- Amendment No. 2 for the HECO UFRCRA, which includes Buy America Language, has been executed.
- HART and HECO have executed a Pre-Construction Agreement (expires 11/29/13). HECO will conduct the relocation work, or hire subcontractors to perform the relocation work.
- HECO Design (11/19/13) and Construction Services Agreement was executed.
- Possibility of construction work for AT&T Corporate and AT&T Government Solutions within the KHG Segment is under review. These utilities have been provided the language for an Agreement to review in case one is necessary.
- HawaiiGas is reviewing HART's comments to the UCA.
- No UCA's for Chevron and SIC will be needed.

o Airport and City Center Sections:
- tw telecom, Tesoro, HawaiiGas, HTI, and OTWC for the Airport and City Center Section have been executed. The remaining ESAs that need to be executed are AT&T Corporate, AT&T Government Solutions, and SIC.
- AT&T Corporate has reviewed HART's redline of the agreement. HART and AT&T Corporate have come to agreement on contract language. AT&T Corporate is routing the final for signature.
- AT&T Government Solutions ESA has been finalized and has been sent for signature.
- The HECO Airport Bridging Agreement has been extended to 11/29/13.
- The HECO City Center Bridging Agreement Amendments No. 3 and No. 4 with HECO have been executed; Amendment No. 3 has extended the Agreement to 11/29/13, and Amendment No. 4 will increase the fee an additional $540,000 to cover field investigation work and ongoing coordination.
- HECO has executed a separate design agreement for Airport and City Center.
- HART and HECO are finalizing the Construction Services Agreements for the Airport and City Center Guideway Segments.
- No UCA's for Chevron and Tesoro will be needed for the Airport and City Center sections.

- **Look Ahead**
  - Tesoro Hawai‘i LLC has been acquired by Parr Petroleum. There will be a company and name change to the KHG ESA, KHG UCA, and the Airport/City Center ESA Agreements.

See Figure 35 on the next page for the latest Utility Agreements Status Matrix.

Figure 35. Utility Agreements Status Matrix (by section)

Utility Agreements Status Matrix									
Utility Owner	***Status***	**WOFH**		**KHG**		**Airport**		**City Center**	
		ESA	**UCA**	**ESA**	**UCA**	**UCA**	**COMBINED ESA**		**UCA**
AT&T	*Executed*	May 11, 2011	Dec 20, 2011	May 18, 2012	Submitted draft to AT&T		AT&T Corp routing Agreement for signature		
	NTP	May 12, 2011	Dec 21, 2011						
Chevron	*Executed*	Dec 4, 2009		Nov 4, 2011					
	NTP	Dec 22, 2009		Nov 15, 2011					
Hawaiian Telcom	*Executed*	May 20, 2010	HTI reviewing new draft	May 10, 2012	Pending negotiation of WOFH Template		HTI agreement executed Sept 27, 2013		
	NTP	June 14, 2010							
HECO	*Executed*	By Agreement with PB	Apr 20, 2012 (to be vacated once Design and Construction Services Agreements are Executed)	July 12, 2012 (Agreement to be vacated once Design and Construction Services Agreements are Executed)			Airport Bridging Agreement Executed 2/19/13 (amendment executed extending agreement to 11/29/13) City Center Bridging Agreement Executed 3/4/13 (amendment executed extending agreement to 11/29/13)		
	NTP								
		Pre-Construction		Pre-Construction		Pre-Construction			
	Executed	Oct 30, 2013		Oct 4, 2013		n/a			
	NTP	Oct 30, 2013		10/4/13 (Amd. 1 Extension to 11/29/13)		n/a			
		Design Services	Construction Services	Design Services	Construction Services	Design Services	Construction Services	Design Services	Construction Services
	Executed	Nov 19, 2013	Final submitted to HECO for signature	Nov 19, 2013	Final submitted to HECO for signature	Nov 19, 2013		Pending Execution	
	NTP	Nov 19, 2013		Nov 19, 2013		Nov 19, 2013			
Oceanic Time Warner	*Executed*	Dec 8, 2009	Dec 21, 2011	Jan 9, 2012	Revised draft to Oceanic		Executed Apr 4, 2013		
	NTP	Dec 22, 2009							
Pacific Lightnet/ Wavecom	*Executed*	Apr 28, 2010	Mar 12, 2012	Feb 15, 2012					
	NTP	Apr 29, 2010	Mar 13, 2012	Feb 16, 2012					
Sandwich Isle Communications	*Executed*	May 20, 2010	Submitted draft to SIC	Apr 20, 2012	Submitted draft to SIC		Submitted draft to SIC		
	NTP	Jun 8, 2010							
HawaiiGas	*Executed*	Dec 18, 2009	Jun 30, 2011	Jun 1, 2012	Comments received from HawaiiGas		HawaiiGas agreement executed Sept 27, 2013		
	NTP	Dec 22, 2009	Jul 12, 2011						
tw telecom	*Executed*	Dec 2, 2009		Feb 14, 2012	No Scope – Oceanic to relocate for tw telecom for KHG		Executed Oct 11, 2012		
	NTP	Dec 22, 2009		Feb 16, 2012					
Tesoro	*Executed*			Feb 15, 2012	Agreement executed Sept 12, 2013		Agreement executed Sept 3, 2013		
	NTP			Feb 16, 2012					

Legend: = Action this month; = Not applicable

COR = Corporation Counsel
ESA = Engineering Services Agreement

UCA = Utility Construction Agreement
UFRCRA = Combined Engineering and Construction Utility Agreement

3.7 Permits

- **Activities this month**
  - Submitted Noise and Noise Variance permit to Hawai‘i Department of Health (HDOH) for Airport utility relocation and permanent station and guideway construction activities on November 25.
  - Submitted draft final Endangered Species Act Section 7 Marine Species Determination Memorandum for the HRTP In-Water Construction Activities to the FTA on November 23. This memo was requested by FTA in order for them to make an “effects” determination on the recommended ESA species listed by National Marine Fisheries Service.
  - Received approval for permanent shaft dewatering from Department of Education (DOE) on October 29.
- **Look Ahead**
  - Upcoming significant permit activity:
    - The Coastal Zone Management (CZM) Consistency application for work at Waiawa Stream Tributary and Waiawa Stream will be submitted to the Department of Business, Economic Development and Tourism (DBEDT) once completeness notifications have been received for the Section 401 from HDOH.
    - The City Center Section 10/404 Army Corps of Engineers application submission for in-water geotechnical work can be submitted once the official FTA “effects” determination transmittal for project-wide in-water geotechnical activities is received.
    - The Airport Section 404 Army Corps of Engineers application submission for permanent in-water construction is being drafted.
    - The West Stations’ National Pollutant Discharge Elimination System (NPDES) application for permanent station construction is being drafted.

3.8 Hawai‘i Department of Transportation (HDOT) Agreements

- **Activities this month**
  - Alignment-wide, the HDOT Traffic Management Consultant (contract MM-915) continues to review traffic signals, ITS and construction Maintenance of Traffic (MOT) for HDOT.
  - The HDOT Design Coordination Consultant for the WOFH section (contract MM-920), AECOM Technical Services, Inc. (AECOM), continues to review design submittals for HDOT.
  - AECOM, the HDOT Design Consultant for the KHG section (contract MM-921), continues to review design submittals for HDOT.
  - SSFM, the HDOT Design Coordination Consultant for the Airport and City Center Guideway sections (contract MM-922), is reviewing guideway design submittals for HDOT.
  - Kiewit has assumed maintenance control of Kamehameha Highway as part of the Master Agreement.
- **Look Ahead**
  - Airport Joint Use and Occupancy expected to be executed mid-2014.
  - City Center Joint Use and Occupancy expected to be executed early 2015.

3.9 Other Design Activities

- **Activities this month**
  - Waiawa Stream bank protection design.
  - Kalo‘i channel bank stabilization alternative study.
  - Prepare community meeting presentations.
  - Guideway landscaping design.
  - Baselined new architectural directive and standard drawings.

- Baselined new standard specifications.
- Coordination with various private developers and third party stakeholders.

- **Look Ahead**
  - Finalize decision on Kaloʻi channel alternative.

3.10 Interface

- **Activities this month**
  - Held Interface Partnering meetings.
  - Continued interfacing with adjoining contractors as surrogate designer on Elevators and Escalators (EE) in their absence.
  - A total of 1,042 Requests for Interface Data (RFIDs) have been submitted (720 closed).
  - A total of 46 Interface Issues have been elevated (3 new, 1 open, 6 closed, 2 on hold and 34 OSR).
  - Facilitated 36 interface definition meetings with various contractors.

- **Look Ahead**
  - Fully implement CMS tracking tool for HART Interface Issues.
  - Hold Interface Kick-off meetings for Elevator/ Escalator, and hand off interfacing to Schindler.
  - Continue Interface Partnering meeting with WOFH, KHG, MSF and CSC contractors.
  - Continue assisting Project Managers (PMs) and Deputy Project Managers (DPMs) for other FFCs (fixed facility contractors) in their effort to enable early decisions prior to construction start.
  - Continue monitoring contractor RFIDs and Interface Control Documents (ICDs) pertaining to the Final Design Baseline (Revision 0).
  - Continue with assessment process of elevated issues for path forward to construction.
  - Support interface efforts during construction**.**

4 GROUP REPORTS

4.1 Safety and Security

- **Activities this month**
  - The Project had two personal injury incidents in November. See Figure 36 below for a summary of issues to date.
  - HART reviewed AHJV submittals for compliance and technical specifications.
  - HART staff continues to meet with HDOT bi-weekly to address FTA and HDOT issues.
  - Working with Information Technology to address ergonomic desk issues for employees.
  - Finalize HART review of the updated Navy and courthouse Threat and Vulnerability Analysis (TVA's).
  - Continued to hold Sensitive Security Information (SSI) Implementation working group meeting.
  - Participated in the monthly Joint Traffic Management System (JTMS) steering committee meeting.
  - Participated in the weekly HART Core Systems staff meeting.
  - Continued work in evaluating submittals.
  - Participated in bi-weekly Project Interface meeting.
  - Participated in bi-weekly Safety and Security Certification Working Group (SSCWG) meeting.
  - HART Badge Program signed by CEO and sent out to staff.
  - SSI Program to be presented to HART Staff, as needed.

- **Look Ahead**
  - Continue to hold safety meetings with contractors, particularly AHJV, committees and staff.
  - On-going discussion of security concerns with the Transportation Security Administration (TSA), Honolulu Police Department (HPD) and Honolulu Fire Department (HFD), Department of Public Safety (DPS), and of Emergency Plans with Emergency Responders and Emergency Management.
  - Continue to meet and review design issues with contractors.
  - Continue to process CIL/CEL's from all contracts.
  - Revise "Draft, Familiarization of HART System," and reissue for review in December.
  - Continued development of the Safety and Security Management Plan, Safety and Security Information Procedures, and Safety and Security Certification Plan.
  - Waiting for the Audit comments from PMOC and HDOT to address and reply.
  - Safety and Security staff will provide SSI Training to employees that need to be trained.

Figure 36. Construction Safety Monitoring - Safety and Security Issues

Period/Date	Type of Incident*	Contract	No. & Type of Event	Comments	Type of Injury**
2011		----	**1 in 2011**		
2012		----	**22 in 2012**		
2013 Q1		----	0 in 2013 Q1		
2013 Q2			10 in 2013 Q2	April (1), May (2), June (7)	
2013 Q3			9 in 2013 Q3	July (1), August (4), September (4)	
Oct. 2013			6 in October 2013		
Oct. 24	Personal Injury	Airport Contracts	1 Personal Injury	Reported to AECOM 11-18-2013: water hose connected to water swivel swung around and hit driller on the lower right leg. Doctor put worker off work 11/25/13 for procedure to drain swelling from leg.	**OSHA Recordable Injury**

Nov. 23	Personal Injury	West O'ahu / Farrington Contracts	1 Personal Injury	Employee used the wrong type of grinder disk on a grinder and removed safety guards. The disk exploded due to the speed and cut the employee on both ankles and fractured the left ankle.	**OSHA Recordable Injury**
2013			**27 to date in 2013**		

* Type of Incident: Liability, Property, Personal Injury, Motor Vehicle Collision.
** **OSHA Recordable Injury**: Any work-related injury or illness that results in death, loss of consciousness, lost time from work, work restrictions or medical treatment are OSHA recordable incidents. Injuries and illnesses diagnosed by a licensed physician or health care professional are also OSHA recordable incidents. Any needle prick or puncture wound from a sharp object that could be contaminated with another person's blood or other infectious material is a recordable incident. Any injury that requires an employee to be medically removed from work duties due to any other OSHA health standard is also recordable.

4.2 Quality Management

- **Activities this month**
  - HART-GEC Quality Assurance (QA) staff holds a weekly meeting to discuss overall Project QA/Quality Control (QC) issues with consultants, contractors, subs and internal staff.
  - Continued training and mentoring HART employees to ensure project participants are familiar with the latest approved plans and procedures, and have acquired the required certifications.
  - Continued training and mentoring 2-Management Systems Lead Auditors (1- Safety and Security staff and 1-Planning and Environmental staff).
  - Continued updating and implementing the 1) Combined QA and Safety & Security (SS) Audits, 2) Environmental Compliance Audits, and 3) Buy America Compliance Audits Schedules for 2013.
  - Continued updating appropriate Project Baseline Plans and Procedures due to new policies, re-organization, process improvement and lessons learned from the internal audits. Updates to the appropriate Baseline Plans and Procedures have been prioritized for completion by early 2014.
  - Conducted bi-weekly Quality Task Force (QTF) meetings with 12-contractors and consultants' QA teams to discuss the status of: design and construction activities; procurement activities; inspection and testing; Non Conformance Report (NCRs) and Corrective Action Requests (CARs) quality compliance, various process improvements and Buy America compliance.
  - GEC II - Parsons Brinckerhoff, Inc. (PB):
    - Assisted HART QA in monitoring, auditing, surveillance and oversight of twelve (12) contractors and consultants.
  - West O'ahu/Farrington Highway Guideway (WOFH) – Kiewit Infrastructure West Co. (KIWC):
    - One (1) open NCR reported by KIWC.
    - Continued participation in Pre-activities meetings for construction scheduled activities.
    - Performed Combined QA and SS Audit on November 13-14, 2013 (No NCR found during the audit).
    - Performed QA Surveillance of the Surveying Program on November 8, 2013.
  - Maintenance and Storage Facility (MSF) – Kiewit Kobayashi Joint Venture (KKJV):
    - Participated in Pre-activities meetings for construction scheduled activities.
    - Continue resolving Buy America compliance traceability of 1,208 pieces of 85 lbs Contact Rails with KKJV stored at the Barbers Point Bonded Storage facility. On November 15, 2013, HART picked 22 random samples of contact rails to be dismantled and materials traced to appropriate Certified Mill Test Reports.
    - Performed inspection of Owner Purchased Materials and Equipment at the Barbers Point Bonded Storage facility.
  - Kamehameha Highway Guideway (KHG) – KIWC:
    - QA/QC activities are the same as the WOFH contract.

- Core Systems Contract (CSC) – Ansaldo Honolulu Joint Venture (AHJV):
  - Attended and participated in the coordination meetings of HART CS Group and AHJV (ASTS/AB).
  - Reviewing Alcatel Lucent and John Controls revised Supplemental Quality Plans [SQP(s)] and Modern Track Machineries Inc. (MTM) new SQP for the Maintenance of Way equipment. This equipment is considered rolling stocks.
  - Participated in the AHJV QA Training of ASTS and AB staff involved in the project.
  - Discussed procurement status and Buy America updates with AHJV (ASTS/AB).
- Farrington Highway Stations Group (FHSG) I – HDR Engineering, Inc. (HDR): CLOSED
  - Procurement and Contract Administrator closed HDR FD Contract on November 8, 2013. The Firewall between HDR and HDR/Infraconsult was removed.
- Farrington Highway Stations Group (FHSG) II – URS Corp. (URS):
  - Reviewing the URS QAP and implementing procedures for the new contract.
- Airport Guideway and Utilities (Airport) – AECOM Technical Services, Inc. (AECOM):
  - Monitoring AECOM QA activities.
  - Issued Combined QA and SS Audit Report for the audit held in September 2013.
  - Performed Environmental Audit on November 6, 2013.
- City Center Guideway and Utilities (City Center) – AECOM:
  - Monitoring AECOM QA activities.
  - Issued Combined QA and SS Audit Report for the audit held in September 2013.
  - Performed Environmental Audit on November 6, 2013.
- West O‘ahu Stations Group (WOSG) – URS Corp. (URS):
  - Monitoring URS QA activities.
  - Issued Environmental Compliance Audit Report held on September 17, 2013.
- Airport Station Group – AECOM:
  - Monitoring AECOM QA activities.
  - Issued Combined QA and SS Audit Report for the audit held in September 2013.
  - Performed Environmental Audit on November 6, 2013.
- Kamehameha Highway Stations Group (KHSG) – Anil Verma Associates, Inc. (AVA):
  - Issued Combined QA and Safety and Security Audit Report for the audit held in September 2013.
  - Reviewed AVA revised QAP (Revision 2).
  - Monitoring AVA QA activities.
- Dillingham-Kaka‘ako Station Group – Perkins+Will (P+W):
  - Reviewing P+W QAP and implementing procedures.

Figure 37. Open Nonconformance (NCR) Log Summary

NCR No.	ORG	Reference/Activity	Corrective Action	Status
Maintenance and Storage Facility (MSF) DB Contract				
002 Issued: 6/30/13	KKJV	1208 Sticks - 85# Contact Rails with incomplete documentation	Acquire required documentation including Test reports (22 random samples were picked by HART QA, to be dismantled by LB Foster, and traced to CMTRs by HART)	**Open**
West O‘ahu / Farrington Highway Guideway (WOFH) DB Contract				
066 Issued: 10/28/13	KIWC	Revised Work Procedure used prior to acceptance	Future revisions to the QAP or implementing procedures will be coordinated with HART/GEC	**Open**

- **Look Ahead**
  - Continue mentoring and training personnel on approved Project Plans and Procedures.
  - Issue Bi-Annual assessment of HART QMP and its implementation during the first week of December 2013.
  - Continue qualification and certification of 2-Lead Auditors on Management Systems Audits.
  - Continue QA/QC, Environmental and Buy America Compliance monitoring and oversight of contracts executed to date.
  - Update and implement the 2013: Combined Management Systems (QA and Safety & Security) Audit Schedule, Environmental Compliance Audit Schedule and Buy America Compliance Schedule.
  - Perform Joint AHJV/HART QA Audit of Siemens Industry, Inc. on December 9-10, 2013 at Tualatin, OR.
  - Perform Combined QA and Buy America (BA) Audit of MSF (KKJV) on December 12-13, 2013.
  - Environmental Compliance Audit of MSF (KKJV) on January 2014.
  - Follow up on and close corrective and preventative actions on all NCRs and Observations issued.
  - Review and approve Contractor/Consultant QAPs, Inspection and Test Plans (ITPs) and implementing procedures (new and updates).

4.3 Disadvantaged Business Enterprise (DBE)

HART has established a Disadvantaged Business Enterprise (DBE) program in accordance with the regulations of the U.S. Department of Transportation (USDOT), Title 49, Code of Federal Regulations, Part 26 (49 CFR Part 26). To be certified as a DBE, a firm must be small business owned and controlled by socially and economically disadvantaged individuals.

FTA funds totaling approximately $1.764 billion in year of expenditure dollars ($1.550 billion New Starts funds plus $0.214 billion Section 5307/ARRA funds) will be expended for Project related goods and services. A project goal of 13% or approximately $229 million dollars has been established for awards to DBEs through Federal Fiscal Year 2018.

It is the policy of HART to ensure that DBEs as defined in 49 CFR Part 26 have an equal opportunity to receive and participate in USDOT-assisted contracts.

- **Activities this month**

This reporting period covers October 16, 2009 (FTA authorization to enter Preliminary Engineering), to the end of the reporting month, November 30, 2013. The following chart lists the DBE firms participating in the project; their reported NAICS (North American Industry Classification System) code; the reported race and sex of the primary owner/manager; the contract number they are working under; the dollar participation by contract; and the total participation for all contracts.

DBE Participation
(10/16/09 to 11/30/13)

DBE Firm	NAICS Code	Race	Sex	Contract Number	Participation to Date	Total DBE Participation
David's Fencing	238990	APA	M	CT-HRT-10H0137 DB-120	$6,800.00	
				CT-DTS-1100195 DB-320	$129,816.37	$136,616.37
Glad's Landscaping	561730	APA	M	CT-HRT-10H0137 DB-120	$303,790.44	$303,790.44
Don's Makiki	484110	APA	M	CT-HRT-10H0137 DB-120	$546,066.68	
				CT-HRT-10H0449 DB-200	$20,893.85	
				CT-DTS-1100195 DB-320	$60,714.26	$627,674.79
Pacific Preferred Contractors Corp.	237310	APA	M	CT-HRT-10H0137 DB-120	$13,609.95	$13,609.95
PAC Electric	238210	APA	F	CT-HRT-10H0137 DB-120	$1,415,788.97	$1,415,788.97

DBE Firm	NAICS Code	Race	Sex	Contract Number	Participation to Date	Total DBE Participation
PMJ Builders	238310	APA	M	CT-HRT-10H0137 DB-120	$43,866.00	
				CT-DTS-1100195 DB-320	$107,100.00	$150,966.00
Standard Sheetmetal & Mechanical	236220	APA	M	CT-HRT-10H0449 DB-200	$2,846.29	$2,846.29
LP&D Hawaii	541320	APA	M	SC-DTS-1100013 FD-240	$216,109.25	$216,109.25
Ace Land Surveying	541370	NA	M	SC-DTS-1100013 FD-240	$38,700.00	$38,700.00
Integrated Security Tech.	561621	O	F	CT-HRT-1200106 DBOM-920	$105,179.58	$105,179.58
LKG-CMC	541618	O	F	SC-HRT-11H0131 MM-905	$1,946,007.00	
				SC-DTS-0700001 MM-910	$4,282,814.19	$6,228,821.19
Lawson & Associates	541690	O	F	SC-HRT-11H0131 MM-905	$586,737.09	
				SC-DTS-0700001 MM-910	$299,413.40	$886,150.49
Gary K. Omori	541618	APA	M	SC-HRT-11H0131 MM-905	$315,068.00	
				SC-DTS-0700001 MM-910	$183,920.00	$498,988.00
Pat Lee & Assoc.	541618	APA	M	SC-HRT-11H0131 MM-905	$322,592.00	
				SC-DTS-0700001 MM-910	$183,920.00	$506,512.00
212 Harakawa	541430	APA	F	SC-HRT-11H0131 MM-905	$325,320.00	
				SC-DTS-0700001 MM-910	$37,725.94	$363,045.94
JAD & Associates	541330	APA	M	SC-DTS-0700001 MM-910	$663,758.73	$663,758.73
Pacific Architects	541310	APA	M	SC-DTS-0700001 MM-910	$12,836.19	$12,836.19
Nagame Okawa*	541310	APA	M	SC-DTS-0700001 MM-910	$57,294.58	$57,294.58
Consulting Structural Hawaii	541330	APA	M	SC-DTS-0700001 MM-910	$514,977.38	$514,977.38

DBE Firm	NAICS Code	Race	Sex	Contract Number	Participation to Date	Total DBE Participation
Bright Light Marketing Group	541613	APA	F	SC-HRT-1200038 FD-430	$145,701.00	
				SC-HRT-1200149 FD-530	$139,883.18	
				SC-HRT-1300022 FD-440	$116,086.00	$401,670.18
Ki Concepts	541320	APA	M	SC-HRT-1200077 MM-922/923	$11,700.00	$11,700.00
Miyabara Associates	541320	APA	M	SC-HRT-1300022 FD-440	$99,850.00	$99,850.00
Anil Verma Associates**	541350	HA	M	SC-HRT-1200111 FD-340	$2,421,359.72	$2,421,359.72
Total						**$15, 678,246.04**

** Nagame Okawa's countable participation is limited to the period from 1/2/09 to 2/16/10. The company graduated from the DBE program on 2/16/10.*
*** Anil Verma Associates is a Prime Contractor and was certified as a DBE effective 6/26/13.*

Race Categories

APA	Persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands, (Republic of Palau), the Commonwealth of the Northern Marianas Islands, Macao, Fiji, Tonga, Kiribati, Juvalu, Nauru, Federated States of Micronesia or Hong Kong
BA	Persons having origins in any of the Black racial groups of Africa
HA	Persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin regardless of race
NA	Persons who are American Indians, Eskimos, Aleuts, or Native Hawaiians
SAA	Persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka
O	Any other group whose members are designated as socially and economically disadvantaged by the SBA

The total dollar participation for all DBEs on all HART contracts from 10/16/09 to 11/30/13 was $15,678,246.04. To determine progress towards the project goal of $229 million DBE participation, the total DBE dollar participation is compared to the amount of FTA Funds used to date and the total Project FTA Funds.

The total FTA fund drawdowns to November 30 was $183,532,736 ($179,532,736 New Starts + $4,000,000 ARRA). To meet the 13% DBE goal on FTA funds received, $23,859,255 in DBE goods and services would have to be utilized. DBE utilization on FTA funds received to date is 8.54% ($15,678,246.04 divided by $183,532,736) of the total disbursed FTA Funds.

The total Project FTA funds under the FFGA is approximately $1.764 billion. To meet the 13% project DBE goal, $229,307,507 in DBE goods and services would have to be utilized. DBE utilization to date on total FTA funds is approximately 0.89% ($15,678,246.04 divided by $1,763,903,901) of the total Project FTA funds.

- **Look Ahead**

There are no formal outreach functions planned for December, however HART staff will continue to review, tabulate, and evaluate DBE participation reports submitted by prime contractors with their requests for payments, and take action to ensure DBEs and other small businesses have an equal opportunity to participate in our contracts at all levels. For all contracts, HART shall require prime contractors to identify elements of a contract, or a specific subcontract that are of a size that small businesses, including DBEs can reasonably perform and actively recruit.

The plan is to continue to disseminate the prime contractor and potential prime contractor contact information to the certified DBEs and other points of contact for small businesses to inform them of opportunity. HART's mission is to breakdown as many barriers as possible by acting as a liaison between the primes, subcontractors, DBEs and small businesses to develop mutually beneficial business relationships.

For the New Year, an extensive outreach program directed to the minority small business community through their leaders and organizations is planned, as well as conducting periodic pre-bid conferences, seminars, workshops and business fairs to inform and encourage participation. HART staff will be readily available to address and satisfy any special assistance needs that arise.

HART's commitment is to meet the maximum feasible portion of its overall goals through race–neutral means. We are aware there may be concerns that certain minority groups are being underutilized in the DBE participation process. Race-neutral participation is being closely monitored and contract goals or other race or gender conscious means will be utilized if it becomes apparent that the overall goal cannot be met through race-neutral means.

4.4 Right-of-Way

- **Activities this month**
  - Acquisitions**:**
    - Administrative settlement for TMK 1-1-16-006, 2668 Waiwai Loop is under FTA review.
    - Letter of intent to acquire was sent for TMK 1-2-3-016, a full acquisition along Dillingham Boulevard.
    - Completing title searches for those properties along Dillingham Boulevard.
  - Relocations:
    - Notices of Eligibility were issued to tenants of TMK 1-1-16-014, TMK 1-1-16-006 and TMK 1-1-16-005, properties along Waiwai Loop for the Lagoon Station and Airport Guideway.
    - Initiated relocation activities for those tenants on property owned by HART in the fourth section as permitted by the federal court order modifying the partial injunction.
  - Budget:
    - $42.3M was spent to acquire 23 properties. The budgeted amount for the 23 parcels was $45.4M, resulting in a budget underrun of $2.9M.
    - $2.7M has been expended to date for relocations.

- **Look Ahead**
  - WOFH Section
    - Complete the acquisition of TMK 9-6-04-006, a full acquisition within the Banana Patch.
    - Make an offer of just compensation to owners of 9-4-047-008, a partial acquisition for West Loch Station.
  - Kamehameha Section
    - Complete partial acquisitions associated with TMK 9-7-23-008, TMK 9-7-022-008 and TMK 9-7-022-021.

- Airport Section
  - Complete negotiations for TMK 1-1-16-005, a full acquisition needed for the guideway.
  - Complete the mapping and survey work associated with acquisitions within the airport section.
  - Complete the appraisals for the remaining partial acquisitions and easements along Waiwai Loop.
- City Center Section
  - All acquisitions and relocations not specified in the federal court order modifying the partial injunction remain on hold until conditions of the federal court order are met.
  - For design support, continue to secure consents to do geotechnical testing and environmental assessments on properties along the proposed guideway and stations.

Figure 38. Right-of-Way Status [data provided by the Real Estate Acquisition Database (READ)]

	No. of Parcels Impacted	Current No. of Parcels Needed	Appraisals In Process	Appraisals Completed	Letters of Offer Sent	Offers Accepted	Possession Granted For Condemnation	Agreements Executed	Relocations Completed	Properties Available for Contractor
Full Acquisition										
W.Oahu\Farrington	14	14		14	14	13	1		10	14
Kamehameha	3	3		3	3	3				2
Airport	5	5	1	4	5	2				1
City Center	15	15		9	8	6			2	2
TOTAL	*37*	*37*	*1*	*30*	*30*	*24*	*1*		*12*	*19*
Partial Acquisition										
W.Oahu\Farrington	14	6		1	1			3		3
Kamehameha	19	3		3	3		1			3
Airport	6	6	1					1		1
City Center	73	68	2	1	1	1				
TOTAL	*112*	*83*	*3*	*5*	*5*	*1*	*1*	*4*		*7*
Easement										
W.Oahu\Farrington	16	14	4					7		7
Kamehameha	4	4	1					6		3
Airport	35	34		1	1			25		
City Center	24	24						2		
TOTAL	*79*	*76*	*5*	*1*	*1*			*40*		*10*
GRAND TOTAL	*228*	*196*	*9*	*36*	*36*	*25*	*2*	*44*	*12*	*36*

Figure 39. Relocation Status [data provided by the Real Estate Acquisition Database (READ)]

Section	Residential Relocations	Business Relocations	Not-For-Profit Relocations	Relocation Assessment Completed	90-Day Notice Sent	30-Day Notice Sent	Relocations Completed for OCCUPANTS
W.Oahu\Farrington	18	6	1	11	12	8	24
Kamehameha		4		4	3	3	3
Airport		8		2	6		
City Center	3	55		8	4	4	7
Grand Total	*21*	*73*	*1*	*25*	*25*	*15*	*34*

Figure 40. Third-Party Agreement Status

Agreement	Completion	Target	Section	Status
University of Hawai‘i (UH) Master Agreement	Pending	November 2013	WOFH, KHG, City Center	Final negotiations are underway.
Leeward Community College (LCC) Sub-agreement	Pending	November 2013	WOFH	In negotiations
UH West O‘ahu (UHWO) Sub-agreement	Pending	November 2013	WOFH	In negotiations
Department of Land and Natural Resources (DLNR)	September 13, 2013		WOFH	Received right of entry. Final easement documents pending.
Department of Education Master Agreement and Consent to Construct	Feb 8, 2011		WOFH	Executed
DR Horton Agreement for Construction	Mar 7, 2012		WOFH	Executed
DHHL Master Agreement	Mar 10, 2010		WOFH, MSF	Executed
DHHL Consent to Construct	Dec 1, 2011		WOFH, MSF	Consent to construct in place.
DHHL License	Pending	November 2013	WOFH, MSF	License agreement approved by City Council in August. Documents being finalized.
HDOT Master Agreement	Oct 31, 2011		WOFH	Executed
HDOT Joint Use & Occupancy (JU&O) Sub-agreement	Apr 5, 2012		WOFH	Executed
UH Urban Garden Sub-agreement	Pending	November 2013	KHG	In negotiations
HDOT Master Agreement for KHG, Airport and City Center	October 11, 2013		KHG, Airport, City Center	Executed
HDOT JU&O Sub-agreement for KHG, Airport and City Center	October 11, 2013		KHG, Airport, City Center	Executed
Aloha Stadium / Department of Accounting & General Services (DAGS)	September 13, 2013		KHG	Received right of entry. Final easement documents pending.
U.S. Navy / General Services Administration (GSA)	Pending	N/A	WOFH, KHG, Airport	Navy finalizing documents for KHG and WOFH easements.
U.S. Post Office Honolulu Processing Center	Pending	Feb 2014	Airport	Design agreed to by Post Office. Initiated title search and survey work.
Honolulu Community College (HCC) Sub-agreement	Pending	July 2014	City Center	In negotiations
OCCC/Hawai‘i Department of Public Safety –Dillingham Blvd	Pending	July 2014	City Center	Required due to parking space reduction at OCCC for roadway widening. Title search ongoing and discussions pending.
Federal Court House/GSA	Pending	Oct 2014	City Center	Discussions will resume.
HI Community Development Agreement (HCDA)	Pending	Oct 2014	City Center	Awaiting final design requirements for the guideway.
DAGS	Pending	Oct 2014	City Center	Awaiting final design requirements for the guideway.

