**Board of Directors Meeting**
**Kapolei Hale, Conference Room B**
**1000 Uluohia Street**
**Kapolei, Hawaii 96707**
**Thursday, June 19, 2014 9:00 am**

**MINUTES**

| | | |
|---|---|---|
| PRESENT: | Donald Horner | William "Buzz" Hong |
| | Michael Formby | Carrie Okinaga |
| | George Atta | Ivan Lui-Kwan |
| | Keslie Hui | Damien Kim |
| | Ford Fuchigami | Robert "Bobby" Bunda |
| ALSO IN ATTENDANCE: (Sign-In Sheet and Staff) | Daniel Grabauskas | Lorenzo Garrido |
| | Brennon Morioka | Russell Honma |
| | Diane Arakaki | Gail Jennings |
| | Michael McGrane | Allison Andrade |
| | Duane Sayers | Cindy Matsushita |
| | David Sagherian | Joyce Oliveira |
| | Gary Takeuchi | Andrea Tantoco |
| | Joyce Oliveira | Karley Halsted |

I. Call to Order by Chair

HART Board Chair Ivan Lui-Kwan called the meeting to order at 9:01 a.m.

II. Public Testimony on All Agenda Items

Mr. Lui-Kwan called for public testimony. There was none.

III. Approval of the Minutes of the May 15, 2014 Board of Directors Meeting

Mr. Lui-Kwan called for the approval of the minutes of the May 15, 2014 meeting of the Board of Directors. There being no objections, the minutes were approved as circulated.

Mr. Lui-Kwan welcomed Interim State Department of Transportation (HDOT) Director Ford Fuchigami, the newest member of the HART Board of Directors. Mr. Fuchigami stated that he most recently headed HDOT's Airports Division, and had worked with HART Deputy Executive Director Brennon Morioka on the Airport station.

IV. Presentation on Right of Way Recovery Plan

HART Executive Director and CEO Daniel Grabauskas said that due to the injunction on real estate activities which had been lifted in February, the rail project was now faced with a compressed schedule.

HART Director of Planning and Right of Way (ROW) Elizabeth Scanlon introduced Deputy Director of ROW Morris Atta and Assistant Deputy Director of ROW Dean Yogi, who would be presenting the ROW Recovery Plan, a copy of which is attached hereto as Attachment A. Mr. Yogi stated that he had performed property acquisitions, appraisals and relocations with HDOT for 35 years, and had also worked for the City and County of Honolulu in property acquisitions.

Ms. Scanlon stated that once the federal injunction was lifted on February 18, 2014, ROW acquisition efforts were accelerated. The goal was to obtain site control of all remaining 146 properties by the end of the year. HART would achieve that by increasing staff, information management tools, the utilization of consultant support, and working closely with property owners and the community. HART would balance respect for property owners with the project schedule and budget, and noted the changing real estate market.

She noted that of 213 total properties needed, 67 had already been acquired, leaving 146 properties remaining. Of those properties, 90% are in the City Center section, one-third are in the Dillingham section (where activities started the previous year with the partial lifting of the injunction). Less than 12 properties were in the Airport section.
Mr. Grabauskas said that HART was in discussion with landowners for almost all properties. Board member Donald Horner requested that more detailed information on pending properties be shown, such as partial and full takes. Mr. Atta noted that the pending properties were subject to change, depending on final design, and noted that a few properties were not originally included in the FEIS.

Mr. Horner requested the budget for acquired properties versus what was spent. Mr. Grabauskas noted that HART was under budget for the acquired properties. He said that staff would provide information on property owners, tax map key, square footage, and description of parcels. Staff would also provide a breakdown of parcels already acquired and budget vs. actual.

Mr. Atta said that of the 67 acquired parcels, 38 were owned by the government. Of those still to be acquired, 29 are owned by the government. Of the remaining properties to be acquired, there are instances where multiple properties are owned by a single landowner. He said that most of those remaining properties are partial acquisitions.

Mr. Horner noted that he had received many inquiries about the Blood Bank, and noted that HART must follow many rules in acquiring properties because of the monies involved. He noted that real estate was not a large item in HART's budget, relatively speaking.

Mr. Lui-Kwan asked how difficult acquiring the properties by the end of the year would be. Mr. Grabauskas said that there are some parcels identified as important and/or difficult, but that access would be required for construction.

Mr. Horner asked if there was a contingency for real estate acquisitions. Ms. Scanlon said that there was no line item for real estate contingency, but that a portion of the budget had been set aside for contingency. Mr. Atta said that for the 67 parcels already acquired, HART was under budget by approximately $5 million.

Board member Robert "Bobby" Bunda asked how many properties are owned by government entities. Mr. Atta said that of the remaining properties, only 29 are government owned. Ms. Scanlon added that on the west side, there were more public owners, whereas the owners on the east side were mostly private.

Mr. Horner noted that most of the alignment would go through City or State streets, so takings would be mainly limited to where the columns touched down. Mr. Grabauskas said that many acquisitions would be strip takings of perhaps a few feet, to accommodate road widening because of column construction where there is no median. Ms. Scanlon noted that strip takings take as much time and effort as full takes.

Board member Carrie Okinaga noted that as a parcel by parcel budget analysis would give away HART's negotiating position, she suggested a sum total by segment. She asked if all of the identified property owners had been notified of the acquisition, and Mr. Atta confirmed that all property owners for parcels in the FEIS had been notified. However, there were a handful of properties not in the FEIS that are in the process of being notified.

Mr. Horner asked of the 67 acquired parcels, how many had been acquired by eminent domain. Ms. Scanlon said that none had, although eminent domain proceedings had been instituted in two parcels. Mr. Grabauskas added that when the original alignment had been designed, all property owners had received notification letters. However, refinement of the design resulted in additional properties being identified, as well as removal of some properties from the list. For instance, HART was able to design around a building owned by Howard Hughes, which resulted in a significant savings.

Board member Michael Formby asked whether it was necessary to record acquisitions with the Department of Land and Natural Resources. Ms. Scanlon said that the objective would be site control. Mr. Formby noted the impact that construction delay costs would have to the project.

Ms. Scanlon reviewed the recovery schedule for the Board, and noted the potential for eminent domain when there was disagreement over value, title issues, or for schedule preservation. She said that although eminent domain would be a possible mitigation strategy for schedule preservation, HART would continue negotiations with landowners throughout the process. The work plan for acquisition includes rights of entry, concurrent surveys and appraisals, and the judicious use of eminent domain. Ms. Scanlon said that HART and the City Corporation Counsel was examining the utilization of voluntary use and occupancy agreements, which would exchange irrevocable rights of entry for a percentage of the offer value. In Texas, where these agreements had been employed successfully, up to 90% of the

offer value has been tendered; HART was examining an appropriate use of this approach for the rail project. She noted that this mechanism does not waive eminent domain rights.

The work plan for relocation involves early initiation and working with the party to be relocated every step of the way and providing support. Mr. Atta added that business occupants are entitled to moving expenses, as well as a $2,500 search fee reimbursement for locating replacement property. Also available is a $10,000 benefit for marketing and reestablishing the business.

Ms. Scanlon said that the increased effort would be accomplished with increased staffing. There would be a total of six acquisition agents, and a total of seven relocation agents. Three more temporary clerical staff would be added, as well as survey mapping and appraisal consultant support. Many positions would be local, but some would be from the mainland, because of the need for expertise in the federal acquisition and relocation process. HART would also utilize its consultant's web-based information management tool, which would enable coordination and efficiency at a low cost.

The overall project ROW budget is $222 million, with $61 million already spent, and $161 million remaining.

Mr. Horner asked if the administrative costs were capitalized. Mr. Grabauskas said they were, as they were part of the project budget, not the operating budget.

Board member William "Buzz" Hong asked if the additional ROW staff would enjoy government benefits. Mr. Atta replied that the additional positions would be employees of HART's real estate consultant. Mr. Horner asked if those additional amounts would come before the Board as a change order, and Mr. Grabauskas said the Board would see that change order the following month. Ms. Scanlon noted that the contract amendment for the real estate consultant was estimated at $3.5 – 5 million. Mr. Hong asked if that amount would come from the contingency. Ms. Scanlon said that was still being discussed. Mr. Horner asked to see a breakdown of the cost when it is presented to the Finance and Project Oversight Committees. Ms. Okinaga said that the number of expected condemnations should be discussed with the Corporation Counsel department. Mr. Grabauskas agreed, and said that HART had been in communication with the Federal Transit Administration (FTA) as well, as appraisals valued over $500,000 would need to be reviewed by the FTA.

Mr. Hong asked whether efforts under the recovery would end in March 2015. Mr. Atta replied that the end date would depend on how many contested acquisitions were involved. Mr. Hong asked what the contested time frame was. Deputy Corporation Counsel Gary Takeuchi said there are many different factors involved, so there is no "normal" length of time for the process. Mr. Grabauskas said that the Board would hear monthly ROW updates.

Mr. Hong asked if any residential parcels would be acquired. Mr. Atta replied that there are possible residences in business properties that are under consideration for acquisition. Mr. Hong asked for updates on those residences. Mr. Atta agreed, and clarified that the potential acquisition is a business, but that it was recently discovered that people were living there. The parcel was originally identified as a partial take, but could be converted to a full take because of the magnitude of impact to the landowner and the business. Mr. Horner noted that

HART was taking the minimum amount of land required for the project. He asked for a separate line item for excess land and revenue.

Mr. Lui-Kwan commended Ms. Scanlon, Mr. Atta and Mr. Yogi on the detailed plan. He called for public testimony.

Russell Honma provided testimony congratulating Mr. Fuchigami on his new position, as well as on the possible rail extension to the University of Hawaii.

V. Discussion of Proposed Limited Meeting

Mr. Lui-Kwan stated that the full Board would discuss a tour of the sites of the guideway and 21 stations, including construction sites. He said that section 92-3.1 of the Sunshine Law specifies that limited meetings are possible if the meeting is necessary but the location is dangerous to health or safety, or if an on-site inspection is necessary and public attendance is impractical. Mr. Bunda stated that the recent virtual tour given by HART Director of Design and Construction Lorenzo Garrido clarified many issues for him. Mr. Grabauskas stated that seeing the station sites would make it easier for Board members to conceptualize what is underway and planned.

Ms. Okinaga asked if the limited meeting rule was a recent amendment to the Sunshine Law. Mr. Takeuchi said that it was not recent, and is in place so that in some situations limited meetings can occur when the requisite determinations are made by Sunshine Law bodies . Once the Board determines the need for such a meeting, the Office of Information Practices would then be consulted. Mr. Lui-Kwan said that the determination would be an action item for the next meeting.

VI. Adoption of Executive Director and CEO's Evaluation

Ms. Okinaga said that the Executive Director and CEO's evaluation report documents the evaluation discussion that occurred at a prior meeting. A copy of the evaluation report is attached hereto as Attachment B. Ms. Okinaga noted that the future performance objectives were not being voted on.

Ms. Okinaga moved for adoption of the evaluation, and Mr. Bunda seconded the motion. All being in favor, the motion carried unanimously. Ms. Okinaga noted that Mr. Grabauskas had authorized the release of the evaluation report following its adoption.

VII. Discussion of Chair's Annual Report to the Mayor and City Council

Mr. Lui-Kwan said that the Revised Charter of the City & County of Honolulu requires that the Board make an annual report to the Mayor and the City Council. The reporting period will be July 1, 2013 to June 30, 2014. A draft report would be circulated, and the report would be finalized at the next meeting, for submission to the Mayor and City Council.

VIII. Adoption of FY2015 Business Plan

Mr. Grabauskas said that following the previous Board meeting, members' comments were incorporated into the draft FY15 Business Plan. A copy of the Business Plan is attached hereto as Attachment C.

Mr. Lui-Kwan called for a motion for adoption of the Business Plan. Mr. Hong so moved, and Board member Damien Kim seconded the motion. All being in favor, the FY15 Business Plan was unanimously adopted.

IX. Adoption of FY2015 Operating and Capital Budgets
- A. Public Hearing
- B. Decision-making

Mr. Horner said that the Charter specifies that the Board approve the operating and capital budgets, both of which had been submitted to the City Council for input. He stated that there had been public hearings before the HART Finance Committee and the City Council. Mr. Horner expressed his concern that the Board of Directors needed more information than a resolution to adopt the FY15 budgets. A copy of the resolution is attached hereto as Attachment D.

HART Chief Financial Officer Diane Arakaki stated that the Finance Committee had approved the budgets, which had not changed. Mr. Horner said that the full Board had not yet seen the information. Mr. Formby agreed. Board member Keslie Hui said that the budget had been in process for several months, at HART, then at the City Council. Mr. Bunda also recalled that the HART Finance Committee had held a public hearing.

Mr. Lui-Kwan called for a recess at 10:24 for copies of backup budget documentation to be made.

The meeting resumed at 10:34.

Mr. Hui noted that Exhibits A and B to the resolution were the operating and capital budgets, with the same figures as presented to the HART Board of Directors in November 2013.

Mr. Lui-Kwan opened the public hearing. There was no testimony. Mr. Lui-Kwan closed the public hearing.

Mr. Hui moved for adoption of Resolution 2014-1 with the addition of the exhibits. Mr. Horner seconded the motion, which carried unanimously.

X. Discussion of the May Monthly Progress Report

Mr. Grabauskas introduced HART Project Controls Manager David Sagherian, who would be presenting highlights of the May Monthly Progress Report, a copy of which is attached hereto as Attachment E.

Mr. Sagherian said that the May report includes requested appendices. For instance, page 77 included information on change order drawdowns. Pages 98 – 99 include indices for key commodities.

In construction, the hundredth column was erected the previous week. Forty percent of the columns and 50% of the foundations in the first ten miles of the alignment were complete, with four spans of guideway erected.

Mr. Hui asked about the blue line on the commodities indices, and Mr. Sagherian said that the blue line represents January 2009 prices. He noted that contracts contain a 10 percent margin for fluctuation in price.

Mr. Horner asked how many commodities the indices cover, and Mr. Sagherian replied that all commodities were covered. Mr. Horner noted that asphalt prices were not included. Mr. Garrido clarified that the indices represent contracts priced by Kiewit. He stated that if a commodity fluctuated between zero and ten percent, there would be no adjustment for the contractor under the contract, and HART could seek a credit. The contractor would be entitled to an adjustment for any fluctuation above ten percent.

Mr. Horner asked about the steel change order approved by the Board two years prior. Mr. Garrido said that the contract for the entire 20 miles of steel did not include an index reference, so HART paid for the entire increase in price. Mr. Grabauskas confirmed that risk has been eliminated, and that HART has received all the steel. He agreed that asphalt was a commodity that should be tracked.

Mr. Hui suggested including data that reflects the difference in commodity prices at the time of the Full Funding Grant Agreement versus present prices, and how HART was dealing with the difference. He also suggested showing the risks for existing contracts, and future contracts. Mr. Grabauskas stated that staff would discuss how best to represent that data, perhaps including the budgeted amount, engineer's estimate, and actual marketplace price. He said that risks are continually evaluated.

Mr. Horner said that the elimination of the 10% cushion must be quantified. He asked when the agency's risk assessment would be presented, and Mr. Grabauskas said it would be presented in July, and that commodity prices would be part of the presentation.
Board member Damien Kim asked when construction would catch up to the schedule. Mr. Garrido said that he expected HART to approach the planned schedule in the fall.
Mr. Formby asked about the risk of the traction power sub station. Mr. Garrido said that the issue related to coordination with Hawaiian Electric Co. and service delivery, which is a critical item.

Mr. Horner asked about the $400,000 figure under Disadvantaged Business Enterprise (DBE) on page 65. Mr. Grabauskas said that was the amount paid to DBE companies, as each contract has a DBE goal. He reminded the Board that prior to the execution of the FFGA, the DBE goal was 3.5%, and approximately half of the outstanding contracts were let under that standard. However, contracts currently being let follow the current program DBE goal of 13%. He noted that the Industry Day forums were designed to pair up small local businesses with large contractors.

Ms. Okinaga questioned the utility of the quarterly balanced scorecard, since the monthly progress report provides the most updated information. Mr. Horner said that the balanced scorecard was needed while the project was in construction. Mr. Grabauskas said one benefit of the balanced scorecard was for historic documentation, and he expected that when the project is in operations, the monthly reports would continue. Mr. Grabauskas reported that GET surcharge revenues for the first quarter of 2014 were $43 million, and that the second quarter figures would be expected in the next few weeks. Page 16 indicates that the total GET surcharge revenues are $28 million less than planned, which is an improvement over previous quarters.

Mr. Hong asked about the status of the nine station group construction procurement. Mr. Garrido said it was in progress and should be completed by September. Bids close in August. Mr. Grabauskas added that in addition, the Pearl Highlands parking garage procurement would occur in two steps: qualification and procurement. The Airport/City Center guideway procurement would begin in July. The construction procurement for the four Airport stations would go out in October or November of 2014. In 2015, the eight City Center stations construction procurement would occur.

Mr. Horner asked if the Airport stations package would include access ramps to the airport. Mr. Garrido said the ramps would be included in the second ten miles of guideway. Mr. Hong asked how much savings HART would realize by bundling the station contracts. Mr. Garrido said he would provide that information to Mr. Hong.

XI. Quarterly Balanced Scorecard Update

Mr. Grabauskas solicited comments and questions from the Board members, and noted that the data is as of a couple of months ago. There were no questions or comments. A copy of the Balanced Scorecard is attached hereto as Attachment F.

XII. Construction and Traffic Update

Mr. Garrido introduced West Oahu/Farrington Highway (WOFH) Project Manager Karley Halsted, HART Information Specialist Scott Ishikawa, and Kiewit's Allison Andrade, who would present on the status of construction and traffic. A copy of the presentation is attached hereto as Attachment G.

Mr. Garrido reported that at the Maintenance and Storage Facility, progress continued on the Operations and Service Building and Maintenance of Way buildings, as well as on utilities. Ms. Halsted reported that in the WOFH section, over 500 precast guideway segments had been completed. Mr. Hui asked how many segments were expected to be cast, and Ms. Halsted said 5,200 segments would be needed for the first ten miles. She reported that utilities were 40% done in the WOFH section, and that the north access underpass was up. She reported that shaft and column work continued. The footing had been poured for the balanced cantilever, and the column rebar cage had been erected. Mr. Bunda asked how high the balanced cantilever would be, and Ms. Halsted said she would get that information to the Board. Segment erection continued in Hoopili, and shaft work continued for the Hoopili station.

Ms. Halsted reported that in the Kamehameha Highway Guideway (KHG) section, crews were demobilizing after finishing test shaft 12. Work on test shaft 15 continued, along with utility and roadway widening work. She reported that Kiewit was utilizing crash trucks at work sites to increase jobsite safety.

Mr. Ishikawa reported that HART had received no complaints regarding the Farrington Highway closure or the Fort Weaver Road detour.

Ms. Andrade reported on closures on Farrington Highway and Kamehameha Highway for balanced cantilever construction, utility relocation, and test shaft work.

HART Deputy Executive Director Brennon Morioka provided a briefing on traffic coordination with other government entities, as work on the rail project was scheduled concurrently with other road work. Mr. Morioka said that weekly traffic mitigation meetings were being held with stakeholders from the City Department of Transportation Services, the State Department of Transportation (HDOT), and HART. Other stakeholders would be included in the future as needed. In addition to coordination, the group focused on sharing work zones and minimizing work areas. Mr. Morioka said that an HDOT employee was co-located in HART's Waipahu field office for coordination purposes.

Mr. Formby expressed his appreciation for the open communication between entities.

XIII. Executive Director and CEO's Report

Mr. Grabauskas reported that HART staff would be making a presentation on risk mitigation in July. The presentation would include information on commodities and the escalation of costs due to lawsuits.

He reported his attendance at the American Public Transportation Association rail conference that month. Mr. Grabauskas said he made presentations at two forums, and attendees expressed much interest in the project because of its driverless technology.

Mr. Grabauskas reported on two recent milestones: the erection of the hundredth column, and the erection of the first guideway spans.

Mr. Grabauskas reported on gifts made to the rail project, which included the subsidy of a trip to London for him to speak at the MetroRail conference, as well as donations for the Art with HART anti-graffiti project. Mr. Grabauskas then screened a video of the Art with HART project, which transformed a HART-owned building that was the target of vandalism into a work of art. High school students from three local schools participated in the project to paint a mural depicting their community.

XIV. Election of Board Officers, Effective July 1, 2014

Mr. Lui-Kwan said that the Board of Directors' Rules and Operating Procedures at rule 2.2A require the annual election of Board officers. He invited motions for the nomination of Chair and Vice Chair for FY15.

Mr. Kim made a motion for Mr. Lui-Kwan to be re-elected as Board Chair. Mr. Bunda seconded the motion. All being in favor, the motion carried unanimously.

