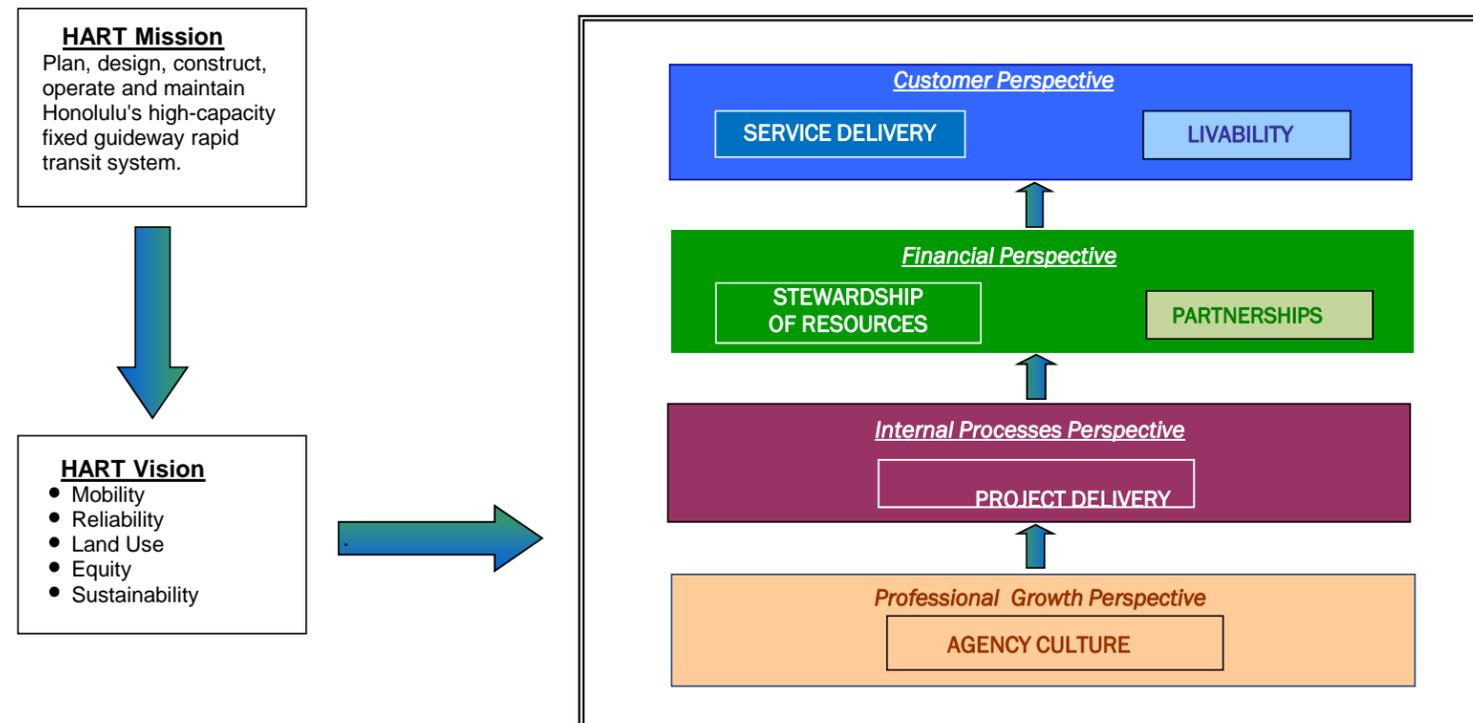


Business Strategy Map



Goal	Current Quarter (Q3 FY13)				Inception to Date				Comments and Legend	
	January, February, March 2013				October 2009 - March 2013					
	Actual	Plan	Variance	Status	Actual	Plan	Variance	Status	●	○
SERVICE DELIVERY										
Customer Perspective	Platform Gates			○				○	Submittal anticipated during FY14.	
	Fare Collection System			○				○	TBD in FY14.	
	Bus-Rail Integration Plan			○				○	TBD	
	HART Operating Organization Plan			○				○	TBD	
	HART Service Policy/Standards			○				○	TBD	
	LIVABILITY									
	HART Sustainability Policy			○				○	TBD in FY13.	