4.5 Planning and Environment

- **Activities this month**
  - Programmatic Agreement (PA) [by PA Stipulation number]
    - III. Identification and Protection of Archaeological Sites and Burials - Archaeological Inventory Surveys (AIS).
      - The Data Recovery Plan for Section 4 (City Center) was submitted for review and approval to the State Historic Preservation Division (SHPD) on October 28. The public review period ends on December 2.
      - The Archaeological Monitoring Plans for Section 3 (Airport) and Section 4 (City Center) and the Burial Treatment Plan for Section 4 (City Center) are being prepared.
      - Coordination with SHPD and the Oʻahu Island Burial Council (OIBC) as well as outreach to descendant families continues on the seven iwi kūpuna (human skeletal remains) discovered previously during the City Center AIS field work. All seven iwi kūpuna continue to be protected in place.
    - IV. Design Standards:
      - Airport Station Group Community Meeting #1 was held on November 21 from 6 p.m. to 8:30 p.m. at Moanalua High School cafeteria. This meeting did not include the Airport Station. A pre-meeting with the PA Consulting Parties was held on November 12. The pre-meeting also included a focus meeting session on Pearl Harbor Naval Base Station.
      - A 30-day Consulting Party review of Final Design Phase plans for the Pearl Harbor Naval Base Station began November 5.
    - V. Recordation and Documentation:
      - Historic American Buildings Survey/ Historic American Engineering Record/ Historic American Landscape Survey (HABS/HAER/HALS) documentation [including required photo recordation of adversely affected historic properties activities and submission to the National Park Service (NPS)] is in progress for additional properties. No submissions occurred in November. Internal report preparation is in progress.
    - VI. National Register of Historic Places/Historic Landmark Nominations:
      - Preparation of National Register (NR) nomination forms for adversely affected historic properties is in progress.
      - NPS (Keeper of the Register) acknowledged receipt of NR Nomination Form for Mother Waldron Playground in the November 20 Federal Register. Comments are being accepted by NPS until December 5. This historic site is already on the Hawaiʻi Register of Historic Places.
    - IX. B. Historic Preservation Program:
      - Fung Associates Inc (Historic Architects) and HART continued to work in November to provide support information for the potential restoration work to be funded.
  - Mitigation Monitoring Program (MMP)
    - MMP Reporting:
      - Internal October monthly reports were completed in November. The Quarterly Report for 3rd Quarter 2013 was submitted to FTA at the end of October.
  - Planning Activities
    - HART staff participated in the 2013 Transit-Oriented Development (TOD) Symposium, Making TOD Happen, which was held on November 16 by the City Department of Planning and Permitting (DPP).

- HART participated in the first of multiple walk audits of the rail station areas initiated by the City Department of Transportation Services (DTS). The purpose of these audits is to identify opportunities to improve connections to and around the rail stations.
- Monthly HART Sustainability Committee Meetings continue as the team works to identify ways to improve the support of green features project-wide.

- **Look Ahead**
  - Continued cultural descendant outreach regarding iwi kūpuna finds in Section 4 (City Center).
  - All projects requesting Historic Preservation Funds that have passed the first screening will be invited to submit full proposals this fall.

4.6 Risk Management

Risk management is integral to all stages of the Project and the associated contract delivery, from planning and design, through construction and the execution of work, to system operations, and to project closeout. Risk management is the systematic process of identifying, analyzing, and responding to risk in a timely manner. Risk assessments are performed to identify, assess, prioritize, manage, and mitigate risk exposure and to provide contingency plans. Risk management entails identifying potential project risks including appropriate mitigation. The Project Risk Register (RR) is the depository for all risks identified on the Project. Every month, risks contained in the Project Risk Register are reviewed to confirm risks are appropriately identified, identify new risks, and close out risks that no longer pose an issue.

A major goal for HART and the FTA is to complete the FFGA project within budget and on schedule. The primary strategy is to maintain a reserved contingency balance throughout the life of the Project that is acceptable to HART and the FTA. Effective management of project risks is necessary to significantly increase the chances of delivering a successful project. The objective of risk assessment is to establish an overall rating for each risk by assigning the likelihood of the risk happening together with the cost and/or time impacts to the Project if the risk does happen. The cost and/or time impact(s) to the Project are assessed based on a "most likely scenario."

- **Activities this month**
  - The top 10 risks in October are set out in Figure 42 on the next page.
  - As shown in Figure 43 on page 63, the Top 10 risks for October changed from those identified in September due to a reduction in the risk rating for risk #60e. The risk was replaced in the top 10 by risk #187.
  - As shown in Figure 44 on page 64, three new risks were added.
  - In October, 40 risks were deleted from the Risk Register, as shown in Figure 45 on page 64.
  - The total number of risks decreased by 37, from 297 in September to 260 risks in October, as 40 risks were deleted and three risks were added. See Figures 46 and 47 on page 68.
  - HART continues to work with the Owner-Controlled Insurance Program (OCIP) Consultant, Marsh USA, Inc., to identify and evaluate the insurable risks for the project and the agency.
- **Look Ahead**
  - Monthly contract/discipline specific risk workshops.
  - Update Risk Mitigation Plans for top risks.
  - Monthly Risk Assessment Committee Meeting.

Figure 41. Risk Matrix

Legend	Low (1)	Med (2)	High (3)	Very High (4)	Significant (5)
Probability	< 10%	10%><50%	50%><75%	75% ><90%	>90%
Cost	< $250K	$250K><$1M	$1M><$3M	$3M><$10M	>$10M
Schedule	< 1 Mths	1 ><3 Mths	3><6 Mths	6><12 Mths	> 12 Mths
Rating	< =3	3.1-9.49		> =9.5	

The risk matrix in Figure 41 above is used to score and rank identified risks. The rating is the average cost and schedule impact score multiplied by the probability score.

Figure 42. Top 10 Project Risks in October

Risk ID	Contract Package	Risk Description	Prob	Prob Rating	Cost Impact	Time Impact	Oct. Risk Rating	Sept. Risk Rating
187	Project Wide	HECO maintenance clearance may be a greater distance than HECO originally agreed to resulting in additional ROW.	50%	3	5	5	15	
PMOC26	Project wide	Change in station designs may affect guideway and result in additional construction costs.	90%	5	5	2	17.5	17.5
11	Project Wide	There may be insufficient utility company resources available to meet the design, approvals and/or construction schedule. (May result in additional costs for rework during construction.)	75%	4	5	3	16	16
58	Project Wide	Core Systems design interface may result in changes to fixed facility design resulting in formal change orders.	90%	5	4	2	15	10
39	Project Wide	Contractors may not achieve contract required delivery dates of design information and construction interfaces to others.	75%	4	5	2	14	14
169	City Center	Environmental documentation required under the Federal court case takes longer than planned, resulting in delays to ROW purchase for City Center.	75%	4	4	3	14	14
63	Project Wide	Costs for utility relocations may increase if utility plans have deviations greater than contract stipulation.	75%	4	5	2	14	14
147	Project Wide	Late turnover of ROW to contractor may affect Project schedule.	75%	4	4	3	14	12
56	Project Wide	HDOT may not grant waiver to leave in place existing utilities to be abandoned that are not impacted by new structures requiring partial or total removal.	75%	4	5	1	12	12
59	Project Wide	Traffic disruptions may result in revised constraints imposed by City or HDOT.	75%	4	4	2	12	12

Figure 43. Risks Removed from Top 10

Risk ID	Contract Package	Risk Description	Prob	Prob Rating	Cost Impact	Time Impact	Oct. Risk Rating	Sept. Risk Rating
60e	City Center	Given limited geotechnical information available at the current PE level, additional costs may be incurred.	90%	5	3	2	12.5	20

Figure 44. Risks Added in October

Risk ID	SCC Code	Contract Package	Risk Description	Cal Prob	Prob Rating	Cost Impact	Time Impact	Risk Rating
185	90.00	Project Wide	Procurement of Project support consultants may result in inefficiencies during transition.	50%	3	1	1	3
186	90.00	Project Wide	New directive by Navy requires government agencies (exclusive of FHWA) to pay for easement and licenses for Navy property which results in additional costs not originally anticipated.	50%	3	3	2	7.5
187	90.00	Project Wide	HECO maintenance clearance may be a greater distance than HECO originally agreed to resulting in additional ROW.	50%	3	5	5	15

Risk #185 – Contracts currently under procurement are GEC III, West CE&I and East CE&I.

Risk #186 – Easements on each section are: WOFH - 1, KHG - 1, Airport - 15. There are also numerous license agreements that are required.

Risk #187 – HECO mockup testing was performed but not to the level expected. PE design was done to 15' and now HECO is stating clearance for maintenance needs to be 50'.

Figure 45. Risks Deleted in October

Current Risk ID	SCC Code	Contract Package	Risk Description	October 2013 Comments	Risk Rating	
					Oct. '13	Sept. '13
165	10.04	Project Wide	Earth disturbing activities suspended pending approval of Project wide AIS delays design completion and results in additional costs due to escalation.	Project wide risk has been deleted since it is now only applicable to City Center section.		7.5
103	40.03	Airport Guideway	Discovery of unexploded munitions disrupts construction.	Risk has been deleted because it is not an issue.		1.5
6	20.02	Project Wide	Station Bathroom design criteria presented to the public is unacceptable and results in additional bathrooms.	Risk has been deleted because all stations have been standardized and residual risk has been covered elsewhere.		2
PMOC2	10.09	Project wide	Lower than expected production rate for track construction.	Risk has been deleted because it is a contractor risk.		2
48d	80.00	CSC	Insufficient HART resources to respond to contractors requests for change orders and claims leads to force accounting.	Risk has been deleted since HART has sufficient staff.		2
PMOC5	20.02	Project Wide Stations	Comprehensive station design reveals need for increased number or size of guideway piers in station areas.	Risk has been deleted since it is a duplicate.		3

Figure 45a. Risks Deleted in October (continued)

Current Risk ID	SCC Code	Contract Package	Risk Description	October 2013 Comments	Risk Rating	
					Oct. '13	Sept. '13
PMOC8c	10.04	Airport Guideway	Breakdown of specialty equipment/replacements not available locally	Risk has been deleted since it is a contractor risk.		4
PMOC8d	10.04	City Center	Breakdown of specialty equipment/replacements not available locally	Risk has been deleted since it is a contractor risk.		4
PMOC8e	10.04	CSC	Breakdown of specialty equipment/replacements not available locally.	Risk has been deleted since it is a contractor risk.		4
PMOC8f	10.04	MSF	Breakdown of specialty equipment/replacements not available locally.	Risk has been deleted because MSF does not have any specialty equipment being used during construction.		2
173	40.02	Project wide	HECO utility costs for Airport and City Center sections are greater than PE estimate.	Risk has been deleted. HECO has provided an updated cost estimate that is within the Project budget. HECO relocation costs for the entire project are about $120 million with $70 million for City Center.		7
PMOC6	30.04	MSF	Maintenance of Way (MOW) employees, once hired, may make requests for changes to MOW facility.	Risk has been deleted because no major concerns have been raised since CSC has reviewed the design.		2
102	40.03	Airport Stations	2 properties at Lagoon Drive Station entrance may have contaminated material and could result in additional costs.	Risk has been deleted since it is covered in risk #22.		1.5
111	40.03	City Center	Nimitz Highway (1 mile) known to be contaminated from old fuel line leaks and utility excavations may lead to significant volumes of excavated soil.	Risk has been deleted since it is covered in risk #22.		7.5
158	40.04	City Center	Review of potential Traditional Cultural Properties (TCP) could result in construction delay and design modifications.	Risk has been deleted because clearances on all sections have been received.		5
166	10.04	WOFH	Delayed decision on final location of Ho'opili station may impact design resulting in additional costs.	Risk has been deleted because the cost is covered in the change log.		10
13b	40.02	MSF	Old electrical and other utilities may contain asbestos which will require HAZMAT disposal.	Risk has been deleted since all utilities have been cleared off site.		0.5
45b	90.00	MSF	Unforeseen exceptional weather may impact project.	Contract specific weather risk deleted due to it being an act of God.		1

Figure 45b. Risks Deleted in October (continued)

Current Risk ID	SCC Code	Contract Package	Risk Description	October 2013 Comments	Risk Rating	
					Oct. '13	Sept. '13
45d	90.00	CSC	Unforeseen exceptional weather may impact project.	Contract specific weather risk deleted due to it being an act of God.		1
132	40.04	West Oahu Stations	Natural drainage at Ho'opili Station may need to be addressed by project if DR Horton development does not do it, which would result in additional costs to the project.	Risk has been deleted because Ho'opili Station was relocated 1,000 feet away which removed the issue of drainage.		1.5
7	20.02	Project Wide	Additional costs may arise through simple stations and guideway integration.	Risk has been deleted because stations have been standardized and residual risk is covered elsewhere.		2
PMOC2c	10.09	Airport Guideway	Lower than expected production rate for track construction.	Risk has been deleted because it is a contractor risk.		2
PMOC2d	10.09	City Center	Lower than expected production rate for track construction.	Risk has been deleted because it is a contractor risk.		2
2b	10.04	MSF	Discovery of unanticipated archeological findings could result in construction delay and/or design modification to foundations.	Risk has been deleted since investigations have been completed and grading is almost complete.		2
4	10.04	Project Wide	Construction of high sections of guideway, e.g. crane's lifting of segments, may be significantly impacted by wind delaying schedule increasing exposure of City to claims.	Risk has been deleted because it is an act of God.		2
4d	10.04	Airport Guideway	Construction of high sections of guideway, e.g. crane's lifting of segments, may be significantly impacted by wind delaying schedule increasing exposure of City to claims.	Risk has been deleted because it is an act of God.		2
4e	10.04	City Center Guideway	Construction of high sections of guideway, e.g. crane's lifting of segments, may be significantly impacted by wind delaying schedule increasing exposure of City to claims.	Risk has been deleted because it is an act of God.		2
134	20.02	Farrington Highway Stations	Waipahu Station is located in the floodplain and the design has yet to be approved by DPP, which could result in a delay due to redesign.	Risk has been deleted since station design has been updated.		2.5
53b	90.00	MSF	Significant design errors identified during construction results in consequential delays to Interim Opening #1.	Risk ha sbeen deleted since DB is responsible for design, cost is on contractor.		3
77	10.04	WOFH	Traffic studies at intersection near West Oahu Station may require changes to column locations and result in redesign and additional costs to guideway and station.	Risk has been deleted since design is almost complete.		3

Figure 45c. Risks Deleted in October (continued)

Current Risk ID	SCC Code	Contract Package	Risk Description	October 2013 Comments	Risk Rating	
					Oct. '13	Sept. '13
45a	90.00	WOFH	Unforeseen exceptional weather may impact project.	Contract specific weather risk deleted due to it being an act of God.		3
45c	90.00	KHG	Unforeseen exceptional weather may impact project.	Contract specific weather risk deleted due to it being an act of God.		3
45e	90.00	Airport Guideway	Unforeseen exceptional weather may impact project.	Contract specific weather risk deleted due to it being an act of God.		3
45f	90.00	City Center	Unforeseen exceptional weather may impact project.	Contract specific weather risk deleted due to it being an act of God.		3
48c	80.00	KHG	Insufficient City resources to respond to contractors requests for change orders and claims leads to force accounting.	Risk has been deleted since there is sufficient staff.		3
54d	90.00	Airport Guideway	City maintenance of guideway and other structures, after substantial completion 1 year warranty period, may require additional remedial work (prior to system wide opening).	Risk has been deleted because Airport guideway has been combined with City Center. Project wide risk remains since it will apply to WOFH and KHG.		3.5
7d	20.02	Airport Guideway	Additional construction costs may arise through simple stations and guideway integration.	Risk has been deleted since it is a duplicate.		4.5
145	90.00	KHG	Delay to issue NTP results in claims for additional costs.	Risk has been deleted because delay claims have been resolved.		4.5
PMOC12	20.02	Project Wide Stations	Separate procurement and installation of conveyance devices may create coordination problems in field resulting in schedule impact.	Risk has been deleted because there is one DBIM contract for elevators and escalators.		1
32	40.08	City Center	Hawaii Housing Finance & Development Corporation owns this property (Kaka'ako area) and may be in construction of a new housing project while HRTP is in construction, which would require additional coordination.	Risk has been deleted since it is a duplicate.		2

Figure 46. Risks by Contract Package

Contract Packages	September 2013 # of Risks		October 2013 Update				
			Total # of Risks		NewlySub-Divided Risks	New Risks	Deleted Risks
Project Wide	67	*18*	64	*23**	0	3	6
WOFH	33		30		0	0	3
MSF	19		13		0	0	6
KHG	34		31		0	0	3
Core Systems Contract	18		15		0	0	3
Airport Guideway	49		42		0	0	7
City Center Guideway	59		52		0	0	7
Project Wide Stations	3		1		0	0	2
Farrington Highway Stations	2		1		0	0	1
West Oahu Stations	5		4		0	0	1
Kamehameha Highway Stations	3		3		0	0	0
Airport Section Stations	2		1		0	0	1
City Center Section Stations	3		3		0	0	0
Total	**297**	***249***	**260**	***219****	**0**	**3**	**40**

*41 Project Wide risks were determined to be applicable to various contracts and have been sub-divided into those contracts and evaluated at the contract level. Total number of risks contained in the risk register is 260. There are a total of 219 risks when excluding the duplicated Project Wide risks.

Figure 47. Comparison of Risk Ratings

Contract Package/Section	October 2013 Update # of Risks				September 2013 # of Risks			
	Total	High	Medium	Low	Total	High	Medium	Low
Project Wide	64	17	40	7	67	16	41	10
WOFH Guideway	30	8	14	8	33	8	15	10
Maintenance & Storage Facility	13	3	5	5	19	3	5	11
Kamehameha Highway Guideway	31	3	20	8	34	4	20	10
Core Systems Contract	15	4	6	5	18	4	7	7
Airport Guideway	42	4	29	9	49	4	33	12
City Center Guideway	52	10	34	8	59	10	37	12
Project Wide Stations	1	0	1	0	3	0	1	2
Farrington Highway Stations	1	0	1	0	2	0	1	1
West Oahu Stations	4	1	3	0	5	1	3	1
Kamehameha Highway Stations	3	0	2	1	3	0	2	1
Airport Stations	1	0	1	0	2	0	1	1
City Center Stations	3	0	2	1	3	0	2	1
Total	**260**	**50**	**158**	**52**	**297**	**50**	**168**	**79**

4.7 Community Outreach

- **Activities this month**
  - Keeping the community informed and aware is important during construction, with work in various stages continuing along the alignment. HART's outreach team participated in 28

workshops, presentations and events this month. HART also partnered with the Mayor's office in attending his island-wide Town Hall Meeting series, providing project updates and answering questions about the rail system. Rail was featured as one of the mayor's top priorities. HART's outreach team also coordinated a key community meeting to gather feedback on station design as part of an ongoing series of informational meetings. This month's meeting featured a discussion on the Pearl Harbor, Lagoon Drive and Middle Street stations.

Figure 48. HART's Station Design Community Meeting Series
HART's Public Outreach team coordinated the agency's Station Design Community Meeting. This month's meeting held at Moanalua High School featured a discussion about the Pearl Harbor, Lagoon Drive and Middle Street stations.

- Partnering with the Department of Planning and Permitting, HART also participated in the Transit-Oriented Development (TOD) Symposium. HART's informational booth included general project information and displays featuring key information about our rail stations.

Figure 49. TOD Symposium
HART partnered with the City's Department of Planning and Permitting on a major Transit-Oriented Development Symposium held in Honolulu.

- **Construction Outreach**
  - With construction well underway, community outreach in key work areas remains essential. HART is partnering with contractor Kiewit Infrastructure West Co. to ramp up traffic

notifications. In addition to issuing weekly traffic media advisories and news releases, HART also uses its weekly eBlasts, its website and Facebook and Twitter to get the word out early and often to motorists, businesses and residents about all traffic detours and road closures related to construction of the rail system. Beginning this month, HART and Kiewit began holding joint press briefings with reporters every other week at the traffic control center. HART's public involvement team partners with contractors on monthly community meetings and canvassing efforts, and in strategic weekly Task Force meetings to discuss construction work and how to lessen its impact on the public.

- **Community Input**
  - HART's public information team responded to more than 70 public inquiries and requests in November that came in via the agency's website, email and 24-hour hotline. Inquiries this month primarily focused on construction activities.

  - To date, HART's outreach team has participated in:
    - 1,516 presentations and events
    - 815 Neighborhood Board meetings

- **Look Ahead**

  Coming in December:
  - HART provides briefings on its construction outreach efforts for businesses and residents along the rail route.
  - Key events include major community holiday events, the Mayor's Town Hall Meeting series and presentations for Neighborhood Boards.

5 STAFFING

HART staffing activities in November are summarized in Figure 50 below. HART staffing projections are shown in Figure 51 below and Figure 52 on the next page. For organizational structure detail, see the latest HART Project Organization Chart in Appendix A on page 73.

Figure 50. Staffing Activities

Title	Group	New/Existing HART position (City or PMC)	Position Status	Start Month
Engineering and Construction				
Change Order Manager	Engineering and Construction	Existing (City or PMC)	Recruiting	
Change Order Specialist (1)	Engineering and Construction	Existing (City)	Interviewing	
AutoCAD Drafting Technician	Design	Existing (City)	Filled	Dec
Budget and Finance				
Transit Grants Planner*	Grants/Financial	Existing (City)	Recruiting	
Transit Contracts Manager* (3)	Procurement and Contracts	Existing (City)	Recruiting (3)	
Planning, Utilities, Permits & Right of Way				
Planner VI* (Land Use/ Sustainability)	Planning	Existing (City)	Filled	Dec
Planner V* (Cultural Resources)	Planning	New (City)	Interviewing	
Deputy Director of Planning	Planning	Existing (City)	Recruiting	
Administrative Services				
Human Resources Specialist*	Admin. Svcs.	Existing (City)	Recruiting	

*Per qualifications.

Figure 51. HART Staffing Projection in the Current Staffing Plan

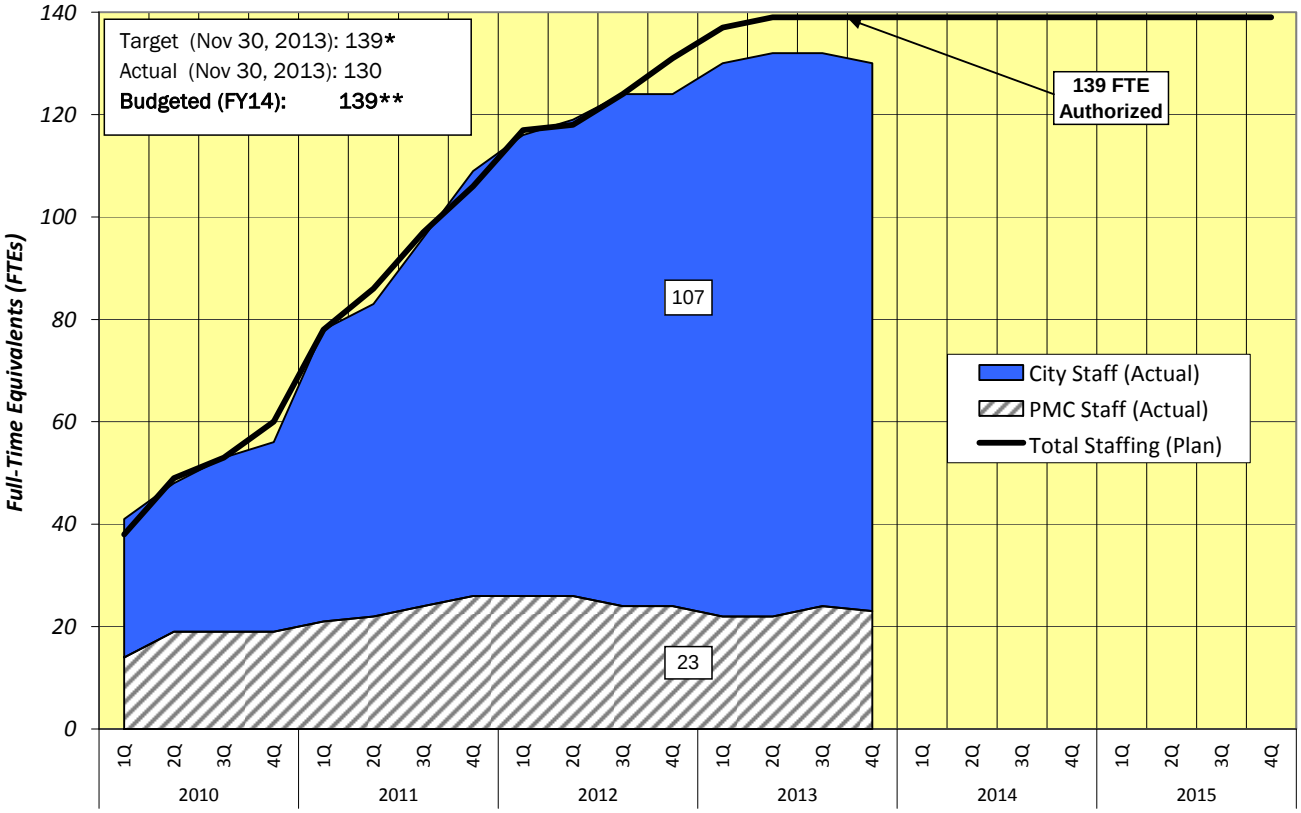
[Also see the Project Staffing (Actual vs. Planned) graph in Figure 52]	as of:	# Employees
Target*	Nov 30	139
Actual*	Nov 30	130
Full-Time Employees budgeted for FY14**	Jul 31	139

**Including PMC staff **Excluding PMC staff.*

The Actual number of employees reflects employees hired during this period as well as employees who left the project from both HART and the PMC staffs.

HART currently receives direct project support in centralized functions from the following City departments: Honolulu Police Department (HPD), Department of Information Technology (DIT), Department of Budget and Fiscal Services (BFS), Department of Design and Construction (DDC), Corporation Counsel (COR) and Department of Human Resources (DHR); and from the State of Hawai‘i Department of Transportation (HDOT) on Consultant Services Contracts.

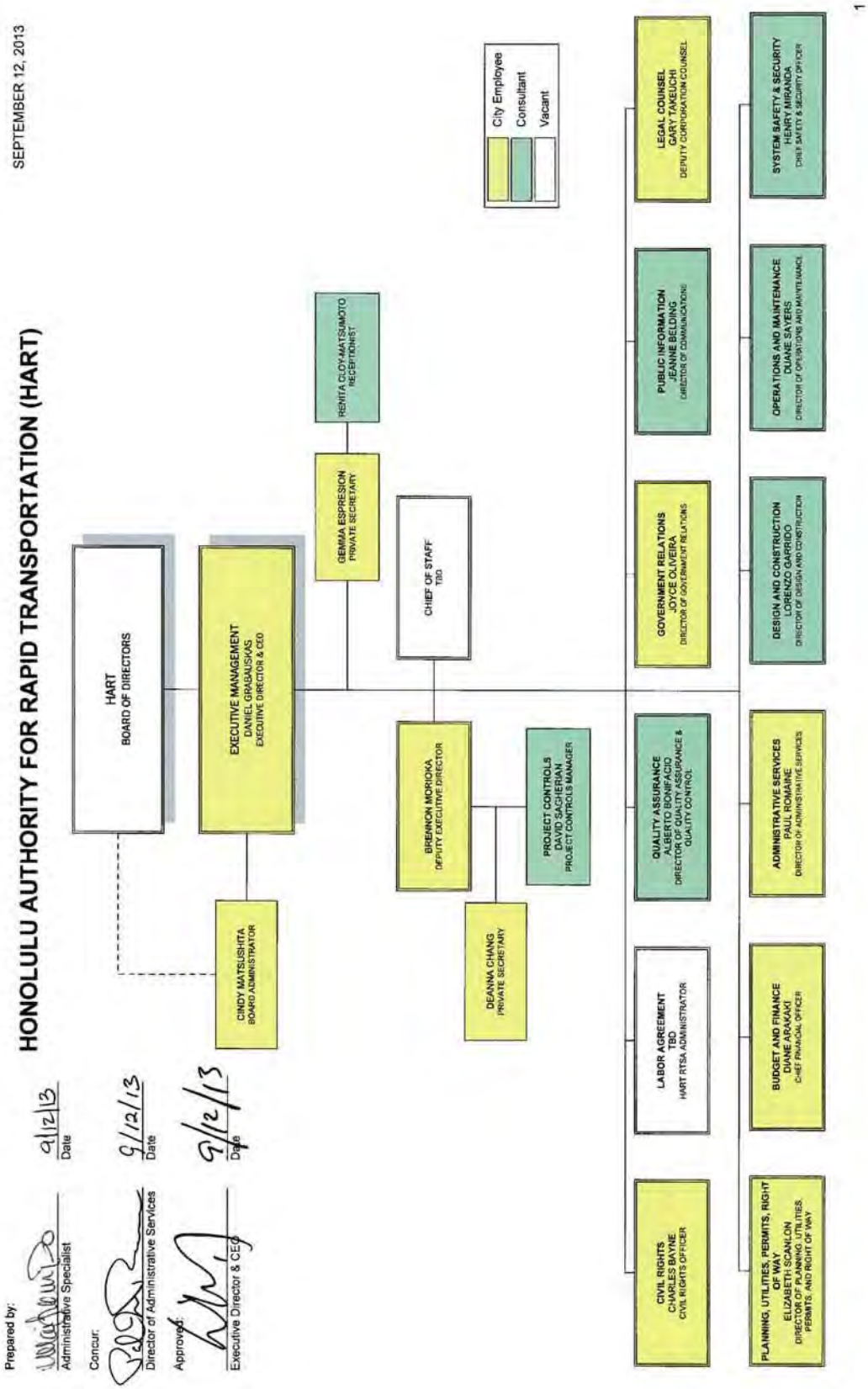
Figure 52. Project Staffing (Actual vs. Planned)



*** In accordance with Staffing and Succession Plan Rev 5, dated 5-25-12 (Under Revision)**
**** 139 City positions authorized in FY 2014 HART Operating Budget**

6 APPENDICES

Appendix A. Project Organization Chart



Appendix B. Project Alignment

HONOLULU RAIL TRANSIT PROJECT

December 2013

Cost, Schedule, Risk data date 11/29
Other Activities 12/31

MONTHLY PROGRESS REPORT

HART

HONOLULU AUTHORITY for RAPID TRANSPORTATION

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1 EXECUTIVE SUMMARY.

