

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.		
□	New Balanced Scorecard items are shaded in blue for ease of identification.	□	TBD To be determined.		
□	Status color changes are shaded in yellow.				

For Project Finances, reporting will be based on Current Quarter, Fiscal Year, FFGA Financial Plan and Inception to Date data as appropriate.

Project Finances						
Operating Budget [Negative = below Plan]						
Operating Expenditures	Current Quarter (Q1 FY14) July, Aug., Sept. 2013	\$2	\$5	(\$3)	●	<p>For Current Quarter monitoring purposes: \$21M Total Budget/4 quarters = \$5.3M.</p> <p>The Plan numbers for Inception to Date and the Financial Plan = the FY12 and FY13 budgets + actual expenditures for fiscal years 2007 through 2011.</p> <p>*Inception is from January 2007 when GET surcharge revenue, interest revenue and expenditures were first reported in the City's FY2007 Comprehensive Annual Financial Report (CAFR) in the Transit Fund which also includes expenditures for other City Departments (e.g., DPP for TOD expenditures, BFS and City Council which were paid with GET surcharge revenues).</p>
	FY2014 Total July 2013-September 2013	\$2	\$5	(\$3)	●	
	FFGA Financial Plan October 16, 2009 - Sept. 2013	\$47	\$60	(\$13)	●	
	Inception* to Date January 2007 - Sept. 2013	\$51	\$64	(\$13)	●	
Capital Budget [Negative = below Plan]						
Capital Expenditures	Current Quarter (Q1 FY14) July, Aug., Sept. 2013	\$104	\$193	(\$88)	●	<p>Plan amounts are per the Financial Plan.</p> <p>*Inception is from January 2007 when GET surcharge revenue, interest revenue and expenditures were first reported in the City's FY2007 Comprehensive Annual Financial Report (CAFR) in the Transit Fund.</p> <p>The Plan numbers for Inception to Date = the Plan amounts from 10/16/2009 to 9/30/2013 + actual expenditures for fiscal year 2007 through 10/15/2009.</p> <p>The expenditures for fiscal years 2007 to 2011 were reconciled to the expenditures reported in the Transit Fund included in the City's CAFR report.</p> <p>The expenditures for Q1 FY2014 are comprised of actual expenditures of \$27M and year-end adjustments of \$77M for FY2013 financial statement purposes.</p> <p>Actual expenditure amounts are below plan due to the suspension of construction required by pending litigation. As a result of the construction delay, we are currently rebaselining the master project schedule and the plan will be readjusted by fall 2013.</p>
	FY2014 Total July 2013-September 2013	\$104	\$193	(\$88)	●	
	FFGA Financial Plan October 16, 2009 - Sept. 2013	\$761	\$1,495	(\$734)	●	
	Inception* to Date January 2007 - Sept. 2013	\$845	\$1,578	(\$734)	●	
Revenues [Negative = below Plan]						
GET Collections						
Net GET Surcharge Receipts	Current Quarter (Q1 FY14) July, Aug., Sept. 2013	\$50	\$55	(\$5)	●	<p>GET receipts are reported on a cash basis. The \$50M received in July 2013 is for the April-June 2013 quarter. The Current Quarter plan is based on annual reporting.</p> <p>\$3,291M = Total Net GET Surcharge revenue forecast for FYs 2010-2023. Actual amounts from inception are the collections from January 2007 to 9/30/2013. The \$1,117M Plan amount is equal to the Financial Plan amount of \$739M from the Project Start date of 10/16/2009 to 9/30/2013 plus \$378M collected prior to the Project Start Date.</p> <p>Surcharge revenue is below plan due to the lag in processing of GET tax returns by the State Dept. of Taxation.</p> <p>GET surcharge revenue collected prior to October 16, 2009 is included in the Financial Plan as beginning cash balance of \$298M (actual GET collections of \$378M before October 16, 2009, less expenditures of \$80M during that same period).</p> <p>*Inception is from January 2007 when GET surcharge revenue, interest revenue and expenditures were first reported in the City's FY2007 Comprehensive Annual Financial Report (CAFR) in the Transit Fund.</p> <p>Status for the Current Quarter has changed from green to yellow.</p>