	Transit-Oriented Development (TOD) Policy			○				○	TOD stakeholders group in development.	
STEWARDSHIP OF RESOURCES										
Programmatic Agreement (PA) [Positive = # above or added to Plan; Negative = # remaining]										
Financial Perspective	Traditional Cultural Property (TCP) Studies	0	0	-0-	●	3	4	(1)	●	# Guideway Sections with TCP studies completed vs. planned. Sections 1-3 completed - State Historic Preservation Division (SHPD) approved TCP studies; Section 4 studies completion expected April 2013, with Consulting Party Review and Consultation in early May (completion of the City Center TCP work is also a condition of the pending federal lawsuit).
	Section I (WOFH) Archaeological Inventory Survey (AIS)	0	0	-0-	●	92	92	-0-	●	# trenches completed vs. planned. Section I AIS completed - SHPD accepted AIS Report April 19, 2010.
	Section II (KHG) AIS	0	0	-0-	●	37	31	+6	●	# trenches completed vs. planned. Section II AIS completed - SHPD accepted AIS Report on May 23, 2012. Additional trenches were added in collaboration with SHPD to provide additional data at those locations.
	Section III (Airport) AIS	0	0	-0-	●	47	40	+7	●	# trenches completed vs. planned. Sections III completed - AIS Report in SHPD Review starting March 4, 2013. Comments returned March 29, 2013. Revision in progress. Additional trenches were added in collaboration with SHPD to provide additional data at those locations. <i>These figures represent an adjustment to numbers previously reported.</i>
	Section IV (City Center) AIS	18	18	-0-	●	250	232	+18	●	# trenches completed vs. planned. Section IV completed - AIS Report submitted to HART April 1, 2013. On April 8, 2013, HART submitted the report to SHPD for review. 18 additional trenches beyond the original plan were added in January in collaboration with SHPD to provide additional data at those locations. <i>These figures represent an adjustment to numbers previously reported.</i>
	Overall AIS Completion (#)	----	----	N/A	●	426	395	+31	●	# trenches completed vs. planned.
	Overall AIS Completion (%)	----	----	N/A	●	108%	----	N/A	●	% trenches completed vs. planned.
	'Iwi kūpuna finds (bone fragments or full burials) only	2	----	N/A	●	7	----	N/A	○	# 'Iwi kūpuna finds. A total of 7 finds have been identified through January 2013. None have been found since. These finds are only associated with the AIS work for the project. Additional finds are possible during utilities relocation and construction. There are 5 finds of human skeletal fragments and 2 human burials. No determinations have been made on the status of any of these finds as burials by SHPD or OIBC at this time. Consultation is in progress with cultural and lineal descendants and these agencies.
Operating Budget [Negative = below Plan]										
Operating Expenditures	3.8	5.3	(1.5)	●	40	55	(15.0)	●	\$M in Q3 FY13 Expenditures/Encumbrances vs. Inception to Date Operating Budget. For Current Quarter monitoring purposes: \$21M Total Budget/4 quarters = \$5.3M. <i>Current information includes Inception to Date figures.</i>	
Staffing Level	4	6	(2)	●	126	137	(11.0)	●	# Current HART Full-Time Equivalents (FTEs) vs. planned positions in the FY13 Operating Budget. 126 current FTEs	
Capital Budget [Negative = below Plan]										
Capital Expenditures/Encumbrances	\$56	\$92	(36)	●	\$578	\$642	N/A	●	\$M in Q3 FY13 Expenditures/Encumbrances in Current Quarter vs. Total Inception to Date Capital Budget of \$642M. HART is monitoring the capital expenditures each quarter. The capital expenditures are less than planned due to the litigation causing delays. <i>Current information includes the Inception to Date figures.</i>	

Goal	Current Quarter (Q3 FY13)				Inception to Date				Comments and Legend	
	January, February, March 2013				October 2009 - March 2013					
	Actual	Plan	Variance	Status	Actual	Plan	Variance	Status		
Revenues [Negative = below Plan]										
Financial Perspective (Continued)	Net GET Surcharge Receipts	\$42	\$51	(9)	●	\$596	\$633	(\$38)	●	<ul style="list-style-type: none"> * \$974M = Actual Net GET Surcharge received since inception of the surcharge on 1/1/07 * \$M Net GET Surcharge Cash Receipts vs. projected FYs 2010-2013 revenue in FFGA Financial Plan Table A-1, Capital Plan Cash Flows. Receipt amounts exclude Starting Cash Balance of \$298M. * \$3,291M = Total Net GET Surcharge revenue forecast for FYs 2010-2023 * \$51M = Forecast quarterly amount on a cash basis through March 2013 = one-fourth of the \$203M FY 2013 amount * Project Inception-to-Date (10/2009 to 3/2013) \$633M = Forecast amount through March 2013 (on a cash basis) The status for the Current Quarter and the Inception to Date has changed from yellow to orange.