1.1 Key Activities This Month

With a focus on customer comfort, cost and efficiency, the Honolulu Authority for Rapid Transportation (HART) gave the green light to a four-car train system.

"Passengers, particularly those with disabilities who need more time to board and exit, will have more entry and exit points and an easier time boarding trains. Longer trains with greater capacity will mean fewer people left waiting at the boarding platforms," HART's Executive Director and CEO Dan Grabauskas said. "We will also see a cost savings of millions of dollars and another $100,000 to $300,000 savings annually in operations and maintenance costs."

HART had originally planned to open the system with a two-car train configuration, eventually increasing to four-car configurations. The added benefits to customers and cost savings prompted the decision to go directly to a four-car configuration.

Construction Progress
2014 will be a busy year for the Honolulu Rail Transit Project (HRTP or Project), as construction activity will increase. Since construction resumed three months ago, tremendous progress has already been made.

More than 30 of the 422 columns that will be built to support the first 10 miles of the elevated guideway have been completed. Workers are also busy at the future home of the rail system's operations and maintenance center near Leeward Community College. At the 43-acre site, grading has been completed on 154,000 of the 250,000 cubic yards required before work on the foundations for the buildings planned for the site can get underway in early 2014. Additionally, soil testing, utility relocation and demolition are underway at several locations along Farrington and Kamehameha Highways.

1.2 Key Current Issues

Archaeological Inventory Survey (AIS) Reports and Review
The Data Recovery Plan for Section 4 (City Center) State Historic Preservation Division (SHPD) Public Review ended on December 2. No comments were received. HART is awaiting SHPD review and/or approval of this document. Data Recovery field work in City Center is expected to start in January 2014, pending SHPD approval of the Data Recovery Plan.

Next steps are for completion of Archaeological Monitoring Plans for both Airport and City Center Sections. The City Center Burial Treatment Plan will be finalized after Data Recovery fieldwork is completed in the City Center Section in 2014.

Coordination with SHPD and the Oʻahu Island Burial Council (OIBC) as well as outreach to descendant families continues on the seven iwi kūpuna (human skeletal remains) discovered previously during the City Center AIS field work. All seven iwi kūpuna continue to be protected in place. A meeting was held with recognized cultural descendants on December 9.

State Lawsuit
The State of Hawaiʻi First Circuit Court approved a stipulation of the parties on June 19, 2013, which resolved the remaining issues in the case. The Final Judgment remains to be entered by the court; upon entry of the Final Judgment the case will be concluded.

Federal Lawsuit

On December 11, the U.S. District Court held a status/scheduling conference in San Francisco to discuss with the parties how the plaintiffs' objection to the Notice of Compliance filed by the defendants would be addressed. Following the conference, the judge issued an order providing in part that the defendants shall file their briefs in opposition to the plaintiffs' objection by January 6, 2014, and the plaintiffs may then file a reply brief by January 17, 2014. A hearing will be held in Honolulu on February 6, 2014, at 10 a.m.

The Limitations on Claims Notice for the Honolulu Rail Transit Project was published in the November 1 Federal Register. Claims seeking judicial review must be filed on or before March 31, 2014.

Oral arguments in the U.S. Ninth Circuit Court of Appeals were heard on August 15 in San Francisco. The judgment in that appeal is still pending.

1.3 Project Scope Status Overview

There have been no project scope changes; the project scope continues to reflect the Final Environmental Impact Statement (FEIS), Record of Decision (ROD) and Full Funding Grant Agreement (FFGA). While the scope has not changed, the Contract Packaging Plan (CPP) is being modified with certain facility design and construction work re-packaging.

1.4 Project Schedule Status Overview

Despite the AIS delay, HART is implementing measures to maintain the March 30, 2019 full revenue service date (RSD), 10 months ahead of the January 31, 2020 FFGA RSD. The March 2019 RSD is the milestone date reflected in the FFGA Master Project Schedule (MPS) and is consistent with all FFGA request submittals.

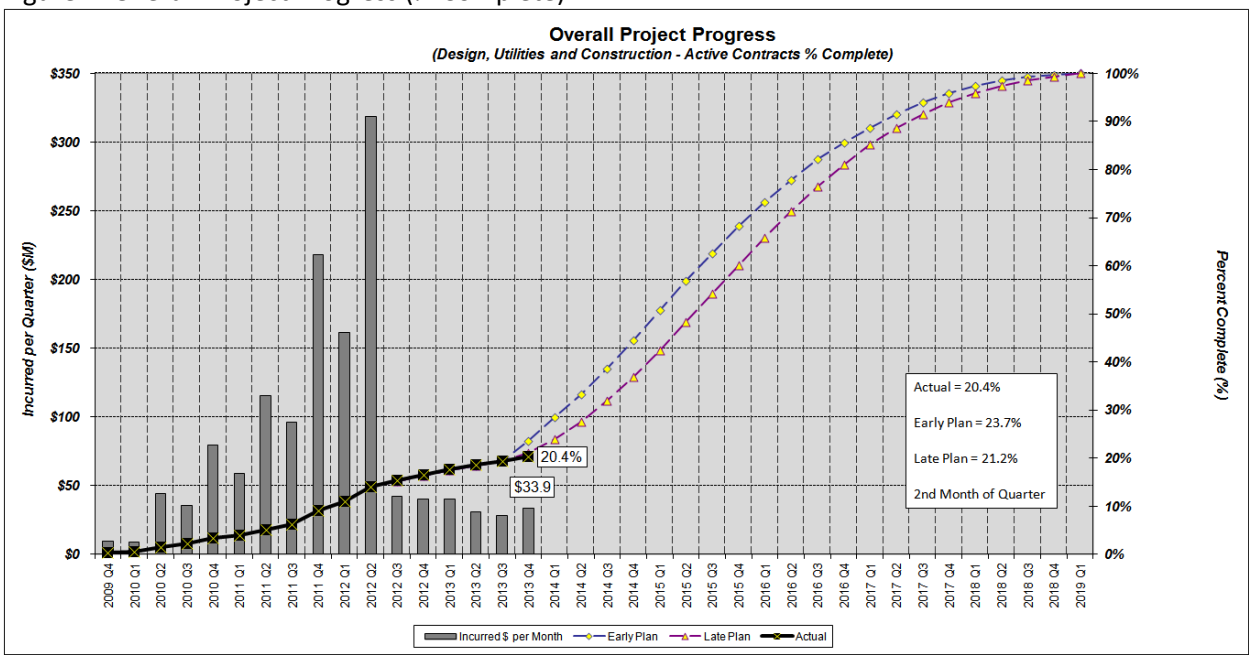
HART continues to closely monitor and manage the MPS and all key milestones. In an effort to mitigate the AIS delay, several contract packages are being combined to maximize economies of scale and reduce interface needs between design and construction contractors to achieve both cost and schedule benefits. HART continues to work with contractors to refresh the MPS as a result of the approximately 1-year construction delay. These updates are displayed in the latest Summary MPS on page 21 and Procurement Tracking Reports starting on page 26.

1.5 Project Progress Overview

Overall project, construction, design and utilities progress is presented below and on the following pages in terms of actual versus planned percent complete by quarter, in accordance with the FFGA MPS and Project Budget. Individual construction, design and utilities contract status is presented in Sections 3.2 through 3.5 of this report.

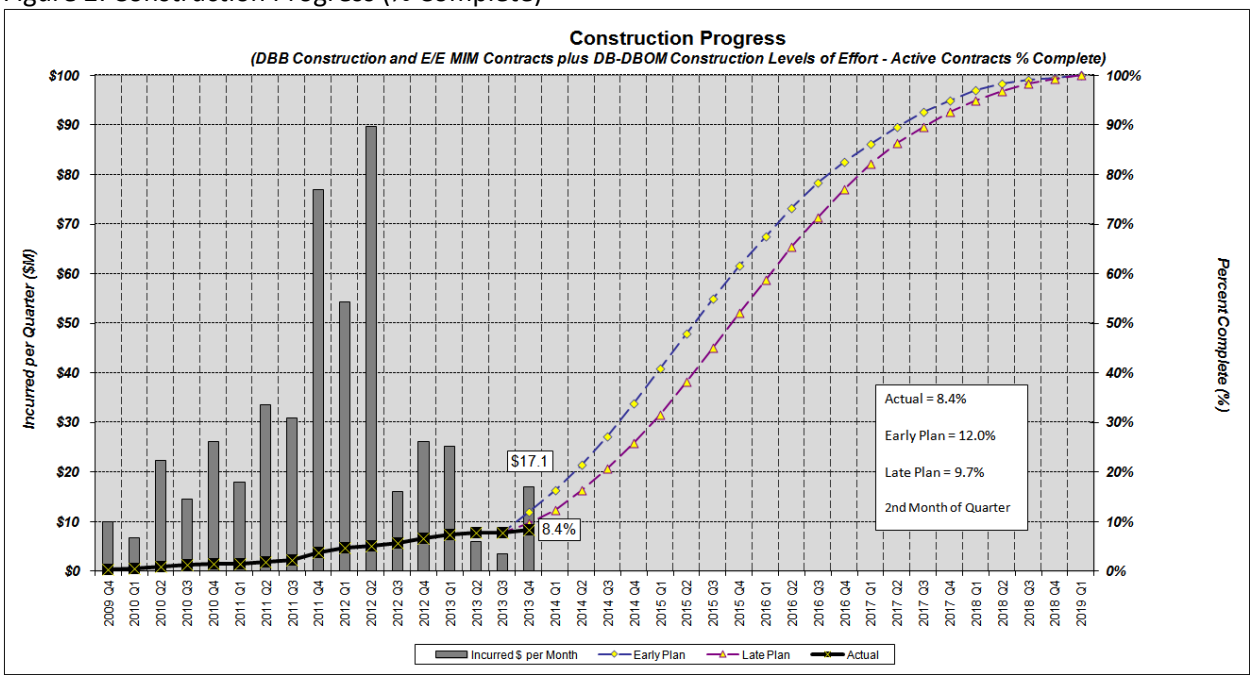
At present "overall" project progress is based on the weighted value progress of the individual construction and design contracts (Design-Build [DB], Design-Bid-Build [DBB], Design-Build-Operate-Maintain [DBOM], Elevator/Escalator Manufacture-Install-Test-Maintain [MIM], Final Design [FD] and DB-DBOM design levels of effort), not including City or non-design consultant labor. Overall Project Progress reflects all project elements as budgeted. Utilizing the existing Project progress method through November 29, 2013, progress is 20.4%, versus the early plan of 23.7% and the late plan of 21.2%, as shown in Figure 1.

Figure 1. Overall Project Progress (% Complete)



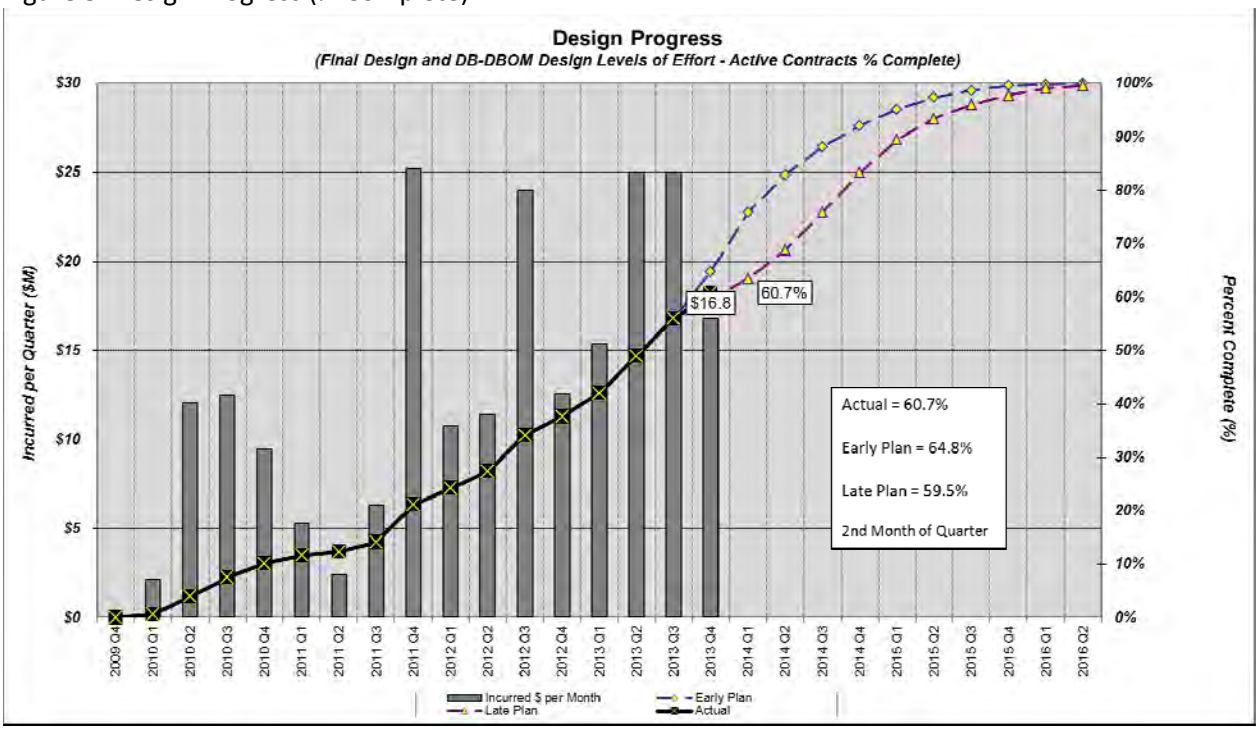
Overall construction progress as of November 29, 2013 is 8.4%, versus the early plan of 12.0% and the late plan of 9.7%, as shown in Figure 2 below. Overall construction progress is based on the weighted average progress of the individual DBB and E/E MIM construction contracts and the DB-DBOM construction levels of effort, not including consultant construction engineering and inspection (CE&I) services.

Figure 2. Construction Progress (% Complete)



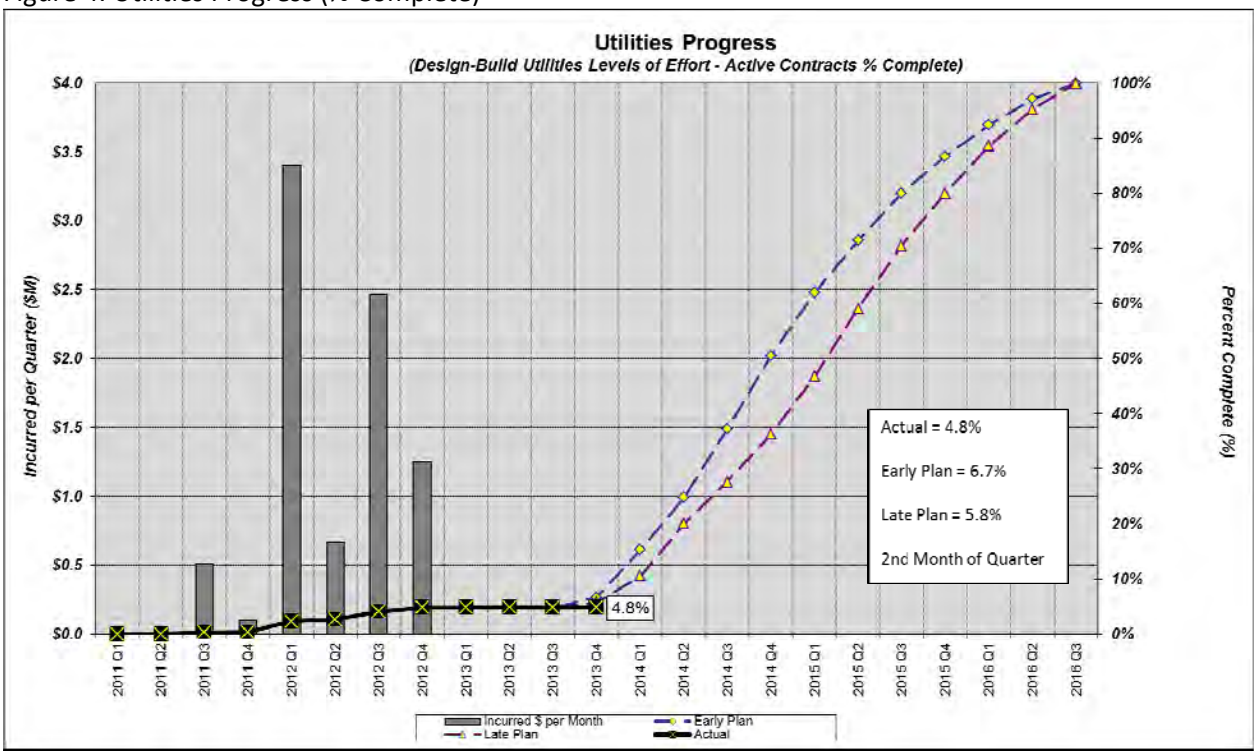
Overall design progress through November 29, 2013 is 60.7%, versus the early plan of 64.8% and the late plan of 59.5%, as shown in Figure 3 on the next page. Overall design progress is based on the weighted average progress of the individual FD contracts and the design levels of effort of the DB and DBOM construction contracts, not including City or non-design consultant labor.

Figure 3. Design Progress (% Complete)



Overall utilities progress through November 29, 2013 is 4.8%, versus the early plan of 6.7% and the late plan of 5.8%, as shown in Figure 4 below. Overall utilities progress is based on the weighted average progress of the DB utilities levels of effort.

Figure 4. Utilities Progress (% Complete)



1.6 Financial Status Overview

1.6.1 Project Budget

The total incurred cost (actual expenditures plus approved requests for payment) as of November 29 was $812M, or 18.9% of the FFGA Current Project Budget (excluding contingencies and finance charges) of $4.306B.

The total committed amount as of November 29 was $2.457B, or 57.1% of the FFGA Current Project Budget (including awarded design contract allowances of $5.9M, but excluding uncommitted contingencies and finance charges).

The total amount Authorized for Expenditure (AFE) by way of Notices to Proceed (NTPs) was $1.64B, or 38.1% of the FFGA Current Project Budget (excluding uncommitted contingencies and finance charges). During this reporting period, HART issued multiple Notices to Proceed per the Figure 5 table below. In addition to the NTPs, four Change Orders and two Contract Amendments were executed during the month of November as detailed in the table below. For the period, there is a total AFE increase of $65.9M as the result of the issued NTPs, executed Contract Changes, and Contract Amendments.

Figure 5. Total Authorized for Expenditure (AFE) Increase

Notices to Proceed			
Contract		Scope	Amount ($)
MM-935	Real Estate Consultant	Multiple Task Orders	92,095
MM-946	On-Call Hazmat Contractor	Task Order No. 03	499,997
0M	Project-wide Operating Maintenance	FY2012/FY2013	81,000
UTIL	Utilities by Utility Companies	Multiple NTPs	56,437,592
Change Orders/Cost Adjustment			
DB-120	West O‘ahu Farrington Hwy DB	CO 00038	1,600,000
DB-120	West O‘ahu Farrington Hwy DB	CO 00039	2,850,000
DB-200	MSF	CO 00014	214,846
DB-200	MSF	CO 00015	3,873,000
FD-140	WOSG	CA 00003	23,928
FD-430	Airport Sect Guideway	CA 00005	248,958
Net AFE Increase			**65,921,416**

To date, 26 of the 42 planned design, construction and consultant support contracts have been awarded.

During the November 2013 cost period, there was a $5.0M drawdown to Project Contingency and a resulting balance of $610M. Cost contingency details, along with a discussion of contingency management and the proposed Cost Contingency Drawdown Chart are presented in Section 2.4.

1.6.2 Project Funding

There were no New Starts drawdowns received in November.

No County General Excise Tax (GET) surcharge revenue was received in November.

1.6.3 Full Funding Grant Agreement (FFGA) Status

FTA approved the application for $236,277,358 in FY 2013 New Starts allocation on September 24 and the grant award was executed on October 4. Although the $236.3M is less than the $250M FY 2013

increment identified in the FFGA, it will not negatively impact the Project's cash flow. The $14M shortfall ($250M minus $236M) will be recovered in a future year's allocation.

Further details on the New Starts funding and drawdown amounts by federal fiscal year are provided in the table below.

Figure 6. Drawdown by Fiscal Year

Federal Fiscal Year Allocation	Obligation Amounts	Drawdown Amounts	Available Balance
2008	$ 15,190,000	$ 15,190,000	---
2009	$ 19,800,000	$ 19,800,000	---
2010	$ 30,000,000	$ 30,000,000	---
2011	$ 55,000,000	$ 55,000,000	---
2012	$200,000,000	$ 59,542,736	$140,457,264
2013	$236,277,358	---	$236,277,358
	$556,267,358	**$179,532,736**	**$376,734,622**

1.7 HART Board of Directors Meetings and Events in December

HART Human Resources Committee Meeting

Thursday, Dec. 19, 2013, 9 a.m., Kapolei Hale Conference Room B, 1000 Uluohia St., Kapolei
Open to the Public.

HART Joint Finance/Project Oversight Committee Meeting

Thursday, Dec. 19, 2013, 9:30 a.m., Kapolei Hale Conference Room B, 1000 Uluohia St., Kapolei
Open to the Public.

HART Board of Directors Meeting

Thursday, Dec. 19, 2013, 10 a.m., Kapolei Hale Conference Room B, 1000 Uluohia St., Kapolei
Open to the Public.

2 PROJECT BUDGET AND SCHEDULE

2.1 Project Budget

The FFGA Baseline Project Budget is $5.122B, which includes approximately $644M in allocated and unallocated contingencies and $173M in finance charges. Reported budget amounts relate to the FTA New Starts project and exclude $42M in FTA-ineligible financing costs that will be incurred beyond FFGA completion.

The total committed amount as of November 29 was $2.457B (including awarded design contract allowances of $5.9M, but excluding uncommitted contingencies and finance charges), or 57.1% of the FFGA Current Project Budget (excluding uncommitted contingencies and finance charges).

In November 2013, the Project incurred $23.6M in costs (actual expenditures plus approved requests for payment as of the cost data date of November 29). This brought the total incurred cost to date to $812M, or 18.9% of the Project Budget (excluding contingencies and finance charges). The FFGA Financial Plan (*Honolulu Rail Transit Project Final Financial Plan for Full Funding Grant Agreement*, June 2012, Tables 2-4 and A-1) projected cumulative capital expenditures of $1.5B through first quarter FY2014.

The total amount Authorized for Expenditure (AFE) by way of Notices to Proceed (NTPs) is $1.64B, or 38.1% of the FFGA Project Budget (excluding uncommitted contingencies and finance charges).

To date, 26 of the 42 planned design, construction and consultant support contracts have been awarded. A re-packaging of the contracts has decreased the total number of planned design, construction and consultant support contracts from 49 per the baselined Contract Packaging Plan to 43. Additionally, by way of exercising a contract option for the HDOT Design Coordination Consultant, another contract was eliminated, reducing the number of contracts to 42. The Contract Packaging Plan will be updated to reflect the re-packaging.

2.2 Project Revenue and Costs

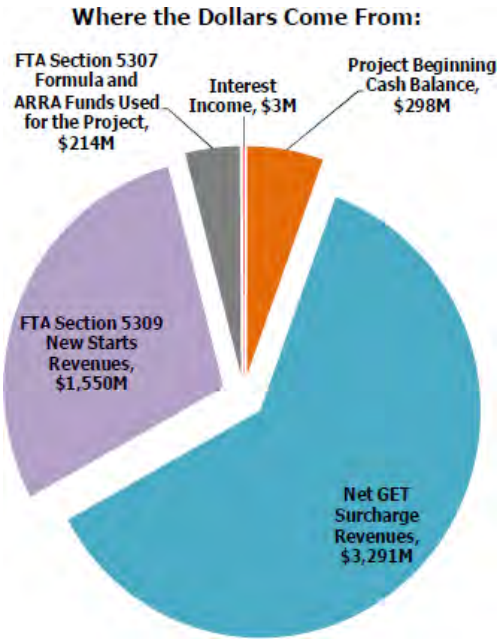
Total cash received to date since the start of Preliminary Engineering is $1,249M.

The FFGA Financial Plan (Table A-1 *Capital Plan Cash Flows*) projects Net GET Surcharge Revenue of $1.143M for FYs 2010-2014. As of the November 29 cost data date, approximately $765M has been received since the Project's entry into FTA's Preliminary Engineering phase of project development. See Figure 7 on the next page for Project funding and Figure 8 for planned versus received funding.

Project revenue is presented against costs incurred as of the November 29 cost data date in Figure 9 on page 12. Cash Balance for the period is $449.7M as detailed on Figure 10 also on page 12.

Project costs are detailed in Figure 11, Figure 12 and Figure 13 on pages 13 through 19. Cost reports are run from the HART Contract Management System (CMS). Figure 11 presents costs for each contract by HART CPP contract number. Figure 12 on page 16 and Figure 13 on pages 17 through 19 present summarized and detailed project costs by FTA Standard Cost Categories (SCC).

Figure 7. Project Funding Sources (YOE $M)



Source: FFGA Financial Plan, p. 2-1

Figure 8. Planned vs. Received Project Funding

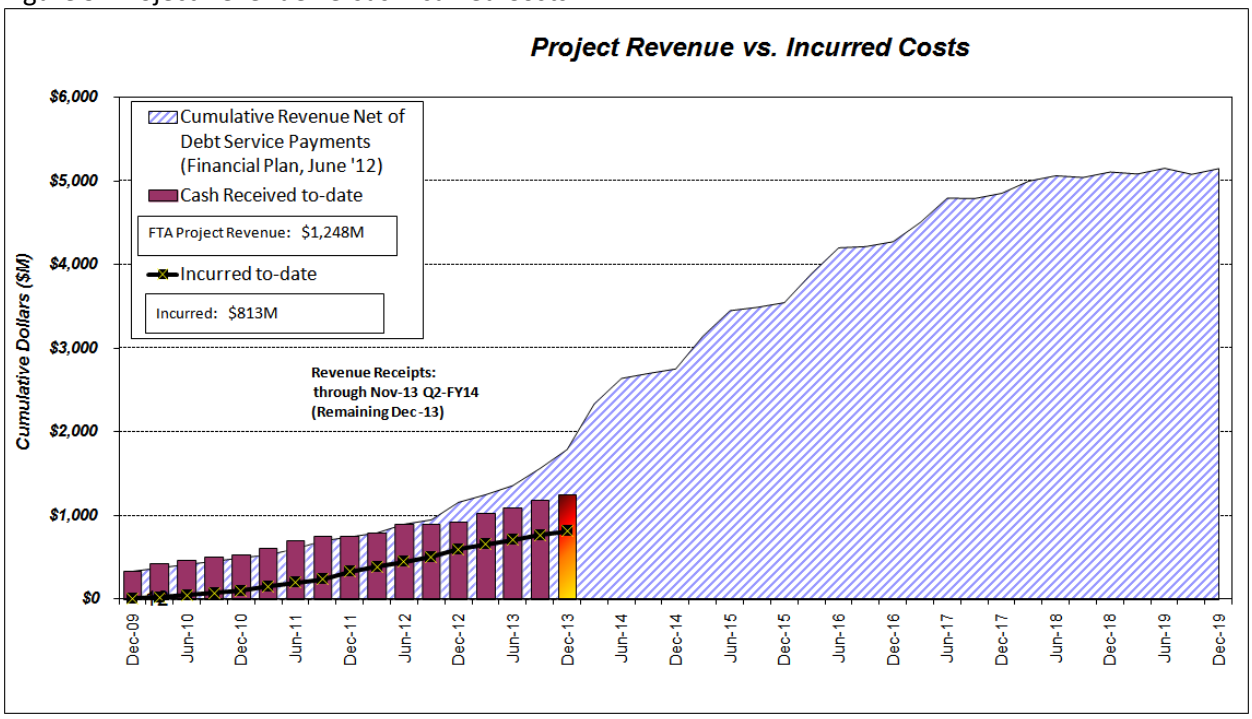
Funding Source	*Pre-FFGA Project*[1]	FFGA Project Period		Total Project
	2007 - 2009 Actuals Received	Planned[2] ($YOE M)	2009 - Present Actuals Received	2007 - Present Actuals Received
	[A]		[B]	[C] = A +B
Beginning Project Cash Balance[3]	*0*	**298**	298	**298**
Interest Income on Cash Balance	*7*	**3**	2	**9**
FTA Section 5309 New Starts Revenue	*0*	**1,550**	180	**180**
FTA Section 5307 Formula Funds	*0*	**210**	0	**0**
ARRA Funds	*0*	**4**	4	**4**
Net General Excise Tax (GET) Surcharge revenues FY2010-FY2023	*378*	**3,291**	765	**1,143**
Total	***385***	**5,356**	**1,249**	**1,634**

[1] GET and Interest Income received during Pre-Preliminary Engineering (pre-PE) phase prior to entry into PE

[2] FFGA Financial Plan, Table A-1 *Capital Plan Cash Flows*.

[3] Beginning Project Cash Balance at Entry into Preliminary Engineering (PE) on October 16, 2009 (the FFGA Project start date) = GET, investment and miscellaneous income minus pre-PE expenditures.