Mr. Horner voiced his appreciation of Mr. Lui-Kwan's leadership. He opined that a two-year term was preferable to a one-year term, and Board member George Atta agreed.

Mr. Formby made a motion to re-elect Mr. Horner as Vice Chair. Mr. Hong seconded the motion. Mr. Lui-Kwan acknowledged Mr. Horner for his efforts regarding HART's debt financing, and expressed his appreciation for their partnership in the previous year. Mr. Horner acknowledged the work of Gary Kurokawa and Nelson Koyanagi of the Department of Budget and Fiscal Services. Ms. Okinaga thanked both Mr. Lui-Kwan and Mr. Horner for their leadership, and for keeping the Board engaged and in communication with Mayor and City Council. The motion carried unanimously.

XV. Executive Session

There was no need for executive session.

XVI. Adjournment

Mr. Lui-Kwan adjourned the meeting at 11:45 a.m.

Respectfully Submitted,

Cindy Matsushita
Board Administrator

Approved:

Ivan Lui-Kwan, Esq.
Board Chair

Date

# ATTACHMENT A

# HART

HONOLULU AUTHORITY for RAPID TRANSPORTATION

# Right-of-Way Recovery Plan

**Elizabeth Scanlon**
**Director of Planning & Right-of-Way**

**Morris Atta**
**Deputy Director of Right-of-Way**

**Dean Yogi**
**Assistant Deputy Director of Right-of-Way**

# Background on Acquisitions

- Federal litigation injunction on City Center right-of-way lifted February 18, 2014
- Right-of-Way efforts must now be <u>accelerated</u> to meet Project schedule
- Goal: Obtain site control of all properties by December 15, 2014

# Meeting Our Challenges

- Tighter timeline for acquisitions:
  146 acquisitions in 6 months
- Increased staff dedicated to meeting key deadlines
- Improved information management tools
- Improved utilization of consultant support
- Working closely with all affected property owners and the community

# Meeting our Goals

- Balance respect for property owner with schedule needs and project budget
- Balance responsibility of staying within the budget in a changing real estate market
- Continue to communicate and educate effectively
- Negotiate fairly
- Meet requirements of the Uniform Act

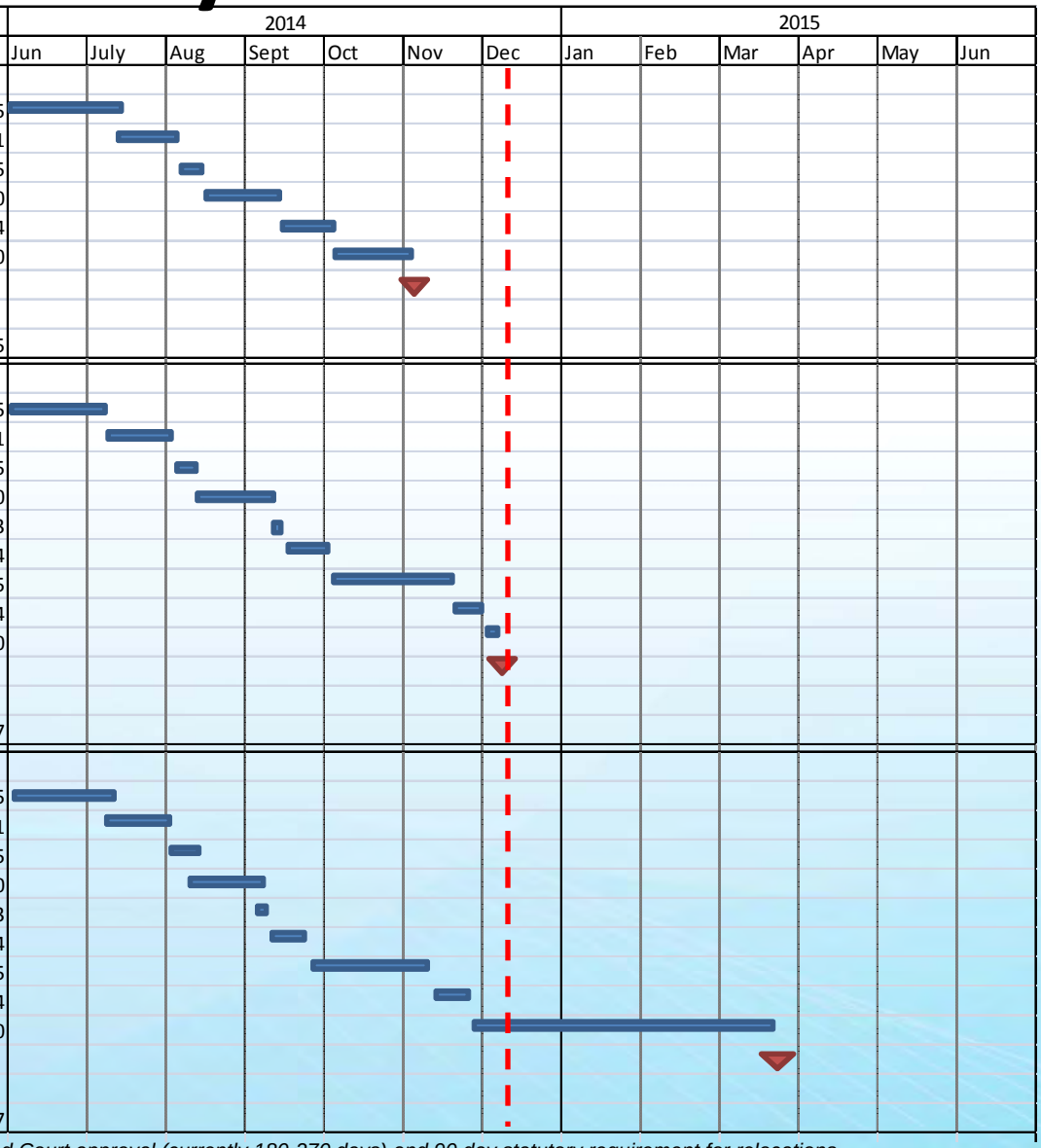
# Property Acquisition Status

**Project Wide as of 06/03/14**

| | |
|---|---|
| Total Properties Needed | **213** |
| Total Properties Acquired | **67** |
| Total Remaining for Acquisition | **146** |

# Recovery Schedule

| Major Activity | Duration |
|---|---|
| **Negotiated Agreement** | |
| Survey & Appraisal (Concurrent) | 45 |
| Appraisal Review | 21 |
| FTA Concurrence (Offer over $500K) | 15 |
| Offer and Negotiations | 30 |
| FTA Approves Settlement (over $50K change) | 14 |
| Acceptance/Escrow/Possesion and Use | 30 |
| Property Available for Contractor | |
| Total Days | 155 |
| **Condemnation - Friendly** | |
| Survey & Appraisal (Concurrent) | 45 |
| Appraisal Review | 21 |
| FTA Concurrence (Offer over $500K) | 15 |
| Offer and Negotiations | 30 |
| Prep File for approval | 3 |
| HART Board recommendation | 14 |
| City Council Review | 45 |
| HART Board Approval | 14 |
| Order of Possession Granted | 10 |
| Property Available for Contractor | |
| Total Days | 197 |
| **Condemnation - Contested** | |
| Survey & Appraisal (Concurrent) | 45 |
| Appraisal Review | 21 |
| FTA Concurrence (Offer over $500K) | 15 |
| Offer and Negotiations | 30 |
| Prep File for approval | 3 |
| HART Board recommendation | 14 |
| City Council Review | 45 |
| HART Board Approval | 14 |
| Order of Possession Granted | 120 |
| Property Available for Contractor | |
| Total Days | 307 |




*Timeline assumes no duration for subdivision & Land Court approval (currently 180-270 days) and 90 day statutory requirement for relocations.*

# Eminent Domain

- **Possible Actions to Meet Compressed Schedule**
  - Cooperative Condemnations
  - Contested Condemnations

# Right-of-Way Recovery Plan

- **Work Plan Strategies**
  - **Acquisitions**
    - ✓ Employ Rights of Entry
    - ✓ Make decisions quickly
    - ✓ Utilize concurrent processes
    - ✓ Judicious use of eminent domain
  - **Relocations**
    - ✓ Initiate process as early as possible
    - ✓ Proactive support for the property owners

# Right-of-Way Recovery: The Plan

- **Add Temporary Resources: June-December 2014**
  - Add 6 acquisition agents
  - Add 7 relocation agents
  - Add 3 clerical position (temps)
  - Survey, Mapping and Appraisal consultant support will increased to meet compressed schedule
  - Add legal support through Corporation Counsel

- **Enhance information management tools**

# Right- of- Way Budget

| Budget | Expended | Remaining |
|---|---|---|
| $222,188,386 | $61,157,437 | $161,030,949 |

- Challenge to stay within budget

# Contract Amendment to Fund the Recovery Plan: July Board Meeting

- **Reason for Amendment**
  - Increased temporary consultant staffing support to meet new schedule demands
    - ✓ Adding acquisition and relocation agents
    - ✓ Other direct costs
  - Increased other support services, such as appraisers; accelerated processing
  - Enhanced and accelerated data management
  - Estimated Cost of Amendment: $3.5M- $5M

# *Mahalo!*

HONOLULU RAIL TRANSIT

# ATTACHMENT B

# Performance Evaluation Report

## Executive Director and Chief Executive Officer

### Honolulu Authority for Rapid Transportation

**April 2013 – March 2014**

DRAFT

## Introduction

Appointed by the Board of Directors (Board) of the Honolulu Authority for Rapid Transportation (HART), the Executive Director and Chief Executive Officer (Executive Director) receives policy direction from the Board and is responsible for planning, directing, and administering all of the affairs of HART, including running the day-to-day operations of the Authority. The Executive Director makes recommendations to the Board on budgets, policies, plans, and rules, and reports regularly on the performance of the agency.

Pursuant to Section 17-103.3(d) of the Revised Charter of the City and County of Honolulu 1973 (2000 ed.), the Board shall "[e]valuate the performance of the executive director at least annually; and submit a report thereon to the mayor and council."

Daniel A. Grabauskas was appointed by the Board as Executive Director and Chief Executive Officer of HART and began service on April 9, 2012. This is the second annual evaluation of Executive Director Grabauskas.

## Methodology

In evaluating the Executive Director, the Board considered the following performance factors: Leadership Qualities (effectiveness and competence; positive attitude and morale; personal and agency integrity; creativity; relationships; and openness and transparency) and Managerial Skills (organizational structure; delegation; personnel and staffing; budget and fiscal matters; communication skills; training and development; and community relations).

The following evaluation components were then applied to the performance factors:

| | | |
|---|---|---|
| FAILS TO MEET EXPECTATIONS | - | Results achieved do not meet required expectations and objectives |
| IMPROVEMENT REQUIRED | - | Results achieved do not meet required expectations and require improvement |
| MEETS EXPECTATIONS | - | Results achieved meet required expectations and objectives |
| EXCEEDS EXPECTATIONS | - | Results achieved exceed required expectations and objectives consistently |
| EXEMPLARY | - | Results achieved surpass required expectations and objectives without exception |

The Board also considered the Executive Director's performance in meeting the annual performance objectives agreed to by the Board and the Executive Director for his second year in office.

## Evaluation

Overall, the Board was very favorable in its evaluation of the Executive Director. Members noted his skill in leading the agency through the resolution of the State and Federal court lawsuits that sought to stop the rail project. Board members also commented on his creativity in finding positive opportunities in seemingly negative events, as well as his strength in building community relationships and maintaining the tone of transparency set in the previous year.

The Board's evaluation of the Executive Director for the period April 2013 to March 2014 is as follows:

DRAFT

A. Leadership Qualities. The leadership qualities assessed by the Board are Effectiveness and Competence; Positive Attitude and Morale; Personal and Agency Integrity; Creativity; Relationships; and Openness and Transparency.

Executive Director Grabauskas was scored very high by the Board for each of these leadership qualities, with most Board members rating the Executive Director's performance as achieving either "exceeds expectation" or "exemplary."

As they did in the previous year, the Board members recognized the Executive Director's accomplishments in continuing to advance an agency culture of transparency. He has guided the agency in refining and improving the Balanced Scorecard and Monthly Progress Reports, thereby rendering Project information more understandable and accessible to the Board and the public.

Board members also noted that Mr. Grabauskas was particularly skillful in his ability to build relationships with the Native Hawaiian community, the community at large, the City, the State, the Board of Directors, and staff. This, coupled with the increased level of transparency, has enabled him to foster trust in his relationships with the aforementioned, including with the plaintiff in the *Kaleikini v. Yoshioka et al.* lawsuit. He also displayed his exceptional leadership in his interactions with project contractors, taking a strong and effective negotiating stance in settling claims.

As another example of his leadership, Mr. Grabauskas exhorted staff to "make lemonade out of lemons" during the litigation-related construction suspension, by performing work that would limit or eliminate future delays upon the restart of construction. During this period, he effectively and efficiently led staff to satisfy the requirements of the *Kaleikini* ruling and resume construction on September 16, 2013 – an impressive 12 months following the Hawaii Supreme Court's *Kaleikini* ruling. This was due in large part to his good works in relationship building externally, as well as his skill in mobilizing staff and resources and focusing them on the goal of getting back to work.

Lastly, Board members commended the Executive Director for his oversight of staff in assisting Corporation Counsel and outside counsel through the resolution of the Federal lawsuit at both the U.S. Court of Appeals for the Ninth Circuit and the U.S. District Court levels. These near-simultaneous decisions in February 2014 represented the conclusion of the

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last remaining legal challenge to the project, and effectively cleared the path for resumption of construction and real estate acquisition activities in the City Center section of the project.

B. Managerial Skills. The managerial skills assessed by the Board are as follows: Organizational Structure; Delegation; Personnel and Staffing; Budget and Fiscal Matters; Communication Skills; Training and Development; and Community Relations.

As was the case with leadership qualities, Executive Director Grabauskas received a very high rating from the Board for his managerial skills. With few exceptions, Board members rated his performance in this area as “exceeds expectation” or "exemplary." They noted that his overall managerial skills have enabled HART’s respective departments to effectively perform their functions.

Board members were particularly pleased with the Executive Director’s strong communication and community relations skills. Members praised his ability to provide accurate and timely information to various stakeholders, including the Congressional delegation, Mayor, City Council, and State Legislature, as well as those in the Native Hawaiian community and the media. Mr. Grabauskas continued his close relationship with those in Honolulu Hale, providing regular project updates to the Mayor and City Council, and traveling to Washington, D.C. with the Mayor, City Council Chair and HART Board Chair for consultations with federal partners. He also solidified the Cultural Monitoring Program for implementation during data recovery efforts and construction, providing transparency and strengthening relationships with the Native Hawaiian community.

Internally, Mr. Grabauskas also effectively utilized his exemplary communication skills with staff, resulting in a clear understanding of their responsibilities. With regard to organizational development, this clear line of communication engendered staff support for the Executive Director. Additionally, Mr. Grabauskas has emphasized staff training in areas such as construction management, construction site safety, and ethics.

One Board member noted that, with regard to the organizational structure, the Executive Director displayed an ability to remain focused on the agency’s goals despite a change in ownership of the Project Management Support Consultant. Further, Mr. Grabauskas bolstered construction management support and proved his resourcefulness by restructuring the

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GEC functions and hiring two highly qualified Construction, Engineering & Inspection firms to achieve cost savings and improve project management.

On the subject of budget and fiscal matters, Mr. Grabauskas has maintained his focus on the budget vis-à-vis project contingency and change orders, while working within the constraints imposed by the lawsuits. One Board member noted the need to have an updated financial plan, debt financing in place, and a long-term staffing plan, in the coming evaluation year. The Executive Director has been working with staff on these areas, to achieve savings opportunities while providing adequate cash flow and staffing.

C. Performance Objectives. As noted previously, the Board and Executive Director Grabauskas agreed to annual performance objectives for his second year in office. These objectives, attached to this report as Exhibit A, encompassed numerous specific items in the categories of organizational development, project delivery, stakeholder interactions and community leadership, and Board interaction.

On March 31, 2014, the Executive Director submitted his self-evaluation report on his efforts to meet the agreed-to annual performance objectives. (See Exhibit B.) The Executive Director's assessment clearly explains how he met the objectives articulated for his second year on the job. Through the Executive Director's efforts, and the dedicated efforts of his entire HART team, to whom he gives well-deserved credit, great accomplishments have been achieved in the past year.

In his self-evaluation report, Mr. Grabauskas identified a number of areas of focus for the coming year. These include a concentration on project safety, and a continued commitment to keep the project on schedule, particularly regarding pre-cast segment and column construction. He noted that considerable efforts would be focused on awarding four major construction contracts in FY15. The Executive Director's goals also include continued transparency, and continued promotion of TOD efforts. He pledged to develop a recommendation on fare policies, and to continue the bus-rail integration effort. On the financial side, his goals include a continued effort to achieve federal funding, budget oversight, and facilitating a project financing plan. Lastly, he will focus on maintaining Board and staff relationships. Taking into consideration these areas of focus, the Board will develop annual performance objectives for the coming year with the Executive Director, and these objectives will be utilized in next year's annual evaluation.

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In summary, during the past evaluation period Executive Director Grabauskas made an exemplary showing of shepherding the agency through many challenges, while maintaining focus on delivering the Project on time and within budget. For the next review period, the Board will base its evaluation in part upon the new annual performance objectives to be agreed upon by the Board and the Executive Director.

## Conclusion

Executive Director Grabauskas is to be commended on an excellent second year as the chief executive officer of HART. He continues to demonstrate that he is an experienced, energetic, creative, resourceful and effective leader. Having consistently achieved exemplary results and having exceeded expectations in many respects, Mr. Grabauskas has established an impressive benchmark that he will be challenged to meet in the coming year.

DATED THIS ___ DAY OF JUNE, 2014.

_____
HART Board Chair

_____
Date

_____
HART Human Resources Committee Chair

_____
Date

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# ATTACHMENT C

HONOLULU AUTHORITY for RAPID TRANSPORTATION

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# BUSINESS PLAN
for
# FY2015

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April 2014

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# HART FY2015 Business Plan

## Introduction and FY2015 Executive Summary

This document provides the fourth annual Business Plan for the Honolulu Authority for Rapid Transportation (HART) covering fiscal year 2015 (July 1, 2014, through June 30, 2015). It is designed to describe HART's business activities and resource allocations during the agency's fourth year in existence in accordance with its responsibility for building and ultimately operating the Honolulu Rail Transit Project (HRTP), from East Kapolei in West Oahu to Ala Moana Center.

The FY2015 HART Business Plan describes why HART exists as an organization; the goals and performance measures the agency has established; what it will seek to accomplish during its fourth year; and how it will go about performing its responsibilities. The HART Board of Directors (BOD) will review and approve the FY2015 Business Plan in conjunction with its final approval of an FY2015 Budget. In the future, it is envisioned that HART will prepare an annual Business Plan with a multi-year moving timeframe. The annual Business Plan will provide historical information and a projection of key operating and financial information for at least one year beyond the fiscal year which is the focal point of the Plan to provide a look-ahead for management planning and performance trend oversight purposes.

**FY2015 Executive Summary**

FY2015 will be a pivotal year for HART. The agency is coming off successful litigation results and the restart of construction in FY2014. During the one year lull in construction, the agency took steps to advance many activities critical to the schedule and to beef up its capacity to manage the project's construction. Federal support for the project is strong. There is a high level of interest in creating transit oriented development around rail stations with several projects in the works. Additionally, relations with the community have improved as a result of efforts to work with community representatives and increase the transparency of the agency's activities.

Despite these positives there are very big challenges for the project starting in FY2015 and over the next several years. Major construction contracts will be bid and awarded during the year totaling nearly $1.5 billion in contract value. The agency will need the City and County of Honolulu to issue short term debt to help deal with cashflow needs for the increasing level of expenditure that will occur as a result of all the construction activity on the project. With the award of the construction contracts and the issuance of debt, the Financial Plan will need to be updated. Finally, and of critical importance, will be HART's efforts to manage the ongoing construction against the schedule and budget for the project while mitigating traffic impacts and maintaining communications with businesses and residents along the route under construction.

During FY2015, major policy decisions will need to be made on rail system operations and maintenance that will have long term implications for costs, service quality and customer service. Included are the adoption of a Fare Policy and a decision on the fare collection system to be used; plans for the integration of bus and rail services; the integration of

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administrative functions between HART and Oahu Transit Services (OTS) to save money and provide good customer service; and a slew of critical issues such as how HART will execute its oversight of the operations contractor and carry out the functions it will be responsible for such as inspections and repairs of stations and the aerial guideway structure.