	FY2014 Total July 2013-Sept. 2013	\$50	\$55	(\$5)	●	
	FFGA Financial Plan October 16, 2009 - Sept. 2013	\$701	\$739	(\$38)	●	
	Inception* to Date January 2007 - Sept. 2013	\$1,079	\$1,117	(\$37)	●	
Federal Grants						
Federal Grant Funds New Starts \$5309 (Reimbursed)	Current Quarter (Q1 FY14) July, Aug., Sept. 2013	\$36	\$117	(\$81)	●	<p>Forecasted FTA receipts by fiscal years to 9/30/13 per the Plan are FY2011 - \$21M; FY2012 - \$99M; FY2013 - \$258M, FY2014-\$442M, Total \$820M.</p> <p>The FY2013 New Starts appropriation is \$236M net of \$14M sequestration reduction.</p> <p>The variance indicates the available appropriation amounts. Reimbursement amounts are below plan due to the suspension of construction which reduced reimbursable project expenditures.</p> <p>Reimbursements will increase when construction resumes in FY14.</p>
	FY2014 Total July 2013-Sept. 2013	\$36	\$117	(\$81)	●	
	FFGA Financial Plan October 16, 2009 - Sept. 2013	\$180	\$495	(\$316)	●	
Federal Grant Funds \$5307 (Reimbursed)	Current Quarter (Q1 FY14) July, Aug., Sept. 2013	---	---	N/A	---	<p>No \$5307 funds will be used in FY14.</p> <p>Total forecasted \$5307 funds per the plan is \$210M. The forecasted amounts by fiscal year are: FY15 - \$34M; FY16 - \$35M; FY17 - \$35M; FY18 - \$36M; FY19 - \$37M; FY20 - \$33M</p>
	FY2014 Total July 2013-Sept. 2013	---	---	N/A	---	
	FFGA Financial Plan October 16, 2009 - Sept. 2013	---	---	N/A	---	

Financials

Activity	Current Quarter (Q1 FY14)				Inception to Date				Comments and Legend	
	July, August, September 2013				January 2007 - September 2013					
	Actual	Plan	Variance	Status	Actual	Plan	Variance	Status		
For the remainder of the Balanced Scorecard, reporting will be based on Current Quarter and Inception to Date data.										
25	Project Budget									
26	FFGA Baseline Project Budget	N/A	N/A	N/A	○	\$5,122	\$5,122	N/A	●	\$M FFGA Baseline Project Budget (including contingencies and FTA-eligible finance charges), in accordance with FTA New Starts project guidelines.
27	Committed (\$)	\$110	----	----	●	\$2,379	\$4,270	(\$1,892)	●	\$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. A new baseline budget is being created. HART is still on track to maintain the March 30, 2019 full revenue service date.
28	Committed (%)	4.6%	----	----	●	55.7%	----	N/A	●	% \$M Committed of the committed Baseline FFGA Project Budget.
29	Incurring (\$M)	\$60	----	----	●	\$763	\$4,270	(\$3,508)	●	\$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 is projected to be re-baselined in December 2013. HART is still on track to maintain the March 30, 2019 full revenue service date. The amounts reflected are due in part to the construction delays.
30	Incurring (%)	1%	----	----	●	18%	----	----	●	% \$M Incurred (Expenditures + approved Requests for Payment) of the current Total FTA Project Budget, excluding remaining contingencies and finance charges.
31	Direct Cost of Delay Due to Supreme Court Decision to Date	\$9.8	\$10.6	(\$0.7)	●	\$27.8	\$30.2	(\$2.4)	●	Direct costs incurred in \$M from AIS delay. Direct costs include equipment, manpower and subcontractor costs. Costs are already included in the incurred section above, not in addition to. Actual and plan amounts are through July 2013. Direct costs of the delay due to the Supreme Court decision are estimated at \$36.2M through September 2013.