Figure 9. Project Revenue versus Incurred Costs



Planned Funding levels as per the June 2012 FFGA Finance Plan
Data date for Revenue & Incurred Cost = November 29, 2013

Figure 10. Cash Balance Summary

NOVEMBER 2013 CASH BALANCE SUMMARY	
Beginning Cash Balance 11/1/2013	463,573,106
Expenditures:	
Operating Expenditures	(801,236)
Capital Expenditures	(13,139,956)
Expenditures Total:	(13,941,192)
Receipts:	
GET Surcharge	0
FTA Drawdown	0
Interest	27,111
Other (rental, refunds, copy fees, etc.)	33,301
Receipts Total:	60,412
Ending Cash Balance 11/30/13	449,692,326

Figure 11. Project Costs by Contract

HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: November 2013

Project Monthly Cost Report by Contract - One Line Summary

Page: 1 of 3

CPP No	Title	A COMMITTED Original	B COMMITTED Changes	C=A+B COMMITTED Current *	D AFE AFE**	E INCURRED Incurred To Date	F PERCENT %
ART	Project Wide ART	0	0	0	0	0	0%
CCH-100	Inactive Hart/City CCH	15,348,443	0	15,348,443	0	14,925,228	97%
CCH-101	HART/ City Dept of BFS	105,092	0	105,092	0	0	0%
CCH-102	HART/ City DDC Land Division	256,201	0	256,201	0	173,182	68%
CCH-107	HART/ City Corporation Counsel (COR)	1,985,295	0	1,985,295	0	31,620	2%
CCH-108	Board of Water Supply (BWS)	928,325	0	928,325	0	928,325	100%
DB-120	West Oahu/Farrington Hwy Guideway	482,924,000	73,847,464	556,771,464	335,005,530	194,225,316	35%
DB-200	Maintenance & Storage Facility DB	195,258,000	30,010,244	225,268,244	158,298,978	56,428,287	25%
DB-320	Kamehameha Hwy Guideway DB	372,150,000	6,710,981	378,860,981	168,877,062	85,977,378	23%
DBB-185	WOFH/KHSG Construction	0	0	0	0	0	0%
DBB-275	Pearl Highlands Pkg. Str Cnstr. DLD	0	0	0	0	0	0%
DBB-470	Airport Station Group Cnstr.	0	0	0	0	0	0%
DBB-505	Airport Section Utilities Cnstr.	0	0	0	0	0	0%
DBB-510	City Center Section Utilities Cnstr.	0	0	0	0	0	0%
DBB-520	Airport-City Center Guideway Cnstr.	0	0	0	0	0	0%
DBB-580	Dillingham/Kaka'ako SG Contruction	0	0	0	0	0	0%
DBB-600	UHWO PnR/Hoopili Stn Finishes Cnstr.	0	0	0	0	0	0%
DBOM-320	Core Systems Design Build O/M	573,782,793	29,167,350	602,950,143	514,430,792	54,631,216	9%
FD-140	West Oahu Station Group Final Design	7,789,000	23,928	7,812,928	5,539,507	5,575,886	71%
FD-240	Farrington Highway Stations Group 2	9,300,696	2,907,349	12,208,045	9,867,090	8,929,191	73%
FD-245	Pearl Highlands Pkg. Str. FD DLD	0	0	0	0	0	0%
FD-340	Kamehameha Hwy Station Group H2R2 FD	8,702,592	0	8,702,592	7,797,781	7,237,220	83%
FD-430	Airport Sect. Guideway/Utilities FD	38,840,960	988,072	39,829,032	38,241,018	27,828,852	70%
FD-440	Airport Station Group FD	10,177,365	0	10,177,365	9,128,022	6,791,408	67%
FD-530	City Center Guideway/Utilities FD	43,948,220	532,800	44,481,020	35,162,448	16,237,428	37%
FD-550	Dillingham and Kaka'ako SG FD	18,321,918	0	18,321,918	5,899,146	1,620,589	9%
FD-600	UHWO Pkg-Hoopili Station Finishes FD	0	0	0	0	0	0%
HRT-200	HART Labor	19,251,942	0	19,251,942	0	16,813,952	87%
HRT-201	HART ODC	11,958,053	0	11,958,053	0	13,594,215	114%
MI-930	Elevators & Escalators Install/Maint	50,982,714	0	50,982,714	5,442,108	0	0%

* Current Committed = Original Contract + CCO /Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

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HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: November 2013

Project Monthly Cost Report by Contract - One Line Summary

		A	B	C=A+B	D	E	F
		COMMITTED			AFE	INCURRED	PERCENT
CPP No	Title	Original	Changes	Current *	AFE**	Incurred To Date	%
MM-280	WOFH/KHSG CE&I	0	0	0	0	0	0%
MM-385	Pearl Highlands Garage and Ramps CEI	0	0	0	0	0	0%
MM-500	Airport-City Center Utilities CEI	0	0	0	0	0	0%
MM-525	Airport-City Center Guideway CEI	0	0	0	0	0	0%
MM-590	Airport/Dillingham/Kaka'ako SG CE&I	0	0	0	0	0	0%
MM-600	UHWO Pkg-Hoopili Stn Finishes CEI	0	0	0	0	0	0%
MM-900	Program Mgt Support Consit (PMSC-1)	36,727,162	0	36,727,162	20,700,000	20,774,593	57%
MM-901	Program Mgt Support Consit (PMSC-2)	33,376,897	0	33,376,897	11,240,790	14,931,756	45%
MM-905	MM-905 Gen Engrg Consit EIS/PE	0	78,564,942	78,564,942	78,564,942	74,193,319	94%
MM-910	MM-910 Gen Engrg Consit FD-Construct	150,000,000	0	150,000,000	150,000,000	132,178,217	88%
MM-915	HDOT Traffic Mgmt. Consult.	1,600,000	-600,000	1,000,000	800,000	572,472	57%
MM-920	HDOT Coordination Consit WOFH	3,000,000	7,500,000	10,500,000	7,000,000	4,964,134	47%
MM-921	HDOT Coordination Consit KHG	10,000,000	-1,400,000	8,600,000	4,000,000	680,820	8%
MM-922	HDOT Coord. Consit. Airport	12,000,000	-5,600,000	6,400,000	3,000,000	1,194,149	19%
MM-923	HDOT Coordination Consit City Center	0	0	0	0	0	0%
MM-925	HDOT Labor - Highway Group	550,000	0	550,000	550,000	363,411	66%
MM-926	HDOT Labor - Airport Group	0	0	0	0	0	0%
MM-930	HDOT State SOA Manager & Consultant	1,272,400	583,142	1,855,542	322,293	142,024	8%
MM-935	Real Estate Consultant	3,000,000	0	3,000,000	2,462,867	330,883	11%
MM-940	Kako'o Consultant	1,000,000	0	1,000,000	540,516	285,546	29%
MM-945	On-Call Contractor	0	0	0	0	0	0%
MM-946	On-Call Hazmat Removal Contractor	3,000,000	0	3,000,000	2,100,016	538,346	18%
MM-950	OCIP Consultant	1,250,000	0	1,250,000	437,500	538,906	43%
MM-951	Owner-Controlled Insurance Program	0	0	0	0	0	0%
MM-975	LEED Commissioning Services for MSF	278,630	0	278,630	278,630	58,660	21%
OM	Project Wide Operating/Maintenance	0	0	0	81,000	0	0%
OTHER	Project Wide	0	0	0	0	0	0%
PA-101	Programmatic Agreement Humanities	0	0	0	0	0	0%
PA-102	Programmatic Agreement HPC	400,000	0	400,000	200,000	42,247	11%
PA-103	Programmatic Agreement HPC Park Impr	0	0	0	0	0	0%

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

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HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: November 2013

Project Monthly Cost Report by Contract - One Line Summary

		A	B	C=A+B	D	E	F
		COMMITTED			AFE	INCURRED	PERCENT
CPP No	Title	Original	Changes	Current *	AFE**	Incurred To Date	%
ROW	Real Estate / Right-of-Way	49,019,536	0	49,019,536	0	45,392,277	93%
UTIL	Utilities by Utility Companies	65,125,585	1,010,000	66,135,585	61,716,592	3,516,807	5%
Total Project:		**2,233,611,819**	**224,246,273**	**2,457,858,091**	**1,637,744,627**	**812,648,058**	

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

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Figure 12. Project Costs by SCC – Summary

HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: November 2013

Project Monthly Cost Report by SCC Summary

Page: 1 of 1

		A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
SCC	Title	Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
1. Subtotal 10 - 80 SCC Costs										
10	Guideway & Track Elements	1,114,215,147	23,427,149	1,137,642,296	523,846,879	14,106,318	509,000	1,137,642,296	0	28,797,116
20	Stations,Stops,Terminals,Intermod	421,804,740	(25,138,472)	396,666,268	50,982,714	0	0	396,666,268	0	0
30	Support Facilities;Yards,Shops, A	92,535,015	11,822,042	104,357,057	104,357,057	8,013,393	1,591,096	104,357,057	0	5,565,378
40	Sitework & Special Conditions	983,178,121	(24,279,956)	958,898,165	586,195,439	141,319,995	763,522	958,898,165	0	248,104,584
50	Systems	221,284,301	24,396,822	245,681,123	230,520,910	25,138,690	0	245,681,123	0	0
60	ROW, Land, Existing Improvement	197,397,947	277,800	197,675,747	52,297,336	1,250,667	0	197,675,747	0	46,000,759
70	Vehicles	186,829,020	4,713,997	191,543,017	191,543,017	1,514,720	0	191,543,017	0	6,191,924
80	Professional Services	1,087,830,119	(14,147,191)	1,073,682,928	712,212,089	102,767,494	(17,659,177)	1,073,682,928	0	477,988,296
Subtotal:		4,305,074,410	1,072,192	4,306,146,602	2,451,955,442	294,111,277	(14,795,559)	4,306,146,602	0	812,648,058
2. NTP										
NTP	Authorized For Expenditure	0	0	0	0	1,344,836,883	0	0	0	0
Subtotal:		0	0	0	0	1,344,836,883	0	0	0	0
3. Contingency										
CNTR	Contingency	541,689,343	16,029,465	557,718,808	5,902,650	(1,203,533)	167,452,184	557,718,808	0	0
PRJ	Contingency	101,871,170	(17,101,657)	84,769,513	0	0	0	84,769,513	0	0
Subtotal:		643,560,513	(1,072,192)	642,488,321	5,902,650	(1,203,533)	167,452,184	642,488,321	0	0
4. Finance Charges - Eligible										
OTH	Finance Charges	173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
Subtotal:		173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
FTA TOTAL PROJECT COSTS		**5,121,693,166**	**0**	**5,121,693,166**	**2,457,858,091**	**1,637,744,627**	**152,656,625**	**5,121,693,166**	**0**	**812,648,058**
4. Finance Charges -Ineligible Costs										
FINC	Finance Charges	42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
Subtotal:		42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
INELIGIBLE COSTS		**42,000,000**	**0**	**42,000,000**	**0**	**0**	**0**	**42,000,000**	**0**	**0**
Total Project:		**5,163,693,166**	**0**	**5,163,693,166**	**2,457,858,091**	**1,637,744,627**	**152,656,625**	**5,163,693,166**	**0**	**812,648,058**

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

*** Changes Identified= Pending + Probable + Potential Changes

**** Est. At Completion = Original Contract + CCO/Amendments + Changes Identified

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Figure 13. Project Costs by SCC – Level 2

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HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: November 2013

Project Monthly Cost Report SCC Level 2

Page: 1 of 3

SCC	Title	A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
		Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
1. Subtotal 10 - 80 SCC Costs										
10	Guideway & Track Elements	1,114,215,147	23,427,149	1,137,642,296	523,846,879		509,000	1,137,642,296	0	28,797,116
10.04	Guideway: Aerial Structure	1,022,380,671	20,033,225	1,042,413,896	438,126,279	4,026,828	509,000	1,042,413,896	0	8,270,016
10.08	Guideway: Retained Cut or Fill	7,492,944	(1,056,688)	6,436,256	6,436,256	0	0	6,436,256	0	0
10.09	Track: Direct Fixation	79,347,205	3,515,585	82,862,790	75,055,594	10,048,614	0	82,862,790	0	20,527,100
10.11	Track: Ballasted	3,293,724	(595,849)	2,697,875	2,697,875	0	0	2,697,875	0	0
10.12	Track: Special (Switches, turnouts)	1,700,603	1,530,876	3,231,479	1,530,876	30,876	0	3,231,479	0	0
20	Stations, Stops, Terminals, Intermod	421,804,740	(25,138,472)	396,666,268	50,982,714		0	396,666,268	0	0
20.01	At-grade station, stop, shelter,..	6,111,332	0	6,111,332	0	0	0	6,111,332	0	0
20.02	Aerial Station, stop, shelter,mall	294,563,457	(21,400,000)	273,163,457	0	0	0	273,163,457	0	0
20.06	Automobile parking multi-story str	66,408,765	0	66,408,765	0	0	0	66,408,765	0	0
20.07	Elevators, Escalators	54,721,186	(3,738,472)	50,982,714	50,982,714	0	0	50,982,714	0	0
30	Support Facilities:Yards,Shops, Ai	92,535,015	11,822,042	104,357,057	104,357,057		1,591,096	104,357,057	0	5,565,878
30.02	Light Maintenance Facility	7,591,888	(5,095)	7,586,793	7,586,793	0	0	7,586,793	0	180,000
30.03	Heavy Maintenance Facility	38,099,138	1,123,425	39,222,563	39,222,563	1,365,533	0	39,222,563	0	2,723,874
30.04	Storage or Maintenance of Way Buil	7,797,460	88,572	7,886,032	7,886,032	150,122	0	7,886,032	0	127,606
30.05	Yard and Yard Track	39,046,529	10,615,140	49,661,669	49,661,669	6,497,738	1,591,096	49,661,669	0	2,533,898
40	Sitework & Special Conditions	983,178,121	(24,279,956)	958,898,165	586,195,439		763,522	958,898,165	0	248,104,584
40.01	Demolition, Clearing, Earthwork	29,980,158	(2,308,147)	27,672,011	8,022,358	58,422,822	0	27,672,011	0	241,537
40.02	Site Utilities, Utility Relocation	299,449,756	4,444,187	303,893,943	138,908,991	64,224,091	824,826	303,893,943	0	9,609,030
40.03	Haz. mat'l, contam'd soil removal	9,199,237	(5,421,634)	3,777,603	3,016,085	58,313,693	(391,304)	3,777,603	0	554,431
40.04	Environmental Mitigation	26,979,122	4,976,801	31,955,923	16,543,497	58,300,297	0	31,955,923	0	3,430,633
40.05	Site structures, retaining walls,	7,398,960	1,062,414	9,061,374	8,902,848	58,297,608	0	9,061,374	0	575,338
40.06	Pedestrian/bike access/landscaping	41,073,897	799,143	41,873,040	5,049,834	58,351,008	0	41,873,040	0	0
40.07	Auto, bus, van accessways	181,979,367	(11,580,007)	170,399,360	35,486,916	59,016,008	0	170,399,360	0	1,407,888
40.08	Temporary Facilities/Indirect Cost	386,517,624	(16,252,713)	370,264,911	370,264,911	134,477,724	330,000	370,264,911	0	232,285,727
50	Systems	221,284,301	24,396,822	245,681,123	230,520,910		0	245,681,123	0	0
50.01	Train control and signals	81,982,556	23,236,140	105,218,696	105,218,696	22,816,050	0	105,218,696	0	0
50.02	Traffic signals and crossing prot.	10,458,226	(206,890)	10,251,336	0	0	0	10,251,336	0	0
50.03	Traction power supply: substation	29,500,926	1,526,385	31,027,311	31,027,311	59,020	0	31,027,311	0	0
50.04	Traction power distribution: cate	32,878,150	(1,159,703)	31,718,447	26,809,570	1,721,574	0	31,718,447	0	0
50.05	Communications	53,691,339	1,102,104	54,793,443	54,793,443	542,046	0	54,793,443	0	0

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HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: November 2013

Project Monthly Cost Report SCC Level 2

		A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
SCC	Title	Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
1. Subtotal 10 - 80 SCC Costs										
50	Systems	221,284,301	24,396,822	245,681,123	230,520,810		0	245,681,123	0	0
50.06	Fare collection system and equipme	9,159,277	58,822	9,218,099	9,218,099	0	0	9,218,099	0	0
50.07	Central Control	3,613,827	(160,036)	3,453,791	3,453,791	0	0	3,453,791	0	0
60	ROW, Land, Existing Improvement	197,397,947	277,800	197,675,747	52,297,336		0	197,675,747	0	46,000,759
60.01	Purchase or lease of real estate	179,360,664	0	179,360,664	46,401,859	972,867	0	179,360,664	0	42,758,148
60.02	Relocation of existing households	18,037,283	277,800	18,315,083	5,895,477	1,250,667	0	18,315,083	0	3,242,611
70	Vehicles	186,829,020	4,713,997	191,543,017	191,543,017		0	191,543,017	0	6,191,924
70.01	Light Rail	166,721,386	5,915,687	172,637,073	172,637,073	1,514,720	0	172,637,073	0	5,979,024
70.06	Non-revenue vehicles	14,348,923	(1,322,375)	13,026,548	13,026,548	0	0	13,026,548	0	212,900
70.07	Spare parts	5,760,711	118,685	5,879,396	5,879,396	0	0	5,879,396	0	0
80	Professional Services	1,087,830,119	(14,147,191)	1,073,682,928	712,212,089		(17,659,177)	1,073,682,928	0	477,988,296
80.01	Preliminary Engineering	94,055,262	24,274,618	118,329,880	109,197,560	28,927,112	369,567	118,329,880	0	96,000,307
80.02	Final Design	228,321,632	(30,754,783)	197,566,849	178,568,040	17,744,183	166,018	197,566,849	0	81,702,080
80.03	Project Management Design & Cons	363,849,768	(2,864,198)	360,985,570	283,566,204	72,090,271	(17,323,901)	360,985,570	0	234,867,906
80.04	Constr. Admin. & Management	199,656,728	(1,576,800)	198,079,928	35,665,055	9,914,197	0	198,079,928	0	38,714,340
80.05	Professional Liability & other Ins	46,549,724	(9,333,408)	37,216,316	2,174,657	10,091,497	(330,000)	37,216,316	0	2,390,599
80.06	Legal; Permits,Review Fees ect..	67,641,005	76,305	67,717,310	33,819,435	9,907,416	0	67,717,310	0	10,130,760
80.07	Surveys, Testing, Investigation, I	21,759,336	7,223,668	28,983,004	21,314,070	9,438,799	234,948	28,983,004	0	8,872,321
80.08	Start up	65,996,664	(1,192,593)	64,804,071	47,907,069	9,390,997	(775,809)	64,804,071	0	5,309,984
NT	Authorized For Expenditure	0	0	0	0		0	0	0	0
NTP	Notice To Proceed	0	0	0	0	1,344,836,883	0	0	0	0
Subtotal:		4,305,074,410	1,072,192	4,306,146,602	2,451,955,442	1,638,948,161	(14,795,559)	4,306,146,602	0	812,848,058
2. Contingency										
CNTR	Contingency	541,689,343	16,029,465	557,718,808	5,902,650		167,452,184	557,718,808	0	0
90.02	Allocated Contract Contingency	540,101,329	(20,781,731)	519,319,598	0	0	162,334,261	519,319,598	0	0
90.03	Allowances	1,588,014	4,314,636	5,902,650	5,902,650	(1,208,533)	2,621,205	5,902,650	0	0
90.07	Known Change Contingency	0	32,496,561	32,496,561	0	0	2,496,718	32,496,561	0	0
PRJ	Contingency	101,871,170	(17,101,657)	84,769,513	0		0	84,769,513	0	0
90.01	Unallocated Project Contingency	101,871,170	(17,101,657)	84,769,513	0	0	0	84,769,513	0	0
Subtotal:		643,560,513	(1,072,192)	642,488,321	5,902,650	(1,208,533)	167,452,184	642,488,321	0	0

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

*** Changes Identified= Pending + Probable + Potential Changes

**** Est. At Completion = Original Contract + CCO/Amendments + Changes Identified

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HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: November 2013

Project Monthly Cost Report SCC Level 2

		A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
SCC	Title	Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
3. Finance Charges - Eligible										
OTH	Finance Charges	173,058,243	0	173,058,243	0		0	173,058,243	0	0
100.1	Finance Charges:Project-Eligible	173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
Subtotal:		173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
FTA TOTAL PROJECT COSTS		5,121,693,166	0	5,121,693,166	2,457,858,091	1,637,744,627	152,656,625	5,121,693,166	0	812,648,058
4. Finance Charges -Ineligible Costs										
FINC	Finance Charges	42,000,000	0	42,000,000	0		0	42,000,000	0	0
100.2	FTA Non-Eligible Costs	42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
Subtotal:		42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
INELIGIBLE COSTS		42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
Total Project:		5,163,693,166	0	5,163,693,166	2,457,858,091	1,637,744,627	152,656,625	5,163,693,166	0	812,648,058

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

*** Changes Identified= Pending + Probable + Potential Changes

**** Est. At Completion = Original Contract + CCO/Amendments + Changes Identified

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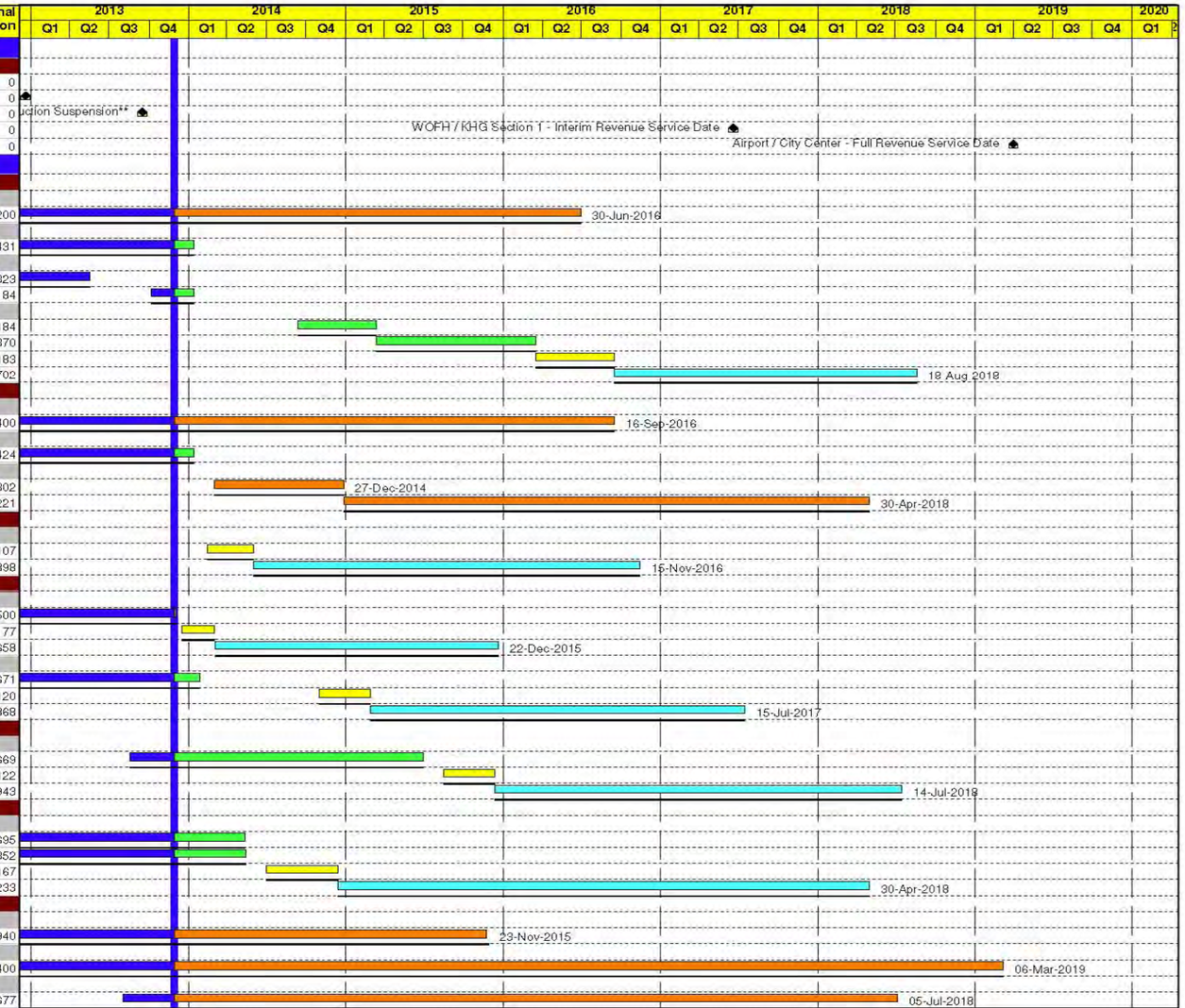
2.3 Project Schedule

The HRTP Master Project Schedule (MPS) has been updated as of November 29, 2013 as shown in the Master Project Schedule Summary (MPSS) in Figure 14 on the next page. This was statused against the FFGA Baseline MPS. The baseline and actual/planned durations of each contract are displayed for comparison.

Figure 14. HRTP Master Project Schedule (MPS) Summary

Activity Name	Current Start	Current Finish	Original Duration
KEY DATA			
MILESTONES			
Letter of No Prejudice #2 - LONP 2	06-Feb-2012 A		0
Full Funding Grant Agreement - (FFGA)		19-Dec-2012 A	0
AIS Complete **Lift Construction Suspension**		16-Sep-2013 A	0
WOFH / KHG Section 1 - Interim Revenue Service Date		20-Jun-2017*	0
Airport / City Center - Full Revenue Service Date		30-Mar-2019	0
CONTRACTS - DESIGN & CONSTRUCTION			
WEST OAHU / FARRINGTON HIGHWAY (WOFH) - SECTION 1			
WOFH Guideway & Utilities			
SUMM: DB-120 - WOFH Guideway - Design & Construction (Design-Build)	01-Dec-2009 A	30-Jun-2016	1200
West Oahu Station Group (WOSG)			
SUMM: FD-140 - West Oahu Station Group - Design	15-Jun-2012 A	15-Jan-2014	431
Farrington Hwy Station Group (FHSG)			
SUMM: FD-240 - Farrington Highway Station Group - Design	12-Jan-2011 A	16-May-2013 A	323
SUMM: FD-240 - Farrington Highway Station Group - Design Support	07-Oct-2013 A	15-Jan-2014	84
UH West Oahu Park n Ride & Ho`opili Station Finishes			
SUMM: FD-600 UH West Oahu Park & Ride and Ho`opili Station Finishes - Procurement	10-Sep-2014	12-Mar-2015	184
SUMM: FD-600 UH West Oahu Park & Ride and Ho`opili Station Finishes - Design	13-Mar-2015	16-Mar-2016	370
SUMM: UH West Oahu Park n Ride & Ho`opili Station Finishes - Bid & Award	17-Mar-2016	15-Sep-2016	183
SUMM: DBB-600 UH West Oahu Park & Ride / Ho`opili Station Finishes - Construction	16-Sep-2016	18-Aug-2018	702
KAMEHAMEHA HIGHWAY (KH) - SECTION 2			
Kamehameha Highway Guideway & Utilities			
SUMM: DB-320 - KHG Guideway - Design & Construction (Design-Build)	12-Jul-2011 A	16-Sep-2016	1400
Kamehameha Highway Stations			
SUMM: FD-340 - Kamehameha Highway Station Group - Design	26-Nov-2012 A	15-Jan-2014	424
Pearl Highlands Parking Structure & Ramps			
SUMM: Pearl Highlands Pking Structure & H2 Ramps - DB Procurement	01-Mar-2014	27-Dec-2014	302
SUMM: DB-275 - Pearl Highlands Pking Structure & H2 Ramps - Design & Construction (Design Build)	27-Dec-2014	30-Apr-2018	1221
West Oahu / Farrington Highway & Kamehameha Station Combined Package			
West Oahu / Farrington Highway & Kamehameha Station Group Construction			
SUMM: West Oahu / Farrington & Kamehameha Station Group - Bid & Award	15-Feb-2014	01-Jun-2014	107
SUMM: DBB-185 - West Oahu / Farrington Hwy & Kamehameha Station Group - Construction	02-Jun-2014	15-Nov-2016	898
AIRPORT - SECTION 3			
Airport Utility Relocation			
SUMM: FD-430 - Airport Utilities - Design	05-Jan-2012 A	04-Dec-2013	500
SUMM: Airport Utilities - Bid & Award	16-Dec-2013	02-Mar-2014	77
SUMM: DBB-505 - Airport Utilities - Construction	05-Mar-2014	22-Dec-2015	658
Airport Stations			
SUMM: FD-440 - Airport Station Group - Design	14-Nov-2012 A	26-Jan-2014	671
SUMM: Airport Station Group - Bid & Award	01-Nov-2014	28-Feb-2015	120
SUMM: DBB-470 - Airport Station Group - Construction	01-Mar-2015	15-Jul-2017	868
CITY CENTER (CC) - SECTION 4			
City Center Stations			
SUMM: FD-550 - Dillingham & Kaka'ako Station Group - Design	19-Aug-2013 A	01-Jul-2015	669
SUMM: Dillingham & Kaka'ako Station Group - Bid & Award	15-Aug-2015	14-Dec-2015	122
SUMM: DBB-580 - Dillingham & Kaka'ako Station Group - Construction	15-Dec-2015	14-Jul-2018	943
Airport & City Center Guideway / City Center Utilities Combined Package			
Airport & City Center Guideway / City Center Utility Relocation			
SUMM: FD-430 - Airport Guideway - Design	05-Jan-2012 A	12-May-2014	695
SUMM: FD-530 - City Center Guideway & Utilities - Design	31-Jul-2012 A	15-May-2014	352
SUMM: Airport & City Center Guideway / City Center Utilities - Bid & Award	01-Jul-2014	14-Dec-2014	167
SUMM: DBB-520 - Airport & City Center Guideway / City Center Utilities - Construction	15-Dec-2014	30-Apr-2018	1233
PROJECT WIDE - ALL SECTIONS			
Maintenance & Storage Facility (MSF)			
SUMM: DB-200 - MSF - Design & Construction (Design-Build)	25-Jul-2011 A	23-Nov-2015	940
Core Systems			
SUMM: DBOM-920 - Core Systems - Design & Construction	13-Jan-2012 A	06-Mar-2019	2400
Elevators & Escalators			
SUMM: MI-930 - Elevators and Escalators - Des, Manufacture, Install & Test	02-Aug-2013 A	05-Jul-2018	1677



HONOLULU AUTHORITY for RAPID TRANSPORTATION

Design Build
Construction
Design
Bid/Award
Baseline Milestone
Milestone
FFGA Ba...
Actual Work

- Design Duration = NTP to Bid Ready
- Construction Durations (DBB) = NTP to Substantial Completion

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Honolulu Rail Transit Project
As of: 29-Nov-2013

Pg 1 of 1

MPS Summary
Design & Construction Contracts

2.4 Contingency Management

The FFGA Baseline Budget for Project Contingency is approximately $643.6M and consists of the following elements:

1) Unallocated Contingency – Reserve contingency to address unknown changes to the Project and not currently allocated to a particular work package.
2) Project Allocated Contingency – Contingency allocated to each work package to address potential uncertain changes within each respective work package.
3) Allowance – A reserve designated for Final Design contracts and committed under the contracts.

The $643.6M Baseline Budget for Total Project Contingency does not include amounts for Known Changes yet to be finalized at the time the Bottom-Up Estimate (BUE) was prepared. Further explanation of Known Changes and how it is managed will be detailed later in this section.

As discussed in Section 1.6, the Current Project Contingency Budget is $610M, down from the FFGA Baseline budget of $643.6M.

FFGA Project Contingency Current Budget

Report Month	Period Beginning: Current Budget Contingency ($M)	Contingency Drawdown ($M)	Period Ending: Current Budget Contingency ($M)
	[a]	[b]	[c] = a + b
June '13 Monthly Progress Report	$654.3	$0.0	$654.3
July '13 Monthly Progress Report	$654.3	$0.0	$654.3
August '13 Monthly Progress Report	$654.3	($5.3)	$649.0
September '13 Monthly Progress Report	$649.0	($5.8)	$643.2
October '13 Monthly Progress Report	$643.2	($6.1)	$637.1
November '13 Monthly Progress Report	$637.1	($22.1)	$615.0
December '13 Monthly Progress Report	$615.0	($5.0)	$610.0

As the project progresses, budget savings will be realized due to a combination of favorable contract awards and through contract savings methods, such as contract re-packaging, and those savings will be transferred into contingency absorbing the cost of AIS related change orders. Project Contingency will continue to be drawndown as the project progresses. The following list details ways in which contingency can either increase or decrease:

1) The budgeted amount for a contract package is either lower or higher than the actual executed contract amount. Contingency will increase if the budgeted amount is higher than the actual contract amounts which results in a budget surplus, and vice versa if the budgeted amount is lower.
2) Increase of a contract amount through the execution of a change order or contract amendment. Contingency is decreased and transferred to the appropriate SCC.
3) Transfer of work scope, e.g. utility relocation, between contract packages through a change order. The scope value from one contract is decreased and transferred to Contingency. Contingency is then decreased by the same scope value and transferred to the other contract. Contingency is used as a "holding account" in this instance.
4) Revisions to contract packaging. It is anticipated that the consolidation of future contract packages into a single contract package would result in a budget savings due to the resulting

efficiencies from reducing redundant overhead costs. Budget savings would be transferred to Contingency.