Complicating all of the agency's efforts will be a number of risk factors that could impact the schedule and budget for the project and the assumptions that have been made for both aspects. This includes the following:

- The high level of construction on Oahu, which will result in greater competition for resources in a confined, remote marketplace and result in higher costs for materials, labor and construction equipment
- Interest rate increases driven by marketplace dynamics, world events and federal policy actions
- Actual vs. planned General Excise Tax (GET) surcharge growth in the future
- Timely availability of construction sites for contractors to avoid costly delays

HART recognizes the existence of these risks and will endeavor to take steps to minimize or protect against potential impacts to the maximum extent possible while carrying out the implementation of the HRTP. To address these risk factors, specific actions include at least the following:

- Monitoring and controlling the pace of construction and change orders
- Taking steps to foster greater competition for the upcoming construction contracts
- Timely award of these construction contracts
- Completing permitting, utility relocations and property acquisitions in a timely manner to avoid construction delays
- Managing the project scope and budget carefully to maintain a cost cushion against exceptional cost increases and/or underperforming revenue receipts while still delivering a quality product for the public to use and one that is consistent with the commitments HART has made
- Making critical decisions in a timely fashion on operations and maintenance policy matters
- Maintaining the organization's technical capability and capacity to successfully carry out implementation of the project as well as preparations for the start of revenue service.

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# Agency Progress: FY2014 Highlights

FY2014 was HART's third year of existence. During the year, the HART BOD, staff, and consultant team made significant progress toward achieving the vision of bringing rapid transportation to O'ahu despite major challenges presented by litigation. Shown below is a brief summary of major events and accomplishments during HART's third year:

**Litigation Matters:**

- State Litigation - HART successfully completed all requirements set by the Hawaii Supreme Court in its ruling on the *Kaleikini v. Yoshioka, et al.* law suit. The agency completed an Archaeological Inventory Survey (AIS) on all four sections of the alignment two months ahead of schedule. During the AIS work, a first-of-its-kind cultural monitoring program was developed. This program will serve as a model for the remainder of construction on the HRTP. The results of the AIS for the entire alignment were submitted to the State Historic Preservation Division (SHPD) for review and approval was received on August 29, 2013.
- Federal Litigation - In the case of *Honolulutraffic.com et al. v. FTA, et al.*, on February 18, 2014 all federal court actions were successfully concluded in the project's favor. The Federal Court of Appeals for the Ninth Circuit in San Francisco and the U.S. District Court ruled in favor of HART and the Federal Transit Administration (FTA) and against the plaintiff's claims of deficiencies in the project's environmental impact statement. Later that day, the plaintiffs in the case conceded that they had reached the end of their legal quest to stop the HRTP. Defendants in the case had satisfied the requirements of the district court's prior ruling by filing a Notice of Compliance with the court on October 3, 2013 informing the court that the three additional studies required had been completed including:

    - ✓ City Center Traditional Cultural Properties Report
    - ✓ Beretania Street Tunnel option analysis
    - ✓ Mother Waldron Park impacts study

Successful resolution of both the State and Federal court cases ended all outstanding litigation that had delayed the project's implementation.

**Project Delivery:**

- After a one year delay, construction activities on the West Oahu/Farrington Highway guideway section were re-started on September 16, 2013 as a result of the successful completion of all requirements set for HART by the Hawaii Supreme Court in the *Kaleikini* law suit.
- The restart of construction was facilitated by significant efforts undertaken by HART's Planning and Permitting staff which included:
    - Getting approvals from SHPD of the AIS Reports; the Interim Protection Plan (IPP) for the project; and obtaining SHPD's determination that the requirements of Hawaii Revised Statutes Chapter 6E had been meant by the project.

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    - And finally, obtaining the needed Special Management Area (SMA) permit from the City and County of Honolulu.
- Planning staff also completed a series of steps to address issues raised in the federal lawsuit that ultimately led to the lawsuits resolution. The steps involved an extensive amount of work and produced the following:
    - Completion of the required Determination of Eligibility and Finding of Effect documentation for Section 4 Traditional Cultural Properties.
    - Completion of a Final Supplemental Environmental Statement/Section 4(f) Evaluation which re-examined the Beretania Tunnel Alternative and the impacts on Mother Waldron Park and included by reference the evaluations of previously unidentified aboveground traditional cultural properties within the project corridor. This work led to an amended Record of Decision for the project being released on September 30, 2013.
    - The issuance of the Order Modifying the Partial Injunction on October 17, 2013 which allowed HART to resume negotiations for the acquisition of real property with various public agencies, relocations of tenants from properties already acquired and to acquire certain Dillingham Boulevard properties required for the project and for the Beretania Tunnel alternative.
- During the delay period HART was able to acquire permits, execute rights of entry, acquire land and complete various agreements needed that will help to limit exposure to future delays and delay claims.
    - Agreements were completed with the University of Hawaii; State of Hawaii Department of Transportation (HDOT); HDOT – Airport Division; the Department of Hawaiian Homelands (DHHL); the Department of Land and Natural Resources (DLNR); the US Navy; Hawaiian Electric and several other utilities; and the Aloha Stadium Authority.
    - Out of 197 property acquisitions identified as needed for the HRTP, to date HART has acquired 38 properties at a cost of $12,725,000. Out of 94 identified relocations, HART has completed 36 relocations, and 20 are in progress. Of the anticipated 94 relocations, 21 are residential, 72 are business and one is non-profit.
    - During FY2014, HART worked to secure needed permits and other approvals required for pre-construction and construction activities. The most significant effort was on the Section 404 and Section 401, and associated activities, for Waiawa Stream. This includes permitting for the Guideway columns and the Pearl Highlands parking structure by the US Army Corps of Engineers and State Department of Health. HART also secured needed pre-construction permits for in-water geotechnical work in the Airport section; noise permits for the Airport and City Center Sections, and storm water discharge. HART also coordinated closely with FTA for continued consultation for the activities required by the Section 106 Programmatic Agreement.
- The following design work was completed during FY2014: final designs for eight of nine stations in first 10 miles; final design for the Airport segment utilities; and approximately 95% design for the Airport – Center City guideway.
- On guideway construction, columns built by end of FY2014 will total 140 out of the 422 columns to be built in the first 10 miles of the alignment. In addition, the first pre-cast sections of the guideway will be put in place in the Kapolei area by the end of FY2014.

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- Construction of the Maintenance and Storage Facility (MSF) progressed with site grading and drainage completed and construction work started on building foundations and various retaining walls.
- Delivery of the power contact rail was completed. HART now has possession of all running rail and power contact rail ("third rail") needed for the project.
- The procurement process for design-build of the Pearl Highlands Parking Garage and Transit Center was initiated. Award of a contract with the successful firm is expected to be made by the end of the second quarter of FY2015.
- During FY2014, two HART "Industry Day" events were held to educate local construction businesses and Disadvantaged Business Enterprise (DBE) firms on the opportunities for work on the project and to facilitate connections between prime contractors and subcontractors. These events are expected to increase competition for future construction contracts which will help keep construction costs as low as possible and should also increase participation by local firms and DBE's in the project.
- During FY2014 Procurement was successful in supporting two key programmatic initiatives: (1) Establishing a new General Engineering Consultant (GEC) contract to further HART's enhanced project delivery model where the focus is on HART's taking the lead in project management/direction and (2) Adjusting and repackaging the Construction, Engineering and Inspection (CE&I) contracts from our previous plan in order to mitigate some of the cost and schedule impacts resulting from the one-year suspension. As a result the procurement schedule for certain key contracts accelerated and had to be achieved within a one year period. During this time the following contracts were awarded and/or are pending award: Owner-Controlled Insurance Program (OCIP) Brokerage Services, GEC III, CE&I West, CE&I East, Core Systems Support, Safety and Security Support, Right of Way mapping and surveying support, Archaeological & Cultural monitoring support and the Airport Section Utilities construction contract.
- In FY2014, the project passed the milestone of having created 1,000 direct jobs in every sphere from construction to design to administration. This level of job creation is on a pace consistent with the project's status toward achieving 4,000 direct jobs created in the 2015-17 construction period.
- On the Public Art Program, a "Call for Artists" was launched via the Western States Arts Federation online CallForEntry.org system to solicit applications from professional artists and artist teams. Artists were asked to submit their qualifications for evaluation to be selected for inclusion into HART's Pre-Qualified Artist Registry. The architectural team worked with the design consultants to establish the art opportunities (site and media) for the 21 stations and the MSF—Operations and Service Building. The Program launch included:
    - Advertisements placed in major city newspapers and listings on national and local visual art organization websites.
    - Over 600 postcard mailers sent to artists, media and visual art organizations.
    - A pre-submittal workshop was held with over 200 in attendance and on the phone. Over 400 applications were received.
    - Transit Art Committee (TAC) composed of art and design professionals and HART staff was formed to evaluate the applications and select the artists to be involved with the project.
- On Transit Oriented Development (TOD) in FY2014, HART devoted staff time to land use planning and coordination with partner agencies and surrounding landowners.

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HART staff participated in the City and County of Honolulu Mayor's Subcabinet on TOD. This Subcabinet brings together the directors and deputy directors of every city agency to identify ways to work together to enhance TOD facilities and break down silos that could exist between different municipal agencies. HART has also assisted DTS in a series of "walk audits" around station areas. Management from various municipal agencies go on-site to each station to identify opportunities for multimodal enhancements such as bicycle lanes, pedestrian cross walks, and improved connectivity.

**Finances:**

- HART will receive $167 million in FY2014 from the FTA bringing total federal funding received to date for the HRTP to $243 million. In February 2014, Congress passed and the President signed an appropriations bill, which contains another $250 million for the project, the largest single appropriation for any project in the United States. This brings federal funds allocated to the project to $806 million, more than half of the $1.55 billion committed to the project in the Full Funding Grant Agreement (FFGA). The President's 2015 budget includes another $250 million for the project, again, the largest amount for any New Starts project in the Country.
- Made enhancements to the agency's financial reporting to the HART Board and to the community thru the HART website. The monthly reports format and the agency's quarterly Balanced Scorecard were revamped and are distributed regularly.
- Completed the agency's second annual financial audit cycle, which yielded overall favorable conclusions and only one finding which was addressed. Issued the second annual financial statement for HART since becoming a semi-autonomous unit.
- GET collections in FY2014 are expected to total $219 million bringing the total collected to date to $1.248 billion which is $27 million less than forecast in the June 2012 Financial Plan.
- Took aggressive action to minimize the cost impact of the construction suspension. Negotiations with the contractors affected are ongoing. While the exact impact of the suspension is not yet know, outstanding contractor change requests for all contracts from the start of the project are currently estimated to be between $64 and $120 million.

**Organizational Development:**

- In FY2014, 25 new staff persons were recruited to fill vacancies and continue the transition of consultant provided embedded staff in several positions to positions held by HART employees. These efforts are mindful of the need for HART to continue to have the technical capacity needed to carry out the largest public works project in Hawaii's history and to meet FTA requirements in accordance with the FFGA.
- Progress was made in building staff capacity in the Design and Construction Management Department to handle change management and oversee construction management activities during the coming years.
- Major steps were also taken to ramp up construction management support in preparation for the significant amount of construction that will occur during FY2015 to FY2017. Two CE&I firms were hired to assist HART construction management staff in overseeing work on the western and eastern half's of the alignment. In addition, the GEC contract was re-competed and a new firm brought on board to provide various engineering

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services and support for the project. All three firms will be involved to the final completion of the project.

- Training activities for HART staff continued in FY2104 covering a wide variety of areas from safety awareness, computer systems, civil rights, legal requirements to ethics.
- On Fare Policy, the HART Board approved Permitted Interaction Group (PIG) continued to work on developing a Fare Policy to recommend to the full Board in FY2015. The PIG is investigating fare policies of other transit agencies including bus and rail farebox recovery ratios, fare levels and media, possible alternative sources of revenue, and fare collection systems and technologies.
- On Bus – Rail Integration, the working group established with OTS continued its work on exploring how best to integrate bus and rail services, as well as opportunities for consolidating administrative and other functions between HART and OTS to improve cost efficiency and customer service. The DTS plans to retain consulting services in FY2015 to rework the OTS network of bus routes to feed the rail line and improve service in other areas of Honolulu.
- Made progress on establishing a Safety and Security awareness culture at HART during construction and for future operations:
    - Established committees to focus on safety including the Fire-Life-Safety Working Committee; the Life Safety Review Committee for design reviews; the System Safety Executive Committee made of senior HART staff; and participation in the agency's Change Control Review Committee.
    - On Federal Rail Safety Oversight requirements: established a joint HART – HDOT Committee which meets monthly and gained FTA approval of HDOT's Rail Safety Standard to guide HDOT's ongoing role as the Rail Safety Oversight agency for HART and future rail operations.
    - Held monthly meetings with the Core Systems contractor Ansaldo Honolulu Joint Venture to work towards establishing various plans including the System Safety Plan; the System Security Plan; the Investigations Plan; the Emergency Preparedness Plan; the Operations Plan; and a Preliminary Hazard Analysis Plan.
    - Completed a Threat & Vulnerability Analysis of the Airport and Federal Courthouse areas to the satisfaction of the Transportation Security Administration (TSA) and the Federal Court Chief Judge.

- On Equal Employment Opportunity (EEO)/DBE matters, achieved the following:
    - DBE participation on the project to date totals 6.33% of FTA funding drawdowns against the approved project goal of 13%.
    - Got more specific DBE participation requirements incorporated in new contracts to be let by HART.
    - The previously mentioned HART Industry Day events had significant DBE firm participation which is expected to result in greater DBE involvement in the remaining contracts to be let.
    - The agency's workforce utilization profile is very close to matching the service area's population make-up with underutilization existing in only four areas which will be focused on in future recruitments.

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# HART Business Strategy

Public transportation is a service business that utilizes both human and physical assets to deliver its product in the marketplace. A transit agency is in competition with the automobile to increase its share of the travel market. Success in achieving a greater market share requires that a transit agency have a clear strategy for how it will go about delivering its product to prospective consumers. As a public agency, HART's business strategy must not only be easily understandable to the agency's employees and contractors but must also be understandable to the general public.

This section of the FY2015 Business Plan describes the basic elements of the HART business strategy. The elements include statements on why the agency exists and what it is trying to achieve, as well as a framework for how HART will go about accomplishing what the public has asked it to do. This framework includes Goals and a "Balanced Scorecard" (BSC) for measuring and tracking over time how well HART is doing its job. A later section of the FY2015 Business Plan describes the organizational development strategy HART is utilizing to achieve its Mission and Vision and accomplish the Goals the BOD has established.

**Mission Statement** *(why the agency exists)*

HART's Mission is to plan, design, construct, operate and maintain Honolulu's high-capacity, fixed guideway rapid transit system.

**Vision Statement** *(what HART is trying to achieve)*

In accomplishing its Mission, HART will contribute to the quality of life on O'ahu by:

- Mobility: Improving mobility for all residents, visitors, and businesses on O'ahu particularly in the densely populated and congested corridor along the urbanized southern shore of the island.

- Reliability: Improving the reliability of travel in the corridor by offering a travel choice that will not be subject to at-grade level traffic congestion.

- Land Use: Supporting the City's land development policy by providing access to an area targeted for development of a new urban center and helping create transit-oriented development along the rail line.

- Equity: Providing people who are dependent on public transportation with an improved means of accessing economic and social opportunities and activities.

- Sustainability: Protecting the environment and lessening dependence on non-renewable fossil fuels.

Note: This **Vision Statement** is based in part on the Environmental Impact Statement prepared for the HRTP.

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**Goals** *(how HART will go about accomplishing the Vision and fulfilling its Mission)*

In order to accomplish its Mission and realize the benefits described in the Vision, HART must accomplish the following goals:

1. Project Delivery: Complete the project on time and within budget while:

    - Ensuring the safety and security of the public, HART employees, and construction workers;
    - Minimizing the impacts on adjacent natural, cultural, and built environments and communities; and
    - Fulfilling environmental mitigation commitments.

2. Service Delivery: Ensure that the design and actual construction of the project will facilitate the delivery of safe, high quality, and cost-efficient service in the future.

3. Stewardship of Resources: Maintain public trust through the prudent and transparent use of financial, human, and environmental resources.

4. Livability: Support the creation of mixed use, pedestrian-friendly, compact development along the rail line.

5. Partnerships: Pursue partnerships with the private sector to create economic opportunities and generate income and cost savings for the rail transit system.

6. Agency Culture: Foster an organization that is open, accountable, inclusive, and delivers better than promised results.

**Performance Metrics**

Performance expectations and metrics flow out of the Vision and Goals for the agency and are intended to help an organization measure its progress toward achieving the Vision and Goals. Performance metrics for HART will help the BOD and agency management, as well as the Authority's stakeholders and the general public, measure and evaluate the agency's progress and will aid in maintaining transparency on what HART is doing with taxpayer money. Management staff will compile and provide periodic reports to the BOD on the performance metrics. The information will also be reported to the City Council and the community in an annual report.

Performance metrics for HART have been incorporated into a BSC for the agency. The BSC establishes and will track over time metrics that measure performance in achieving the Goals which the BOD has established for the agency. The proposed HART BSC is shown in **Appendix A** of the Business Plan.

As shown in Appendix A, the HART BSC is structured to provide performance measures and metrics encompassing the six Goals the BOD has approved. The BSC establishes the fiscal year objectives for each measure. Space is provided for HART management to provide information on actual results or status for each of the performance measures and metrics delineated in the BSC during quarterly reports to the HART BOD. These reports will include

a summary of any material changes in the status of performance measures to enhance the transparency of the progress being made on implementing the HRTP.

In FY2015 and for the next several years HART will be engaged in completing the design and construction of the HRTP. Actual operation of rail service will not occur until 2017. As such, the BSC shown in Appendix A is heavily oriented toward project implementation. The BSC does include some measures dealing with Service Delivery as it relates to the current project implementation stage of the project. Additional metrics will become meaningful when actual revenue service begins; illustrative examples of such metrics include:

- Ridership level.

- Reliability measures including:
  - On-time departures/arrivals.
  - Miles between mechanical failures.
  - Elevator and escalator availability (% of time available during operating hours).
  - Fare collection equipment availability (% of time available during operating hours).

- Safety and Security measures including:
  - Accidents per 100,000 passengers.
  - Security incidents per 100,000 passengers.
  - Employee on-the-job injuries.

- Financial measures including:
  - Operating Ratio.
  - Cost per vehicle hour and vehicle mile.
  - Cost per passenger.
  - Accident Claims received/closed/outstanding.

Given the current project implementation focus of HART's business activities, it is envisioned that HART management will provide quarterly updates of the HART BSC in reports to the BOD and the public. When actual revenue service begins on the rail line, monthly BSC reports will become relevant.

Using a BSC which ties to the Goals that HART has established will enable the agency to evaluate its progress on achieving the agency's Mission and Vision and to report to its stakeholders and to the community.

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# FY2015 Work Program

**Agency Business Operations**

HART functions as a semi-autonomous agency of the City & County of Honolulu government. During FY2015, HART will continue to use various City business systems and administrative practices as appropriate when conducting the agency's business activities. For example: DTS procedures for Transportation Improvement Program (TIP) modifications and EEO reporting; the City's accounting and payroll systems; and the city's Enterprise Resource Planning (ERP) systems for both financial and Human Resources applications. In addition, HART will continue to receive services provided by other City Departments including Budget and Fiscal Services, Corporation Counsel, and Design and Construction. Individual agreements with City Departments set forth the scope and terms of the services to be provided. This support from the City enables the agency to continue concentrating its resources on the implementation of the HRTP. On an ongoing basis, HART will evaluate the extent to which it should develop its own business systems to improve efficiency and delivery of needed business services consistent with the agency's Mission as described in the previous section.

During FY2015, HART will continue to take steps to further develop the organizational capacity and capability to fulfill its Mission. Several of the actions that will be taken are designed to ensure that HART will maintain eligibility to receive Federal funding for the HRTP. A preliminary listing of the tasks that will be undertaken in FY2015 is as follows:

- Recruit and hire key management, technical, and support staff as vacancies occur or needs arise.

- As required, adopt or modify BOD and HART policies guiding the agency business activities (e.g. financial policy and procurement policy).

- Continue to add and modify administrative procedures and practices that are specific to a transit agency in areas such as procurement and contract administration, safety and security, employee relations, management reporting and those needed in preparation for HART to become an operating agency.

- Maintain a management reporting system on key performance metrics and financial information including:

    - Continue to develop internal processes that will enhance the control over fiscal processes while increasing processing efficiencies.
    - Achieve zero findings in the Authority's annual audit, specifically addressing any deficiencies identified in previous audit reports.
    - Continue to build finance, accounting and internal controls capability.

- Continue development of a brand identity for HART.

- Continue emphasis of safety and security as a top priority during construction and ultimately during future operations.