32	Escalation Costs Related to Supreme Court Decision to Date	\$0.0	N/A	N/A	●	\$0.0	N/A	N/A	●	Future escalation costs will be negotiated.
33	Total Cost of Delay Due to Supreme Court Decision to Date	\$9.8	\$10.6	(\$0.7)	●	\$27.8	\$30.2	(\$2.4)	●	Actual and plan amounts are through July 2013.
34	Estimate at Completion (EAC)	N/A	N/A	N/A	●	\$5,122	\$5,122	N/A	●	\$M current vs. planned Estimate at Completion (EAC = contract values as budgeted or awarded + executed change orders + pending and potential changes).
35	Contingency									
36	Allocated Cost Contingency	\$17	N/A	N/A	●	\$535	\$542	(\$7)	●	Current Quarter = Allocated Project Contingency debited or credited for the quarter, Inception to Date = Current Budget Allocated Project Contingency vs. the Baseline Budget Allocated Project Contingency
37	Unallocated Cost Contingency	\$0	N/A	N/A	●	\$102	\$102	-0-	●	Current Quarter = Unallocated Project Contingency debited or credited for the quarter, Inception to Date = Current Budget Unallocated Project Contingency vs. the Baseline Budget Unallocated Contingency
38	Total Project Cost Contingency = Allocated + Unallocated	\$17	N/A	N/A	●	\$637	\$644	(\$7)	●	See the HART Monthly Progress Report for more detailed information on contingency. Current Quarter = Total Project Contingency usage, Inception to Date = Current Budget Project Contingency value vs. Baseline Budget Project Contingency
39	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). HART is still on track to maintain the 2019 full revenue service date.
40	PROJECT DELIVERY - OVERALL									
41	Overall Progress [Positive = ahead of Late Plan; Negative = behind Late Plan]									
42	Overall Project Progress Completed	1.0%	3.5%	(2.5%)	●	13.5%	19.5%	(6.0%)	●	% 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. The project progress schedule will be rebaselined and the interim opening will be June 2017.
43	Overall Design Progress Completed	7.2%	5.1%	+2.1%	●	56.1%	46.3%	+9.8%	●	% 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 proceeded with final design and engineering activities on awarded contracts to position the project to continue construction once the suspension was lifted following AIS completion. Design is progressing satisfactorily in support of the planned bid dates. The design progress schedule will be rebaselined and the interim opening will be June 2017.
44	Overall Construction Progress Completed	0.1%	3.3%	(3.2%)	●	7.9%	16.1%	(8.2%)	●	% Completion of Construction (DB, DBB, DBOM & E/E) contracts vs. planned. On 8/24/12, HART issued a partial temporary suspension of work for all ground-disturbing activities. HART is mitigating the cost (including equipment, overhead and personnel costs) and schedule impacts of the work suspension with the Design-Build Contractors. Construction resumed on September 16, 2013. The construction progress schedule will be rebaselined and the interim opening will be June 2017.
45	Contracts Awarded									
46	Total Number of Contracts Awarded	4	4	-0-	●	27	27	-0-	●	The plan numbers are based off of the FTA Full Funding Grant Agreement Contract Packaging Plan (CPP) contracts. Contracts awarded: Dillingham Kakaako Station Group FD; Farrington Highway Station Group Design Support; Historic Architecture Design Consultant; Elevators & Escalators Install/Maintenance.
47	Total Value of Contracts Awarded	\$22.5	\$26.2	(\$3.7)	●	\$2,925.4	\$2,929.1	(\$3.7)	●	\$M Awarded. CPP contracts awarded to date: DBOM-920, DB-120, DB-200, DB-320, FD-140, FD-240, FD-340, FD-430, FD-440, FD-530, MM-905, MM-910, MM-900, MM-901, MM-915, MM-920, MM-921, MM-922, MM-935, MM-940, MM-946, MM-950, MM-975, FD-550, PA-102, FD-240(2), MI-930. Note, CORE systems includes costs of O&M.