5) Utilization of allowance in design contracts. The allowance amount to be utilized will decrease this contingency category and will be transferred to the appropriate SCC.

The $5.0M contingency drawdown resulted from the following change orders and contract amendment processed during the November 2013 reporting period:

- $1.5M contingency drawdown from executed change order No. 15 for Yard Layout Revisions/Structural steel modification on the Maintenance and Storage Facility DB contract (DB-200);
- $0.2M contingency drawdown from contract change order No. 14 for Preliminary Design & Supplemental Project Management on the Maintenance and Storage Facility DB contract (DB-200);
- $0.5M contingency drawdown for contract amendment No. 01 for AIS Suspension costs for the City Center Guideway Utilities FD (FD-530);
- $2.7M net contingency drawdown due to the contract award for Farrington Highway Stations Group FD 2 contract (FD-240). Unallocated contingency was utilized for the full contract amount as the additional scope required to complete the FHSG final design was not previously budgeted.

The table below summarizes the Project Contingency budget and SCC designation as of November 2013:

Figure 15. Project Contingency Budget

Contingency	SCC Code	Budget ($M)
Unallocated Contingency	90.01	$101.9
Allocated Contingency	90.02	$540.1
Allowances	90.03	$1.6
Baseline FFGA Project Contingency Budget	***90.01 - 90.03***	***$643.6***
Contingency Transfers to date	90.02 & 90.03	($33.6)
Current FFGA Project Contingency	***90.01 - 90.03***	***$610.0***

Changes Identified and Project Performance

HART and the PMOC continue to hold a monthly breakout session to review changes being considered for each contract. Changes are tracked by four categories which are determined by how well defined a change is and are summarized as Changes Identified in Project Cost reports. HART continually manages the strategy to avoid or mitigate as well as plan the timing of any potential changes. Breakout session discussions focus on opportunities to reduce costs and accelerate contract-scheduled activities to attain key milestones earlier than targeted. The session concludes with an overview of the cost and schedule drawdown curves, if and when changes might occur, in order to assess project performance against total project contingencies and buffer float.

The Risk and Contingency Management Plan (RCMP) is complete. It is consistent with the FFGA submittals, including the CPP, MPS, Project Budget and Financial Plan. The RCMP includes cost and schedule contingency drawdown curves, which establish minimum and buffer zone levels of cost and schedule contingency in accordance with FTA recommendations. Over the course of the project, if the cost or schedule contingency trend into the buffer zone (the area above the minimum contingency), Project Management will immediately implement actions to maintain the level of contingency appropriate for the project stage. The Cost Contingency Drawdown Curve, subject to FTA/PMOC review as part of the RCMP revision process, is presented in Figure 16 on page 25. As of this reporting period,

none of the executed change orders reduced the Baseline Budget Contingency amount below the buffer zone.

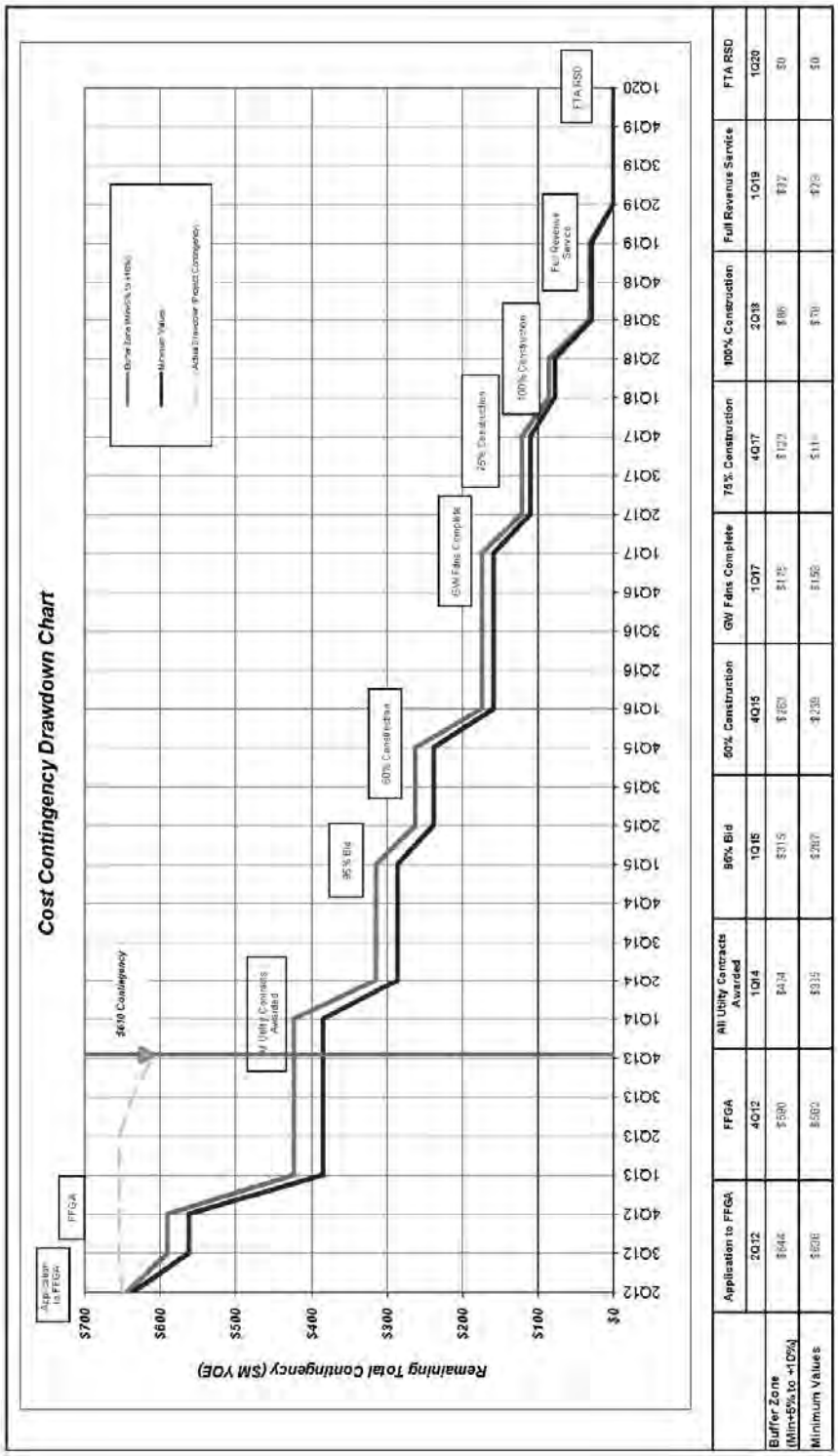
Known Changes Contingency

Known Changes, though tracked separately from the Project Contingency established under the FFGA, functions like contingency and is designated as SCC 90.07 on project cost reports. In re-baselining the Project Budget for FFGA, a bottoms-up estimate (BUE) was developed for each work package identified in the CPP based on the level of design and current pricing of material, equipment, construction labor, professional services, real estate and all other costs. These revised estimates took into account the reduction of contingency to reflect the advancement of Final Design since the Preliminary Engineering phase. Contingency was then allocated in accordance with FTA guidelines and current risk modeling methodologies. The net effect was a reduction of approximately $170M of contingency between the previous Final Design Project Budget and the FFGA Project Budget. Included in the base costs of the BUE were elements that were considered "Known" or pending changes that were still subject to final negotiations with contractors and the execution of change orders. The estimated costs for Known Changes were applied to work packages established under the FFGA. Based on the level of risk, the estimated costs for Known Changes were either classified as base cost or as separate contingency for specific work packages (contingencies eventually convert to base costs via change order). Of the total $170M estimated for Known Changes, $97M was classified as base cost and allocated to multiple contracts. The remaining $74M was classified as "contingency" in order to process all changes using a consistent methodology of transferring budget from contingency to the appropriate base cost code when a change order is executed. As it was intended for this reserve, the majority of the change orders executed since the BUE draws against this contingency since these were partially defined already.

To date, the Current Known Changes balance stands at $32.5M, down from the original amount of $73.9M as shown in Figure 13. There was a $5M drawdown from Known Changes Contingency from last period:

1. $2.9M drawdown for executed Change Order No. 039 for West O'ahu Farrington Highway Guideway DB (DB-120) for Delay of NTP 2, 3, 4 – CMC Impact.
2. $2.2M drawdown for executed Change Order No. 15 for Maintenance and Storage Facility DB (DB-200). The contingency utilized for the $3.9M Change Order for Yard Layout Revisions and Structural Steel modification was split between Project Contingency and Known Changes Contingency.

Figure 16. Draft Cost Contingency Drawdown Chart



3 CONTRACT STATUS

3.1 Procurement Status

Figure 17. Procurement: Design-Build (DB), Design-Build-Operate-Maintain (DBOM) and Manufacture-Install-Maintain (MIM) Contracts

Procurement Tracking Report

Contract No.	Contract Name	Contractor	Dates	Issue RFP	Issue NTP	Contract Completion
Design-Build Contracts						
DB-120	West Oahu/Farrington Highway Guideway (WOFH)	Kiewit Infrastructure West Company (KIWC)	*Current Forecast* Actual Date	Apr 03 '09	Dec 01 '09	*Feb 29 '16*
DB-200	Maintenance and Storage Facility (MSF)	Kiewit / Kobayashi Joint Venture (KKJV)	*Current Forecast* Actual Date	Jul 24 '09	Jul 25 '11	*Nov 30 '15*
DB-275	Pearl Highlands Parking Structure / Bus Transit Center		*Current Forecast* Actual Date	*Mar 01 '14*	*Dec 28 '14*	*Apr 30 '18*
DB-320	Kamehameha Guideway (KHG)	Kiewit Infrastructure West Company (KIWC)	*Current Forecast* Actual Date	Mar 19 '10	Jul 12 '11	*Jul 29 '16*
Design-Build-Operate-Maintain Contract						
DBOM-920	Core Systems Contract	Ansaldo Honolulu JV	*Current Forecast* Actual Date	Aug 17 '09	Jan 13 '12	*Mar 31 '19*
Manufacture - Install - Test-Maintain						
MI-930	Elevators and Escalators	Schindler Elevator Corporation	*Current Forecast* Actual Date	Dec 18 '12	Aug 02 '13	*Mar 15 '18*

Figure 18. Procurement: Final Design (FD) Contracts

Procurement Tracking Report

Contract #	Contract Name	Contractor Name	Dates	Issue RFQ	Issue NTP	Contract Completion
Final Design Contracts						
FD-140	West Oahu Station Group Final Design	URS Corporation	*Current Forecast* Actual Date	Jun 14 '10	Jun 15 '12	*Jun 30 '16*
FD-240	Farrington Highway Station Group Design Support	URS Corporation	*Current Forecast* Actual Date	Jun 10 '13	Sep 30 '13	*Nov 14 '16*
FD-340	Kamehameha Highway Station Group Final Design (includes H2/R2 Ramp)	Anil Verma Assoc, Inc.	*Current Forecast* Actual Date	Jun 28 '11	Nov 26 '12	*Oct 31 '16*
FD-430	Airport Section Guideway and Utilities Final Design	AECOM Tech Svcs, Inc.	*Current Forecast* Actual Date	Jan 26 '11	Jan 05 '12	*Jun 30 '17*
FD-530	City Center Section Guideway and Utilities Final Design	AECOM Tech Svcs, Inc.	*Current Forecast* Actual Date	Dec 16 '11	Jul 31 '12	*Apr 30 '18*
FD-440	Airport Station Group Final Design	AECOM Tech Svcs, Inc.	*Current Forecast* Actual Date	Mar 30 '12	Nov 14 '12	*Jul 15 '17*
FD-550	Dillingham and Kaka'ako Station Groups "East Side Stations" Final Design	Perkins & Will	*Current Forecast* Actual Date	Nov 16 '12	Jul 31 '13	*Jul 30 '18*
FD-600	UH West Oahu Park-and-Ride and Ho`opili Station Finishes Final Design		*Current Forecast* Actual Date	*Sep 10 '14*	*Mar 12 '15*	*Sep 29 '18*

Figure 19. Procurement: Design-Bid-Build (DBB) Contracts

Procurement Tracking Report						
Contract No.	Contract Name	Contractor Name	Dates	Advertise for Bids	Issue NTP	Contract Completion
Design-Bid-Build (DBB) Contracts						
DBB-505	Airport Section Utilities Construction		*Current Forecast* Actual Dates	Dec 17 '13	*Mar 05 '14*	*Dec 22 '15*
Re-Pkg DBB-185	West Oahu/Farrington Hwy/Kamehameha Hwy Station Groups "West Side Stations" Construction *[Airport Station not included]*		*Current Forecast* Actual Dates	*Feb 15 '14*	*Jun 01 '14*	*Nov 14 '16*
DBB-470	Airport Station Group Construction		*Current Forecast* Actual Dates	*Nov 01 '14*	*Mar 01 '15*	*Jul 15 '17*
Re-Pkg DBB-580	Dillingham/Kaka'ako Station Groups "East Side Stations" Construction		*Current Forecast* Actual Dates	*Aug 15 '15*	*Dec 15 '15*	*Aug 14 '18*
DBB-520	Airport and City Center Sections Guideway Construction / City Center Section Utilities Construction		*Current Forecast* Actual Dates	*Jul 01 '14*	*Dec 15 '14*	*Apr 29 '18*
DBB-600	UH West Oahu Park-and-Ride and Ho`opili Station Finishes Construction		*Current Forecast* Actual Dates	*Mar 15 '16*	*Sep 15 '16*	*Aug 15 '18*

Figure 20. Procurement: Construction Engineering and Inspection Services (CE&I) Contracts

Procurement Tracking Report						
Contract No.	Contract Name	Contractor Name	Dates	Advertise RFQ	Issue NTP	Contract Completion
Construction Engineering & Inspection (CE&I) Services Contracts						
MM-290	Construction Engineering & Inspection West Side Sections		*Current Forecast* Actual	Jul 26 '13	*Dec 30 '13*	*Mar 01 '19*
MM-595	Construction Engineering & Inspection East Side Sections		*Current Forecast* Actual	Jul 26 '13	*Dec 30 '13*	*Mar 01 '19*

Figure 21. Procurement: Project Management and Specialty Consultant Services Contracts

Procurement Tracking Report

Contract No.	Contract Name	Contractor Name	Dates	Issue RFQ	Issue NTP	Contract Completion
Project Management and Specialty Consultant Services Contracts						
MM-901	Program Management Support Consultant - 2 (PMSC-2)	InfraConsult LLC	*Current Forecast* Actual	Aug 03 '11	Mar 08 '12	*Feb 28 '15*
MM-910	General Engineering Consultant II (GEC-2) (Final Design and Construction)	Parsons Brinckerhoff	*Current Forecast* Actual	Sep 03 '09	Aug 02 '11	*Aug 01 '14*
MM-913	General Engineering Consultant III (GEC-3)	CH2M Hill	*Current Forecast* Actual	Jul 26 '13	Dec 05 '13	*Mar 01 '19*
MM-935	Real Estate Consultant	Paragon Partners, Ltd.	*Current Forecast* Actual	Apr 01 '11	Mar 14 '12	*Mar 13 '17*
MM-937	Real Estate Mapping & Surveying		*Current Forecast* Actual	Nov 15 '13	*Jan 30 '14*	*Dec 30 '17*
MM-940	Kako'o Consultant	Pacific Legacy, Inc.	*Current Forecast* Actual	May 20 '11	Mar 30 '12	*Feb 14 '17*
MM-945	On-Call Construction Contractor		*Current Forecast* Actual	*Jan 30 '14*	*Mar 15 '14*	*Mar 03 '19*
MM-950	Owner Controlled Insurance Program (OCIP) Consultant	Marsh USA, Inc.	*Current Forecast* Actual	Jan 31 '12	Jun 05 '12	*May 09 '17*
MM-951	Owner Controlled Insurance Program (OCIP) Brokerage Services		*Current Forecast* Actual	Jun 04 '13	TBD	*Jul 31 '14*
MM-960	Archeological & Cultural Monitoring		*Current Forecast* Actual	Sep 10 '13	*Dec 30 '13*	*May 30 '18*
MM-962	CORE Systems Support - Recompete		*Current Forecast* Actual	Sep 13 '13	*Dec 30 '13*	*Mar 01 '19*
MM-964	Safety / Security Support		*Current Forecast* Actual	Oct 23 '13	*Dec 30 '13*	*Dec 14 '17*
MM-966	Financial Support Services		*Current Forecast* Actual	*Dec 30 '13*	*Feb 28 '14*	*Dec 30 '15*
MM-975	LEED Commissioning Services for the Maintenance and Storage Facility (MSF)	Enovity, Inc.	*Current Forecast* Actual		Oct 07 '10	*Jan 14 '16*
PA-102	Historic Architecture Design Services	Fung Associates, Inc.	*Current Forecast* Actual	Mar 15 '13	Aug 01 '13	*May 01 '16*

Figure 22. Procurement: HDOT Consultant Services and Other Contracts

Procurement Tracking Report

Contract No.	Contract Name	Contractor Name	Dates	Issue RFQ	Issue NTP	Contract Completion
Hawaii Department of Transportation (HDOT) Consultant Services Contracts						
MM-915	HDOT Traffic Management Coordination Consultant	ICX Transportation Group	*Current Forecast* Actual	Aug 15 '11	Jun 12 '12	*Jul 01 '17*
MM-920	HDOT Design Coordination Consultant - West Oahu/Farrington Highway Guideway Section	AECOM Tech Svcs, Inc.	*Current Forecast* Actual		Jun 08 '11	*Jun 15 '18*
MM-921	HDOT Design Coordination Consultant - Kamehameha Highway Guideway Section	AECOM Tech Svcs, Inc.	*Current Forecast* Actual		Jun 29 '12	*Jul 15 '15*
MM-922	HDOT Design Coordination Consultant - Airport and City Center Guideway Sections	SSFM International	*Current Forecast* Actual		Jun 12 '12	*Jun 15 '18*
Other Contracts						
MM-946	On-Call HazMat Contractor	CH2M Hill	*Current Forecast* Actual		Sep 07 '12	*Feb 15 '17*

3.2 Design-Build (DB) Contract Status

Contract DB-120: West O'ahu/Farrington Highway Guideway (WOFH)

DB Contractor: Kiewit Infrastructure West Company (KIWC)

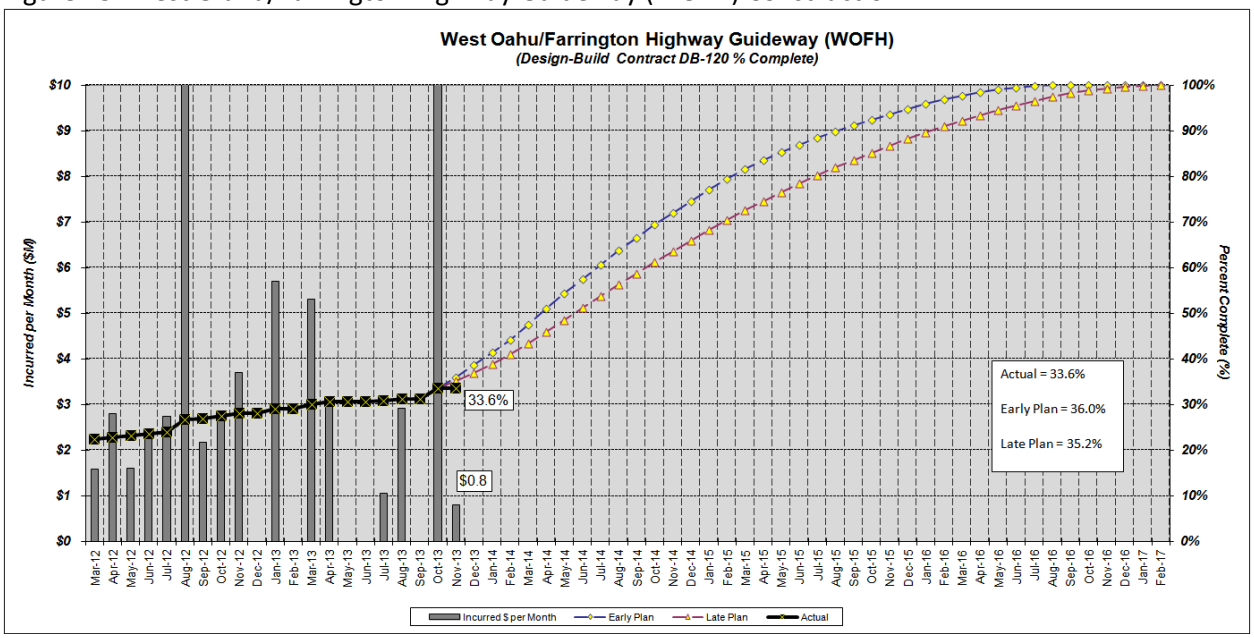
Committed:[1]	$556,771,464		Actual DBE Participation:	$2,329,922
Authorized:[2]	$335,005,530	(60%)	DBE % Attained:	0.48%
Incurred to date:	$194,225,316		Substantial Completion:[3]	June 2016

[1] Commitment as of November 29 = Contract value (not including contingency) + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of November 29 = NTP dollar values + executed Change Orders.
[3] Substantial Completion based on Kiewit's latest Progress Schedule update.

- **Contract Progress**

Actual progress as of November 29 is 33.6%, versus the early plan of 36% and the late plan of 35.2%, as shown in Figure 23 below. Design is 96% complete, based on Schedule of Milestones completion. KIWC transmitted a draft revised schedule based on the restart of construction in September 2013.

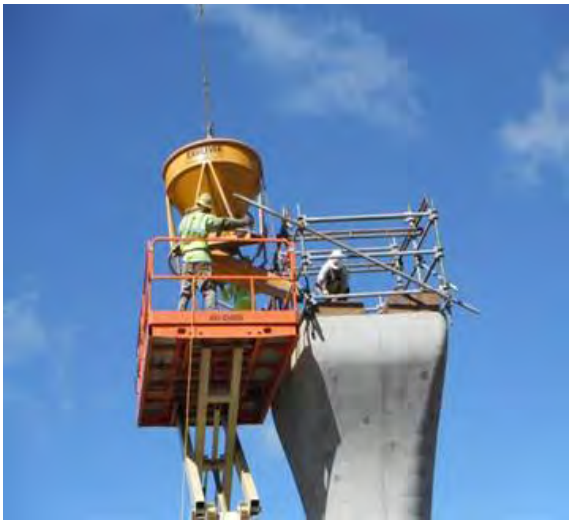
Figure 23. West O'ahu/Farrington Highway Guideway (WOFH) Construction



- **Activities this month**
  - KIWC continued maintenance activities along Farrington Highway as part of the Joint Use and Occupancy Agreement with HDOT.
  - Work has been substantially completed on potholing for utilities in Farrington Highway.
  - Transition zone, column and bearing pedestal installations are ongoing in Work Area 1B.
  - Drilled shafts are scheduled to commence in Work Area 1A in January.
  - Wet utility installation ongoing in Work Area 2 – Phases 1A and 1B.
  - Work completed on AT&T conflict relocation in Work Area 2 – Phase 1A.
  - Stage 1 Intelligent Transportation Systems (ITS) is scheduled to be completed.
  - Demolition of Cutter building completed.
  - Precast Yard set-up is ongoing.
  - Dry utility installation work completed on HECO conflict relocation. Work on another HECO conflict relocation awaiting HECO Hold-Off.
  - Continued street light relocations in Work Area 2. Commenced street light relocations in Work Area 4 – Phase 10.

- Commenced grading activities and subsurface drainage activities at North Access Road in Work Area 5.
- A total of 473 contract submittals have been received (13 currently under review).
- KIWC has completed 73 of 127 or 57% of the anticipated final design submittals.
- HART has received 229 Requests for Information (RFIs) from the contractor (3 voided and none are open).
- HART is working with KIWC to develop an issues list to identify critical claims that require immediate resolution.

Demolition of the Cutter Building.


Installation of Bearing Pedestals at Pier 64.

- **Look Ahead**
  - Site assessment and completion of demolition plan at the 'Banana Patch' and TMKs 9-4-048-046 and 9-4-048-047 properties.
  - Continue interface and final design activities.
  - Stage 1 Intelligent Transportation System (ITS) work to be completed.
  - Resolution of delay claims.
  - HECO & HDOT Coordination.
  - LCC Coordination and work.
  - Pier 253 MOT and Structure access.
  - Surface Casings and Drilled Shafts in Work Area 1A.
  - Revised Progress Schedule acceptance.

Contract DB-200: Maintenance and Storage Facility (MSF)

DB Contractor: Kiewit/Kobayashi Joint Venture (KKJV)

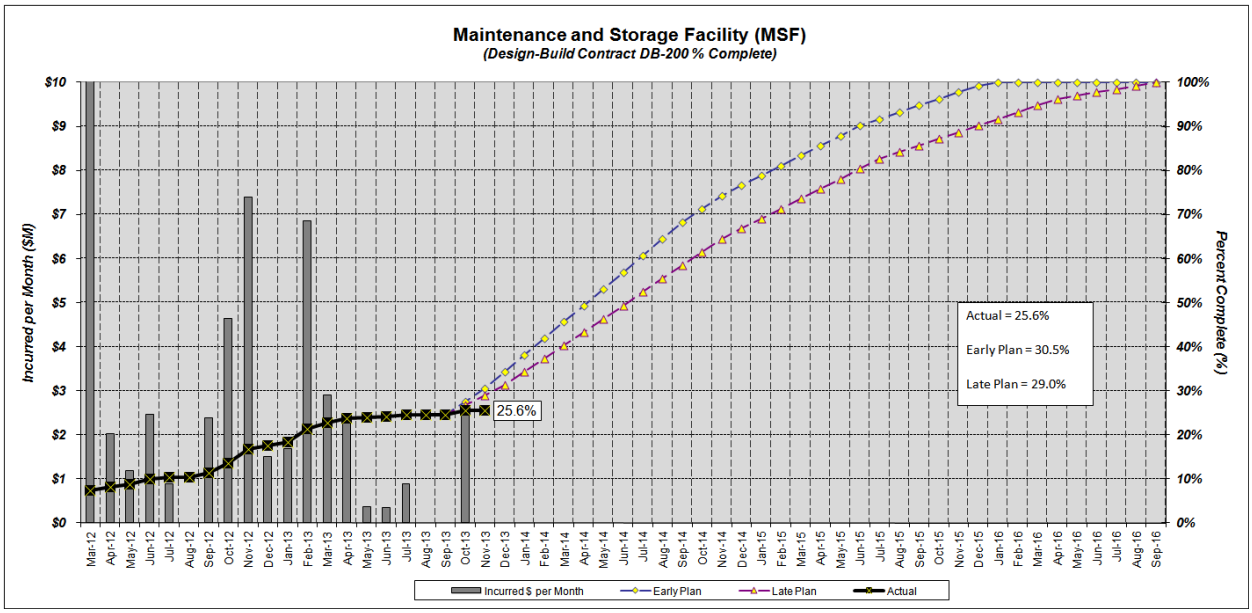
Committed:[1]	$225,268,244		Actual DBE Participation:	$23,740
Authorized:[2]	$158,298,978	(70.3%)	DBE % Attained:	0.012%
Incurred to date:	$56,428,287		Substantial Completion:	December 2015

[1] Commitment as of November 29 = Contract value (not including contingency) + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of November 29 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of November 29 is 25.6%, versus the early plan of 30.5% and the late plan of 29%, as shown in Figure 24 below. Design is 98% complete, based on Schedule of Milestones completion. The MSF substantial completion date is December 27, 2015.

Figure 24. Maintenance and Storage Facility (MSF) Construction



- **Activities this month**
  - KKJV continued monitoring Best Management Practice (BMP) measures for permit compliance.
  - KKJV continued with clearing and grubbing activities.
  - KKJV continued to cut and fill native topsoil for mass grading operations throughout the site.
  - KKJV continued to excavate trenches for storm and sewer lines.
  - KKJV continued to install storm and sewer lines with their respective manholes.
  - KKJV commenced the installation of reinforced soil slopes.
  - KKJV commenced seeding to stabilize graded areas.
  - Continued working with the Core Systems Contractor to resolve design interface issues.
  - HART working with KKJV in the development of issues list and the determination of critical claims that require immediate resolution.
  - HART working with KKJV and HNTB on the design for the yard reconfiguration work.
  - Continued workshops with the CSC contract on changes to the yard reconfiguration work.
  - A total of 214 total contract submittals have been received (13 under review).
  - KKJV has completed 7 of 9 or 77% of the anticipated final design submittals.
  - HART has received 158 Requests for Information (RFIs) from the contractor (4 open).

Compaction

Encase ductbank

- **Look Ahead**
  - Continue mass grading activities.
  - Continue installing sewer lines and manholes.
  - Continue installing storm drain lines and manholes.
  - Continue installation of reinforced soil slope.
  - Commence installation of retaining wall No. 9.
  - Commence installation of trailer complex.
  - Commence installation of power and communications ductbanks.
  - Continue working with the Core Systems Contractor to resolve design interface issues.
  - HART will continue working with KKJV in the development of issues list and the determination of critical claims that require immediate resolution.
  - HART will continue working with KKJV and HNTB on the design for the yard reconfiguration work.
  - Continue workshops with the CSC contract on changes to the yard reconfiguration work.

Contract DB-320: Kamehameha Highway Guideway (KHG)

DB Contractor: Kiewit Infrastructure West Company (KIWC)

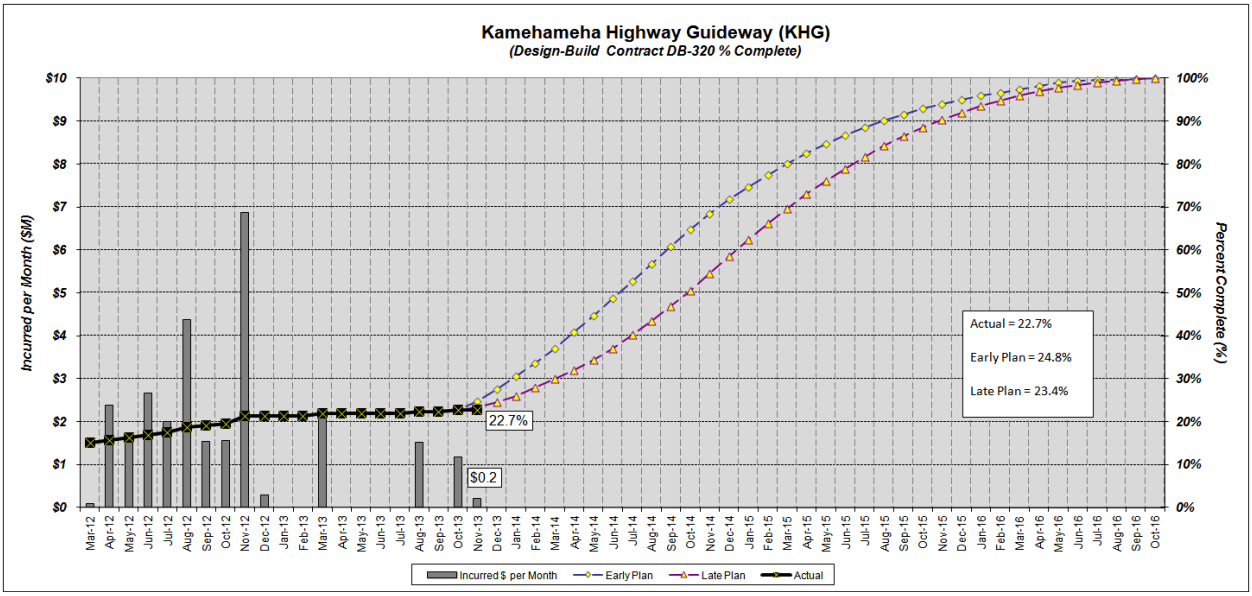
Committed:[1]	$378,860,981		Actual DBE Participation:	$297,630
Authorized:[2]	$168,877,062	(44.6%)	DBE % Attained:	0.08%
Incurred to date:	$85,977,378		Substantial Completion:	September 2016

[1] Commitment as of November 29 = Contract value (not including contingency) + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of November 29 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of November 29 is 22.7%, versus the early plan of 24.8% and the late plan of 23.4%, as shown in Figure 25 below. Design is 94% complete, based on Schedule of Milestones completion. KIWC has submitted a draft revised schedule based on the restart of construction on September 16, 2013.