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- Regularly update and communicate with stakeholders, including the Mayor and City Council, state and federal officials, the Oahu Metropolitan Planning Organization Policy Committee and the general public to ensure transparency by providing a flow of information regarding the progress of the HRTP thru electronic means, printed materials and the availability of HART staff.

- Continue efforts to increase local business and DBE participation in the project.

- Continue the creation of an organizational structure and agency culture that will enable the fulfillment of the agency's Mission and Vision.

**HRTP Project Implementation**

Project Description:

The HRTP is a proposed 20-mile light metro rail line in an exclusive right-of-way with fully automatic (driverless) train operation. All of the alignment, with the exception of the access and egress from the MSF and the Leeward Community College Station, is elevated above existing highways and arterial roadways. The rail line includes 21 stations from East Kapolei, in West Oahu, to Ala Moana Center. Initial service is scheduled to start in 2017 from the western end of the alignment at the East Kapolei Station to the Aloha Stadium Station with full service operations to Ala Moana Center starting in 2019. Full service is anticipated to operate 20 hours per day, with 5-minute headways during peak periods and 10-minute headways during peak times. End-to-end travel time is estimated to be 42 minutes. Service will be provided by 4-car trains. Average weekday rail boardings in 2030 are projected to be about 119,600 passengers. A peak hour directional maximum load of about 8,000 passengers per hour is anticipated in 2030.

**Appendix D** provides a more detailed description of the project along with background on the planning for the project.

FY2015 Project Implementation Work Activity:

- Overall, the HRTP is currently finishing up final design activities for the project and proceeding ahead with construction work at an accelerating pace to prepare for the start of operations in 2017.

- Consulting contracts will be continuing for a Program Management Support Consultant (PMC); for various design, engineering, construction management and inspection services; and for support in various areas including real estate, cultural resource monitoring, safety and security and oversight of the core systems and equipment contract.

- The HART Operating Budget provides funding for the equivalent of 139 full-time positions for the project including positions provided by the PMC. The staffing plan for the year as reflected in the organizational charts shown in **Appendix B** includes a beefing up of staff in the Design and Construction Department to provide the

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additional capacity needed to tackle the increasing level of construction activity HART will experience in FY2015 and beyond to the start of full system operations in 2019.

- During FY2015, HART plans to complete remaining environmental and cultural resources work for the project including required additional efforts to identify the presence of *iwi kupuna*:
    - Data recovery trenches and analysis work to be all complete on requirements of Chapter 6E efforts by the end of FY2015.
    - Continued efforts on relationships with the Native Hawaiian community and other key stakeholders.
    - Refine the Cultural Monitoring Program for utilization during the period of construction.
    - By the end of FY2015, HART will have made significant progress on the items required by the Section 106 Programmatic Agreement.

- Property Acquisition - As a result of the delay caused by litigation, a recovery plan for property acquisitions will be implemented in FY2015. By the end of the fiscal year the bulk of acquisitions should be completed.

- Design Work - During FY2015, the following design work will be underway:
    - Pearl Highlands Parking Structure/Bus Transit Center
    - UH-West Oahu Park-n-Ride
    - Dillingham/Kakaako Station Group

- Construction – During FY2015, HART will have major construction work underway including continuing construction of the first 10 miles of guideway and on nine stations in the initial operating section:
    - Columns built will number 210 by the end of the second quarter and 350 by the end of the fiscal year. At that point, the guideway in the first 10 miles will be 50% complete.
    - The Maintenance and Storage Facility is expected to be 75% complete by the end of the fiscal year.
    - All utilities in the first 10 miles and in the Airport section are expected to be relocated by the end of the fiscal year.

  Risks to advancing the planned construction work include any delays in utility relocations; delays in acquisition of needed parcels of property; contractor difficulty in obtaining needed materials, labor and other resources needed for their particular contract; and challenges in resolving interface issues between contractors.

- Safety and Security, other than the continuation of design reviews and construction related efforts, planned activities include:
    - Conduct of the first formal emergency preparedness drills using both table top exercises and field drills at the sections of the guideway in place on the western end of the alignment. These drills will be designed to establish protocols, command center responsibilities, communication requirements and other aspects of emergency preparedness including resolution of jurisdictional

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issues. The drills will include Honolulu Police Department (HPD), Honolulu Fire Department (HFD), HDOT, TSA and the Federal Bureau of Investigations. The drills will begin the process of training representatives from these departments and other agencies on the characteristics of the rail line.
    - Creation of memoranda of understanding (MOUs) with HPD, HFD and the Sheriff which will layout responsibilities for providing operational security of the rail line and its facilities. Creation of the MOUs in FY2015 will require making a final decision on how the rail system will be policed and what the role of private security firms might be.

- During FY2015, planning and decision-making for the start of rail operations in 2016 will ramp up. Specific activities planned for FY2015 include:
    - Assisting policy makers with final adoption in the second quarter of a Fare Policy for the rail system including fare levels, collection approach and media; fare revenue cost recovery policy; rail – bus transfer arrangements; and revenue collection functions.
    - Initiation in the third quarter of the procurement of fare collection equipment to be installed in the rail stations as determined in the adopted Fare Policy to include plans for any modifications necessary to facilitate rail – bus transfers.
    - Finalization of the bus – rail service plans in conjunction with DTS and OTS for coordinated bus services in anticipation of the start of rail operations.
    - Critical decisions on how various ongoing HART operating functions will be handled including: an integrated, all-inclusive customer service function for both bus and rail services; facilities maintenance including station maintenance and repairs; and guideway structural inspections and repairs.
    - Finalization of the Maintenance Management Information System (MMIS) for the rail operation and how it will interface with other rail-related systems.
    - Finalization of plans to combine or integrate administrative and other functions between HART and OTS to improve cost efficiency and effectiveness in delivering quality public transportation services.

- During FY2015, HART will implement an OCIP. The OCIP will cover Builders Risk, General and Excess Liability and Workers Compensation claims for all construction contracts let for the project including previously awarded contracts. Brokering for the OCIP will be provided by Aon Risk Hawaii, an international risk management, insurance and reinsurance firm.

- Activity planned on the Public Art Program in FY2015 includes:
    - Final selection of artists for the 23 art opportunities.
    - During the year, contracted artists will conduct cultural and historic research and work with community advisors to develop artwork concepts and themes that reflect the surrounding station community and develop designs and sketches for their artwork working with HART's designers and staff.

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**Land Use Connection: Transit-Oriented Development**

The Revised Charter of Honolulu (Charter or RCH) authorizes HART "to promote, create and assist transit oriented development projects near fixed guideway system stations that promote transit ridership, and are consistent with the intent of the adopted community plans and zoning." RCH 17-103.2(n). Likewise, the Charter mandates that the Executive Director "administer programs promoting appropriate developments near transit stations, including compilation of city incentive programs," and "review development projects having significant impact on the operation of the fixed guideway system." RCH 17-104(m) and (n).

Federal, State, and City policy direction to concentrate growth around transit stations further enhances the value of real property adjacent to transit stations. By promoting high quality, more intensive development on or near properties adjacent to transit stations, the agency can increase ridership, support long-term system capacity and generate additional revenues for transit, such as increased fare collection from increased ridership and changes in the fare policy, and joint development (JD) opportunities, not anticipated during project planning. Also, such development creates attractive investment opportunities for the private sector and facilitates local economic development goals and redevelopment efforts.

The State and City along with the federal government control the planning and permitting authority for all of the land along the 20-mile corridor. Coordination of these activities between the respective agencies is necessary to successfully leverage public and private investment in the corridor. In coordination with HART, both the State and City are preparing neighborhood TOD plans for transit station areas and investigating revisions to the land use regulatory requirements, which will provide the policy framework for private development.

The Hawaii Community Development Authority (HCDA) is responsible for developing an Environmental Impact Statement that will include a TOD plan for their Kakaako neighborhood area, which include Civic Center and Kakaako Station. HCDA has developed a Draft TOD Overlay Plan which will be finalized in their EIS. The Draft EIS is expected to be available in Q32014.

The City and County of Honolulu Department of Planning and Permitting (DPP) is responsible for TOD plans for 19 of the 21 stations. DPP has produced draft TOD neighborhood plans for 16 stations and is currently working on draft plans for three stations. Of the 16 completed draft plans, five of the plans are nearing final approval. DPP has also drafted Bill 71 Land Use Ordinance Amendment Relating to Interim Plan Development Permits for TOD, which will allow for negotiations on TOD projects as per the Draft TOD plans before zoning is in place. The passage of this bill is pending. The neighborhood TOD plans will support the creation of vibrant mixed-use neighborhoods consisting of workforce and affordable housing, retail shopping locations, and other infrastructure improvements necessary to improve safety, promote healthy lifestyle habits such as walking and biking, and increase rail ridership.

In FY2015, HART TOD – land use planning staff will continue to provide technical support in areas such as system description, modal connectivity, station access, parking and safety and security to DPP in its planning efforts. These efforts include coordination with other City and State agencies, special interest groups (e.g. disabled, and elderly), private

developers and landowners, and the public at community meetings to develop TOD plans for the areas surrounding the transit stations.

During FY2015, HART staff will actively pursue, develop, and execute MOUs and Memorandum of Agreement with public and/or private owners of land within close proximity of each planned transit station to directly access the station from their proposed development. **Appendix C** hereto provides a listing of the TOD related master agreements that HART is or will be a party to along with the status of these agreements at the end of FY2014.

Finally, to assist in the collaboration efforts, the HART BOD has approved the creation of a Transit Oriented Development Stakeholders Advisory Group consisting of representatives from HART, the City, the State and private development interests and various other organizations and groups. The Group will work to develop a common vision for TOD along the entire rail corridor. HART will work to get the Group in place and functioning during FY2015.

**Procurement Plans**

For agency business operations, HART will conduct routine procurements for needed services, equipment, and supplies related to support the conduct of agency business operations utilizing City procedures and group discount opportunities.

For project implementation, during FY2015 the procurement function will face its biggest challenge in soliciting several high-risk, design-bid-build construction packages representing approximately $1.5B worth of work. The challenge will be to maintain a high level of inter-disciplinary engagement between Procurement, Design and Construction and Project Control to ensure the quality and integrity of the bid packages while balancing the very real cost and schedule drivers facing the project. In addition, ensuring that the bids received are accurate, complete and devoid of unwarranted risk costs will be of paramount importance. The upcoming construction contracts represent high risks because of the high level of construction on Oahu during the current time period. These risks and others are discussed in a later section of the Business Plan. Design and construction contracts to be awarded in FY2015 include the following:

| FY2015 Quarter | Contracting Action | Contract Name |
|---|---|---|
| **First** | Awarded | • West Oahu/Farrington & Kamehameha Station Group Construction<br>• On Call Construction Contractor<br>• UH-West Oahu Park-n-Ride & Ho'opili Station Finishes Final Design |
| | Advertised | • Airport & Center City Guideway & Ctr. City Utilities Construction |
| **Second** | Awarded | • Pearl Highlands Parking Garage/Bus Transit Center Construction<br>• Airport & Center City Guideway & Ctr. City Utilities Construction |
| | Advertised | • Airport Stations Group Construction |
| **Third** | Awarded | • Airport Station Group Construction<br>• UH-West Oahu Park-n-Ride & Ho'opili Station Finishes Final Design |
| **Fourth** | None Planned | |

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As the procurement activities scheduled for late FY2014 and in FY2015 are completed, the Procurement and Contracts department's role in post-award contract administration will increase substantially. As more of the awarded contracts push into full activity contract administration and change management will be critical to ensure the project stays on time and on budget. Currently the Procurement and Contracts department is seeking highly qualified contract managers with substantial post award administration experience to aid the project teams in ensuring contract requirements are enforced in compliance with State and Federal law and regulations.

**EEO and DBE Programs:**

In accordance with federal and state laws and requirements, HART maintains active programs to ensure equal employment opportunities and to foster the involvement of disadvantaged and small businesses in HART's business activities. The EEO Program is coordinated with the City's EEO Office and with DTS. OTS as the area's bus operator maintains its own FTA approved EEO Program. HART staff prepares combined reports for both the rail and DTS programs which DTS submits to the FTA for review and approval. The FTA had approved the combined EEO program for HART/DTS for a three year period which is ending. During FY2015, HART will update its portion of the EEO Program for submission with DTS to the FTA for approval.

HART manages its own DBE Program utilizing the State of Hawaii's Unified Certification Program to identify DBE firms and works with HDOT to reach out to these firms. HART has an FTA authorized 13% goal for DBE participation in the overall HRTP and does not set annual goals. Contract specific goals are established when or if appropriate. Program staff will be working to gain increased DBE participation in the upcoming construction contracts whenever possible.

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# HART Organizational Development Strategy

**Background**

Initially, the planning and development of the HRTP was the responsibility of DTS. The HRTP was managed through DTS' Rapid Transit Division (RTD). DTS/RTD managed the completion of the required planning, economic, engineering, and environmental studies needed to advance the project through the stages of the FTA's New Starts project development process including: analysis of alternatives; technology and alignment selection; conceptual and preliminary engineering (PE) work; the preparation of a FEIS; and the development of a contracting strategy for actually constructing the project.

Because of the uncertainty surrounding whether the City would receive the funding and approvals needed to advance the project, the strategy DTS/RTD employed was to maintain a relatively small staff and hire consultants to provide the expertise necessary to perform various aspects of the required work. The City project staff was supplemented by a PMC that has provided experienced and technically proficient personnel to fill key positions and roles in the project organization. The PMC provided services have included professional, technical, managerial and other support services to initiate and complete the PE/EIS phase of the project and initiation of final design and construction. PMC personnel have functioned as embedded staff assisting City employees in managing and overseeing the work.

In addition, DTS/RTD retained the services of a GEC to undertake the planning, economic, engineering, and environmental work that was required to advance the project through FTA's New Starts process. As part of this effort, the GEC conducted engineering and technical studies to support the preparation of the EIS, and PE work to support the City's request to advance to final design. The GEC assisted the DTS/RTD with preparing competitive procurement documents for various Design-Build (DB) contracts and the Core Systems Design–Build–Operate–Maintain (DBOM) contract.

The project passed the critical milestone of completing the FEIS and obtaining a Record of Decision (ROD) issued by the U.S. Department of Transportation in accordance with the National Environmental Policy Act (NEPA) and Hawaii State law. With the issuance of the ROD, FTA provided authority to begin property acquisition and undertake utility relocation work. DB contracts for initial phases of the project were awarded and construction work has started on the initial phases. HART has continued final design on other elements of the project.

With the start-up of HART in 2011, RTD ceased to exist and the RTD staff and the embedded PMC staff were transitioned to become the core staff of HART. In addition, the GEC continued to perform its scope of work under the auspices of HART.

**FTA Requirements**

Because the HRTP is funded in part with Federal dollars through the FTA, HART must demonstrate that it meets FTA requirements for grantees pursuing a major investment project like the HRTP. Principal among these requirements is that the grantee must exhibit the "technical capacity and capability to efficiently and effectively" carry out the project. The

FTA conducts an ongoing assessment of a grantee's technical capacity and capability by looking at a number of things including the following:

- Organizational structure.
- Staff qualifications and experience.
- Roles, responsibilities, and interfaces among key project team members laid out in a responsibility matrix.
- Staffing plan showing labor distribution over the life of a project.
- Copies of various key procurement documents.
- Description of management processes and procedures including the division of decision-making authority between the BOD and management staff; financial and procurement policies and procedures; and community outreach and relations efforts.
- Resumes of senior project team members.

The above information is embodied in a Project Management Plan (PMP). The PMP is periodically updated as a project moves through the various stages of project development. The current PMP for the HRTP is in the process of being updated for the next project milestone. With each successive update of the PMP, the expectations for the technical capacity and capability of the grantee increases. In other words, the grantee must demonstrate a growing capacity and capability to match the increasing scope, complexity, and magnitude of the work to be performed in the next project phase in order to receive FTA approval to proceed.

As a result, ensuring that HART will meet the FTA's technical capacity and capability requirements is a major factor in the formulation of the organizational development strategy embodied in the PMP and described herein.

**HART Organization**

Work on the project is now in the final phases of FTA's New Starts process. Work continues on property acquisitions and owner/tenant relocations, utility relocation and the remaining final design portions of the project. Initial construction work on DB portions of the project has begun.

The organizational approach embodied in the PMP for the final design and construction phases requires a staff of 139 positions and continues the role of the PMC as providing embedded staff within HART. **Appendix B** contains a series of organizational charts that depict the Authority's functional structure and show the placement of the positions that make up the proposed FY2015 HART staff. Of these positions, 25 or roughly 18% of them are expected to be PMC provided staff.

The GEC's role has evolved to reflect the evolution status of final design and construction work. The GEC will oversee final design efforts and provide construction management and oversight services. This includes performing quality assurance inspections of all contractor activities; reviewing contract document submittals including shop drawings and specifications; reviewing contractor invoices; reviewing requests for information; reviewing requests for change; conducting inspections, value engineering, and reviewing change order

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estimates. Two contractors will provide CE&I services for roughly half of the alignment each.

The PMP calls for retaining the services of engineering design consultants (EDCs) to develop final detailed designs of the remaining project elements that will be procured through open competitive bidding. This does not include the three DB contracts or the Core Systems and Vehicles contract since final design is a function within the scope of those contracts. This does include stations, the Airport and City Center guideway phases and various fixed facilities. Fixed facilities design includes the design of civil and structural facilities, trackwork, utilities, the Pearl Highlands parking structure and access ramps, landscaping and some systemwide elements. The GEC will oversee the final design work of the EDCs. The GEC also continues to provide technical studies and management support for implementation of the Section 106 Programmatic Agreement 2nd Mitigation Support for the ROD.

**Future Organizational Development**

At present and for the next three to four years, HART is a project development agency with no daily operating or service delivery responsibilities. This, of course, will change as the rail transit project gets completed and actual revenue service begins operating initially in 2017 with full service along the entire alignment starting in 2019. The staffing needs and business systems needs of the agency will evolve over time as the change from project development to operations and service delivery occurs. How well this transformation is accomplished will be important to the success of the agency in accomplishing its Mission and Vision. The strategy for managing this evolution is outlined below:

- Phase out use of PMC and build HART staff capability.
  - Identify those positions that HART will need long term for operations and the planning of extensions and seek to fill these positions with direct hires.
    - Examples: Chief Operating Officer, Chief Engineer, Internal Audit, Marketing, Planning, Property Management.
    - Use PMC to temporarily fill such roles when recruitment is unsuccessful or cannot be completed in a timely fashion.
    - PMC employees will mentor and help train HART staff and new hires; this may require some overlapping of positions.
  - Utilize the services of the City's Department of Human Resources for assistance on organizational development including a classification and compensation structure, and recruitment and employee development strategies.
  - Current PMC contract expires in February 2015; the contract may need to be extended for an additional period depending on HART's success in staff recruitment.
  - GEC, CE&I consultants and EDCs will continue their roles/scope until the project construction, system integration and testing, and start-up work is completed.

- Develop internal business processes and systems that fit the needs of the transit system. Move away from using City processes and systems wherever it makes the most sense for HART to achieve its Mission, Vision, and Goals.

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- Develop a seamless multi-modal (bus and rail) transit system.
  - Engage in joint planning with DTS and "TheBus" management (Oahu Transit Services) for reconfiguration of the bus system to complement rail.
  - Establish a joint bus-rail fare collection system (hardware and software) and a revenue processing set-up to reduce interface problems and achieve economy of scale cost savings.
  - Work with DTS to update /improve the bus fare collection system prior to the start of rail operations.

- Future operational issues that will need to be addressed:
  - Programming of bus fare collection system improvements to interface with rail fare collection needs to be pursued and key decisions made in FY2015.
  - The process for setting fares between the HART BOD and City Council will need to be addressed.
  - Operating support from the City for the rapid transit operation will be required as delineated in the Financial Plan.
  - Development of operating policies and rules and the identification of any implications for project design and the operating and capital improvement budget.
  - To generate additional streams of operating income, identify opportunities for advertising, concessions, leases and rents, and possible joint use of transit facilities and assets.

- Future system planning will need to be addressed:
  - Development of a plan to start working on the future expansion of the HRTP east to UH Manoa and west into Kapolei covering.
    - Organizational and staffing plans for how HART and the City and County of Honolulu Departments will carry out the planning work for the extensions.
    - Financial implications of future extensions including budgets and funding for planning, engineering, construction and future operations.
  - Implications for FY2016 work program and budgets.