48	Change Orders									
49	Change Orders (#)	19	N/A	N/A	●	87	N/A	N/A	●	# Change Orders executed this quarter (16 Construction, 3 Final Design). These change orders reflect the Notice to Proceed and AIS delays.
50	Change Orders (\$)	\$23.1	N/A	N/A	●	\$187.3	N/A	N/A	●	\$M Change Orders executed this quarter (\$21.7M Construction, \$1.37M Final Design). These change orders are reducing our allocated and known contingency. Significant change orders: Provisional Sum AIS part II (for all DB's) \$10.3M, Provisional Sum HDOT joint use occupancy \$4.9M.

	Activity	Current Quarter (Q1 FY14)				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.  New Balanced Scorecard items are shaded in blue for ease of identification.  Status color changes are shaded in yellow.
		July, August, September 2013				January 2007 - September 2013				
		Actual	Plan	Variance	Status	Actual	Plan	Variance	Status	
51	Claims									
52	Claims Filed	0	0	N/A	○	0	0	N/A	○	# Claims filed vs. anticipated.
53	Claims Resolved	0	0	N/A	○	0	0	N/A	○	# Claims resolved vs. filed.
54	Agreements									
55	Utility Agreements - Engineering Services	3	6	(3)	●	22	25	(3)	●	Inception to Date Plan = total number of agreements planned for the project *WOFH - all 8 agreements executed. *KHG - all 9 agreements executed. *Airport/City Center - 5 of the 8 planned are executed. The status for the overall progress is green because the only agreements needed are in the Airport/City Center areas and they do not impede current construction.
56	Utility Agreements - Construction Agreement	1	6	(5)	●	7	26	(19)	●	Inception to Date Plan = total number of agreements planned for the project *WOFH - 5 out of 7 agreements executed. *KHG - 2 out of 5 agreements executed. *Airport - none of the 7 planned are executed. *City Center - none of the 7 planned are executed. The status is orange due to the agreements needed for WOFH and KHG, which could delay construction.
57	Total Utility Agreements	4	12	(8)	●	29	51	(22)	●	Inception to Date Plan = total number of agreements planned for the project *WOFH - 2 agreements of 15 outstanding. *KHG - 3 agreements of 14 outstanding. *Airport/City Center ESA - 5 of 8 agreements executed. *Airport Construction- no agreements executed. *City Center Construction- no agreements executed. The status is based on the potential for construction to be delayed.
58	HDOT Master Agreements/Joint Use & Occupancy	0	1	(1)	●	1	2	(1)	●	Inception to Date Plan = total number of agreements planned for the project *Only WOFH agreement has been executed. HART is working with HDOT on a combined Master Agreement for KHG, Airport and City Center sections. The status is red because the combined HDOT Master Agreement includes KHG, which could impede construction.
59	Other Agreements	2	5	(3)	●	5	17	(12)	●	Inception to Date Plan = total number of agreements planned for the project Agreements needed for the project (bold, red items are high priority agreements): WOFH, KHG, City Center: *University of Hawaii Master Agreement WOFH: *Leeward Community College Sub-agreement *UH West Oahu Sub-agreement *Department of Land and Natural Resources -- COMPLETED *Department of Education Master Agreement and Consent to Construct -- COMPLETED *D.R. Horton Agreement for Construction -- COMPLETED *DHHL MOU -- COMPLETED *DHHL Consent to Construct -- COMPLETED *DHHL License or Property Transfer KHG: *UH Urban Garden Sub-Agreement *Aloha Stadium/Department of Accounting & General Services (DAGS) -- COMPLETED Airport: *U.S. Navy/General Services Administration (GSA) *U.S. Post Office Honolulu Processing Center City Center: *Honolulu Community College (HCC) Sub-agreement *Federal Court House/GSA *Hawaii Community Development Agreement *DAGS The status is based on the agreements needed for WOFH and KHG, which could impact ongoing construction.