	Federal Grant Funds (New Starts)	\$68	\$65	+3	●	\$132	\$314	(\$182)	●	<ul style="list-style-type: none"> The variance indicates the available amount of funds. HART has not yet applied for these funds and will apply for them in early FY2014. * FTA New Starts receipts vs. projected FYs 2010-2013 per Table A-1 of the FFGA Financial Plan. * \$1,550M = Total \$5309 New Starts funds; The first increment under the FFGA is \$255M. * \$65M = Forecast quarter amount = one-fourth of the \$258M FY 2013 amount * Project Inception-to-Date (10/2009 to 3/2013) \$314M = Forecast amount = three-fourths of \$258M (FY 2013 forecast amount) plus amounts for FYs 2011 (\$21M) & 2012 (\$99M).
	Federal Grant Funds (ARRA)	----	----	N/A	●	\$4	\$4	\$0	●	\$214M FTA funds = \$210M \$5307 + \$4M ARRA (American Recovery and Reinvestment Act). No \$5307 funds are planned to be used in FY 2013. This source of funding has been completed.
PARTNERSHIPS										
Internal Processes Perspective	Total Stations with Approved Transit-Oriented Development Plans (as shown below)	0	2	N/A	●	0	21	N/A	●	TOD plans are being created for 21 stations.
	City Department of Planning and Permitting Transit-Oriented Development Plans	0	2	N/A	●	0	19	N/A	●	City Department of Planning and Permitting (DPP) has responsibility for TOD plans for 19 of the 21 stations. A total of 13 stations have final draft TOD neighborhood plans at this time.
	Hawaii Community Development Authority Transit-Oriented Development Plans	0	0	N/A	●	0	2	N/A	●	Two additional stations are in HCDA and not part of the DPP planning.
PROJECT DELIVERY - OVERALL										
Project Budget										
Internal Processes Perspective	FFGA Baseline Project Budget	----	----	N/A	○	\$5,122	\$5,122		●	\$M FFGA Baseline Project Budget (including contingencies and FTA-eligible finance charges), in accordance with FTA New Starts project guidelines.
	Committed (\$)	\$34	----	----	●	\$2,260	\$4,251	(1,991)	●	\$M Total Committed (awarded Contract Values + approved Change Orders) this quarter and to date vs. the current Total FTA Project Budget, excluding remaining contingencies and finance charges. The contract awards have been shifted to future years due to AIS delays and the repackaging of contracts.
	Committed (%)	1.5%	----	----	●	53.2%	----	N/A	●	% \$M Committed of the committed Baseline FFGA Project Budget.
	Incurred (\$M)	\$63	----	----	●	\$656	\$4,251	(3,595)	●	\$M Incurred (Expenditures + approved Requests for Payment) this quarter and to date vs. the current Total FTA Project Budget, excluding remaining contingencies and finance charges. The plan is based on the original program cost curve issued in 2009 and will be re-baselined in September 2013 once construction resumes.
	Incurred (%)	1%	----	----	●	15%	----	----	●	% \$M Incurred (Expenditures + approved Requests for Payment) of the current Total FTA Project Budget, excluding remaining contingencies and finance charges.