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# HART Financial Strategy, Plans and Budgets

## Financial Overview

HART has prepared a detailed 20-year financial plan in accordance with the requirements of the Federal Transit Administration to receive federal funding for the HRTP. The financial plan provides a summary of the capital costs and funding sources associated with both the HRTP and the City's ongoing operating and capital needs for its existing public transportation system. It also includes a plan to fund the operations and maintenance (O&M) costs associated with the project, TheBus, and Handi-Van services. The current HART Financial Plan was prepared in June 2012 in preparation for receiving the FFGA from the FTA that was executed in December 2012. **Appendix E** contains a summary of revenues and expenses as shown in the approved HART Financial Plan for completing the HRTP and for operating the City's integrated public transportation system over the period covered by the Plan (FY2010 – FY2030).

The financial strategy reflected in the approved HART Financial Plan can be summarized as follows:

- Implementation of the HRTP will be funded primarily by revenues from a one-half percent (0.5%) surcharge on the State's GET and grants from the federal government provided by the FTA. The 0.5% GET tax is currently set to expire in 2022.
- Short and medium term debt financing will be used to help manage cash flows during construction of the HRTP. However, the Financial Plan assumes that all debt will be retired by the time the GET tax expires.
- Ongoing funding for operation of the integrated bus and rail public transportation will be provided through a combination of fare revenues from passengers, City general funds and some FTA grant programs.

## FY2015 Operating and Capital Expense Budgets

HART staff prepared and submitted preliminary FY2015 Operating and Capital Budgets to the HART BOD Finance Committee in November 2013. On November 29, 2013, the HART Executive Director/Chief Executive Officer transmitted the proposed FY2015 Budgets to the Mayor and the City Council. This section of the FY2015 Business Plan describes in summary form the Operating and Capital Budgets. City Council requested further detailed information of the HART proposed budget during the spring of 2014, and will include it in the City's budget bills anticipated to be approved before June 30, 2014. The HART Board is scheduled to discuss and adopt the FY201515 Operating and Capital budgets by June 30, 2014. The final version of the FY2015 Business Plan will reflect the final FY2015 Operating and Capital Budgets adopted by the HART BOD. The total budget request for FY2015 was as follows:

| | |
|---|---|
| Operating Budget | $ 21,481,029 |
| Capital Improvements | 1,560,404,400 |
| Total FY2015 Budget Request | $1,581,885,429 |

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**Appendix E** includes a summary table which provides actual operating and capital expense historical information for FY2013 and FY2014 budget and projected actuals as well as the FY2015 Budget described in the sections below.

## FY2014 Operating Budget

The HART Operating Budget includes expenses for HART staff and administrative expenses (i.e. office and equipment rent and supplies, legal services, telecommunications and various administrative services). It also includes expenses related to the support HART receives from other City departments as well as a contribution to City overhead expenses. The Operating Budget has three major expense categories as shown in the table below. The table provides a breakdown of these three cost components for FY2015 and a comparison against the budget and projected actual amounts for FY2014. The FY2014 projected amounts shown in the table are preliminary; there will be adjustments made through August 2014 to record payable amounts.

| Expense Category | FY2014 Budget | FY2014 Projected | FY2015 Budget |
|---|---|---|---|
| **Personnel** | **$13,030,366** | **$10,375,523** | **$13,843,425** |
| **Current Expenses** | **7,880,893** | **5,309,042** | **7,631,604** |
| **Equipment & Software** | **6,000** | **0** | **6,000** |
| **TOTALS** | **$20,917,259** | **$15,684,565** | **$21,481,029** |

The Personnel category of the FY2015 Operating Budget includes funding for 139 full-time equivalent (FTE) positions, then same level as FY2014 and FY2013. This compares to 136 FTEs authorized in the FY2012 Budget and 110 FTEs in 2011. As described in the Organizational Development Strategy section, the staffing level proposed is designed to ensure that HART has the technical capacity and capability to manage the implementation of the HRTP and meet the requirements of the FTA. The following chart provides a summary breakdown of the number of positions included in the FY2015 staffing plan by major functional category and includes PMC provided positions funded by the Capital Budget at this time. See **Appendix B** for detailed organizational charts.

| Function | FY2014 FTE Count | No. of PMC FTEs | FY2015 FTE Count | No. of PMC FTEs | Difference in FTE Count | Difference in No. of PMC FTEs |
|---|---|---|---|---|---|---|
| Executive | 8 | 1 | 8 | 1 | 0 | 0 |
| Project Control | 15 | 3 | 13 | 2 | -2 | -1 |
| Budget & Finance | 22.5 | 3.5 | 21 | 2.5 | -2 | -1 |
| Planning, Utilities, ROW & Permits | 26 | 4 | 22.5 | 1 | -3.5 | -3 |
| Engineering & Const. Mgmt. | 37 | 8 | 45 | 8 | 8 | 0 |
| Other Professional | 22 | 4 | 19 | 5 | -1 | +1 |
| Administrative Services | 8.5 | 0 | 10.5 | 0 | 2 | 0 |

From the information provided in the preceding chart, the total staff count in FY2015 remains unchanged from FY2014 at 139 FTEs. This was also the same level of staffing in FY2013. The chart shows the re-distribution of positions amongst functional areas that helps facilitate adding staff in the engineering and construction management function in response to the growing level of construction activity that HART will have in FY2015 and for the next several years while still maintaining a level amount of staff. The chart also shows that the number of PMC provided staff will decline by four positions in FY2015. This is consistent with the previously discussed Organizational Development Strategy.

The following table provides a breakdown of the reimbursements to other City departments included in the proposed FY2014 Budget:

| City Department/Purpose | Amount |
|---|---|
| Corporation Counsel – Staff Salaries | $611,978 |
| Corporation Counsel – Current Expenses | 40,314 |
| Design & Construction – Staff Salaries | 50,000 |
| Budget & Financial Services – Staff Salaries | 10,000 |
| Fringe Benefits Associated with Above Salary Items | 309,110 |
| Adjustments | 0 |
| CASE – Central Administrative Services Expenditure | 1,022,906 |
| TOTAL | $ 2,044,308 |

**FY2014 Capital Budget**

The FY2015 Capital Budget is made up primarily of expenses related to the design and construction of the HRTP consistent with the work planned for the year as described in the Work Program section of this Business Plan. The table below provides a summary comparison of the FY2015 planned expenditures by project budget component against the FY2014 budget. The FY2014 projected amounts presented in the table are preliminary; there will be adjustments made through August 2014 to record payable amounts.

| Capital Budget Elements | FY2014 Budget | FY2014 Projected | FY2015 Budget |
|---|---|---|---|
| Consultant Services | $19,731,900 | 55,346,822 | $26,989,500 |
| Design Services & QA Audits | 39,867,500 | 22,864,192 | 20,438,600 |
| Programmatic Agreement | 1,950,000 | 224,517 | 1,100,000 |
| Utility Relocation | 134,500,000 | 2,041,581 | 95,000,000 |
| Construction, OCIP, Const. Mgmt. & Inspections | 304,466,100 | 138.343,894 | 1,017,676,300 |
| Core Systems & Equipment | 425,907,000 | 38,702,795 | 0 |
| Land Acquisition & Relocation | 86,570,000 | 16,100,000 | 138,200,000 |
| Public Art | 1,975,000 | 0 | 0 |
| Contingency & Recertification | 325,470,800 | 107,280,000 | 261,000,000 |
| TOTALS | $1,340,438,300 | $380,903,801 | $1,560,404,400 |

While the purposes of most of the elements listed in the above table are generally self-explanatory, several are further described below:

- The Consultant Services expense category includes funding for: the PMC ($6.70 million); GEC ($8.85 million); consultants supporting the agency in real estate acquisition and relocation ($0.38 million) and OCIP support ($0.2 million); and consultant services supporting HDOT in the areas of traffic management, design review, state safety oversight, as well as HDOT labor costs ($10.86 million total).
- The Design Services line item is for final design services related to the Pearl Highlands Parking Structure & Bus Transit Center and the UH-West Oahu Park-n-Ride and Ho'opili Station; and Quality Audit Expenses.
- The Programmatic Agreement (PA) category covers funding for the Kakoo (independent PA project manager).
- The Public Art category provides funding for the Public Art Program to pay for art work to go at 23 locations on the project.
- The Contingency & Recertification provides allowances for Contingency drawdowns ($161,000,000) and Contract Recertifications ($100,000,000) during FY2015. Contract Recertifications occur on occasion to help manage cash flow during the fiscal year when invoices need to be paid prior to receiving debt proceeds and do not change the total contract value.

**Debt Financing**

Over the next several years HART's expenditure level on construction and other project implementation activities will ramp up significantly. Cash payouts to contractors will exceed available cash and new receipts from both the GET and FTA reimbursements under the FFGA. Consequently, it will be necessary for the City & County of Honolulu to issue short term debt to help meet the project's cashflow needs. This occurrence was anticipated in the HART Financial Plan and is consistent with the financial strategy described earlier in this section. As a result, in FY2015, HART expects to begin issuing this debt using short term commercial paper to take advantage of a favorable borrowing climate. HART staff is working with the Mayor and the City's Budget and Financial Services staff to develop a plan for issuing this debt which will be presented to both the HART Board and to City Council for approval. At this point, it is expected that the first issuance of debt will occur during the middle of FY2015 or following award of several major construction contracts per FY2015 procurement plans. As noted below, the Financial Plan will be updated to reflect the exact nature of the debt issuance plan and other activities planned for FY2015.

**Project Risk Factors**

Any public works project is subject to a variety of risks that can impact its schedule and budget. The HRTP is subject to such risks some of which are amplified because of Honolulu's geographic location far from the U.S. Mainland. Managing and protecting against risk factors is important to insure the successful completion of the HRTP. At this time, the project has the following risks that are not within HART's direct control but could impact both the project schedule and budget performance over the next several years:

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- The significant level of construction currently on Oahu may impact the availability of skilled labor and the pricing of materials such as steel, copper and concrete
- The current level of construction and Oahu's remoteness from the mainland may impact the amount of competition that HART for upcoming construction contracts
- Delays in utility relocations and/or property acquisitions that delay construction work
- The possibility of interest rate increases that could impact debt service payments
- GET surcharge revenue receipts falling below the assumed rate of growth

The important thing is to recognize the existence of these risks and to take steps to minimize or protect against potential impacts to the maximum extent possible while carrying out the implementation of the HRTP.

**Updating the Financial Strategy and Plan**

During FY2015, HART's financial strategy and the long range Financial Plan will need to be updated. This update will be driven by several things:

- Several major construction contracts will be bid and awarded totaling nearly $1.5 billion in contract value.
- The issuance of short term debt to help deal with cashflow needs for the increasing level of expenditure that will occur as a result of all the construction activity on the project.
- As a result, HART will be in a position to update the capital cost to complete estimate for the project.
- Finally, a series of policy decisions will be made that will help determine operating revenues, operating and maintenance costs and staffing plans for the integrated bus and rail transit system. These decisions will allow the operating pro forma for the integrated transit system to be updated which will include the projected level of subsidy that will be required to fund the currently planned transit system in the future.

When the update of HART's Financial Plan will occur during FY2015 will be dependent on the timing of the activities listed above. At this time, it is expected that the update will occur during the second half of the fiscal year.

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# Appendix A

# HART Balanced Scorecard

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HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

# BALANCED SCORECARD

***Project Implementation/Pre-Revenue Operation***

**APPENDIX A**
**Q3 FY14**
*Data Date: March 28, 2014*

***Comments and Legend***

- On track or ahead of plan.
- Monitoring.
- Monitoring; Requires special attention.
- Immediate attention needed; Requires recovery/resolution.
- No current target/activity to date; Action pending.
- 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.

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

| | | Activity | Time Period | Actual | Plan | Variance | Status | Comments |
|---|---|---|---|---|---|---|---|---|
| 1 | Financials | **Project Finances** | | | | | | |
| 2 | | **Operating Budget** [Negative = below Plan] | | | | | | |
| 3 | | Operating Expenditures | **Current Quarter (Q3 FY14)** Jan., Feb., Mar. 2014 | $4 | $5 | ($1) | | For Current Quarter monitoring purposes: $20.9M Total Budget/4 quarters = $5.23M. The Plan numbers for Inception to Date and the Financial Plan = the FY12 + FY13 + FY14 budgets + actual expenditures for fiscal years 2007 through 2011. *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). |
| 4 | | | **FY2014 Total** July 2013-March 2014 | $11 | $16 | ($5) | | |
| 5 | | | **FFGA Financial Plan** October 16, 2009 - March 2014 | $55 | $70 | ($15) | | |
| 6 | | | **Inception* to Date** January 2007 - March 2014 | $59 | $74 | ($15) | | |
| 7 | | **Capital Budget** [Negative = below Plan] | | | | | | |
| 8 | | Capital Expenditures | **Current Quarter (Q3 FY14)** Jan., Feb., Mar. 2014 | $103 | $233 | ($130) | | Plan amounts are per the Full Funding Grant Agreement Financial Plan. *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. The Plan numbers for Inception to Date = the Plan amounts from 10/16/2009 to 03/31/2014 + actual expenditures for fiscal year 2007 through 10/15/2009. 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. The "Current Quarter" and "FY14 Total" actual amounts are on a cash basis. All audit adjustments for the previous years are now reflected in the "FFGA Financial Plan" and "Inception to Date" actual amounts. Actual expenditure amounts are below plan due to the suspension of construction which was lifted in September 2013. As a result of the construction delay, we are currently rebaselining the master project schedule and the plan will be readjusted by spring of 2014. |
| 9 | | | **FY2014 Total** July 2013-March 2014 | $177 | $635 | ($458) | | |
| 10 | | | **FFGA Financial Plan** October 16, 2009 - March 2014 | $951 | $1,938 | ($987) | | |
| 11 | | | **Inception* to Date** January 2007 - March 2014 | $1,035 | $2,021 | ($986) | | |
| 12 | | **Revenues** [Negative = below Plan] | | | | | | |
| 13 | | *GET Collections* | | | | | | |
| 14 | | Net GET Surcharge Receipts | **Current Quarter (Q3 FY14)** Jan., Feb., Mar. 2014 | $43 | $54 | ($11) | | GET receipts are reported on a cash basis. The $43M received in January 2014 is for the October – December 2013 quarter. The Current Quarter plan is based on annual reporting. $3,291M = Total Net GET Surcharge revenue forecast for FYs 2010-2023. Actual amounts from inception are the collections from January 2007 to 01/31/2014. The $1,222M Plan amount is equal to the Financial Plan amount of $844M from the Project Start date of 10/16/2009 to 01/31/2014 plus $378M collected prior to the Project Start Date. 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). *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. Status for the Current Quarter and FY2014 Total have changed from green to yellow. |
| 15 | | | **FY2014 Total** July 2013-March 2014 | $158 | $160 | ($3) | | |
| 16 | | | **FFGA Financial Plan** October 16, 2009 - March 2014 | $808 | $844 | ($36) | | |
| 17 | | | **Inception* to Date** January 2007 - March 2014 | $1,187 | $1,222 | ($36) | | |
| 18 | | *Federal Grants* | | | | | | |
| 19 | | Federal Grant Funds New Starts §5309 (Reimbursed) | **Current Quarter (Q3 FY14)** Jan., Feb., Mar. 2014 | $29 | $0 | +$29 | | There were no planned FTA reimbursements for Q3 FY14 per the financial plan. Forecasted FTA receipts by fiscal years to 6/30/14 per the Plan are FY2011 - $21M; FY2012 - $99M; FY2013 -$258M, FY2014-$442M, Total $820M. The FY2014 New Starts appropriation is $250M. The variance for FY2014 Total and FFGA Financial Plan indicate the available appropriation amounts. Reimbursement amounts are below plan due to the suspension of construction which reduced reimbursable project expenditures. Reimbursements will increase as construction activities increase in FY14. Status for the Current Quarter has changed from yellow to green. |
| 20 | | | **FY2014 Total** July 2013-March 2014 | $99 | $192 | ($93) | | |
| 21 | | | **FFGA Financial Plan** October 16, 2009 - March 2014 | $243 | $570 | ($327) | | |
| 22 | | Federal Grant Funds §5307 (Reimbursed) | **Current Quarter (Q3 FY14)** Jan., Feb., Mar. 2014 | --- | --- | N/A | | No §5307 funds will be used in FY14. Total forecasted §5307 funds per the plan is $210M. The forecasted amounts by fiscal year are: FY16 - $35M; FY17 - $35M; FY18 - $36M; FY19 - $37M; FY20 - $33M; FY21 - $34M |
| 23 | | | **FY2014 Total** July 2013-March 2014 | --- | --- | N/A | | |
| 24 | | | **FFGA Financial Plan** October 16, 2009 - March 2014 | --- | --- | N/A | | |

HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

# BALANCED SCORECARD

*Project Implementation/Pre-Revenue Operation*

**APPENDIX A**
**Q3 FY14**
*Data Date: March 28, 2014*

**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.

| | | Activity | Current Quarter (Q3 FY14) | | | | Inception to Date | | | | Comments |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | January, February, March 2014 | | | | January 2007 - March 2014 | | | | |
| | | | 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 | Financials (Continued) | **Project Budget** | | | | | | | | | |
| 26 | | FFGA Baseline Project Budget | N/A | N/A | N/A | ○ | $5,122 | $5,122 | N/A | ● | $M FFGA Baseline Project Budget (including contingencies and FTA-eligible finance charges), in accordance with FTA New Starts project guidelines. |
| 27 | | Committed ($) | $226 | ---- | ---- | ● | $2,698 | $4,308 | ($1,610) | ● | $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 (%) | 8.4% | ---- | ---- | ● | 62.6% | ---- | N/A | ● | % $M Committed of the committed Baseline FFGA Project Budget. |
| 29 | | Incurred ($M) | $63 | ---- | ---- | ● | $905 | $4,308 | ($3,403) | ● | $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 rebaselined in spring 2014. 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 | | Incurred (%) | 1% | ---- | ---- | ● | 21% | ---- | ---- | ● | % $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 | $1.0 | $4.7 | ($3.7) | ● | $31.4 | $35.1 | ($3.7) | ● | 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. Direct costs of the delay due to the Supreme Court decision were originally estimated at $36.2M through September 2013. Actual and plan amounts are through October 2013. |
| 32 | | Escalation Costs Related to Supreme Court Decision to Date | $0.0 | N/A | N/A | ● | $0.0 | N/A | N/A | ● | Escalation value to be determined based on actual costs incurred. |
| 33 | | *Total Cost of Delay Due to Supreme Court Decision to Date* | *$1.0* | *$4.7* | *($3.7)* | ● | *$31.4* | *$35.1* | *($3.7)* | ● | *Actual and plan amounts are through October 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 | $6 | N/A | N/A | ● | $519 | $542 | ($22) | ● | 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 | ($4) | N/A | N/A | ● | $89 | $102 | ($13) | ● | 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* | *$2* | *N/A* | *N/A* | ● | *$608* | *$644* | *($35)* | ● | *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 The status is green because the Inception to Date actual number is above the FFGA minimum buffer value of $424M.* |
| 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 G-2). HART is still on track to maintain the 2019 full revenue service date. |
| 40 | Project Progress | PROJECT DELIVERY - OVERALL | | | | | | | | | |
| 41 | | **Overall Progress** [Positive = ahead of Late Plan; Negative = behind Late Plan] | | | | | | | | | |
| 42 | | Overall Project Progress Completed | 1.7% | 2.4% | (0.7%) | ● | 22.7% | 23.6% | (0.9%) | ● | % 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. Revised project schedules for WOFH, MSF and KHG have been incorporated into the overall project progress curve and the interim opening will be June 2017. |
| 43 | | Overall Design Progress Completed | 10.6% | 9.7% | +0.9% | ● | 70.6% | 69.2% | +1.4% | ● | % Complete of Final Design contracts & DB-DBOM design levels-of-effort actual vs. late plan. Design is progressing satisfactorily in support of the planned bid dates. The design progress schedule has been rebaselined and the interim opening will be June 2017. |
| 44 | | Overall Construction Progress Completed | 3.5% | 4.0% | (0.5%) | ● | 12.7% | 13.7% | (1.0%) | ● | % Completion of Construction (DB, DBB, DBOM & E/E) contracts vs. planned. On 9/16/13, the temporary suspension of work for all ground-disturbing activities was lifted. The construction progress schedule has been rebaselined and includes revised project schedules for WOFH, MSF and KHG DB contracts. The interim opening will be June 2017. |
| 45 | | **Contracts Awarded** | | | | | | | | | |
| 46 | | Total Number of Contracts Awarded | 1 | 3 | (2) | ● | 32 | 34 | (2) | ● | The plan numbers are based off of the FTA Full Funding Grant Agreement Contract Packaging Plan (CPP) contracts. Contracts awarded: Core Systems Support Services. Pending (not awarded yet): Safety and Security Support Services and Owner-Controlled Insurance Brokerage Services. Variance includes savings from planned budget with contingency. |
| 47 | | Total Value of Contracts Awarded | $43.9 | $52.7 | ($8.8) | ● | $3,133.0 | $3,199.4 | ($66.4) | ● | $M Awarded. Note, CORE systems includes costs of O&M. Variance includes savings from planned budget with contingency. For a full list of contracts awarded please see the HART Monthly Progress Report. |
| 48 | | **Change Orders** | | | | | | | | | |
| 49 | | Change Orders (#) | 3 | N/A | N/A | ● | 103 | N/A | N/A | ● | # Change Orders executed this quarter (3 Final Design). These change orders reflect the Notice to Proceed and AIS delays. |
| 50 | | Change Orders ($) | $2.8 | N/A | N/A | ● | $227.7 | N/A | N/A | ● | $M Change Orders executed this quarter ($2.8M Final Design). These change orders are reducing our allocated, unallocated and known contingency. The most significant amendment during the third quarter was $2.3M for AIS suspension for Airport Section Guideway Utilities Final Design contract (FD-430). |
| 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. |

HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

# BALANCED SCORECARD

***Project Implementation/Pre-Revenue Operation***

**APPENDIX A**
**Q3 FY14**
*Data Date: March 28, 2014*

***Comments and Legend***

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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.

| | | Activity | Current Quarter (Q3 FY14) | | | | Inception to Date | | | | Comments and Legend |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | January, February, March 2014 | | | | January 2007 - March 2014 | | | | |
| | | | Actual | Plan | Variance | Status | Actual | Plan | Variance | Status | |
| 54 | Project Progress (continued) | **Agreements*** | | | | | | | | | **Inception to Date Plan numbers vary each quarter due to advancement of design.* |
| 55 | | Utility Agreements - Engineering Services | 0 | 1 | (1) | | 28 | 29 | (1) | | Inception to Date Plan = total number of agreements planned for the project<br>WOFH - all 9 agreements executed.<br>KHG - all 10 agreements executed.<br>KHG/Airport/City Center - only 1 agreement executed.<br>Airport/City Center - 8 of the 9 agreements executed.<br>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 | 0 | 8 | (8) | | 9 | 29 | (20) | | Inception to Date Plan = total number of agreements planned for the project<br>WOFH - 6 out of 8 agreements executed.<br>KHG - 3 out of 6 agreements executed.<br>Airport - 0 of the 7 planned are executed.<br>City Center - 0 of the 8 planned are executed.<br>The status is orange due to the agreements needed for WOFH and KHG, which could delay construction. |
| 57 | | *Total Utility Agreements* | *0* | *9* | *(9)* | | *37* | *58* | *(21)* | | *Inception to Date Plan = total number of agreements planned for the project*<br>*WOFH - 2 agreements of 17 outstanding.*<br>*KHG - 3 agreements of 16 outstanding.*<br>*KHG/Airport/City Center ESA - Only 1 agreement planned/executed.*<br>*Airport/City Center ESA - 8 of 9 agreements executed.*<br>*Airport Construction- no agreements executed (7 agreements planned).*<br>*City Center Construction- no agreements executed (8 agreements planned).*<br>*The status is based on the potential for construction to be delayed.* |
| 58 | | HDOT Master Agreements/Joint Use & Occupancy | 0 | 0 | -0- | | 2 | 2 | 0 | | Inception to Date Plan = total number of agreements planned for the project<br>WOFH and a combined Master Agreement for KHG, Airport and City Center sections are executed. |
| 59 | | Other Agreements | 0 | 5 | (5) | | 10 | 20 | (10) | | Inception to Date Plan = total number of agreements planned for the project<br>Agreements needed for the project (**bold, red** items are high priority agreements):<br>**WOFH, KHG, City Center:**<br>**-University of Hawaii Master Agreement**<br>**WOFH:**<br>-Leeward Community College Pre-Construction Right of Entry Agreement -- COMPLETED<br>**-Leeward Community College Construction Right of Entry Agreement**<br>-UH West Oahu Pre-Construction Right of Entry Agreement -- COMPLETED<br>-Department of Land and Natural Resources -- COMPLETED<br>-Department of Education Master Agreement and Consent to Construct -- COMPLETED<br>-D.R. Horton Agreement for Construction -- COMPLETED<br>-DHHL MOU -- COMPLETED<br>-DHHL Consent to Construct -- COMPLETED<br>-DHHL License or Property Transfer (near completion)<br>**KHG:**<br>-UH Urban Garden Pre-Construction Right of Entry Agreement -- COMPLETED<br>**-UH Urban Garden Construction Right of Entry Agreement**<br>-Aloha Stadium/Department of Accounting & General Services (DAGS) -- COMPLETED<br>**Airport:**<br>-U.S. Navy/General Services Administration (GSA)<br>-U.S. Post Office Honolulu Processing Center<br>**City Center:**<br>-Honolulu Community College (HCC) Pre-Construction Right of Entry Agreement -- COMPLETED<br>-HCC Construction Right of Entry Agreement<br>-Federal Court House/GSA<br>-Hawaii Community Development Agreement<br>-DAGS<br>The status is based on the agreements needed for WOFH and KHG, which could impact ongoing construction. |

HART
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# BALANCED SCORECARD

***Project Implementation/Pre-Revenue Operation***

**APPENDIX A**
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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.

| | | Activity | Current Quarter (Q3 FY14) | | | | Inception to Date | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | January, February, March 2014 | | | | January 2007 - March 2014 | | | | |
| | | | Actual | Plan | Variance | Status | Actual | Plan | Variance | Status | |
| 60 | Project Progress (continued) | **Real Estate/Right-of-Way (ROW)** | | | | | | | | | |
| 61 | | *Acquisitions** | | | | | | | | | **Inception to Date Plan numbers vary each quarter due to advancement of design; Actual numbers are based on property availability for construction.* |
| 62 | | WOFH Full Acquisitions | 0 | 0 | -0- | | 14 | 14 | -0- | | Inception to Date Plan = total number needed for project<br>Consent to Construct received. Awaiting stipulated judgment and final order. |
| 63 | | WOFH Partial Acquisitions | 0 | 3 | (3) | | 3 | 6 | (3) | | Inception to Date Plan = total number needed for project<br>Finalizing agreements for two partial acquisitions. Offer made for one partial acquisition for West Loch Station. |
| 64 | | *Summary WOFH Acquisitions (Full + Partial)* | *0* | *3* | *(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<br>All property is available to contractors. |
| 66 | | KHG Partial Acquisitions | 0 | 0 | -0- | | 3 | 3 | -0- | | Inception to Date Plan = total number needed for project<br>Eminent domain on one partial is proceeding through the courts and two partials are in negotiations. |
| 67 | | *Summary KHG Acquisitions (Full + Partial)* | *0* | *0* | *-0-* | | *6* | *6* | *-0-* | | *Inception to Date Plan = total number needed for project* |
| 68 | | Airport Full Acquisitions | 1 | 4 | (3) | | 2 | 5 | (3) | | Inception to Date Plan = total number needed for project<br>One full acquisition in escrow closed and available for contractor. Two full acquisitions closed escrow, but relocations remain. One acquisition in negotiations. |
| 69 | | Airport Partial Acquisitions | 0 | 1 | (1) | | 1 | 5 | (4) | | Inception to Date Plan = total number needed for project<br>Two parcels in appraisal process and agreements for remaining parcels are pending. |
| 70 | | *Summary Airport Acquisitions (Full + Partial)* | *1* | *5* | *(4)* | | *3* | *10* | *(7)* | | *Inception to Date Plan = total number needed for project* |
| 71 | | City Center Full Acquisitions | 0 | 0 | -0- | | 2 | 15 | (13) | | Inception to Date Plan = total number needed for project<br>With the recent court decisions in favor of HART and the lifting of the injunction, HART is beginning the acquisition process and generating letter of intent to acquire. |
| 72 | | City Center Partial Acquisitions | 0 | 0 | -0- | | 0 | 70 | (70) | | Inception to Date Plan = total number needed for project<br>Awaiting resolution on design re: Dillingham acquisitions. With the recent court decisions in favor of HART and the lifting of the injunction, HART is beginning the acquisition process and generating letter of intent to acquire. One property added in due to tax record data. |
| 73 | | *Summary City Center Acquisitions (Full + Partial)* | *0* | *0* | *-0-* | | *2* | *85* | *(83)* | | *Inception to Date Plan = total number needed for project*<br>*With the recent court decisions in favor of HART and the lifting of the injunction, HART is beginning the acquisition process and generating letter of intent to acquire.* |
| 74 | | Expenditures for Full Acquisitions | N/A | N/A | N/A | | $42.5 | $45.4 | ($2.9) | | $M in expenditures recorded for full acquisitions vs. planned in the FFGA Budget. WOFH property final cost awaiting court approval. |
| 75 | | *Easements** | | | | | | | | | **Inception to Date Plan numbers vary each quarter due to advancement of design; Actual numbers are based on property availability for construction.* |
| 76 | | WOFH Easements | 0 | 0 | -0- | | 7 | 14 | (7) | | Inception to Date Plan = total number needed for project |
| 77 | | KHG Easements | 0 | 0 | -0- | | 3 | 5 | (2) | | Inception to Date Plan = total number needed for project |
| 78 | | Airport Easements | 0 | 0 | -0- | | 0 | 34 | (34) | | Inception to Date Plan = total number needed for project<br>2 easements in appraisal process and 1 offer made; 15 easements in process by Navy. |
| 79 | | City Center Easements | 0 | 0 | -0- | | 0 | 24 | (24) | | Inception to Date Plan = total number needed for project<br>Awaiting resolution on design re: Dillingham acquisitions. With the recent court decisions in favor of HART and the lifting of the injunction, HART is beginning the acquisition process and generating letter of intent to acquire. |
| 80 | | *Summary Easements* | *0* | *0* | *-0-* | | *10* | *77* | *(67)* | | *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.<br>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.<br>From 2010-2014 (YTD), Kiewit's average incident rate for recordable cases for the Project is 0.49. According to the U.S. Bureau of Labor Statistics, in 2012 the incidence rate of nonfatal occupational injuries and illnesses for heavy and civil engineering construction for total recordable cases was 3.2 nationally and 5.9 in Hawaii.<br>For additional information on recordable incidents please see the HART Monthly Progress Report. |
| 84 | | **Quality Assurance (QA)** | | | | | | | | | |
| 85 | | Completion of QA Audits | 0 | 0 | -0- | | 46 | 43 | +3 | | # QA Audits of HART, GEC, contractors and suppliers completed vs. planned. |
| 86 | | Successful Closure of Design NCRs | 0 | 0 | -0- | | 9 | 10 | (1) | | # Design Non-Conformance Reports (NCRs) closed vs. issued. One issued Dec. 2013 on MSF. |
| 87 | | Successful Closure of Construction NCRs | 19 | 30 | (11) | | 112 | 123 | (11) | | # Construction NCRs closed vs. issued. The variance: 30 (21-WOFH, 7-KHG and 2-MSF) issued Jan.-Mar.; 11 NCRs remain Open. |

HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

# BALANCED SCORECARD

***Project Implementation/Pre-Revenue Operation***

**APPENDIX A**
**Q3 FY14**
*Data Date: March 28, 2014*

***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.

| | | Activity | Current Quarter (Q3 FY14) | | | | Inception to Date | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | January, February, March 2014 | | | | January 2007 - March 2014 | | | | |
| | | | Actual | Plan | Variance | Status | Actual | Plan | Variance | Status | |
| 88 | Project Progress (continued) | **Economic Multipliers** [Negative = below plan] | | | | | | | | | |
| 89 | | DBE Participation (%) | 0.15% | 0.13% | +0.02% | | 0.89% | 13% | -12.11% | | % actual vs. target participation rate of Disadvantaged Business Enterprises (DBE) to date since September 24, 2007. The planned DBE participation rate is an overall project goal. The Inception to Date Actual amount includes an audit adjustment removing ineligible payments. The inception date has also been adjusted to September 24, 2007 to include eligible payments on SC-HRT-11H0131, GEC I. |
| 90 | | DBE Participation ($) | $2.72 | $2.29 | +$0.43 | | $15.62 | $229 | ($213.38) | | $M actual vs. target participation of DBE to date since September 24, 2007. The planned DBE participation rate is an overall project goal. The Inception to Date Actual amount includes an audit adjustment removing ineligible payments. The inception date has also been adjusted to September 24, 2007 to include eligible payments on SC-HRT-11H0131, GEC I. |
| 91 | Workforce Development | **PERSONNEL** | | | | | | | | | |
| 92 | | HART Staffing Level | 5 | 0 | +5 | | 121 | 139 | (18) | | # Current HART Full-Time Equivalents (FTEs) vs. planned positions in the FY14 Operating Budget. 121 current FTEs. This includes 102 City employees and 19 Project Management Support Consultant (PMSC) employees. The actual number reported in the Current Quarter reflects all new hires for the quarter. The Inception to Date numbers reflect the total number of employees currently onboard as of March 31, 2014. |
| 93 | | Direct Project Jobs Created | ---- | ---- | ---- | | 1,042 | ---- | ---- | | # Direct project jobs created. Actual number reflects input from all contractors and a calculated count for all agencies supporting HART's activities. |
| 94 | Partnerships | **Transit-Oriented Development (TOD) Planning** | | | | | | | | | |
| 95 | | City Department of Planning and Permitting Draft TOD Plans | 0 | 3 | N/A | | 16 | 19 | N/A | | City Department of Planning and Permitting (DPP) is responsible for TOD plans for 19 of the 21 stations. A total of 16 stations have Draft TOD neighborhood plans at this time. DPP started developing Draft TOD plans for the remaining 3 stations: Pearl Harbor Naval Base, Airport and Lagoon Drive. Final TOD Plans are expected starting in the second quarter of 2014 through 2015. In the interim, DPP has drafted Bill 71 Land Use Ordinance (LUO) Amendment Relating to Interim Plan Development Permits for TOD, which will allow for negotiations on TOD projects as per the Draft TOD plans before zoning is in place. |
| 96 | | Hawai'i Community Development Authority Draft TOD Overlay Plan | 0 | 0 | N/A | | 2 | 2 | N/A | | HCDA developed a Draft TOD Overlay Plan for the areas around Kaka'ako and Civic Center Station. It will be finalized in the Kaka'ako Environmental Impact Statement which is expected to be available in draft form in Q3 2014. |
| 97 | | *Total Stations with Approved Draft TOD Plans* | *0* | *3* | *N/A* | | *18* | *21* | *N/A* | | *TOD plans are being created for 21 stations.* |
| 98 | Customer Perspective | **PUBLIC OUTREACH** | | | | | | | | | |
| 99 | | Build a Social Media Community | 75 | ---- | N/A | | 2,037 | ---- | N/A | | # of unique Facebook followers. |
| 100 | | Proactive Community Outreach: Neighborhood Board Meetings | 33 | ---- | N/A | | 852 | ---- | N/A | | # Neighborhood Board Meetings in which HART has participated to date since 2006. |
| 101 | | Proactive Community Outreach: Presentations/Events | 52 | ---- | N/A | | 1,580 | ---- | N/A | | # Events in which HART has participated to date since 2006. |
| 102 | | **SERVICE DELIVERY** | | | | | | | | | |
| 103 | | Fare Collection System | | | | | | | | | TBD in FY15. |
| 104 | | Bus-Rail Integration Plan | | | | | | | | | TBD |
| 105 | | HART Operating Organization Plan | | | | | | | | | TBD |
| 106 | | HART Service Policy/Standards | | | | | | | | | TBD |
| 107 | | **LIVABILITY** | | | | | | | | | |
| 108 | | HART Sustainability Policy | | | | | | | | | TBD in FY14. |
| 109 | | Transit-Oriented Development (TOD) Policy | | | | | | | | | TOD stakeholders group in development. |

# Appendix B

## HART Organizational Charts

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Prepared by:

Administrative Specialist — Date: Feb 28, 2014

Concur:

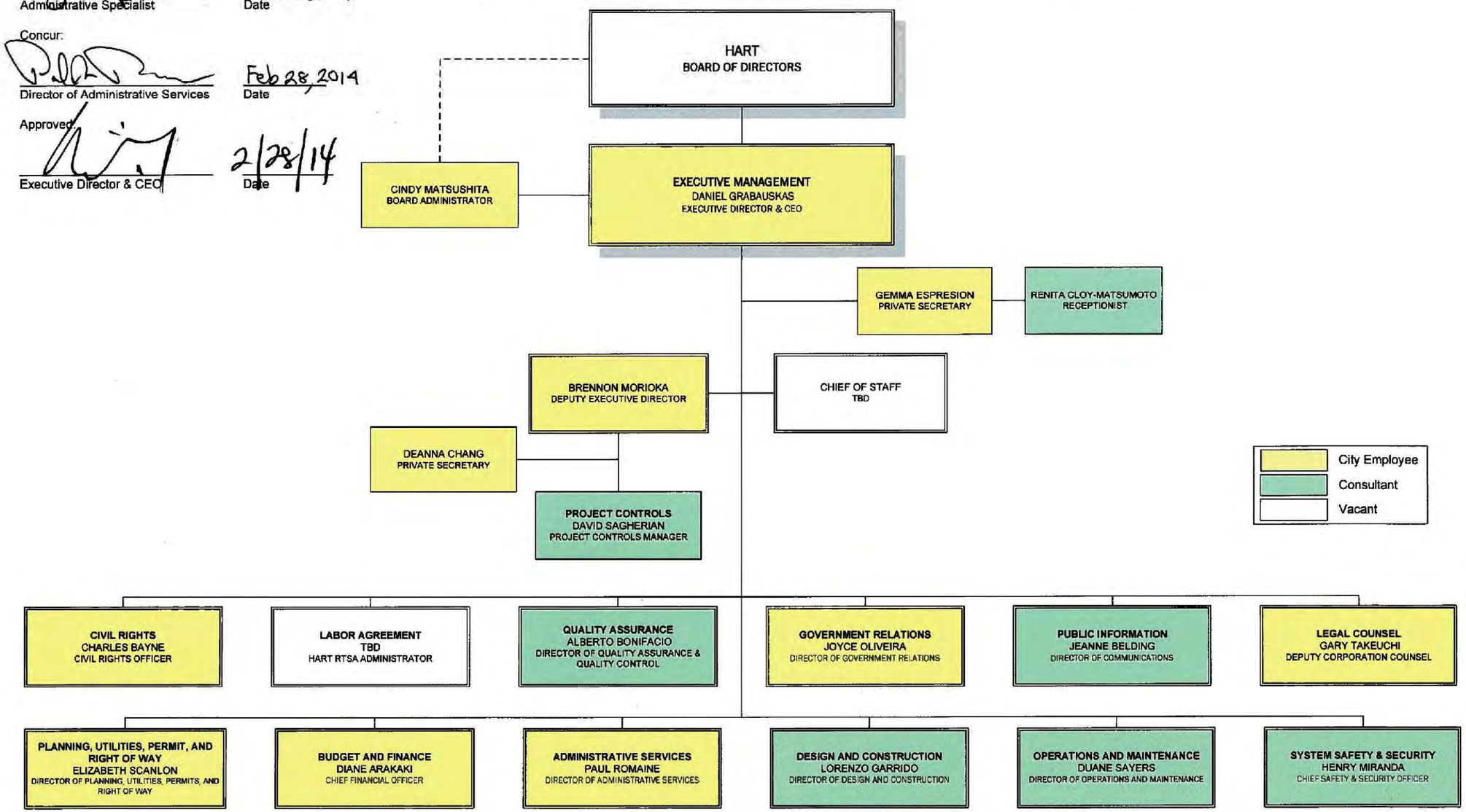
Director of Administrative Services — Date: Feb 28, 2014

Approved:

Executive Director & CEO — Date: 2/28/14

# HONOLULU AUTHORITY FOR RAPID TRANSPORTATION (HART)

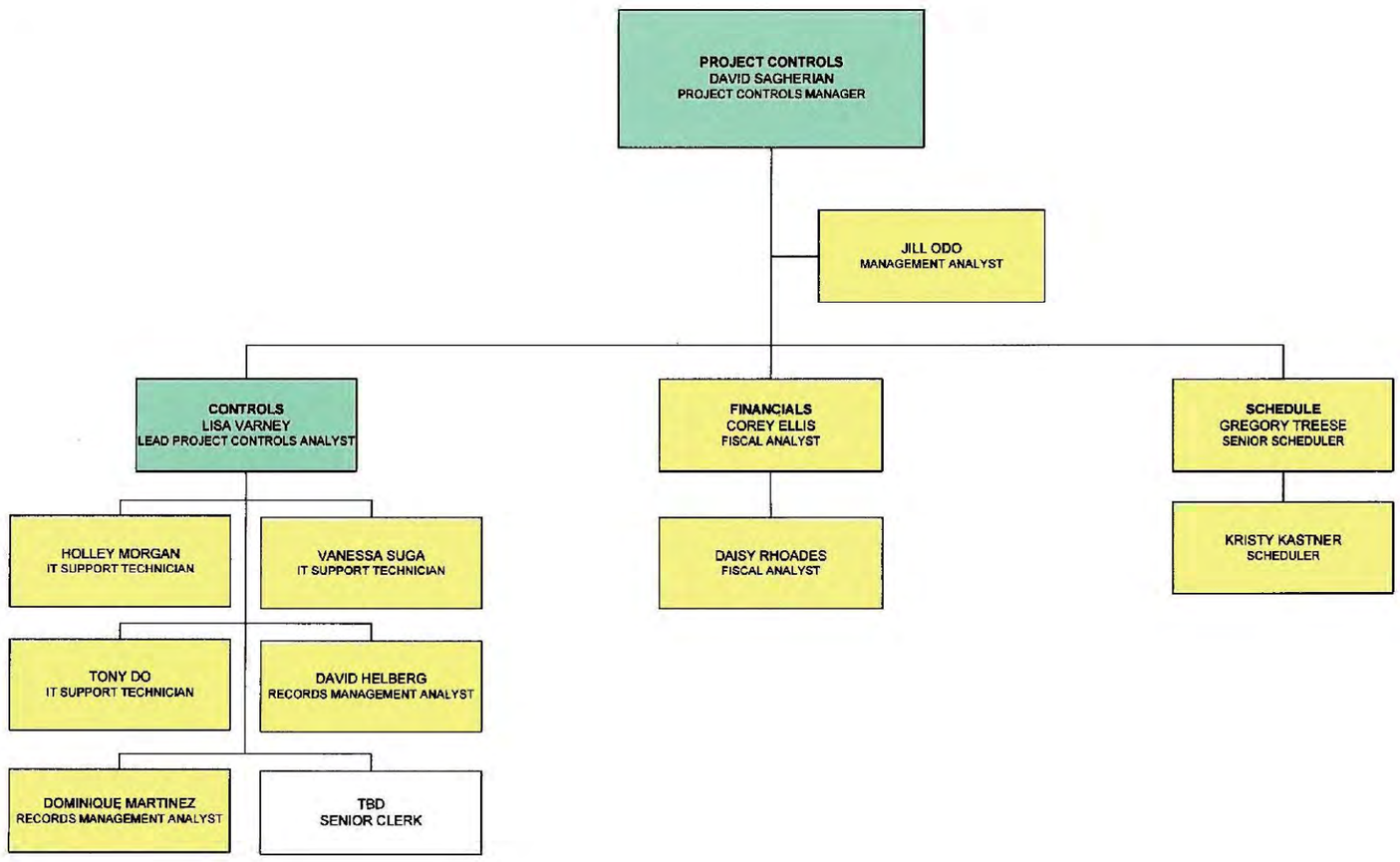
MARCH 1, 2014




1

MARCH 1, 2014

# HONOLULU AUTHORITY FOR RAPID TRANSPORTATION
## PROJECT MANAGEMENT

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MARCH 1, 2014

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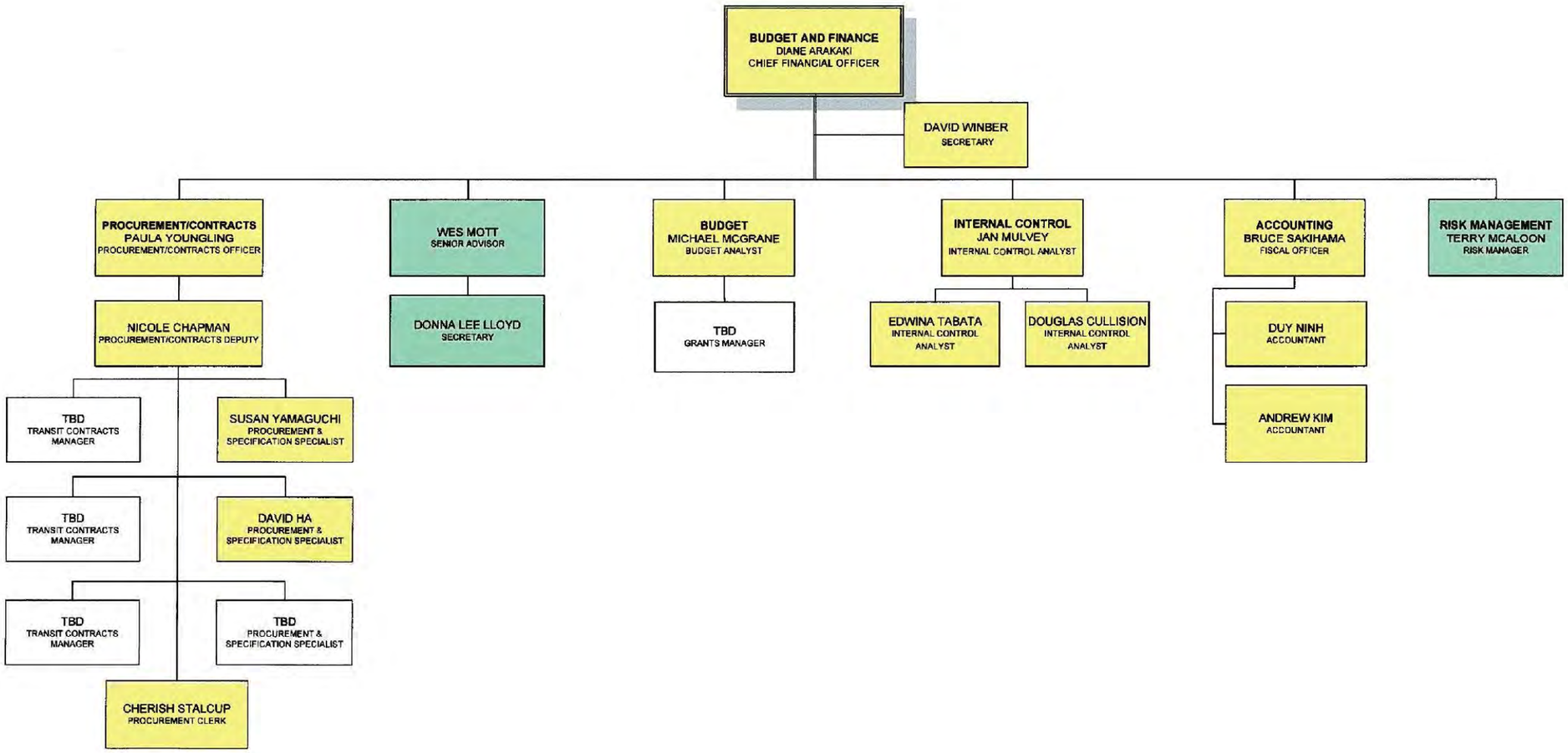
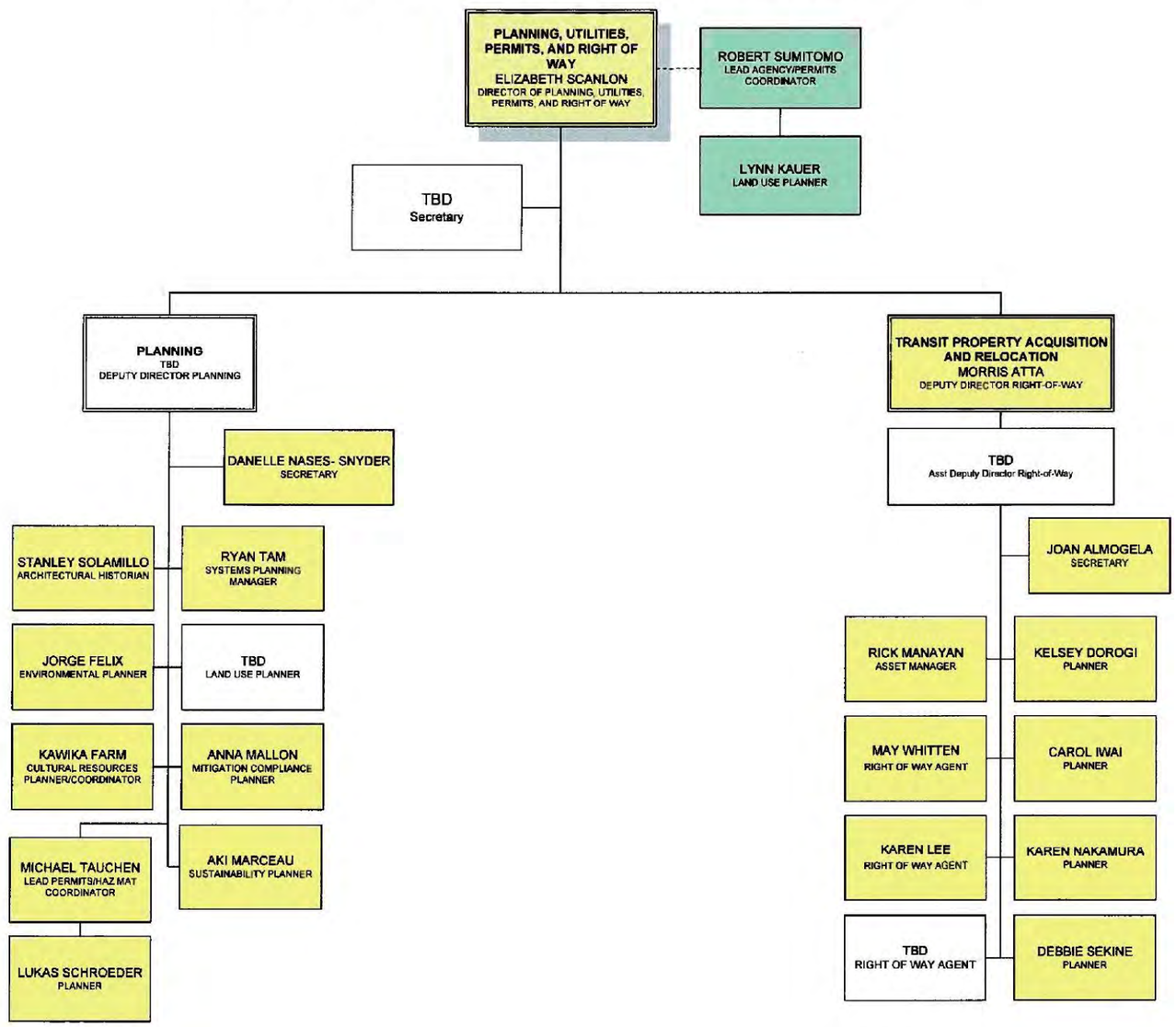
## BUDGET AND FINANCE




3

MARCH 1, 2014

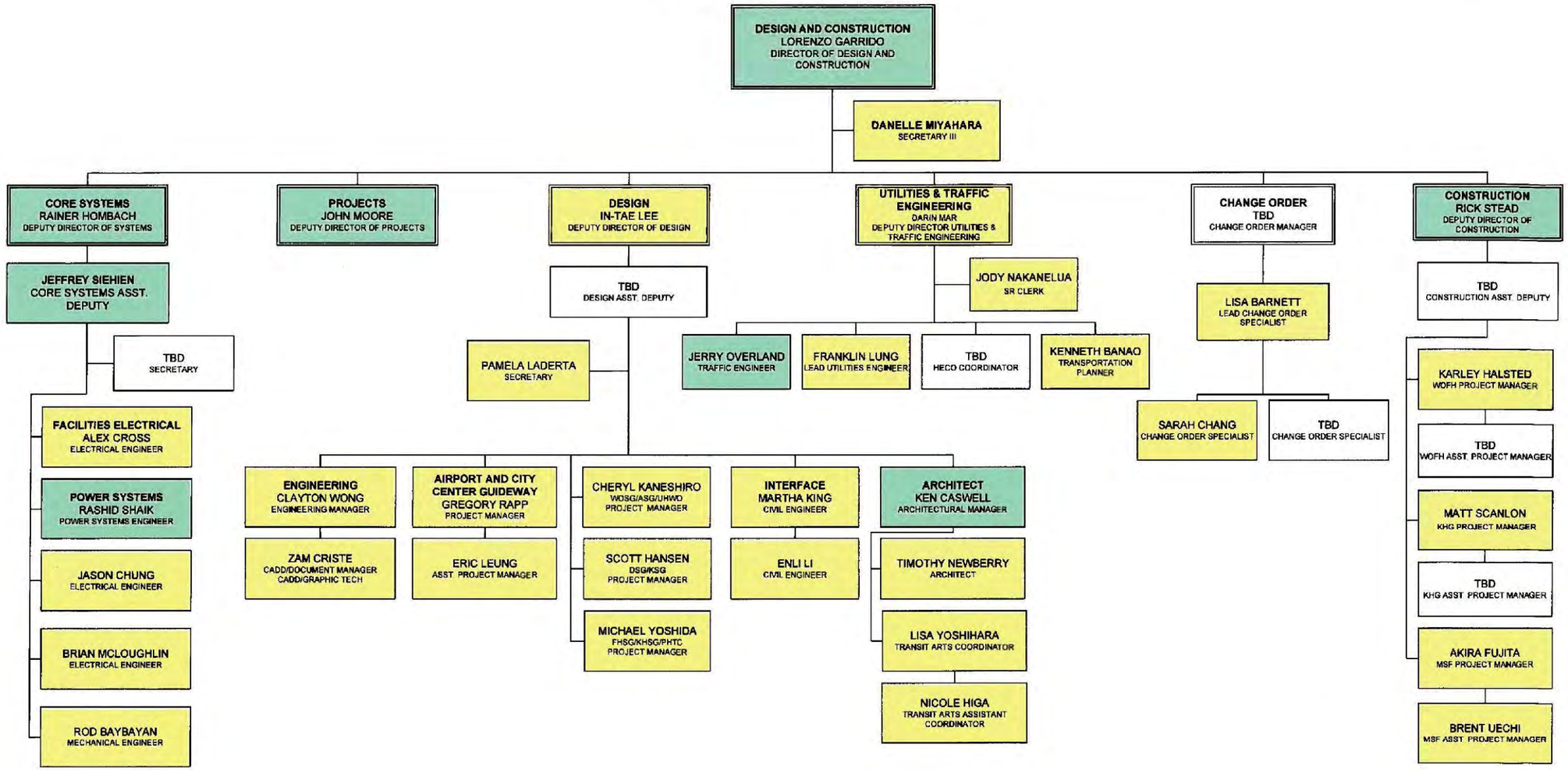
# HONOLULU AUTHORITY FOR RAPID TRANSPORTATION
## PLANNING, ULTILITIES, PERMITS, AND RIGHT OF WAY




4

# HONOLULU AUTHORITY FOR RAPID TRANSPORTATION
## DESIGN AND CONSTRUCTION

MARCH 1, 2014

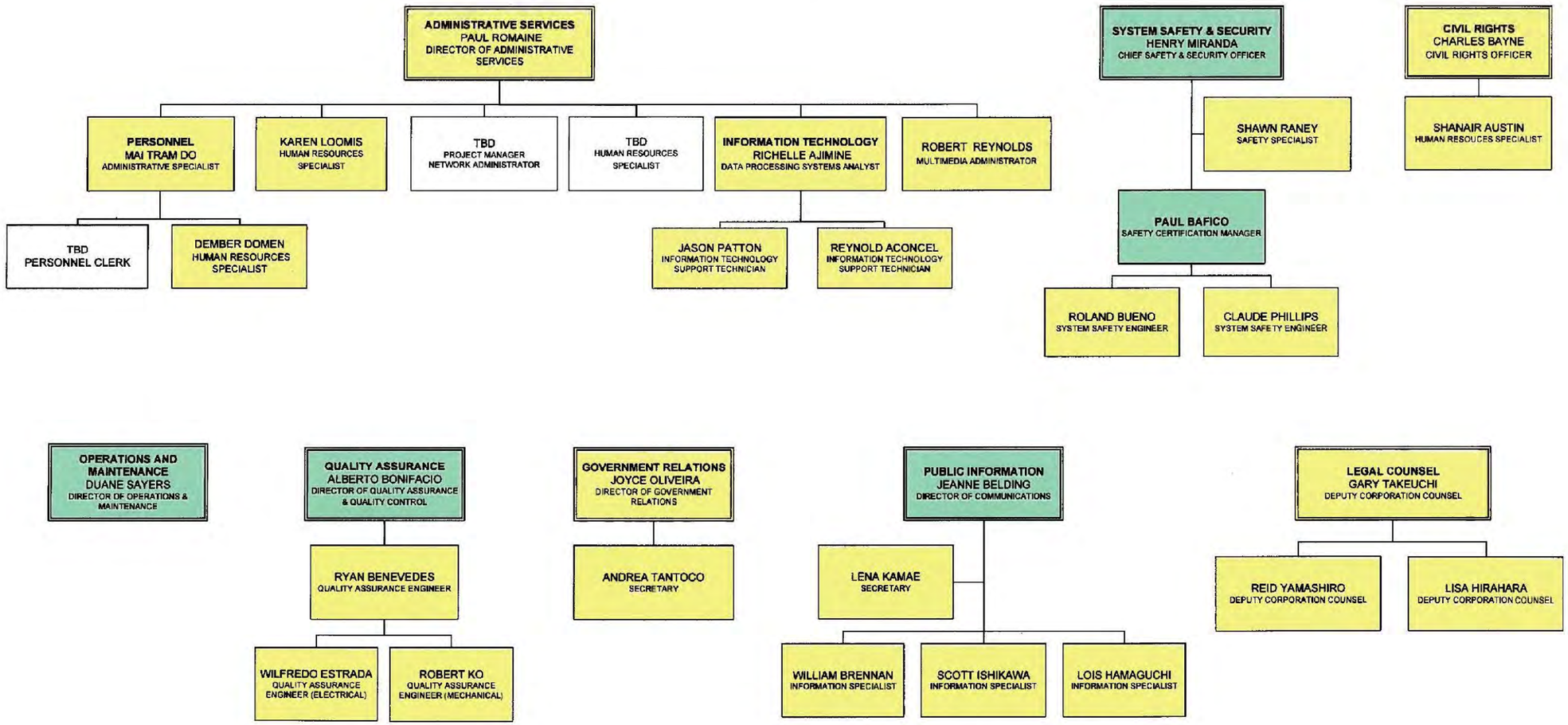



5

MARCH 1, 2014

# HONOLULU AUTHORITY FOR RAPID TRANSPORTATION

## ADMINISTRATIVE SERVICES, SYSTEM SAFETY & SECURITY, CIVIL RIGHTS, OPERATIONS AND MAINTENANCE, QUALITY ASSURANCE, GOVERNMENT RELATIONS, PUBLIC INFORMATION, LEGAL COUNSEL




6

# Appendix C

## Master Agreements Concerning Transit Oriented Development At HART Rail Stations

| Agreement | Status | Target | Section |
|---|---|---|---|
| **University of Hawaii (UH) Master Agreement** | Pending | September 2014 | **WOFH, KHG, City Center** |
| **UH -West Oahu (UHWO) Consent to Construct** | Pending | April 2014 | **WOFH** |
| **UH - West Oahu (UHWO) Sub-agreement** | Pending | April 2014 | **WOFH** |
| **Leeward Community College (LCC) Consent to Construct** | Pending | April 2014 | **WOFH** |
| **Leeward Community College (LCC) Sub-agreement** | Pending | April 2014 | **WOFH** |
| **UH Urban Garden Consent to Construct** | Pending | April 2014 | **KHG** |
| **UH Urban Garden Sub-agreement** | Pending | April 2014 | **KHG** |
| **DR Horton Agreement for Construction** | Executed | | **WOFH** |
| **DR Horton Final Easement Agreement** | Pending | December 2014 | **WOFH** |
| **Honolulu Community College (HCC) Consent to Construct** | Pending | April 2014 | **City Center** |
| **Honolulu Community College (HCC) Sub-agreement** | Pending | April 2014 | **City Center** |
| **Department of Land and Natural Resources (DLNR) Right of Entry** | Executed | | **WOFH** |
| **Department of Land and Natural Resources (DLNR) Easement** | Pending | | **WOFH** |
| **Department of Education Master Agreement and Consent to Construct** | Executed | May 2014 | **WOFH** |
| **Aloha Stadium / Department of Accounting & General Services (DAGS) Right of Entry** | Executed | | **KHG** |
| **Aloha Stadium / Department of Accounting & General Services (DAGS) Easement** | Pending | September 2014 | **KHG** |
| **DHHL Master Agreement** | Executed | | **WOFH, MSF** |
| **DHHL Consent to Construct** | Executed | | **WOFH, MSF** |
| **DHHL License** | Pending | June 2014 | **WOFH, MSF** |
| **HDOT Master Agreement** | Executed | | **WOFH** |
| **HDOT Joint Use & Occupancy (JU&O) Sub-agreement** | Executed | | **WOFH** |
| **HDOT Master Agreement for KHG, Airport and City Center** | Executed | | **KHG, Airport, City Center** |
| **HDOT JU&O Sub-agreement** | Executed | | **KHG Airport City Center** |

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| | | | |
|---|---|---|---|
| **HDOT SOA MOU** | Executed | | **Program** |
| **OCCC/Hawaii Department of Public Safety Agreement Dillingham Blvd** | Pending | July 2014 | **City Center** |
| **HI Community Development Agreement (HCDA)** | Pending | Oct 2014 | **City Center** |
| **DAGS** | Pending | Oct 2014 | **City Center** |
| **U.S. Navy / General Services Administration (GSA)** | Pending | N/A | **Airport** |
| **U.S. Post Office Honolulu Processing Center** | Pending | April 2014 | **Airport** |
| **Federal Court House/GSA** | Pending | Oct 2014 | **City Center** |
| **Pacific Guardian Center** | Pending | Jun 2015 | **City Center** |
| **Howard Hughes Corporation – Joint Development Agreement** | Pending | Jun 2015 | **City Center** |
| **Sam House Development LLC – Joint Development Agreement** | Pending | Jun 2015 | **City Center** |
| **GGP Ala Moana LLC – Joint Development Agreement** | **Pending** | **Jun 2015** | **City Center** |

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# Appendix D

## Project Background and Planning

The Alternatives Analysis (AA) for the project was initiated in August 2005 and the *Honolulu High-Capacity Transit Corridor Project Alternatives Analysis Report* was presented to the Honolulu City Council in November 2006. The purpose of the report was to provide the City Council with the information necessary to select a mode and general alignment for high-capacity transit service on O‘ahu. The report summarized the results of the AA that was conducted following the FTA’s planning guidance. It also provided information on the costs, benefits, and impacts of four alternatives: No Build Alternative, Transportation System Management Alternative, Managed Lane Alternative, and Fixed Guideway Alternative.