Project Progress (Continued)

Activity	Current Quarter (Q1 FY14)				Inception to Date				Comments and Legend	
	July, August, September 2013				January 2007 - September 2013					
	Actual	Plan	Variance	Status	Actual	Plan	Variance	Status		
60	Real Estate/Right-of-Way (ROW)									
61	Acquisitions*									<i>*Inception to Date plan numbers vary each quarter due to advancement of design</i>
62	WOFH Full Acquisitions	1	1	-0-	●	14	14	-0-	●	Inception to Date Plan = total number needed for project Consent to Construct received. Awaiting stipulated judgment and final order. Status for the Current Quarter and Inception to Date have changed from orange to green.
63	WOFH Partial Acquisitions	0	3	(3)	●	3	6	(3)	●	Inception to Date Plan = total number needed for project Finalizing agreements for two partial acquisitions. One partial acquisition for West Loch Station is in the appraisal process.
64	Summary WOFH Acquisitions (Full + Partial)	1	4	(3)	●	17	20	(3)	●	Inception to Date Plan = total number needed for project
65	KHG Full Acquisitions	0	0	-0-	●	3	3	-0-	●	Inception to Date Plan = total number needed for project All property is available to contractors.
66	KHG Partial Acquisitions	1	3	(2)	●	1	3	(2)	●	Inception to Date Plan = total number needed for project Eminent domain on one partial is proceeding through the courts and two partials are in negotiations.
67	Summary KHG Acquisitions (Full + Partial)	1	3	(2)	●	4	6	(2)	●	Inception to Date Plan = total number needed for project
68	Airport Full Acquisitions	0	3	(3)	●	1	4	(3)	●	Inception to Date Plan = total number needed for project One full acquisition in escrow and the two remaining full acquisitions are in negotiations.
69	Airport Partial Acquisitions	0	1	(1)	●	1	8	(7)	●	Inception to Date Plan = total number needed for project Five parcels in appraisal process and agreements for remaining parcels are pending.
70	Summary Airport Acquisitions (Full + Partial)	0	4	(4)	●	2	12	(10)	●	Inception to Date Plan = total number needed for project
71	City Center Full Acquisitions	0	0	-0-	●	6	13	(7)	●	Inception to Date Plan = total number needed for project All property acquisition activities on hold per injunction.
72	City Center Partial Acquisitions	0	0	-0-	●	0	62	(62)	●	Inception to Date Plan = total number needed for project All property acquisition activities on hold per injunction.
73	Summary City Center Acquisitions (Full + Partial)	0	0	-0-	●	6	75	(69)	●	Inception to Date Plan = total number needed for project
74	Expenditures for Full Acquisitions	N/A	N/A	N/A	●	\$42.3	\$45.4	(\$3.1)	●	\$M in expenditures recorded for full acquisitions vs. planned in the FFGA Budget. WOFH property final cost awaiting court approval.
75	Easements*									<i>*Inception to Date plan numbers vary each quarter due to advancement of design</i>
76	WOFH Easements	0	5	(5)	●	3	8	(5)	●	Inception to Date Plan = total number needed for project 3 easements in final legal review.
77	KHG Easements	0	5	(5)	●	0	5	(5)	●	Inception to Date Plan = total number needed for project 4 easements in final legal review.
78	Airport Easements	0	0	-0-	●	0	21	(21)	●	Inception to Date Plan = total number needed for project 4 easements in appraisal process and 1 offer made; 15 easements in process by Navy.
79	City Center Easements	0	0	-0-	●	0	23	(23)	●	Inception to Date Plan = total number needed for project All property acquisition activities on hold per injunction.
80	Summary Easements	0	10	(10)	●	3	57	(54)	●	Inception to Date Plan = total number needed for project
81	Safety									
82	HART OSHA Reportable Injuries	0	0	-0-	●	0	0	-0-	●	HART # Occupational Safety and Health Agency (OSHA) Reportable Injuries to date. Reportable incidents, requiring OSHA to be notified within 8 hours, include the death of an employee or hospitalization of three or more employees. For additional information on recordable incidents please see the HART Monthly Progress Report.