	Estimate at Completion (EAC)	----	----	----	●	\$5,122	\$5,122		●	\$M current vs. planned Estimate at Completion (EAC = contract values as budgeted or awarded + executed change orders + pending and potential changes).

Goal	Current Quarter (Q3 FY13)				Inception to Date				Comments and Legend
	January, February, March 2013				October 2009 - March 2013				
	Actual	Plan	Variance	Status	Actual	Plan	Variance	Status	
Project Progress [Positive = ahead of Late Plan; Negative = behind Late Plan]									
Overall Project Progress	1.3%	2.2%	(0.9%)	●	11.9%	13.2%	(1.3%)	●	% Complete of Final Design and Construction contracts (FD, DBB-DBOM design levels of effort and DB, DBB, DBOM and E/E construction) actual vs. late plan.
Overall Design Progress	4.3%	2.1%	+2.2%	●	42.0%	36.8%	+5.2%	●	% Complete of Final Design contracts & DB-DBOM design levels-of-effort actual vs. late plan. During the partial temporary suspension of work on ground-disturbing activities, HART is proceeding with final design and engineering activities on awarded contracts to position the project to continue construction once the suspension is lifted following AIS completion. Design is progressing satisfactorily in support of the planned bid dates. The status for the Current Quarter and the Inception to Date has changed from yellow to green.
Overall Construction Progress	1.9%	3.1%	(1.2%)	●	7.8%	10.1%	(2.3%)	●	% Completion of Construction (DB, DBB, DBOM & E/E) contracts vs. planned. On 8/24, HART issued a partial temporary suspension of work for all ground-disturbing activities. HART is evaluating the cost (including equipment, overhead and personnel costs) and schedule impacts of the work suspension with Design-Build Contractor Kiewit Infrastructure West Co. (KIWC) to develop and implement mitigation strategies. KIWC has released field personnel and reassigned staff to other projects.
Contingency									
Cost Contingency	\$644	\$644	-0-	●	\$644	\$644	-0-	●	\$M Total Project Cost Contingency vs. the FFGA Baseline Total Project Contingency Budget.
Schedule Contingency	20	20	-0-	●	20	20	-0-	●	# Months Total Buffer Float used vs. planned in the Draft FFGA Risk and Contingency Management Plan [RCMP], June 2012 (Table 6-2).
PROJECT DELIVERY - SPECIFICS									
Contracting - Construction (DB, DBOM and Elevators/Escalators) [Negative = below plan/budget]									
Contracts Awarded	0	0	N/A	●	4	4	0	●	# Contracts awarded vs. planned. Elevator/Escalator (E/E) contract award is expected in Q4 FY13.
Committed (Contract Values + Executed Changes)	2%	----	N/A	○	96%	100%	(4%)	●	% \$M Committed (\$1,703 M) of baseline budget (\$1,771 M) not including contingencies. (Due to increased committed amount)
Contracts Completed	0	0	N/A	○	0	0	-0-	○	# Contracts completed vs. planned.
Contracting - Construction (DBB) [Negative = below plan/budget]									
Contracts Awarded	0	0	N/A	○	0	0	-0-	○	# Contracts awarded vs. planned. The first of 8 planned DBB construction contracts is scheduled to be awarded in Q2 FY14. (Re-packaged; reduce to 8 from 11.)
Committed (Contract Values + Executed Changes)	----	----	N/A	○	0%	0%	-0-	○	% \$M Committed (\$0 M) vs. baseline budget (\$1,237 M) not including contingencies.
Contracts Completed	0	0	N/A	○	0	0	-0-	○	# Contracts completed vs. planned.
Contracting - Final Design Consultants [Negative = below plan/budget]									
Contracts Awarded	0	0	N/A	●	6	6	-0-	●	# Contracts awarded vs. planned. The seventh of 9 planned Final Design contracts is scheduled to be awarded by Q1 FY14. (Re-packaged; reduce to 9 from 10.)
Committed (Contract Values + Executed Changes)	----	----	N/A	○	73%	100%	(27%)	●	% \$M Committed (\$118M) vs. baseline budget (\$162M) not including contingencies. Excluded changes in the numbers were reviewed and the current percentage complete reflects the current project status.