Figure 25. Kamehameha Highway Guideway (KHG) Construction



- **Activities this month**
  - KIWC continued to maintain the project site including laydown yards.
  - Contract Milestone Schedule dates were provided by HART to KIWC for incorporation into the Baseline Schedule.
  - HART received a draft schedule which combines WOFH and KHG as agreed to by HART.
  - KIWC met with all utility companies to review and incorporate their time frames in KIWC's schedule.
  - HDOT issues continue to be discussed to determine resolution at the executive level. KIWC and HART executives met and agreed to allow KIWC to close lanes during holidays.
  - A total of 169 contract submittals have been received (7 under review).
  - KIWC has completed 10 of 41 or 24% final design submittals.
  - HART has received 82 Requests for Information (RFIs) from the contractor (0 open).
  - KIWC encountered problems during a concrete pour and abandoned their second attempt at Test Shaft 13 (T13A).
  - KIWC is filing a claim with the Owner Controlled Insurance Program (OCIP) for the problems encountered on Test Shaft T13.
  - KIWC poured Test Shaft T11 and began demobilizing from the T11 site.

- KIWC is mobilizing cranes and equipment to the Test Shaft T12 site.

KIWC pouring controlled low-strength material (CLSM) during abandonment of T13A.

KIWC pouring concrete at T11.

- **Look Ahead**
  - Continue interface and design activities.
  - Perform Cross Hole Sonic Logging (CSL) and load tests at Test Shaft T11.
  - Excavate Test Shaft T12.
  - Select location for Test Shaft T13B.

3.3 Design-Build-Operate-Maintain (DBOM) Contract Status

Contract DBOM-920: Core Systems Contract (CSC)

DBOM Contractor: Ansaldo Honolulu Joint Venture (AHJV)

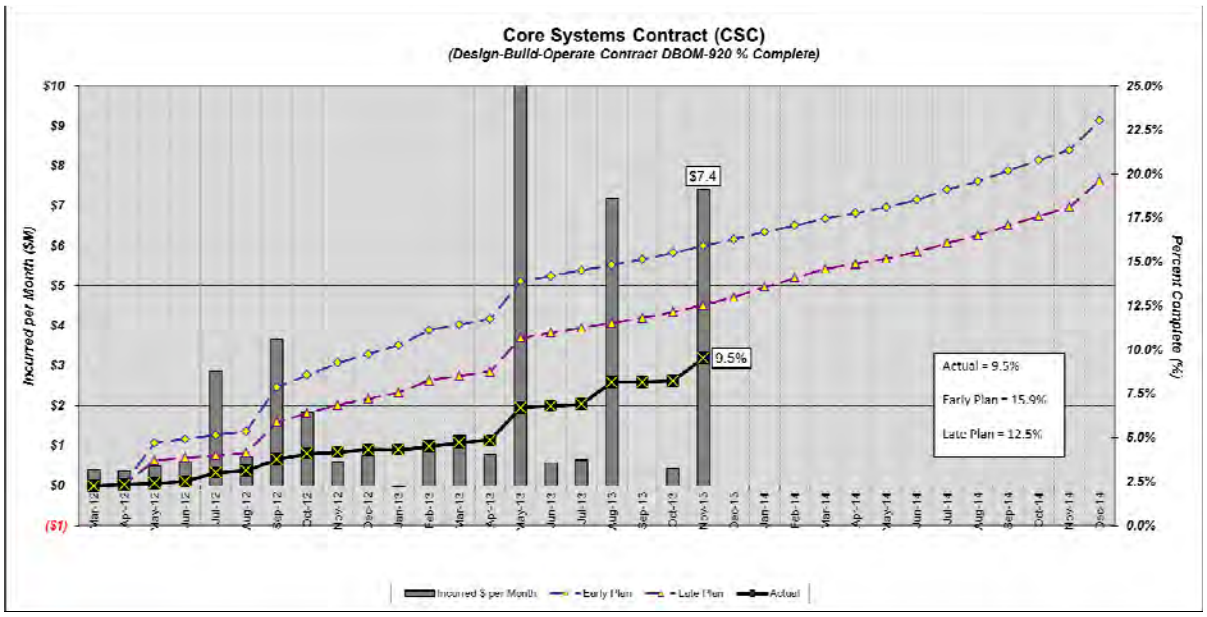
Committed:[1]	$602,950,143		Actual DBE Participation:	$105,179
Authorized:[2]	$514,430,792	(85.3%)	DBE % Attained:	0.024%
Incurred to date:	$54,631,216		Start-up Completion:	March 2019

[1] Commitment as of November 29 = Contract value (excluding contingency and $823.6 M O&M budget) + executed Change Orders. [2] Total Authorized for Expenditure (AFE) as of November 29 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of November 29 is 9.5%, versus the early plan of 15.9% and the late plan of 12.5%, as shown in Figure 26 below. Design is 30% complete. Financial progress is lagging actual design progress because milestones associated with design package documentation are incomplete and payment is not allowed. HART is working with AHJV on a revised schedule with interface milestones based on the restart of construction for fixed facility contractors in September 2013.

Figure 26. Core Systems Contract (CSC)



- **Activities this month**
  - AHJV continues to participate in Interface meetings, to issue/respond to Requests for Interface Data (RFIDs) and to coordinate fixed facility contractor interfaces. HART's interface partnering meetings continue jointly with AHJV and Kiewit to help expedite closure of interface issues. Final interfaces for the WOFH guideway are now being confirmed and accepted by AHJV.
  - AHJV continues to participate in MSF Workshop meetings to expedite completion of yard reconfiguration.
  - HART continued follow up with AHJV to resolve design submittals review comments.
  - Interim Design submittals continue particularly for Passenger Vehicles, Traction Electrification System, Train Control, Communications, and Maintenance of Way (MOW) Vehicles.
  - Completed review of four-car train operations with PMOC and received acceptance by FTA to move forward. Direction provided to AHJV to proceed with four-car trains.

- **Look Ahead**
  - Resolve interface issues with fixed facility contractors, particularly MSF and WOFH/KHG to support construction schedule.
  - Finalize rebaseline schedule as a result of revised access dates for fixed facilities.
  - Continue Passenger Vehicle and other systems Interim Design Review.

3.4 Final Design (FD) Contract Status

3.4.1 Station DBB Contracts Status (Executed and In Negotiation)

Contract FD-140: West O'ahu Station Group Construction (WOSG) Final Design

Contractor: URS, Final Design Consultant (Engineer of Record)

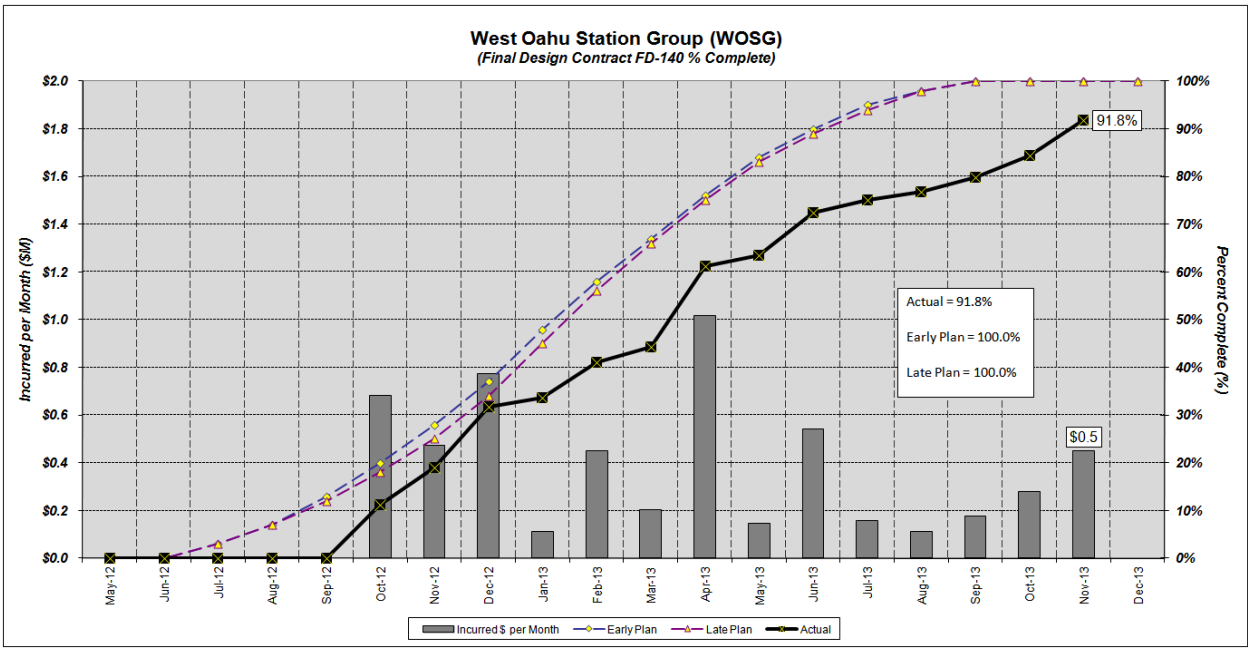
Committed:[1]	$7,812,928		Actual DBE Participation:	$0
Authorized:[2]	$5,599,507	(71.6%)	DBE % Attained:	0%
Incurred to date:	$5,575,886		Construction Docs Bid-Ready:	January 27, 2014

[1] Total Commitment as of November 29 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of November 29 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of November 29 is 91.8%, versus the early and late plan of 100%, as shown in Figure 27 below. Design is 95% complete.

Figure 27. West O'ahu Station Group (WOSG) Final Design



- **Activities this month**
  - Incorporating HART comments to the final design package.
  - Continued to hold weekly progress and interface meetings.
  - Finalizing the standard platform canopy standard design and drawing.
  - Continued negotiation on interim park-n-ride, 46 KV relocation, Ho'opili Station Design changes, and 4 & 6 bay canopy design.

- **Look Ahead**
  - Submit final design package.
  - Subsurface exploration at UH West O'ahu Station.

Contract FD-240: Farrington Highway Station Group (FHSG) Final Design

HDR Engineering, Inc.
Start Date: January 12, 2011 End Date: April 5, 2013
URS Corporation
Start Date: September 27, 2013 End Date: November 14, 2016

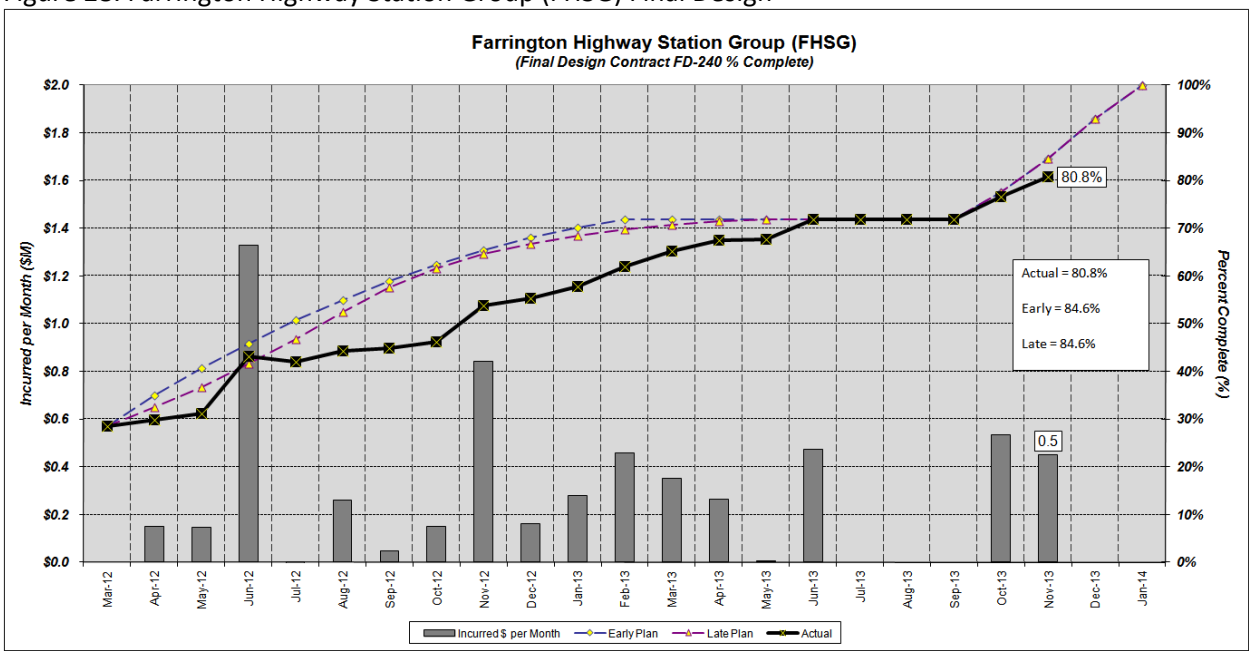
Committed:[1]	$12,208,045		Actual DBE Participation:	$254,809
Authorized:[2]	$9,867,090	(80.8%)	DBE % Attained:	4.63%
Incurred to date:	$8,929,191		Construction Documents Bid-Ready:	January 27,2014

[1] Commitment as of November 29 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of November 29 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of November 29 is 80.8%, versus the early and late plan of 84.6%, as shown in Figure 28 below. Design is 95% complete.

Figure 28. Farrington Highway Station Group (FHSG) Final Design



- **Activities this month**
  - Continue final design development.
  - Coordinating to combine west station packages.
  - Continue to validate interface assumptions.

- **Look Ahead**
  - Finalize and submit final design package.

Contract FD-340: Kamehameha Highway Station Group (KHSG) Final Design

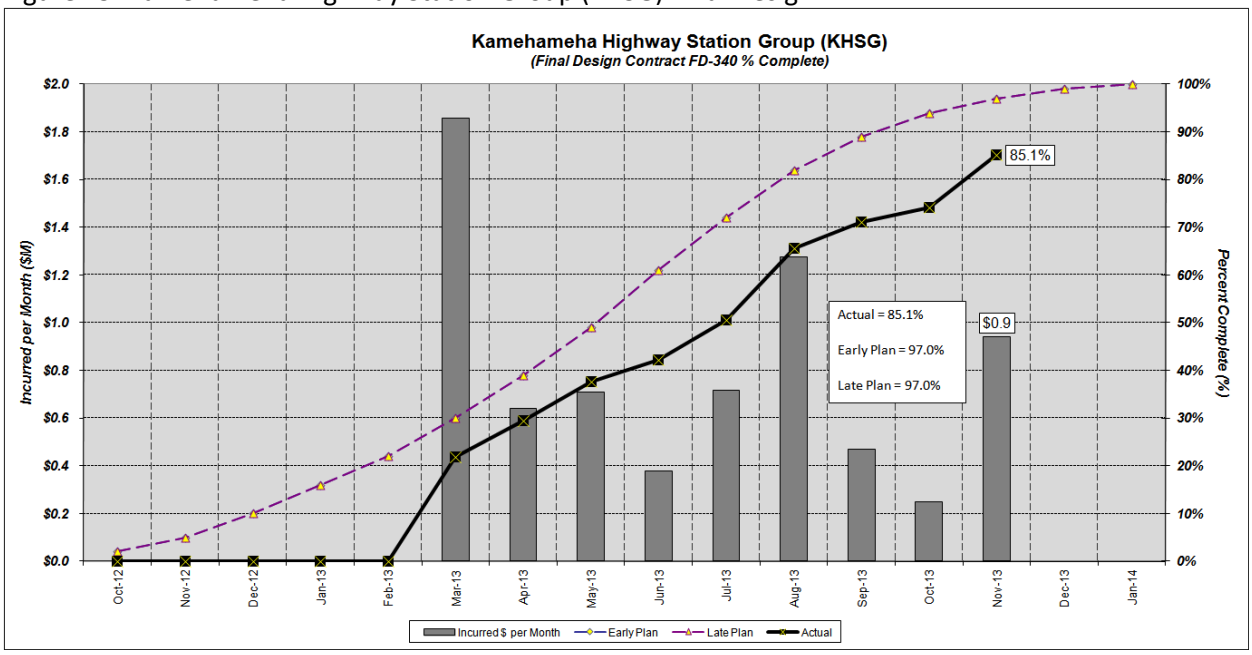
Contractor: Anil Verma Associates, Inc., Final Design Consultant (Engineer of Record)

Committed:[1]	$8,702,592		Actual DBE Participation:	$2,421,359
Authorized:[2]	$7,797,781	(89.6%)	DBE % Attained:	27.82%
Incurred to date:	$7,237,220		Construction Documents Bid-Ready:	January 27, 2014

[1] Commitment as of November 29 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of November 29 = NTP dollar values + executed Change Orders.

Actual progress as of November 29 is 85.1%, versus the early and late plan of 97%, as shown in Figure 29 below. Design is 95% complete.

Figure 29. Kamehameha Highway Station Group (KHSG) Final Design



- **Activities this month**
  - Incorporating HART comments to final design package.
  - Continued to hold weekly progress and interface meetings.
  - Coordinated meetings with stakeholders: U.S. Navy, Aloha Stadium and HDOT.
  - Coordinating with URS to combine west station packages.
- **Look Ahead**
  - Finalize and submit final design package.
  - Resolve sign bridge conflict and finalize design.

Contract FD-430 Airport Section Guideway and Utilities Final Design

Contractor: AECOM Technical Services, Inc., Final Design Consultant (Engineer of Record)

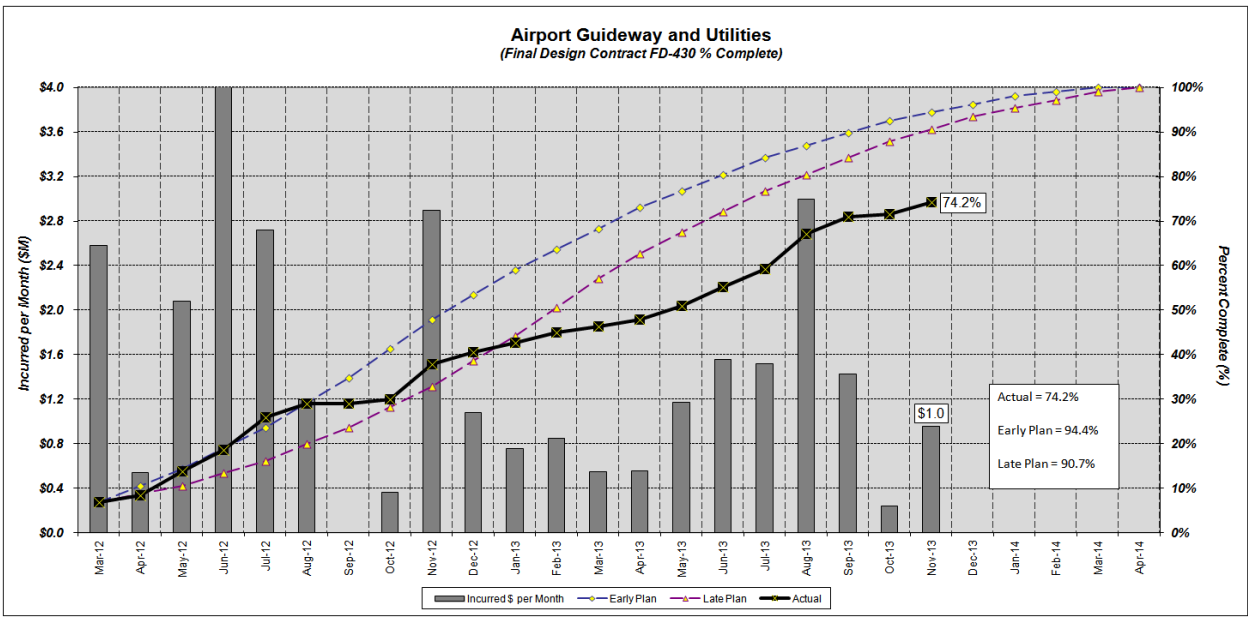
Committed:[1]	$39,829,032		Actual DBE Participation:	$145,701
Authorized:[2]	$38,241,018	(96.0%)	DBE % Attained:	0.38%
Incurred to date:	$27,828,852		Construction Documents Bid-Ready:	
			Utilities	Dec. 2013
			Guideway	June 2014

[1] Commitment as of November 29 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of November 29 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of November 29 was 74.2%, versus the early plan of 94.4% and the late plan of 90.7%, as shown in Figure 30 below. Design is 75% complete.

Figure 30. Airport Guideway and Utilities Final Design



- **Activities this month**
  - Submitted Airport Utilities final design package.
  - Continued final design development on the guideway package.
  - Continued coordination with HDOT (Highway and Airport Divisions), utility companies, U.S. Navy and other stakeholders.
  - Continued weekly progress/design and interface meetings.
  - Continued geotechnical investigation.

- **Look Ahead**
  - Continue geotechnical testing.
  - Continue guideway final design development.
  - Continue working on request for changes.

Contract FD-440: Airport Station Group (ASG) Final Design

Contractor: AECOM Technical Services, Inc., Final Design Consultant (Engineer of Record)

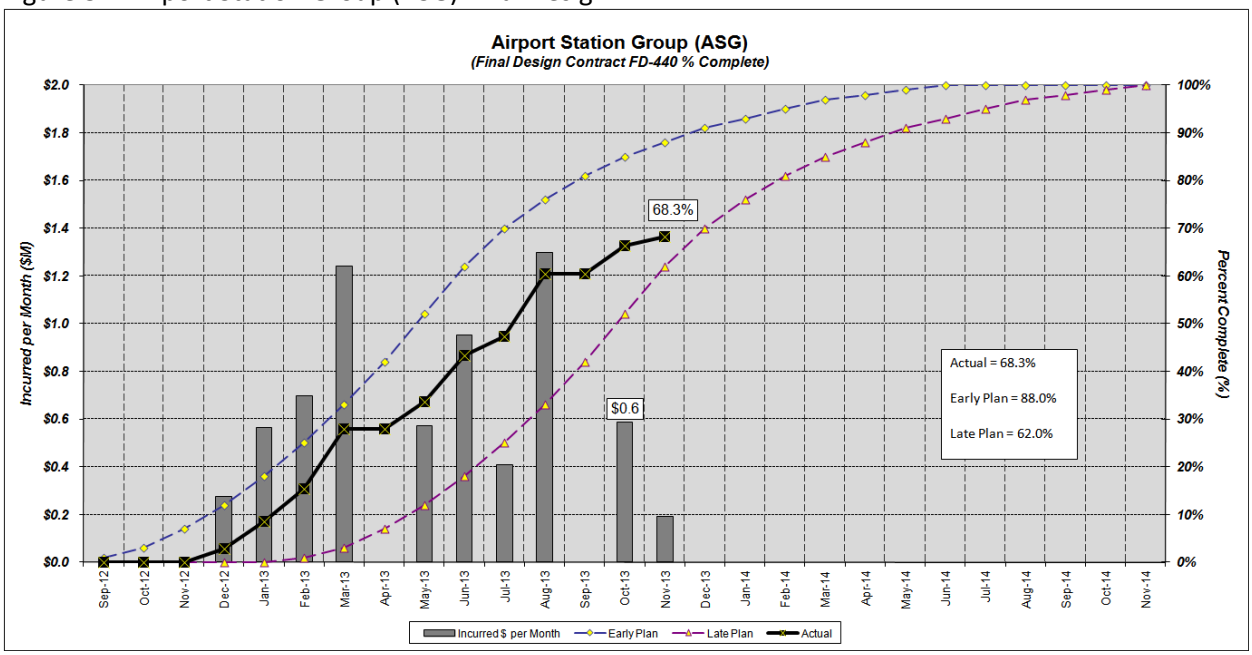
Committed:[1]	$10,177,365		Actual DBE Participation:	$224,876
Authorized:[2]	$9,128,022	(89.7%)	DBE % Attained:	2.21%
Incurred to date:	$6,791,408		Construction Documents Bid-Ready:	January 2014

[1] Commitment as of November 29 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of November 29 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of November 29 is 68.3%, versus the early plan of 88% and the late plan of 62%, as shown in Figure 31 below. Design is 85% complete.

Figure 31. Airport Station Group (ASG) Final Design



- **Activities this month**
  - Continued final design development.
  - Continued weekly progress/design and interface meetings.
- **Look Ahead**
  - Continue Coordination meetings with stakeholders: HDOT, U.S. Navy and others.
  - Resolve Traction Power Sub-Station (TPSS) location at Airport Station.
  - Resolve service driveway along Kamehameha Highway at Pearl Harbor Naval Base Station with HDOT.
  - Resolve Crossover comments and finalize design at Middle Street Station.

Contract FD-530: City Center Section Guideway and Utilities Final Design

Contractor: AECOM Technical Services, Inc., Final Design Consultant (Engineer of Record)

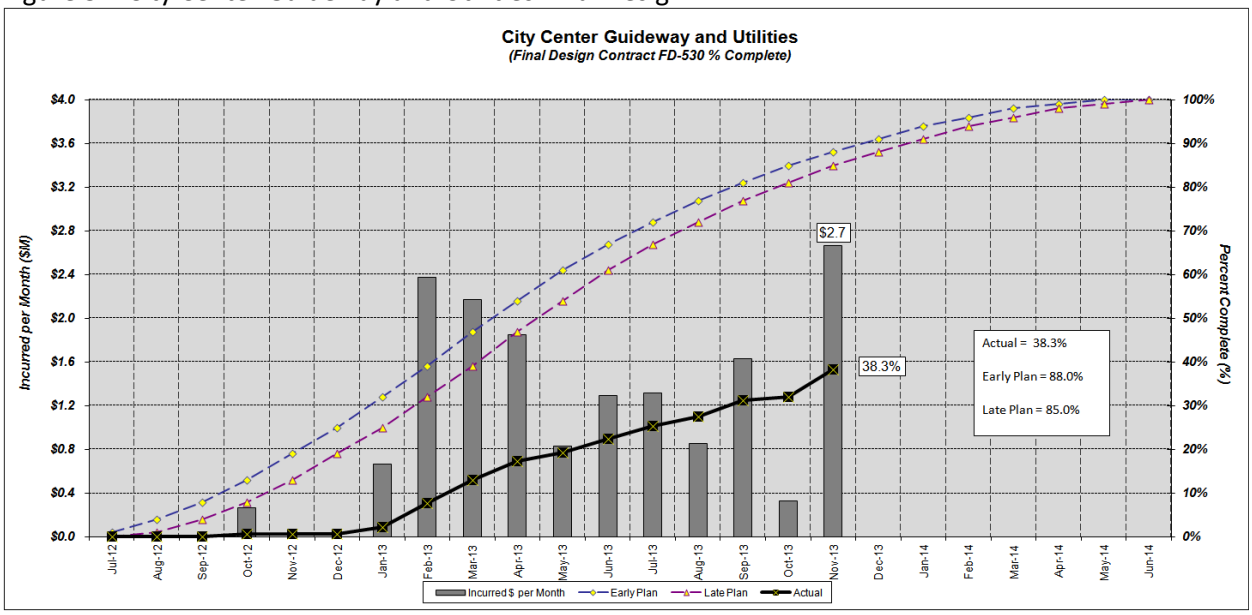
Committed:[1]	$44,481,020		Actual DBE Participation:	$139,883
Authorized:[2]	$35,162,448	(79.1%)	DBE % Attained:	0.32%
Incurred:	$16,237,428		Construction Documents Bid-Ready: Guideway & Utilities	June 2014

[1] Commitment as of November 29 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of November 29 = NTP dollar values + executed Change Orders.

- **Contract Status**

Actual progress as of November 29 is 38.3%, versus the early plan of 88% and the late plan of 85%, as shown in Figure 32 below. Design is 55% complete.

Figure 32. City Center Guideway and Utilities Final Design



- **Activities**
  - Continued weekly progress/design and interface meetings.
  - Continued interim design development.
  - Continued to meet with various private and public stakeholders to coordinate station and guideway interface with their planned developments.
  - Continued geotechnical investigations.
  - Evaluated alternative designs along Dillingham Boulevard.

- **Look Ahead**
  - Continue interim design development.
  - Continue coordinating HECO design schedule.

Contract FD-550: Dillingham and Kaka‘ako Station Group (DKSG) Final Design

Contractor: Perkins & Will, Final Design Consultant (Engineer of Record)

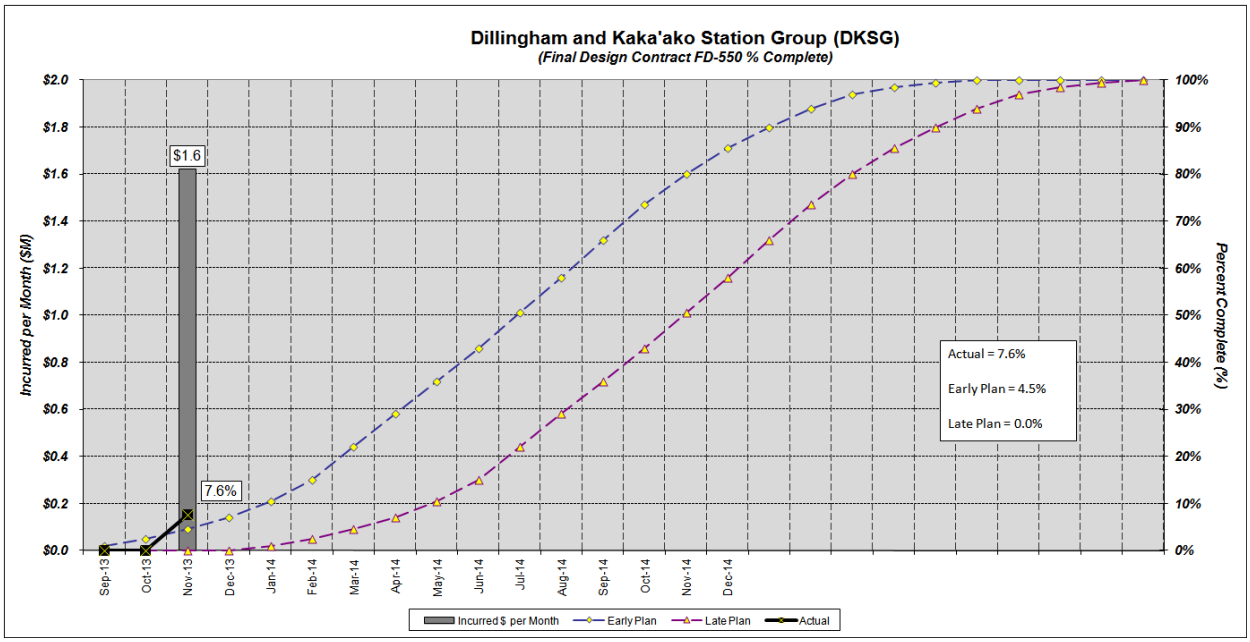
Committed:[1]	$18,321,918		Actual DBE Participation:	$0
Authorized:[2]	$5,899,146	(32.2%)	DBE % Attained:	0%
Incurred to date:	$1,620,589		Construction Documents Bid-Ready:	July 2015

[1] Commitment as of November 29 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of November 29 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of November 29 is 7.6%, versus the early plan of 4.5% and late plan of 0%, as shown in Figure 33 below. Design is 15% complete.