83	Contractor OSHA Reportable Injuries	0	0	-0-	●	0	0	-0-	●	Contractor's # Occupational Safety and Health Agency (OSHA) Reportable Injuries to date. Reportable incidents, requiring OSHA to be notified within 8 hours, include the death of an employee or hospitalization of three or more employees. For additional information on recordable incidents please see the HART Monthly Progress Report.
84	Quality Assurance (QA)									
85	Completion of QA Audits	6	6	-0-	●	29	26	+3	●	# QA Audits of HART, GEC, contractors and suppliers completed vs. planned.
86	Successful Closure of Design NCRs	0	0	-0-	●	8	8	-0-	●	# Design Non-Conformance Reports (NCRs) closed vs. issued.
87	Successful Closure of Construction NCRs	5	5	-0-	●	64	72	(8)	●	# Construction NCRs closed vs. issued. The variance is due to the construction work suspension. Construction resumed on September 16, 2013. The open items are scheduled to be closed on or before October 31, 2013.
88	Economic Multipliers [Negative = below plan]									
89	DBE Participation (%)	0.46%	0.13%	+0.33%	●	0.85%	13%	-12.15%	●	% actual vs. target participation rate of Disadvantaged Business Enterprises (DBE) to date since October 16, 2009. The planned DBE participation rate is an overall project goal.
90	DBE Participation (\$)	\$8.32	\$2.34	+\$5.98	●	\$15.24	\$234	(\$218.76)	●	\$M actual vs. target participation of DBE to date since October 16, 2009. The planned DBE participation rate is an overall project goal.
91	PERSONNEL									
92	HART Staffing Level	6	0	+6	●	132	139	(7)	●	# Current HART Full-Time Equivalents (FTEs) vs. planned positions in the FY14 Operating Budget. 132 current FTEs. This includes 108 City employees and 24 Project Management Support Consultant (PMC) employees. The actual number reported in the Current Quarter reflects all new hires for the quarter.
93	Direct Project Jobs Created	----	----	----	○	----	----	----	○	# Direct project jobs created. Projections and criteria to be developed.

	Activity	Current Quarter (Q1 FY14)				Inception to Date				Comments and Legend	
		July, August, September 2013				January 2007 - September 2013					
		Actual	Plan	Variance	Status	Actual	Plan	Variance	Status		
94	Transit-Oriented Development (TOD) Planning										
95	Partnerships	City Department of Planning and Permitting TOD 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. Two additional stations are in HCDA and not part of the DPP planning. TOD plans are being created for 21 stations.
96	Hawaii Community Development Authority TOD Plans	0	0	N/A	●	0	2	N/A	●		
97	Total Stations with Approved TOD Plans	0	2	N/A	●	0	21	N/A	●		
98	PUBLIC OUTREACH										
99	Customer Perspective	Build a Social Media Community	127	----	N/A	●	1,879	----	N/A	●	# of unique Facebook followers.
100		Proactive Community Outreach: Neighborhood Board Meetings	28	----	N/A	●	795	----	N/A	●	# Neighborhood Board Meetings in which HART has participated to date since 2006.
101		Proactive Community Outreach: Presentations/Events	32	----	N/A	●	1,483	----	N/A	●	# Events in which HART has participated to date since 2006.
102	SERVICE DELIVERY										
103	Platform Screen Gates				●				●	Approved by the HART Board of Directors on September 5, 2013. Status for Current Quarter and Inception to Date has changed from white to green.	
104	Fare Collection System				○				○	TBD in FY14.	
105	Bus-Rail Integration Plan				○				○	TBD	
106	HART Operating Organization Plan				○				○	TBD	
107	HART Service Policy/Standards				○				○	TBD	
108	LIVABILITY										
109	HART Sustainability Policy				○				○	TBD in FY14.	
110	Transit-Oriented Development (TOD) Policy				○				○	TOD stakeholders group in development.	