Contracts Completed	0	0	N/A	○	0	0	N/A	○	# Contracts completed vs. planned.
Contracting - Other Consultants [Negative = below plan/budget]									
Contracts Awarded	0	0	-0-	●	12	12	-0-	●	# Contracts for Consultant Services other than for final design, construction or insurance awarded this quarter and to date vs. planned, including: 6 for Construction Engineering and Inspection Services, 4 for Project Management (2 Program Management Oversight Consultant + 2 General Engineering Consultant), 4 for Specialty Consulting (Real Estate, Kako'o, Owner-Controlled Insurance Program [OCIP] and LEED MSF Commissioning Consultants), 4 for HDOT Consultant Services and 2 for On-Call for Construction and HazMat Removal consulting. The first CE&I contract will not be awarded until Sept 2013. (Re-packaged; reduce to 20 from 23.) The Inception to Date numbers were updated to reflect the current contract mix.
Committed (Contract Values + Executed Changes)	----	----	N/A	●	58%	100%	(42%)	●	% \$M Committed (\$333M) vs. baseline budget (\$573M). Due to the construction delay, the contract amounts awarded are less than expected. Once construction resumes, the amount committed will increase. The numbers were reviewed and the current percentage complete reflects the current project status.
Contracts Completed	0	0	-0-	●	2	2	-0-	●	# Contracts completed vs. planned. PMSC-1 and GEC-1 have been completed and are being closed out.

Internal Processes Perspective (Continued)

Goal	Current Quarter (Q3 FY13)				Inception to Date				Comments and Legend	
	January, February, March 2013				October 2009 - March 2013					
	Actual	Plan	Variance	Status	Actual	Plan	Variance	Status		
Change Orders and Claims										
Change Orders (#)	13	----	N/A	●	61	----	N/A	●	# Change Orders executed this quarter (10 Construction, 1 Final Design, 1 UTIL, 1 Specialty Consultant) These change orders are reducing our unallocated contingency.	
Change Orders (\$)	\$79.7	----	N/A	●	\$161.2	----	N/A	●	\$M Change Orders executed this quarter (\$25.1M Construction, \$.6M Specialty Consultant, \$.2M UTIL and others) These change orders reflect the Notice to Proceed and AIS delays.	
Claims Filed	0	0	N/A	○	0	0	N/A	○	# Claims filed vs. anticipated.	
Claims Resolved	0	0	N/A	○	0	0	N/A	○	# Claims resolved vs. filed.	
Utility & HDOT Agreements [Negative = # remaining]										
Utility Agreements	2	----	N/A	○	27	29	(2)	●	# Utility Agreements completed vs. required. The Interim Bridging Agreement for Airport was executed in February and the City Center Interim Bridging Agreement was executed in March. HART needs to sign a utility agreement for the City Center and Airport. HART is internally reviewing the two remaining agreements. Completion of 29 agreements by the end of Q3 FY13 is planned. <i>The numbers were reviewed and the current figures reflect the current project status. Numbers for the calendar year were utilized earlier, and fiscal year numbers are now utilized.</i>	
HART-HDOT Agreements	----	----	N/A	○	2	8	(6)	●	# HDOT Agreements completed vs. required. Of the 4 Master Agreements required, 1 (WOFH) has been completed. Of the 4 Joint Use and Occupancy (JU&O) Agreements required, 1 (WOFH) has been completed. The KHG Master and JU&O Agreements remain to be executed, pending meeting with HDOT & HART Attorneys, and possibly elevating subject matter between Mayor and Governor.	
Real Estate/Right-of-Way (ROW) [Negative = # remaining]										
Full Acquisitions	0	0	0	●	21	38	(17)	●	# Properties fully acquired ready for construction this quarter and to date vs. planned. Due to acquisition difficulties in securing the Lee property in the WOFH section, the final design is impacted. One property remaining in the Kamehameha section is in escrow. One full take is in escrow and 3 remaining full takes are in negotiations at the Airport section. The remaining City Center full takes are on hold due to the federal court case. The status for the Current Quarter changed from green to yellow.	