Figure 33. Dillingham Kaka‘ako Station Group (DKSG) Final Design



- **Activities this month**
  - Continued preliminary engineering.
  - Reconciled budget validation.
  - Continued weekly progress/design and interface meetings.
  - Coordinated with various private developers and third party stakeholders.
  - Working on design concept for Civic Center Station.

- **Look Ahead**
  - Continue updating preliminary design development.

3.5 Manufacture-Install-Maintain (MIM) Contract Status

Contract MI-930: Elevators & Escalators Install/Maintain

Contractor: Schindler Elevator Corporation

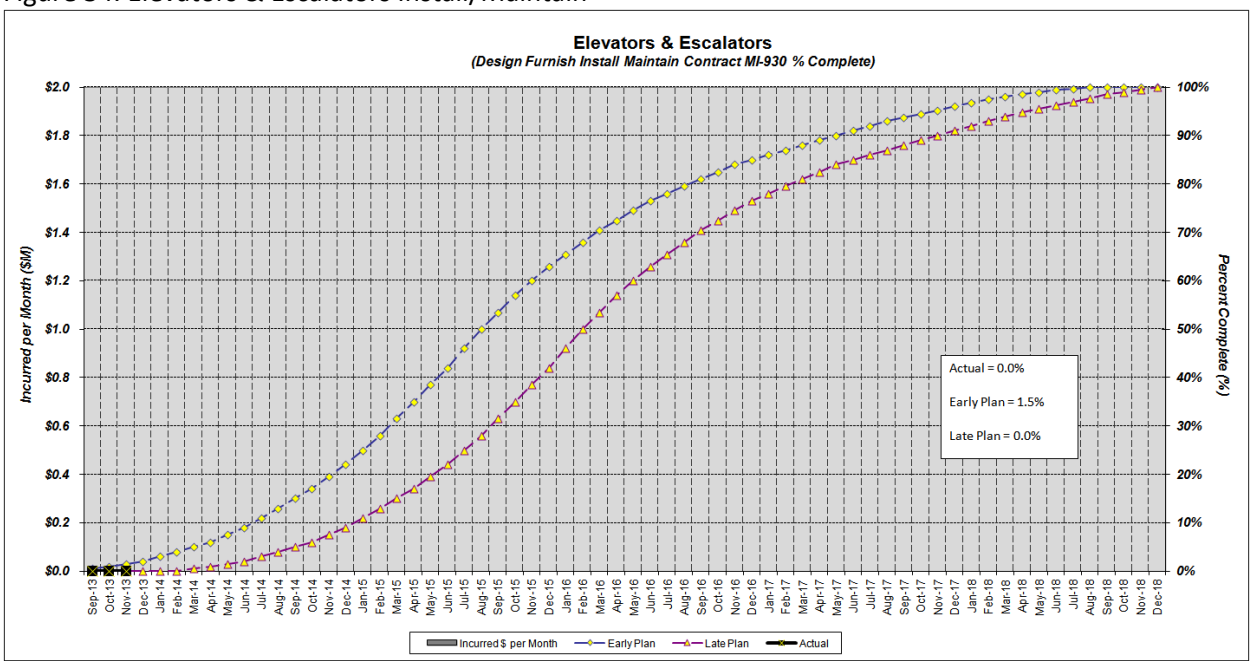
Committed:[1]	$50,982,714		Actual DBE Participation:	$0
Authorized:[2]	$5,442,108	(10.7%)	DBE % Attained:	0%
Incurred to date:	$0		Substantial Completion:	May 2018

[1] Commitment as of November 29 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of November 29 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of November 29 is 0%, versus the early plan of 1.5% and late plan of 0%, as shown in Figure 34 below. Design is 0.5% complete.

Figure 34. Elevators & Escalators Install/Maintain



- **Activities this month**
  - Schedule of Milestone's are under Review.
  - CMS training completed for Interface requirements.
  - Initial design continuing for the West Loch and Waipahu Transit Center Stations.
  - Initial kickoff meetings held with design teams.
  - Interface meetings between design teams and Core Systems Contractor initiated.
- **Look Ahead**
  - Design continues for the West Loch and Waipahu Transit Center Stations.
  - Elevator & Escalator team to continue meeting with Core Systems Contractor and final designers to discuss interface issues on a monthly basis.

3.6 Utility Agreements

- **Activities this month**
  - Buy America:
    - Oceanic Time Warner Cable (OTWC) - All materials in the utility agreement with OTWC will be Buy America Compliant.

        - AT&T has provided a list of materials they will use in their work. HART has reviewed the list and determined which items are considered components. AT&T is verifying that the components are made in the USA.
        - Hawaiian Telcom continues to assess the origin of the material on hand that Wavecom had purchased for the Project prior to Wavecom's acquisition by Hawaiian Telcom.
        - HART reviews HECO material purchase orders as needed to verify materials that must be made in the USA.
    - WOFH Section:
        - Draft Amendments with Buy America Requirements have been sent for review to Oceanic Time Warner Cable (OTWC).
        - The Hawaiian Telcom (HTI) Utility Construction Agreement (UCA) has not yet been executed. HTI is reviewing HART's comments to the draft UCA.
        - Sandwich Isle Communications (SIC) UCA has not been executed. Currently, a UCA is not needed as there are no conflicts, however SIC has requested an agreement in the event a conflict arises. A draft construction agreement was submitted to SIC.
        - HECO Design (11/20/13) and Construction Services (11/29/13) Agreement was executed. HART will perform the first three conflicts by its design builder, HECO will perform the remaining.
    - KHG Section:
        - There are no outstanding Engineering Service Agreements (ESAs) for the KHG section.
        - Draft UCAs have been sent to OTWC and HTI for review and comment.
        - The Tesoro UCA was executed on 9/12/13.
        - HECO Design (11/20/13) and Construction Services (11/29/13) Agreement was executed.
        - Possibility of construction work for AT&T Corporate and AT&T Government Solutions within the KHG Segment is under review. These utilities have been provided the language for an Agreement to review in case one is necessary.
        - HawaiiGas is reviewing HART's comments to the UCA.
        - No UCA's for Chevron and SIC will be needed.
    - Airport and City Center Sections:
        - tw telecom, Tesoro, HawaiiGas, HTI, OTWC, AT&T Corp., and AT&T Government Solutions for the Airport and City Center Section have been executed. The remaining ESA that needs to be executed is SIC.
        - The HECO Airport Bridging Agreement and City Center Bridging Agreements expired on 11/29/13. These Bridging Agreements have been succeeded by the Design Services Agreements.
        - HECO has executed separate design agreements for Airport and City Center Segments.
        - HART and HECO are finalizing the Construction Services Agreements for the Airport and City Center Guideway Segments.
        - No UCA's for Chevron and Tesoro will be needed for the Airport and City Center sections.

- **Look Ahead**
    - Execute HawaiiGas KHG UCA.
    - Execute HTI WOFH and KHG UCA.
    - Execute Oceanic KHG UCA.

See Figure 35 on the next page for the latest Utility Agreements Status Matrix.

Figure 35. Utility Agreements Status Matrix (by section)

Utility Agreements Status Matrix									
Utility Owner	***Status***	**WOFH**		**KHG**		**Airport**		**City Center**	
		ESA	**UCA**	**ESA**	**UCA**	**UCA**	**COMBINED ESA**		**UCA**
AT&T	*Executed*	May 11, 2011	Dec 20, 2011	May 18, 2012	Submitted draft to AT&T		Agreement Executed		
	NTP	May 12, 2011	Dec 21, 2011						
Chevron	*Executed*	Dec 4, 2009		Nov 4, 2011					
	NTP	Dec 22, 2009		Nov 15, 2011					
Hawaiian Telcom	*Executed*	May 20, 2010	HTI reviewing new draft	May 10, 2012	Pending negotiation of WOFH Template		HTI agreement executed Sept 27, 2013		
	NTP	June 14, 2010							
HECO	*Executed*	By Agreement with PB	Apr 20, 2012 (to be vacated once Design and Construction Services Agreements are Executed)	July 12, 2012 (Agreement to be vacated once Design and Construction Services Agreements are Executed)			Airport Bridging Agreement Executed 2/19/13 (Expired 11/29/13) City Center Bridging Agreement Executed 3/4/13 (Expired 11/29/13)		
	NTP								
		Pre-Construction		Pre-Construction		Pre-Construction			
	Executed	Oct 30, 2013		Oct 4, 2013		n/a			
	Expired	Nov 29, 2013		Nov 29, 2013		n/a			
		Design Services	Construction Services	Design Services	Construction Services	Design Services	Construction Services	Design Services	Construction Services
	Executed	Nov 20, 2013	Nov 29, 2013	Nov 20, 2013	Nov 29, 2013	Nov 20, 2013		Nov 25, 2013	
	NTP	Nov 20, 2013	Nov 29, 2013	Nov 20, 2013	Nov 29, 2013	Nov 20, 2013		Nov 25, 2013	
Oceanic Time Warner	*Executed*	Dec 8, 2009	Dec 21, 2011	Jan 9, 2012	Revised draft to Oceanic		Executed Apr 4, 2013		
	NTP	Dec 22, 2009							
Pacific Lightnet/ Wavecom	*Executed*	Apr 28, 2010	Mar 12, 2012	Feb 15, 2012					
	NTP	Apr 29, 2010	Mar 13, 2012	Feb 16, 2012					
Sandwich Isle Communications	*Executed*	May 20, 2010	Submitted draft to SIC	Apr 20, 2012	Submitted draft to SIC		Submitted draft to SIC		
	NTP	Jun 8, 2010							
HawaiiGas	*Executed*	Dec 18, 2009	Jun 30, 2011	Jun 1, 2012	Comments received from HawaiiGas		HawaiiGas agreement executed Sept 27, 2013		
	NTP	Dec 22, 2009	Jul 12, 2011						
tw telecom	*Executed*	Dec 2, 2009		Feb 14, 2012	No Scope – Oceanic to relocate for tw telecom for KHG		Executed Oct 11, 2012		
	NTP	Dec 22, 2009		Feb 16, 2012					
Tesoro	*Executed*			Feb 15, 2012	Agreement executed Sept 12, 2013		Agreement executed Sept 3, 2013		
	NTP			Feb 16, 2012					

Legend: = Action this month; = Not applicable

COR = Corporation Counsel
ESA = Engineering Services Agreement
UCA = Utility Construction Agreement
UFRCRA = Combined Engineering and Construction Utility Agreement

3.7 Permits

- **Activities this month**
  - Received the approval to discharge stormwater MS4 from the Navy for Airport Utility Relocation activities on November 25, 2013.
  - Submitted the Department of Army Corps Section 10/404 permit application for City Center in-water geotechnical activities on December 3, 2013. The application is for proposed work in Kapalama and Nuʻuanu Streams.
  - Received the National Pollutant Discharge Elimination System (NPDES) general permit renewals for eight of the ten project general permits on December 9, 2013. These replaced the administrative extensions received in October 2012.
  - Submitted response to HDOT review comments on the Airport Utility HDOT MS4 permit package on December 18, 2013.
- **Look Ahead**
  - Upcoming significant permit activity:
    - The Coastal Zone Management (CZM) Consistency application for work at Waiawa Stream Tributary and Waiawa Stream will be submitted to the Department of Business, Economic Development and Tourism (DBEDT) once completeness notifications have been received for the Section 401 from HDOH.
    - The Airport Section 404 Army Corps of Engineers application submission for permanent in-water construction is being drafted.
    - The West Stations' NPDES application for permanent station construction is being drafted.
    - AECOM will submit in January a combined Airport and City Center Guideway NPDES draft permit application to HART.

3.8 Hawaiʻi Department of Transportation (HDOT) Agreements

- **Activities this month**
  - Alignment-wide, the HDOT Traffic Management Consultant (contract MM-915) continues to review traffic signals, ITS and construction Maintenance of Traffic (MOT) for HDOT.
  - The HDOT Design Coordination Consultant for the WOFH section (contract MM-920), AECOM Technical Services, Inc. (AECOM), continues to review design submittals for HDOT.
  - AECOM, the HDOT Design Consultant for the KHG section (contract MM-921), continues to review design submittals for HDOT.
  - SSFM, the HDOT Design Coordination Consultant for the Airport and City Center Guideway sections (contract MM-922), is reviewing guideway design submittals for HDOT.
  - Kiewit has assumed maintenance control of Kamehameha Highway as part of the Master Agreement.
- **Look Ahead**
  - Airport Joint Use and Occupancy expected to be executed mid-2014.
  - City Center Joint Use and Occupancy expected to be executed early 2015.

3.9 Other Design Activities

- **Activities this month**
  - Waiawa Stream bank protection design.
  - Kaloʻi channel bank stabilization alternative study.
  - Prepare community meeting presentations.
  - Guideway landscaping design.
  - Coordination with various private developers and third party stakeholders.

- **Look Ahead**
  - Finalize decision on Kalo‘i channel alternative.

3.10 Interface

- **Activities this month**
  - Held Interface Partnering meetings.
  - A total of 1,128 Requests for Interface Data (RFIDs) have been submitted (720 closed).
  - A total of 46 Interface Issues have been elevated (3 new, 1 open, 6 closed, 2 on hold and 34 OSR).
  - Facilitated 31 interface definition meetings with various contractors.
  - Held Interface Kick-off meetings for Elevator/ Escalator and hand off interfacing to Schindler.
- **Look Ahead**
  - Fully implement CMS tracking tool for HART Interface Issues.
  - Continue Interface Partnering meeting with WOFH, KHG, MSF and CSC contractors.
  - Continue assisting Project Managers (PMs) and Deputy Project Managers (DPMs) for other FFCs (fixed facility contractors) in their effort to enable early decisions prior to construction start.
  - Continue monitoring contractor RFIDs and Interface Control Documents (ICDs) pertaining to the Final Design Baseline (Revision 0).
  - Continue with assessment process of elevated issues for path forward to construction.
  - Support interface efforts during construction.

4 GROUP REPORTS

4.1 Safety and Security

- **Activities this month**
  - The Project had no personal injury incidents in December. See Figure 36 below for a summary of issues to date.
  - HART reviewed submittals for compliance and technical specifications.
  - HART staff continues to meet with HDOT bi-weekly to address FTA and HDOT issues.
  - Working with Information Technology to address ergonomic desk issues for employees.
  - Finalize HART review of the updated Navy and courthouse Threat and Vulnerability Analysis (TVA's).
  - Continued to hold Sensitive Security Information (SSI) Implementation working group meeting.
  - Participated in the monthly Joint Traffic Management System (JTMS) steering committee meeting.
  - Participated in the weekly HART Core Systems staff meeting.
  - Continued work in evaluating submittals.
  - Participated in bi-weekly Project Interface meeting.
  - Participated in bi-weekly Safety and Security Certification Working Group (SSCWG) meeting.
  - SSI Program to be presented to HART staff, as needed.
  - Developed Motor Vehicle Collision Envelope packet. Packets were approved to be placed into HART vehicles.
  - AECOM shut down GEOLAB drilling pending acceptable corrective actions related to October 24th injury that was reported on November 21st to HART.

- **Look Ahead**
  - Continue to hold safety meetings with contractors, particularly AHJV, committees and staff.
  - On-going discussion of security concerns with the Transportation Security Administration (TSA), Honolulu Police Department (HPD) and Honolulu Fire Department (HFD), Department of Public Safety (DPS), and of Emergency Plans with Emergency Responders and Emergency Management.
  - Continue to meet and review design issues with contractors.
  - Continue to process CIL/CEL's from all contracts.
  - Continued development of the Safety and Security Management Plan, Safety and Security Information Procedures, and Safety and Security Certification Plan.
  - Waiting for the Audit comments from PMOC and HDOT to address and reply.
  - Safety and Security staff will provide SSI Training to employees that need to be trained.
  - Safety and Security staff will begin developing and implementing training programs related to Safety and Defensive Driving for HART employees.
  - Safety and Security Staff will develop lunch time (brown bag) training covering different parts of Safety Certification of the project.
  - HART Safety and Security will review the corrective actions presented by AECOM for GEOLAB and provide comments or acceptance.

Figure 36. Construction Safety Monitoring - Safety and Security Issues

Period/Date	Type of Incident*	Contract	No. & Type of Event	Comments	Type of Injury**
2011		----	**1 in 2011**		
2012		----	**22 in 2012**		
2013 Q1		----	0 in 2013 Q1		
2013 Q2			10 in 2013 Q2	April (1), May (2), June (7)	

2013 Q3			9 in 2013 Q3	July (1), August (4), September (4)	
Oct. 2013			6 in Oct. 2013		
Nov. 2013			2 in Nov. 2013		
Dec. 2013			0 in Dec. 2013		
2013			**27 to date in 2013**		

* Type of Incident: Liability, Property, Personal Injury, Motor Vehicle Collision.

** **OSHA Recordable Injury**: Any work-related injury or illness that results in death, loss of consciousness, lost time from work, work restrictions or medical treatment are OSHA recordable incidents. Injuries and illnesses diagnosed by a licensed physician or health care professional are also OSHA recordable incidents. Any needle prick or puncture wound from a sharp object that could be contaminated with another person's blood or other infectious material is a recordable incident. Any injury that requires an employee to be medically removed from work duties due to any other OSHA health standard is also recordable.

4.2 Quality Management

- **Activities this month**
  - HART-GEC Quality Assurance (QA) staff holds a weekly meeting to discuss overall Project QA/Quality Control (QC) issues with consultants, contractors, subs and internal staff. The QA staff also reviews the Weekly To Do List.
  - Continued training and mentoring 2-Management Systems Lead Auditors (1- Safety and Security staff and 1-Planning and Environmental staff).
  - Continued updating and implementing the 1) Combined QA and Safety & Security (SS) Audits, 2) Environmental Compliance Audits, and 3) Buy America Compliance Audits Schedules for 2013.
  - Continued updating appropriate Project Baseline Plans and Procedures due to new policies, re-organization, process improvement and lessons learned from the internal audits. Updates to the appropriate Baseline Plans and Procedures have been prioritized for completion by 2014.
  - Conducted bi-weekly Quality Task Force (QTF) meetings with 12-contractors and consultants' QA teams to discuss the status of: design and construction activities; procurement activities; inspection and testing; Non Conformance Report (NCRs) and Corrective Actions (CARs); quality compliance; various process improvements; and Buy America compliance.
  - The Bi-Annual assessment of HART QMP was issued on December 23, 2013.
  - GEC II - Parsons Brinckerhoff, Inc. (PB):
    - New PB Quality Engineer was assigned to the project on November 15, 2013.
    - Assisted HART QA in monitoring, auditing, surveillance and oversight of twelve (12) contractors and consultants.
  - West O'ahu/Farrington Highway Guideway (WOFH) – Kiewit Infrastructure West Co. (KIWC):
    - Eleven (11) open NCRs reported by KIWC.
    - Continued Participation in Pre-activities meetings for construction scheduled activities.
    - Audit Report was issued on the Combined QA and SS Audit held on November 13-14, 2013 (No NCR found during the audit).
    - Preparing Surveillance Report for the QA Surveillance of the Surveying Program held on November 8, 2013.
    - Working with KIWC on the Inspection and Test Plan (ITP) updates.
    - Monitoring KIWC QA/QC activities.
  - Maintenance and Storage Facility (MSF) – Kiewit Kobayashi Joint Venture (KKJV):
    - Participated in Pre-activities meetings for construction scheduled activities.
    - Continue resolving Buy America (BA) compliance traceability of 1,208 pieces of 85 lbs Contact Rails with KKJV stored at the Barbers Point Bonded Storage facility. The 22 random samples of contact rails were shipped to LB Foster Plant in Niles, Ohio, and will be dismantled and the materials traced to appropriate Certified Mill Test Reports on January 1-2, 2014.

    - Performed Combined QA and BA Audit of KKJV on December 12-13, 2013. The Audit Team is preparing Audit Reports for QA and BA. (2 NCRs on QA and 2 NCRs on BA)
    - One (1) open NCR to date.
    - Monitoring KKJV QA/QC activities.
  - Kamehameha Highway Guideway (KHG) – KIWC:
    - QA/QC activities are the same as the WOFH contract.
    - No open NCR to date.
  - Core Systems Contract (CSC) – Ansaldo Honolulu Joint Venture (AHJV):
    - Attended and participated in the weekly coordination meetings of HART CS Group and AHJV (ASTS/AB).
    - Reviewing Alcatel Lucent and John Controls updated Supplemental Quality Plans [SQP(s)] and Modern Track Machineries Inc. (MTM) new SQP for the Maintenance of Way equipment. This equipment is considered rolling stocks.
    - Participated in the AHJV QA Training of ASTS and AB staff involved in the project.
    - Discussed procurement status and Buy America updates with AHJV (ASTS/AB) including the directive going to 4-Train Car Consist.
    - Performed HART-AHJV QA Audit of Siemens Industry, Inc. located at Tualatin, Oregon. (4 NCRs found)
    - Monitoring AHJV QA/QC activities.
  - Farrington Highway Stations Group (FHSG) II – URS Corp. (URS):
    - Reviewed and accepted the URS QAP and implementing procedures for the new contract.
    - Monitoring URS QA/QC activities.
  - Airport Guideway and Utilities (Airport) – AECOM Technical Services, Inc. (AECOM):
    - Monitoring AECOM QA/QC activities.
    - Issued Combined QA and SS Audit Report for the audit held on September 2013.
    - Closed Environmental Audit held on November 6, 2013.
  - City Center Guideway and Utilities (City Center) – AECOM:
    - Monitoring AECOM QA/QC activities.
    - Issued Combined QA and SS Audit Report for the audit held on September 2013.
    - Closed Environmental Audit held on November 6, 2013.
  - West Oʻahu Stations Group (WOSG) – URS Corp. (URS):
    - Monitoring URS QA/QC activities.
    - Closed Environmental Audit held on September 17, 2013.
  - Airport Station Group – AECOM:
    - Monitoring AECOM QA/QC activities.
    - Closed Combined QA and SS Audit Report for the audit held on September 2013.
    - Closed Environmental Audit on November 6, 2013.
  - Kamehameha Highway Stations Group (KHSG) – Anil Verma Associates, Inc. (AVA):
    - Closed Combined QA and Safety and Security Audit Report for the audit held on September 2013.
    - Monitoring AVA QA/QC Activities.
  - Dillingham-Kakaʻako Station Group – Perkins+Will (P+W):
    - Reviewing P+W QAP and implementing procedures.

- **Look Ahead**
  - Continue mentoring and training personnel on approved Project Plans and Procedures.
  - Continue qualification and certification of 2-Lead Auditors on Management Systems Audits.
  - Continue QA/QC, Environmental and Buy America Compliance monitoring and oversight of contracts executed to date.

- Update and implement the 2013: Combined Management Systems (QA and Safety & Security) Audit Schedule, Environmental Compliance Audit Schedule and Buy America Compliance Schedule.
- Environmental Compliance Audit of MSF (KKJV) on January 2014.
- Follow up on and close corrective and preventative actions on all NCRs and Observations issued.
- Review and approve Contractor/Consultant QAPs, Inspection and Test Plans (ITPs) and implementing procedures (new and updates).

Figure 37. Open Nonconformance (NCR) Log Summary

NCR No.	ORG	Reference/Activity	Corrective Action	Status
Maintenance and Storage Facility (MSF) DB Contract				
002 Issued: 6/30/13	KKJV	1208 Sticks - 85# Contact Rails with incomplete documentation	Acquire required documentation including Test reports (22 random samples shipped to LB Foster in Niles, Ohio to be dismantled and traced to CMTRs by HART on 1/2-3/14).	**Open**
West O'ahu / Farrington Highway Guideway (WOFH) DB Contract				
067 Issued: 11/20/13	KIWC	Column 73 Pad J Bearing Plinths rebar placement out of tolerance from 1/8"-1".	Resolve issues on Column 73 Bearing Pad Pedestal J.	**Open**
068 Issued: 11/20/13	KIWC	Column 74 Pad H Bearing Plinths Placement out of tolerance from 1/8"-2".	Resolve issues on Column 74 Bearing Pad Pedestal J.	**Open**
069 Issued: 12/03/13	KIWC	Column 92 Concrete Slump of 3rd Load (Truck 259) is 8", which is 1" more than tolerance.	Check compressive strength of sample after 21 days. Anticipating no problem because of water/cement ratio.	**Open**
070 Issued: 12/03/13	KIWC	Damaged Termimesh on PIT/55	Fix the damaged areas (2-3"long) at separate location.	**Open**
071 Issued: 12/03/13	KIWC	Column 64 Bearing Plinths rebar placements are out of tolerance from 1/8-1/2".	Resolve issues on Column 64 Pedestals.	**Open**
072 Issued: 12/03/13	KIWC	4-690-T2 Obstructed Duct	Fix the obstruction in the Duct.	**Open**
073 Issued: 12/04/13	KIWC	Column 68 Bearing Plinths rebar placements are out of tolerance from 1/8"-1".	Resolve issues on Column 68 Bearing Pad Pedestals.	**Open**
074 Issued: 12/06/13	KIWC	24" Storm Drain Pipe bedding did not meet the gradation requirements	Rework pipe bedding to meet gradation requirements.	**Open**
075 Issued: 12/09/13	KIWC	Column 98 Bearing Plinth was 2", which did not meet the 5" (+/-) 2" requirements.	Check compressive strength of sample after 21 days and verify if required strength is attained.	**Open**
076 Issued: 12/18/13	KIWC	Design Submittals missing completed comment logs and quality certifications.	Complete design submittals to incorporate comments log and required quality certifications.	**Open**
077 Issued: 12/19/13	KIWC	Street Light Foundation L 116G had inadequate consolidation of concrete and only 1.5" rebar clearance.	Performing Root Cause Analysis and Corrective actions.	**Open**

4.3 Disadvantaged Business Enterprise (DBE)

HART has established a Disadvantaged Business Enterprise (DBE) program in accordance with the regulations of the U.S. Department of Transportation (USDOT), Title 49, Code of Federal Regulations, Part 26 (49 CFR Part 26). To be certified as a DBE, a firm must be small business owned and controlled by socially and economically disadvantaged individuals.

FTA funds totaling approximately $1.764 billion in year of expenditure dollars ($1.550 billion New Starts funds plus $0.214 billion Section 5307/ARRA funds) will be expended for Project related goods and services. A project goal of 13% or approximately $229 million dollars has been established for awards to DBEs through Federal Fiscal Year 2018.

It is the policy of HART to ensure that DBEs as defined in 49 CFR Part 26 have an equal opportunity to receive and participate in USDOT-assisted contracts.

- **Activities this month**

This reporting period covers October 16, 2009 (FTA authorization to enter Preliminary Engineering), to the end of the reporting month, December 31, 2013. The following chart lists the DBE firms participating in the project; their reported NAICS (North American Industry Classification System) code; the reported race and sex of the primary owner/manager; the contract number they are working under; the dollar participation by contract; and the total participation for all contracts.

DBE Participation
(10/16/09 to 12/31/13)

DBE Firm	NAICS Code	Race	Sex	Contract Number	Participation to Date	Total DBE Participation
David's Fencing	238990	APA	M	CT-HRT-10H0137 DB-120	$6,800.00	
				CT-DTS-1100195 DB-320	$129,816.37	$136,616.37
Glad's Landscaping	561730	APA	M	CT-HRT-10H0137 DB-120	$303,790.44	$303,790.44
Don's Makiki	484110	APA	M	CT-HRT-10H0137 DB-120	$546,066.68	
				CT-HRT-10H0449 DB-200	$20,893.85	
				CT-DTS-1100195 DB-320	$60,714.26	$627,674.79
Pacific Preferred Contractors Corp.	237310	APA	M	CT-HRT-10H0137 DB-120	$13,609.95	$13,609.95
PAC Electric	238210	APA	F	CT-HRT-10H0137 DB-120	$1,415,788.97	$1,415,788.97
PMJ Builders	238310	APA	M	CT-HRT-10H0137 DB-120	$43,866.00	
				CT-DTS-1100195 DB-320	$107,100.00	$150,966.00
Standard Sheetmetal & Mechanical	236220	APA	M	CT-HRT-10H0449 DB-200	$2,846.29	$2,846.29
LP&D Hawaii	541320	APA	M	SC-DTS-1100013 FD-240	$216,109.25	$216,109.25
Ace Land Surveying	541370	NA	M	SC-DTS-1100013 FD-240	$38,700.00	$38,700.00

DBE Participation (10/16/09 to 12/31/13)						
DBE Firm	**NAICS Code**	**Race**	**Sex**	**Contract Number**	**Participation to Date**	**Total DBE Participation**
Integrated Security Tech.	561621	O	F	CT-HRT-1200106 DBOM-920	$105,179.58	$105,179.58
LKG-CMC	541618	O	F	SC-HRT-11H0131 MM-905	$1,946,007.00	
				SC-DTS-0700001 MM-910	$4,282,814.19	$6,228,821.19
Lawson & Associates	541690	O	F	SC-HRT-11H0131 MM-905	$586,737.09	
				SC-DTS-0700001 MM-910	$299,413.40	$886,150.49
Gary K. Omori	541618	APA	M	SC-HRT-11H0131 MM-905	$315,068.00	
				SC-DTS-0700001 MM-910	$183,920.00	$498,988.00
Pat Lee & Assoc.	541618	APA	M	SC-HRT-11H0131 MM-905	$322,592.00	
				SC-DTS-0700001 MM-910	$183,920.00	$506,512.00
212 Harakawa	541430	APA	F	SC-HRT-11H0131 MM-905	$325,320.00	
				SC-DTS-0700001 MM-910	$37,725.94	$363,045.94
JAD & Associates	541330	APA	M	SC-DTS-0700001 MM-910	$663,758.73	$663,758.73
Pacific Architects	541310	APA	M	SC-DTS-0700001 MM-910	$12,836.19	$12,836.19
Nagame Okawa*	541310	APA	M	SC-DTS-0700001 MM-910	$57,294.58	$57,294.58
Consulting Structural Hawaii	541330	APA	M	SC-DTS-0700001 MM-910	$514,977.38	$514,977.38
Bright Light Marketing Group	541613	APA	F	SC-HRT-1200038 FD-430	$145,701.00	
				SC-HRT-1200149 FD-530	$139,883.18	
				SC-HRT-1300022 FD-440	$125,026.50	$410,610.68
Ki Concepts	541320	APA	M	SC-HRT-1200077 MM-922/923	$11,700.00	$11,700.00
Miyabara Associates	541320	APA	M	SC-HRT-1300022 FD-440	$99,850.00	$99,850.00
Anil Verma Associates**	541350	HA	M	SC-HRT-1200111 FD-340	$2,421,359.72	$2,421,359.72
Total						$15, 687,186.54

** Nagame Okawa's countable participation is limited to the period from 1/2/09 to 2/16/10. The company graduated from the DBE program on 2/16/10.*

*** Anil Verma Associates is a Prime Contractor and was certified as a DBE effective 6/26/13.*

Race Categories

APA	Persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands, (Republic of Palau), the Commonwealth of the Northern Marianas Islands, Macao, Fiji, Tonga, Kiribati, Juvalu, Nauru, Federated States of Micronesia or Hong Kong
BA	Persons having origins in any of the Black racial groups of Africa
HA	Persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin regardless of race
NA	Persons who are American Indians, Eskimos, Aleuts, or Native Hawaiians
SAA	Persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka
O	Any other group whose members are designated as socially and economically disadvantaged by the SBA

The total dollar participation for all DBEs on all HART contracts from 10/16/09 to 12/31/13 was $15,687,186.54. To determine progress towards the project goal of $229 million DBE participation, the total DBE dollar participation is compared to the amount of FTA Funds used to date and the total Project FTA Funds.