Expenditures for Full Acquisitions	\$0	\$0	\$0	●	\$36	\$37	(\$1)	●	\$M in expenditures recorded for full acquisitions vs. planned in the FFGA Budget.	
Partial Acquisitions	0	0	0	●	7	133	(126)	●	# Properties partially acquired ready for construction this quarter and to date vs. planned. Most of the partial acquisitions are located in the City Center section and are on hold pending resolution in the federal court case.	
Safety [lower Actual = favorable vs. Hawaii standard]										
Performance against Standard	0	0	0	●	0.2	4.3	----	●	Incidence rate of Recordable Injuries and Illnesses vs. the Hawaii 2010 Total Recordable Incidence Rate (TRIR). Federal regulations define the Incidence Rate as the # of recordable injuries and illnesses occurring amongst a given # of full-time workers (usually 100) over a given period of time (usually 1 year). A Recordable Incident is a work-related injury or illness that results in: death, loss of consciousness, days away from work, restricted work activity or job transfer, or medical treatment beyond first aid. (29 CFR 1904).	
OSHA Recordable Injuries	0	0	0	●	4	0	----	●	# Occupational Safety and Health Agency (OSHA) Recordable Injuries to date.	
OSHA Violations	0	0	0	●	0	0	----	●	# OSHA violations to date.	
Safety Certification Checklists	----	----	N/A	○	----	----	----	○	# Safety Certification Checklists completed vs. planned.	
Quality Assurance (QA)										
QA Audits	3	3	-0-	●	15	15	-0-	●	# QA Audits of HART, GEC, contractors and suppliers completed vs. planned.	
Design NCRs	7	7	0	●	20	21	(1)	●	# Design Non-Conformance Reports (NCRs) closed vs. issued.	
Construction NCRs	----	----	N/A	○	----	----	N/A	○	# Construction NCRs closed vs. issued.	

Internal Processes Perspective (Continued)

Goal	Current Quarter (Q3 FY13)				Inception to Date				Comments and Legend On track or ahead of plan. Immediate attention needed; Requires recovery/resolution. Monitoring. No current target/activity to date; Action pending. Monitoring; Requires special attention. N/A Not Applicable. TBD To be determined.	
	January, February, March 2013				October 2009 - March 2013					
	Actual	Plan	Variance	Status	Actual	Plan	Variance	Status		
Economic Multipliers [Negative = below plan]										
Internal Processes Perspective (Continued)	DBE Participation	0.014%	13%	-12.986%	●	0.35%	13%	-12.65%	●	Actual vs. target participation rate of Disadvantaged Business Enterprises (DBE). The planned DBE participation rate is an overall project goal. <i>The rate has been adjusted to more accurately reflect performance to date.</i>
	Direct Jobs Created	----	----	----	○	----	----	----	○	# Direct jobs created. Projections and criteria to be developed.
Public Outreach										
	Neighborhood Board Meetings	24	----	N/A	●	742	----	N/A	●	# Neighborhood Board Meetings in which HART has participated to date.
	Presentations/ Events	29	----	N/A	●	1,393	----	N/A	●	# Events in which HART has participated to date.
AGENCY CULTURE										
Staff Training and Career Development Program										
Professional Growth Perspective	Training Opportunities				○				○	# Training opportunities provided to HART staff vs. planned. Annual Training Plan to be developed.
	Employees Trained				○				○	# HART Employees (including PMSC) who have received professional training. Objective to be established.
	Internal Promotions									
	Internally-Filled Positions	2	0	+2	●	4	0	+4	●	% of positions filled that have been filled internally. Objective to be established.
	PMSC/GEC Phase-Out									
Positions Transitioned to HART	0	0	-0-	●	3	0	+3	●	# Positions transitioned from PMSC to HART vs. planned in the HART Business Plan. TBD.	
Employee Satisfaction										
Surveys	0	0	N/A	○	0	0	N/A	○	# Employee surveys conducted to date vs. planned. Plan to be developed.	