The total FTA fund drawdowns to December 31 was $217,544,022 ($213,544,022 New Starts + $4,000,000 ARRA). To meet the 13% DBE goal on FTA funds received, $28,280,722 in DBE goods and services would have to be utilized. DBE utilization on FTA funds received to date is 7.21% ($15,687,186.54 divided by $217,544,022) of the total disbursed FTA Funds.

The total Project FTA funds under the FFGA is approximately $1.764 billion. To meet the 13% project DBE goal, $229,307,507 in DBE goods and services would have to be utilized. DBE utilization to date on total FTA funds is approximately 0.89% ($15,687,186.54 divided by $1,763,903,901) of the total Project FTA funds.

- **Look Ahead**

There are no formal outreach functions planned for January, however HART staff will continue to review, tabulate, and evaluate DBE participation reports submitted by prime contractors with their requests for payments, and take action to ensure DBEs and other small businesses have an equal opportunity to participate in our contracts at all levels. For all contracts, HART shall require prime contractors to identify elements of a contract, or a specific subcontract that are of a size that small businesses, including DBEs, can reasonably perform and actively recruit.

The plan is to continue to disseminate the prime contractor and potential prime contractor contact information to the certified DBEs and other points of contact for small businesses to inform them of opportunity. HART's mission is to breakdown as many barriers as possible by acting as a liaison between the primes, subcontractors, DBEs and small businesses to develop mutually beneficial business relationships.

For the New Year, an extensive outreach program directed to the minority small business community through their leaders and organizations is planned, as well as conducting periodic pre-bid conferences, seminars, workshops and business fairs to inform and encourage participation. HART staff will be readily available to address and satisfy any special assistance needs that arise.

HART's commitment is to meet the maximum feasible portion of its overall goals through race–neutral means. We are aware there may be concerns that certain minority groups are being underutilized in the DBE participation process. Race-neutral participation is being closely monitored and contract goals or other race or gender conscious means will be utilized if it becomes apparent that the overall goal cannot be met through race-neutral means.

4.4 Right-of-Way

- **Activities this month**
  - Acquisitions**:**
    - Completed title searches for properties along Dillingham.
    - With FTA concurrence, an administrative settlement offer was made for TMK 1-1-016-006, a full acquisition necessary for the guideway within the Airport section.
  - Relocations:
    - Completed one residential relocation and one commercial relocation from 902 Kekaulike Street.
  - Budget:
    - $42.3M was spent to acquire 23 properties. The budgeted amount for the 23 parcels was $45.4M, resulting in a budget underrun of $2.9M.
    - $2.7M has been expended to date for relocations.
- **Look Ahead**
  - WOFH Section
    - Complete the acquisition of TMK 9-6-04-006, a full acquisition within the Banana Patch.
    - Make an offer of just compensation to owners of TMK 9-4-047-008, a partial acquisition for West Loch Station.
  - Kamehameha Section
    - Complete partial acquisitions associated with TMK 9-7-23-008, TMK 9-7-022-008 and TMK 9-7-022-021.
  - Airport Section
    - Complete negotiations for TMK 1-1-16-005, a full acquisition needed for the guideway.
    - Complete the mapping and survey work associated with an acquisition within the airport section.
    - Complete the appraisals for remaining partial acquisitions and easements along Waiwai Loop, Post Office and Middle Street.
    - Complete acquisition of TMK 1-1-16-006, a full acquisition needed for the guideway
  - City Center Section
    - All acquisitions and relocations not specified in the federal court order modifying the partial injunction are on hold until conditions of the federal court order are met.
    - For design support, continue to secure consents to do geotechnical testing and environmental assessments on properties along the proposed guideway and stations.
    - Complete appraisal for TMK 1-1-03-016, a full acquisition along Dillingham.

Figure 38. Right-of-Way Status for the Parcels [data provided by Real Estate Acquisition Database (READ)]*

	No. of Parcels Impacted	Current No. of Parcels Needed	Appraisals In Process	Appraisals Completed	Letters of Offer Sent	Offers Accepted	Possession Granted For Condemnation	Agreements Executed	Relocations Completed	Properties Available for Contractor
Full Acquisition										
W.Oahu\Farrington	14	14		14	14	13	1		10	14
Kamehameha	3	3		3	3	3				2
Airport	5	5	1	4	5	3				1
City Center	15	15	1	9	8	6			2	2
TOTAL	*37*	*37*	*2*	*30*	*30*	*25*	*1*		*12*	*19*
Partial Acquisition										
W.Oahu\Farrington	14	6		1	1			3		3
Kamehameha	19	3		3	3		1			3
Airport	6	6	1					1		1
City Center	75	69	1	1	1	1				
TOTAL	*114*	*84*	*2*	*5*	*5*	*1*	*1*	*4*		*7*
Easement										
W.Oahu\Farrington	16	14	5					7		7
Kamehameha	5	5	1					6		3
Airport	35	34		1	1			25		
City Center	24	24						2		
TOTAL	*80*	*77*	*6*	*1*	*1*			*40*		*10*
GRAND TOTAL	*231*	*198*	*10*	*36*	*36*	*26*	*2*	*44*	*12*	*36*

*During design development, the real estate requirements have been adjusted to accommodate the design refinements. Parcel requirements are adjusted as design is finalized.

Figure 39. Relocation Status for the Occupants [data provided by Real Estate Acquisition Database (READ)]

Section	Residential Relocations (a)	Business Relocations (b)	Not-For-Profit Relocations (c)	Total Relocations (a+b+c)	Relocation Assessment Completed	90-Day Notice Sent	30-Day Notice Sent	Relocations Completed for Occupants
W.Oahu\Farrington	18	6	1	25	11	12	8	24
Kamehameha		4		4	4	3	3	3
Airport		8		8	2	6		
City Center	3	55		58	8	7	4	7
Grand Total:	*21*	*73*	*1*	*95*	*25*	*28*	*15*	*34*

Figure 40. Third-Party Agreement Status

Agreement	Completion	Target	Section	Status
University of Hawai‘i (UH) Master Agreement	Pending	February 2014	WOFH, KHG, City Center	Final negotiations are underway.
Leeward Community College (LCC) Sub-agreement	Pending	February 2014	WOFH	In negotiations
UH West O‘ahu (UHWO) Sub-agreement	Pending	February 2014	WOFH	In negotiations
Department of Land and Natural Resources (DLNR)	Sept 13, 2013		WOFH	Received right of entry. Final easement documents pending.
Department of Education Master Agreement and Consent to Construct	Feb 8, 2011		WOFH	Executed
DR Horton Agreement for Construction	Mar 7, 2012		WOFH	Executed
DHHL Master Agreement	Mar 10, 2010		WOFH, MSF	Executed
DHHL Consent to Construct	Dec 1, 2011		WOFH, MSF	Consent to construct in place.
DHHL License	Pending	November 2013	WOFH, MSF	License agreement approved by City Council in August. Documents being finalized.
HDOT Master Agreement	Oct 31, 2011		WOFH	Executed
HDOT Joint Use & Occupancy (JU&O) Sub-agreement	Apr 5, 2012		WOFH	Executed
UH Urban Garden Sub-agreement	Pending	February 2014	KHG	In negotiations
HDOT Master Agreement for KHG, Airport and City Center	Oct 11, 2013		KHG, Airport, City Center	Executed
HDOT JU&O Sub-agreement for KHG, Airport and City Center	Oct 11, 2013		KHG, Airport, City Center	Executed
Aloha Stadium / Department of Accounting & General Services (DAGS)	Sept 13, 2013		KHG	Received right of entry. Final easement documents pending.
U.S. Navy / General Services Administration (GSA)	Pending	N/A	WOFH, KHG, Airport	Navy finalizing documents for KHG and WOFH easements.
U.S. Post Office Honolulu Processing Center	Pending	June 2014	Airport	Mapping and surveying completed. Appraisal is pending.
Keehi Lagoon Park (*City & County of Honolulu Parks/DLNR)	Pending	June 2014	Airport	In negotiations
Honolulu Community College (HCC) Sub-agreement	Pending	July 2014	City Center	In negotiations
OCCC/Hawai‘i Department of Public Safety –Dillingham Blvd	Pending	July 2014	City Center	Required due to parking space reduction at OCCC for roadway widening. Title search ongoing and discussions pending.
Federal Court House/GSA	Pending	Oct 2014	City Center	Discussions will resume.
HI Community Development Agreement (HCDA)	Pending	Oct 2014	City Center	Awaiting final design requirements for the guideway.
DAGS	Pending	Oct 2014	City Center	Awaiting final design requirements for the guideway.

4.5 Planning and Environment

- **Activities this month**
  - Programmatic Agreement (PA) [by PA Stipulation number]
    - III. Identification and Protection of Archaeological Sites and Burials - Archaeological Inventory Surveys (AIS).
      - The Data Recovery Plan for Section 4 (City Center) State Historic Preservation Division (SHPD) Public Review ended on December 2. No comments were received. HART is awaiting SHPD review and/or approval of this document.
      - Data Recovery field work in City Center is expected to start in January 2014, pending SHPD approval of the Data Recovery Plan.
      - Next steps are for completion of Archaeological Monitoring Plans for both Airport and City Center Sections. The City Center Burial Treatment Plan will be finalized after Data Recovery fieldwork is completed in the City Center Section in 2014.
      - Coordination with SHPD and the Oʻahu Island Burial Council (OIBC) as well as outreach to descendant families continues on the seven iwi kūpuna (human skeletal remains) discovered previously during the City Center AIS field work. All seven iwi kūpuna continue to be protected in place. A meeting was held with recognized cultural descendants on December 9.
    - IV. Design Standards:
      - No station design community or consulting party meetings were held in December.
      - A 30-day Consulting Party review of Final Design Phase plans for the Pearl Harbor Naval Base Station ended on December 5.
    - V. Recordation and Documentation:
      - Historic American Buildings Survey/ Historic American Engineering Record/ Historic American Landscape Survey (HABS/HAER/HALS) documentation [including required photo recordation of adversely affected historic properties activities and submission to the National Park Service (NPS)] is in progress for additional properties.
      - Four sets of draft HABS documentation were submitted to NPS in December for review:
        - Genet House (1953 Dillingham Boulevard)
        - Higa Four-plex (1945 Dillingham Boulevard)
        - Teixeira House (1927 Dillingham Boulevard)
        - Dillingham Boulevard Residences (portion of Kalihi Neighborhood)
      - The following HABS documents are in internal review with HART: Naval Station, Pearl Harbor Library/Navy Relief/Chapel (Facility 1514).
      - The following HAER documents are in internal review with HART: HECO Downtown Plant.
    - VI. National Register of Historic Places/Historic Landmark Nominations:
      - Preparation of National Register (NR) nomination forms for adversely affected historic properties is in progress.
      - The following NR nominations are in internal review with HART:
        - Makalapa Navy Housing Historic District
        - Little Makalapa Navy Housing Historic District
        - Nuʻuanu Stream Bridge
        - Lava Rock Curbs
      - NPS (Keeper of the Register) acknowledged receipt of NR Nomination Form for Mother Waldron Playground in the November 20 Federal Register. Comments

were accepted by NPS until December 5. This historic site is already on the Hawai'i Register of Historic Places.

- IX. B. Historic Preservation Program:
  - Draft letters of invitation for pre-applicants to submit full applications are undergoing preparation at HART in December and early January.

- Mitigation Monitoring Program (MMP)
  - MMP Reporting:
    - Internal November monthly reports were completed in December.
- Planning Activities
  - HART participated in the second walk audit of the rail station areas initiated by the City Department of Transportation Services (DTS) on December 9. The purpose of these audits is to identify opportunities to improve connections to and around the rail stations.
  - Monthly HART Sustainability Committee Meetings continue as the team works to identify ways to improve the support of green features project-wide.

- **Look Ahead**
  - Continued cultural descendant outreach regarding iwi kūpuna finds in Section 4 (City Center).
  - All projects requesting Historic Preservation Funds that have passed the first screening will be invited to submit full proposals in early 2014.
  - The following Neighborhood/Community Station Group Meetings are forthcoming in early 2014: West O'ahu Station Group (meeting #2), Kamehameha Highway Station Group (meeting #2). The first series of meetings for the Dillingham/Kaka'ako Station Group is also planned for early 2014.

4.6 Risk Management

Risk management is integral to all stages of the Project and the associated contract delivery, from planning and design, through construction and the execution of work, to system operations, and to project closeout. Risk management is the systematic process of identifying, analyzing, and responding to risk in a timely manner. Risk assessments are performed to identify, assess, prioritize, manage, and mitigate risk exposure and to provide contingency plans. Risk management entails identifying potential project risks including appropriate mitigation. The Project Risk Register (RR) is the depository for all risks identified on the Project. Every month, risks contained in the Project Risk Register are reviewed to confirm risks are appropriately identified, identify new risks, and close out risks that no longer pose an issue.

A major goal for HART and the FTA is to complete the FFGA project within budget and on schedule. The primary strategy is to maintain a reserved contingency balance throughout the life of the Project that is acceptable to HART and the FTA. Effective management of project risks is necessary to significantly increase the chances of delivering a successful project. The objective of risk assessment is to establish an overall rating for each risk by assigning the likelihood of the risk happening together with the cost and/or time impacts to the Project if the risk does happen. The cost and/or time impact(s) to the Project are assessed based on a "most likely scenario."

- **Activities this month**
  - The top 10 risks in November are set out in Figure 42 on the next page. The Top 10 risks for November remained the same as those identified in October.
  - No risks were added for the month of November.
  - In November, 3 risks were deleted from the Risk Register, as shown in Figure 43 on page 62.

- The total number of risks decreased by 3, from 260 in October to 257 risks in November, as 3 risks were deleted. See Figures 44 and 45 on pages 62 and 63.
- HART continues to work with the Owner-Controlled Insurance Program (OCIP) Consultant, Marsh USA, Inc., to identify and evaluate the insurable risks for the project and the agency.

- **Look Ahead**
  - Monthly contract/discipline specific risk workshops.
  - Update Risk Mitigation Plans for top risks.
  - Monthly Risk Assessment Committee Meeting.

Figure 41. Risk Matrix

Legend	Low (1)	Med (2)	High (3)	Very High (4)	Significant (5)
Probability	< 10%	10%><50%	50%><75%	75% ><90%	>90%
Cost	< $250K	$250K><$1M	$1M><$3M	$3M><$10M	>$10M
Schedule	< 1 Mths	1 ><3 Mths	3><6 Mths	6><12 Mths	> 12 Mths
Rating	< =3	3.1-9.49		> =9.5	

The risk matrix in Figure 41 above is used to score and rank identified risks. The rating is the average cost and schedule impact score multiplied by the probability score.

Figure 42. Top 10 Project Risks in November

Risk ID	Contract Package	Risk Description	Prob	Prob Rating	Cost Impact	Time Impact	Nov. Risk Rating	Oct. Risk Rating
187	Project Wide	HECO maintenance clearance may be a greater distance than HECO originally agreed to resulting in additional ROW.	50%	3	5	5	15	15
PMOC26	Project wide	Change in station designs may affect guideway and result in additional construction costs.	90%	5	5	2	17.5	17.5
11	Project Wide	There may be insufficient utility company resources available to meet the design, approvals and/or construction schedule. (May result in additional costs for rework during construction.)	75%	4	5	3	16	16
58	Project Wide	Core Systems design interface may result in changes to fixed facility design resulting in formal change orders.	90%	5	4	2	15	15
39	Project Wide	Contractors may not achieve contract required delivery dates of design information and construction interfaces to others.	75%	4	5	2	14	14
169	City Center	Environmental documentation required under the Federal court case takes longer than planned, resulting in delays to ROW purchase for City Center.	75%	4	4	3	14	14
63	Project Wide	Costs for utility relocations may increase if utility plans have deviations greater than contract stipulation.	75%	4	5	2	14	14
147	Project Wide	Late turnover of ROW to contractor may affect Project schedule.	75%	4	4	3	14	14
56	Project Wide	HDOT may not grant waiver to leave in place existing utilities to be abandoned that are not impacted by new structures requiring partial or total removal.	75%	4	5	1	12	12
59	Project Wide	Traffic disruptions may result in revised constraints imposed by City or HDOT.	75%	4	4	2	12	12

Figure 43. Risks Deleted in November

Current Risk ID	SCC Code	Contract Package	Risk Description	November 2013 Comments	Risk Rating	
					Nov '13	Oct. '13
43	90.00	Project Wide	The overall project design is incomplete and significant requirements risks still exist.	Risk has been deleted since design is progressing and individual requirement risks have been covered elsewhere.		7.5
149	80.02	Project Wide	Final design costs for DBB contracts are higher than in baselined budget.	Risk has been deleted since all Final Design contracts for DBB have been awarded.		4.5
48b	80.00	MSF	Insufficient HART resources to respond to contractors requests for change orders and claims leads to force accounting.	Risk has been deleted since it is a duplicate to risk #50b.		5

Figure 44. Risks by Contract Package

Contract Packages	October 2013 # of Risks		November 2013 Update				
			Total # of Risks		NewlySub-Divided Risks	New Risks	Deleted Risks
Project Wide	64	*23**	62	*21**	0	0	2
WOFH	30		30		0	0	0
MSF	13		12		0	0	1
KHG	31		31		0	0	0
Core Systems Contract	15		15		0	0	0
Airport Guideway	42		42		0	0	0
City Center Guideway	52		52		0	0	0
Project Wide Stations	1		1		0	0	0
Farrington Highway Stations	1		1		0	0	0
West Oahu Stations	4		4		0	0	0
Kamehameha Highway Stations	3		3		0	0	0
Airport Section Stations	1		1		0	0	0
City Center Section Stations	3		3		0	0	0
Total	**260**	***219****	**257**	***216****	**0**	**0**	**3**

*41 Project Wide risks were determined to be applicable to various contracts and have been sub-divided into those contracts and evaluated at the contract level. Total number of risks contained in the risk register is 257. There are a total of 216 risks when excluding the duplicated Project Wide risks.

Figure 45. Comparison of Risk Ratings

Contract Package/Section	November 2013 Update # of Risks				October 2013 # of Risks			
	Total	High	Medium	Low	Total	High	Medium	Low
Project Wide	62	17	38	7	64	17	40	7
WOFH Guideway	30	8	14	8	30	8	14	8
Maintenance & Storage Facility	12	3	4	5	13	3	5	5
Kamehameha Highway Guideway	31	3	20	8	31	3	20	8
Core Systems Contract	15	4	6	5	15	4	6	5
Airport Guideway	42	4	29	9	42	4	29	9
City Center Guideway	52	10	34	8	52	10	34	8
Project Wide Stations	1	0	1	0	1	0	1	0
Farrington Highway Stations	1	0	1	0	1	0	1	0
West Oahu Stations	4	1	3	0	4	1	3	0
Kamehameha Highway Stations	3	0	2	1	3	0	2	1
Airport Stations	1	0	1	0	1	0	1	0
City Center Stations	3	0	2	1	3	0	2	1
Total	**257**	**50**	**155**	**52**	**260**	**50**	**158**	**52**

4.7 Community Outreach

- **Activities this month**
  - Moving into the holidays, HART had a strong presence in the community, continuing its outreach presentations and community briefings, and providing project updates to businesses, neighborhood boards and students island wide. HART's outreach team participated in nearly 20 workshops, presentations, meetings and events this month. HART also partnered with the Mayor's office, participating in the City's Town Hall Meeting series by providing project updates and answering questions about the rail system.

Figure 46. Kapolei City Lights Holiday Event
HART's public outreach team provided information and answered questions at the annual Kapolei City Lights holiday event, which drew 8,000 attendees.

Figure 47. Town Hall Meeting

HART's Communications Director Jeanne Mariani-Belding discussed the latest project news and answered questions from the community at Honolulu Mayor Kirk Caldwell's town hall meeting in Hawaii Kai. HART also participated in the mayor's town hall meeting in Waianae earlier this month.

- **Construction Outreach**
  - With construction progressing, community outreach and keeping the public informed is an important part of the project's success. HART works closely with contractor Kiewit Infrastructure West Co. and all of its contractors to ensure motorists are given information early and often about all traffic changes related to rail construction work. HART issues weekly traffic advisories, a weekly eBlast and puts the word out on Facebook and Twitter regularly. HART and Kiewit held two media briefings this month for traffic reporters at the City's Traffic Management Center. Looking ahead to the New Year, HART's public involvement team is working with contractors on canvassing businesses and residents along the alignment, conducting monthly business and residential community meetings to provide updates on construction work and holding weekly strategic task force meetings to discuss public feedback and how to reduce the impact of construction.

- **Community Input**
  - HART's public information team responded to more than 40 public inquiries and requests in December that came in via the agency's website, email and 24-hour hotline. Inquiries this month primarily focused on construction activities.

  - To date, HART's outreach team has participated in:
    - 1, 528 presentations and events
    - 819 Neighborhood Board meetings

- **Look Ahead**

  Coming in January:
  - HART holds key station design community meetings in communities along the alignment.
  - Community construction updates.
  - Traffic updates and information for motorists.

5 STAFFING

HART staffing activities in December are summarized in Figure 48 below. HART staffing projections are shown in Figure 49 below and Figure 50 on the next page. For organizational structure detail, see the latest HART Project Organization Chart in Appendix A on page 67.

Figure 48. Staffing Activities

Title	Group	New/Existing HART position (City or PMC)	Position Status	Start Month
Engineering and Construction				
Change Order Manager	Engineering and Construction	Existing (City or PMC)	Recruiting	
Change Order Specialist	Engineering and Construction	Existing (City)	Interviewing	
Budget and Finance				
Transit Grants Planner*	Grants/Financial	Existing (City)	Recruiting	
Transit Contracts Manager* (3)	Procurement and Contracts	Existing (City)	Recruiting	
Secretary	Chief Financial Officer	Existing (City)	Recruiting	
Project Controls				
Clerk	Document Controls	Existing (City)	Recruiting	
Planning, Utilities, Permits & Right of Way				
Planner V* (Cultural Resources)	Planning	New (City)	Recruiting	
Secretary	Planning	New (City)	Recruiting	
Deputy Director of Planning	Planning	Existing (City)	Recruiting	
Administrative Services				
Human Resources Specialist* (2)	Admin. Svcs.	Existing (City)	Recruiting	

*Per qualifications.

Figure 49. HART Staffing Projection in the Current Staffing Plan

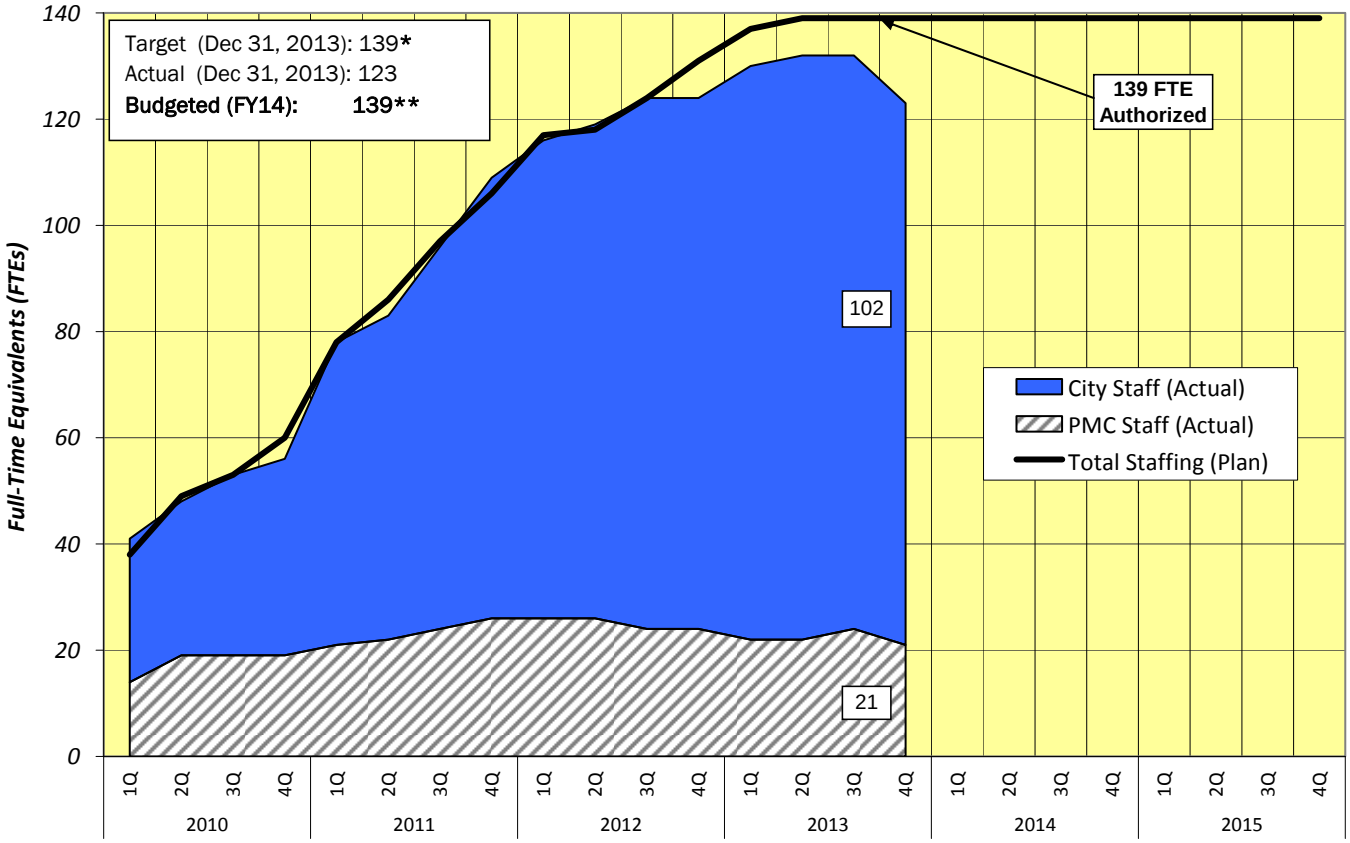
[Also see the Project Staffing (Actual vs. Planned) graph in Figure 50]	as of:	# Employees
Target*	Dec 31	139
Actual*	Dec 31	123
Full-Time Employees budgeted for FY14**	Jul 31	139

**Including PMC staff **Excluding PMC staff.*

The actual number of employees reflects employees hired during this period as well as employees who left the project from both HART and the PMC staffs.

HART currently receives direct project support in centralized functions from the following City departments: Honolulu Police Department (HPD), Department of Information Technology (DIT), Department of Budget and Fiscal Services (BFS), Department of Design and Construction (DDC), Corporation Counsel (COR) and Department of Human Resources (DHR); and from the State of Hawai‘i Department of Transportation (HDOT) on Consultant Services Contracts.

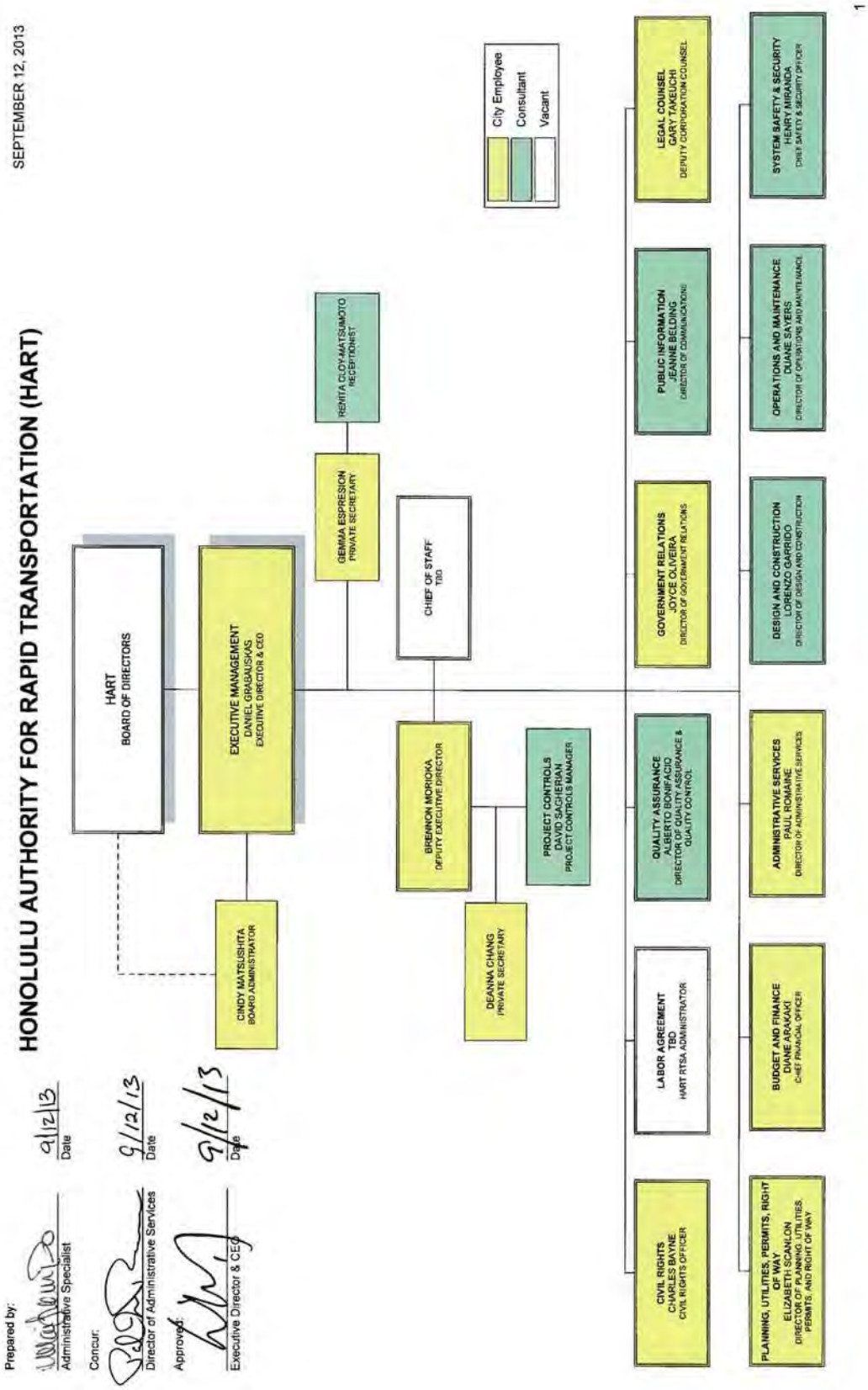
Figure 50. Project Staffing (Actual vs. Planned)



*** In accordance with Staffing and Succession Plan Rev 5, dated 5-25-12 (Under Revision)**
**** 139 City positions authorized in FY 2014 HART Operating Budget**

6 APPENDICES

Appendix A. Project Organization Chart



Appendix B. Project Alignment