During November and December 2006, public meetings were held on the AA. On December 22, 2006, the Honolulu City Council enacted Ordinance No. 07-001, which selected a fixed guideway alternative from Kapolei to the University of Hawaii at Mānoa with a connection to Waikiki as the Locally Preferred Alternative (LPA) for the project. Ordinance 07-001 identified a specific alignment for the majority of the corridor but left options open in two locations. At the western end of the corridor, the LPA selection identified two alignments (described in the AA Report as Section I – Saratoga Avenue/North-South Road and Kamokila Boulevard/Farrington Highway), with the notation *“as determined by the city administration before or during preliminary engineering.”* In the center of the corridor, the LPA selection also identified two alignments (described in the AA Report as Section III – Salt Lake Boulevard and Aolele Street), also with the notation *“as determined by the city administration before or during preliminary engineering.”*

The LPA selection was made recognizing that the then-identified revenue sources, including revenues from the 0.5 percent county GET surcharge in place from January 1, 2007, through December 31, 2022, and a reasonable expectation of FTA New Starts funds, would not be sufficient to fund the capital cost of the LPA. Thus, a financially feasible project needed to be identified. On February 27, 2007, the Honolulu City Council initially selected a segment of the LPA from East Kapolei to Ala Moana Center, via Salt Lake Boulevard (Resolution 07-039, FD1(c)). However, on January 28, 2009, the Honolulu City Council, under Resolution 08-261, recommended replacing the Salt Lake portion of this initial alignment with a route that includes direct service to Pearl Harbor and the Airport. This section of the LPA, from East Kapolei to Ala Moana Center, which serves the Airport is referred to as “the project” and is shown in **Figure 1** and described in Project Description, both following.

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**Figure 1: The Project**

# Project Description

## Alignment

The project is an approximately 20-mile portion of the LPA extending from East Kapolei in the west to Ala Moana Center in the east (**Figure 1**). The alignment is elevated, with the exception of 3,175 linear feet (0.6 mile) that is at-grade near the Leeward Community College Station.

The project is planned to be delivered in four design and construction sections, as described below.

### *Section I – West Oahu /Farrington Highway: East Kapolei to Pearl Highlands*

East Kapolei is the western terminus of the project. The alignment begins at Kualaka'i Parkway (North-South Road) north of Kapolei Parkway. The alignment follows Kualaka'i Parkway in a northerly direction to the entrance to UH West Oahu where it turns east and continues south of Farrington Highway and then onto Farrington Highway and crosses Fort Weaver Road. The alignment is elevated along this length.

The alignment continues in a north-easterly direction following Farrington Highway in an elevated structure. Alongside Waipahu High School, the alignment descends to grade as it enters the Maintenance & Storage Facility (the former Navy Drum site). The alignment continues at grade to Leeward Community College and then returns to an elevated configuration to cross the H-1 Freeway. North of the Freeway, the alignment turns eastward along Kamehameha Highway.

**Table 1: Section I Stations – East Kapolei to Pearl Highlands**

| Station No. | Name/Planned Location | Planned Station Type | Planned Station Features |
|---|---|---|---|
| 1. | **East Kapolei:**<br>Kualaka'i Parkway @ East –West Road | Center Platform<br>Concourse | Park-and-Ride lot: 900 spaces |
| 2. | **UH West Oahu :**<br>Kualaka'i Parkway @ Campus Drive | Side Platform<br>Concourse | Park-and- Ride lot: 1,000 spaces<br>Major bus interface |
| 3. | **Ho'opili:**<br>Future minor east-west street approximately 300' south of Farrington Highway | Side Platform<br>No concourse | |
| 4. | **West Loch:**<br>Farrington Highway @ Leoku Street | Side Platform<br>Concourse | Major bus interface with Bus Transit Center |
| 5. | **Waipahu Transit Center:**<br>Farrington Highway @ Mokuola Street | Side Platform<br>Concourse | Major bus interface with Bus Transit Center |
| 6. | **Leeward Community College:**<br>Leeward CC parking lot | Center Platform<br>At grade | Community college interface<br>Access from below platform circulation space |

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### *Section II – Kamehameha Highway: Pearl Highlands to Aloha Stadium (Airport)*

The alignment continues in an elevated structure and continues in the median of Kamehameha Highway, crossing H-1 and continuing to where the Moanalua Freeway extension joins Kamehameha Highway at Aiea Stream. The route then crosses the westbound lane of Kamehameha Highway past a section with a pocket track and continues to the Aloha Stadium Station. Section II includes three stations: Pearl Highlands, Pearlridge, and Aloha Stadium, and two park-and-ride lots.

**Table 2: Section II Stations – Pearl Highlands to Aloha Stadium**

| Station No. | Name/Planned Location | Planned Station Type | Planned Station Features |
|---|---|---|---|
| 7. | **Pearl Highlands:** Kamehameha Highway @ Kuala Street | Side Platform Concourse | Park-and-Ride multi-level structure: 1,600 spaces<br>Major bus interface |
| 8. | **Pearlridge:** Kamehameha Highway @ Kaonohi Street | Side Platform Concourse | Major bus interface to be provided in the future as a separate project when funds become available |
| 9. | **Aloha Stadium:** Kamehameha Highway @ Salt Lake Boulevard | Side Platform No Concourse | Major bus interface<br>Park-and-Ride lot: 600 spaces |

### *Section III – Airport: Aloha Stadium to Middle Street Transit Center Station*

Past Aloha Stadium Station, the elevated route reenters the median of Kamehameha Highway continuing to its intersection with Nimitz Highway. The route then runs along Nimitz Highway turning *makai* into Aolele Street. The route then follows Aolele Street (Koko Head) transitioning to Ualena Street and Waiwai Loop to reconnect to Nimitz Highway along the *makai* frontage road and continues to the Middle Street Transit Center, after crossing Nimitz Highway. Section III includes four stations: Pearl Harbor Naval Base, Honolulu International Airport, Lagoon Drive, and Middle Street Transit Center.

**Table 3: Section III Stations – Airport**

| Station No. | Name/Planned Location | Planned Station Type | Planned Station Features |
|---|---|---|---|
| 10. | **Pearl Harbor Naval Base:** Kamehameha Highway @ Radford Drive | Side Platform Concourse | |
| 11. | **Honolulu International Airport:** Aolele Street @ Ala Auana Street | Side Platform No Concourse | Pedestrian walkways to Airport Terminal |
| 12. | **Lagoon Drive:** Ualena Street @ Lagoon Drive | Side Platform No concourse | Two entrances |
| 13. | **Middle Street Transit Center:** Dillingham Boulevard @ Middle Street | Side Platform Concourse | Major bus interface with Bus Transit Center<br>Pedestrian Bridge to Transit Center |

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### *Section IV – City Center: Middle Street Transit Center Station to Ala Moana Center*

The elevated alignment continues southeast following Dillingham Boulevard and crosses Kapālama Canal, leaving Dillingham Boulevard at Ka'aahi Street, and crosses Iwilei Road. After crossing Iwilei Road, the alignment follows Nimitz Highway to Halekauwila Street and continues southeast along Halekauwila Street past Ward Avenue, where it transitions onto Queen Street. At the end of Queen Street, the alignment crosses Waimanu Street and crosses over to Kona Street. The alignment then goes into Ala Moana Center and ends with a tail track along Kona Street.

Section IV includes eight stations: Kalihi, Kapālama, Iwilei, Chinatown, Downtown, Civic Center, Kakaako, and Ala Moana Center. There are no park-and-ride lots planned in this section.

**Table 4: Section IV Stations – City Center**

| Station No. | Name/Planned Location | Planned Station Type | Planned Station Features |
|---|---|---|---|
| 14. | **Kalihi:** Dillingham Boulevard @ Mokauea Street | Side Platform Concourse | Two entrances |
| 15. | **Kapālama:** Dillingham Boulevard @ Kokea Street | Side Platform No concourse | Two entrances |
| 16. | **Iwilei:** Ka'aahi Street @ Dillingham Boulevard | Side Platform Concourse | |
| 17. | **Chinatown:** Nimitz Highway @ Kekaulike Street | Side Platform Concourse | |
| 18. | **Downtown:** Nimitz Highway @ Alakea Street | Side Platform Concourse | Two entrances |
| 19. | **Civic Center:** Halekauwila Street @ South Street | Side Platform No Concourse | Two entrances |
| 20. | **Kakaako:** Halekauwila Street @ Ward Avenue | Side Platform No Concourse | |
| 21. | **Ala Moana Center:** Kona Street *mauka* of shopping center | Center/Side Platform Adjacent to shopping center | Major bus interface |

## System-wide Elements

The selected transit technology is electrically powered, industry-standard steel wheel on steel rail powered from a third-rail system. The selected vehicle is to be capable of a top speed greater than 50 mph. The vehicles will be fully automated and driverless although train attendants are anticipated to be on the train during an initial burn-in period to provide the possibility of manual intervention in response to malfunctions. The driverless option is possible because the fixed guideway will operate in exclusive right-of-way with no vehicular or pedestrian crossings. The system is being designed so that vehicles from more than one supplier could operate on the guideway once they are integrated with the train control system. To this degree, it is intended to be a non-proprietary system.

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The traction power distribution system consists of about 14 substations and main line track power distribution facilities. The substations are spaced at approximately one and one-half mile intervals along the alignment. The exact number of substations will be determined during final design.

Train signaling uses automatic train control and automatic train operations technology. The communications and security facilities include emergency phones, closed-circuit television, and public address and information display systems.

Initially, there will be 80 individual guideway vehicles each having a length of roughly 60 feet and the capacity to carry upwards of 160 persons. Additional vehicles will be added to the fleet as passenger demand requires in the future.

The MSF will be constructed on 43 acres of land at the former Navy Drum site, *makai* of Farrington Highway to the west of Leeward Community College, to service and store the transit vehicles. Up to 150 vehicles may be accommodated at the MSF.

Platform screen barriers and doors are becoming standard safety features for modern automated rail transit systems to provide platform edge protection. In FT2014, a decision was made to add this feature to the project scope. As a result, the project will now utilize a Platform Screen Gate system that is more like a fence with automated openings at all rail stations. Safety is the principal benefit for passengers, as the installation of these gates will preclude accidental train track guideway incursion and reduce the risk of accidents, especially when trains are entering the station. Active barrier systems create a safety separation between the track area and the platform to protect people from falling off the platform thereby eliminating the potential hazard of being struck by a moving train or being shocked or electrocuted by the third power rail. This change will also serve to minimize the potential for service interruptions caused by incursions on the track guideway in station areas.

## Fare Collection

A unified fare structure is planned, which will be integrated with the City's existing bus system, TheBus. The HRTP was originally contemplated to have a barrier-free, proof-of-payment fare collection system utilizing fare vending machines in all stations and fare inspectors riding the system to verify proof of fare payment. This type of fare collection system is less capital intensive to implement but is more costly to operate over the long term. New at-grade light rail systems typically utilize proof-of-payment fare collection systems to reduce the cost of building the light rail line. An alternative would be to utilize a traditional barrier fare collection system with fare gates that require payment to enter the rail station. This type of system is feasible for the HRTP since all rail stations will be elevated with controlled access. Fare gate systems cost more to initially install but are less expensive to operate long term. They also reduce the potential for fare evasion by train users and provide information on travel and usage patterns which will help with planning service levels and bus-rail connections. Currently, HRTP stations are also being designed so that fare gates may be installed in the future with little or no disruption. HART is studying fare collection systems in conjunction with the development of a

Fare Policy for the rail line. A final decision by the HART BOD on which type of fare collection system to use is expected to be made in FY2015.

## Operating Plan

The project is planned to operate in revenue service seven days a week. Weekday service will operate between 4 a.m. and midnight. Saturday service will run from 5 a.m. to midnight, and Sunday service will run from 6 a.m. to midnight. Vehicle headways in each direction will range from 5 minutes during peak periods to 18 minutes from 8 p.m. to midnight. A train will arrive in each direction at the station every 10 minutes during mid-day base time periods.

The system is planned to operate with four-car trains at a maximum train consist length of approximately 250 feet. Each train will be able to carry approximately 640 passengers at peak loading or 7,680 people per hour in the peak direction at 5 minute headways. Peak demand in the opening year is expected to be 6,280 passengers per hour in the peak direction. Peak system capacity can be expanded by increasing train frequency to as low as 2 minute intervals which will allow for a significant increase in passenger carrying capacity.

## Ridership Estimates

2030 travel forecasts for the project anticipate about 119,600 daily transit boardings. In the initial year of full operations, the project anticipates approximately 99,800 daily boardings.

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# Appendix E

# Financial Charts and Tables

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# Project and Systemwide Sources and Uses of Funds, FY2010 - FY2030, YOE $millions

| SOURCES OF FUNDS | YOE $M |
|---|---|
| **Project Capital Sources of Funds** | |
| Project Beginning Cash Balance | 298 |
| Net GET Surcharge Revenues | 3,291 |
| FTA Section 5309 New Starts Revenues | 1,550 |
| FTA Section 5307 Formula and ARRA Funds Used for the Project 1/ | 214 |
| Interest Income | 3 |
| Transfer from Project Cash Balance to Ongoing Rail Capital and O&M Cost | (193) |
| **Subtotal Project Capital Sources of Funds** | **$5,163** |
| **Ongoing Capital Sources of Funds** | |
| FTA Section 5309 Fixed Guideway Modernization | 80 |
| FTA Section 5309 Bus Discretionary | 116 |
| FTA Section 5307 Formula Funds Used for Ongoing Capital Cost | 499 |
| FTA Section 5307 and 5309 Grants Carryover from Prior Years | 50 |
| American Recovery and Reinvestment Act | 26 |
| FTA Section 5316 (JARC) and 5317 (New Freedom) | 0 |
| Transfers to the State's Vanpool Program | (3) |
| Transfer from Project Cash Balance to Ongoing Rail Capital Cost | 54 |
| City General Obligation Bond Proceeds | 404 |
| **Subtotal Ongoing Capital Sources of Funds** | **$1,225** |
| **TOTAL CAPITAL SOURCES OF FUNDS** | **$6,388** |
| **Operating Sources of Funds** | |
| Fare Revenues (TheBus and Rail) | 2,098 |
| Fare Revenues (TheHandi-Van) | 60 |
| **Subtotal Fare Revenues** | **$2,158** |
| FTA Section 5307 Formula Funds Used for Preventative Maintenance | 247 |
| FTA Section 5316 (JARC) and 5317 (New Freedom) | 20 |
| Transfer from Project Cash Balance to Rail O&M Cost | 140 |
| City Operating Subsidy | 5,871 |
| **TOTAL OPERATING SOURCES OF FUNDS** | **$8,436** |

| USES OF FUNDS | YOE $M |
|---|---|
| **Project Capital Uses of Funds** | |
| Project Capital Cost | 4,949 |
| **Subtotal Project Capital Cost** | **$4,949** |
| **Finance Charges** | |
| Interest Payment on GO Bonds Issued for the Project | 191 |
| Interest Payment on Tax-Exempt Commercial Paper | 10 |
| GO Bond Issuance Cost | 13 |
| **Subtotal Finance Charges** | **$215** |
| **Subtotal Project Capital Uses of Funds** | **$5,163** |
| **Ongoing Capital Uses of Funds** | |
| Additional Railcar Acquisitions | 35 |
| Project Capital Asset Replacement Program | 150 |
| TheBus Vehicle Acqusitions | 667 |
| Other Capital Cost | 235 |
| TheHandi-Van Vehicle Acquisitions | 138 |
| **Subtotal Ongoing Capital Uses of Funds** | **$1,225** |
| **TOTAL CAPITAL USES OF FUNDS** | **$6,388** |
| **Operating Uses of Funds** | |
| TheBus O&M Costs | 5,459 |
| Rail O&M Costs | 1,613 |
| TheHandi-Van O&M Costs | 1,310 |
| Other O&M Costs | 55 |
| **TOTAL OPERATING USES OF FUNDS** | **$8,436** |

1/ Includes $4M from American Recovery & Reinvestment Act of 2009

Note: totals may not add due to rounding

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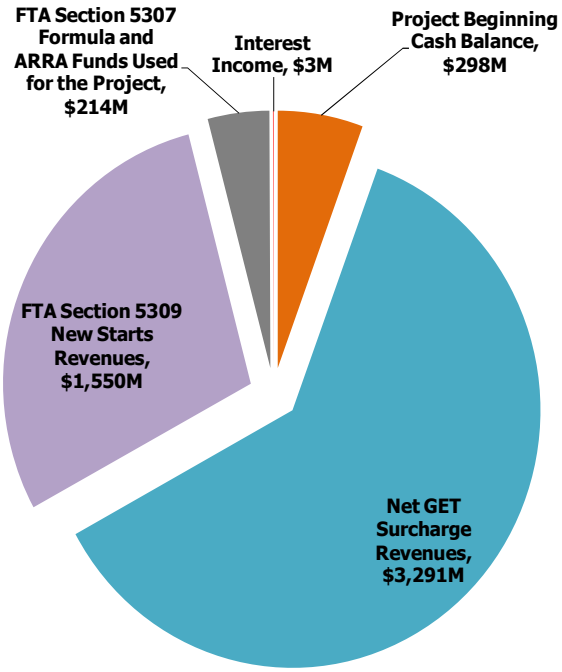
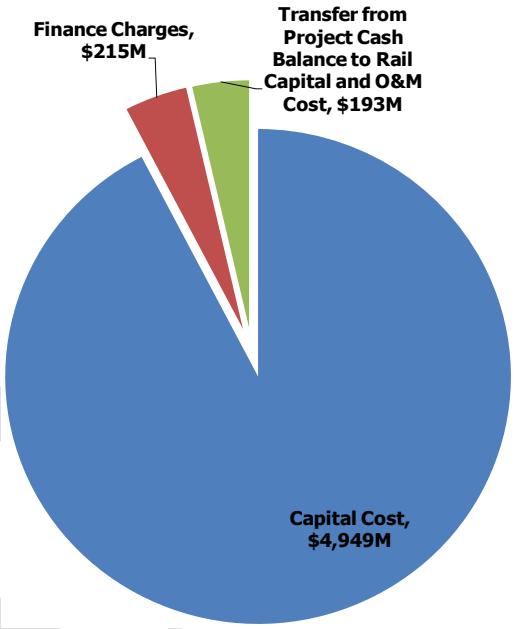
## Project Sources and Uses of Funds, YOE $millions

**Where the Dollars Come From:**




**Where the Dollars Go:**




Note: Totals may not add due to rounding
ARRA = American Recovery and Reinvestment Act

Source: Financial Plan, June 2012

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## SUMMARY OF HART FINANCIAL INFORMATION - FY2013 to FY2015

| (in dollars) | FY2013 Actual | FY2014 Budget | FY2014 Projected | FY2015 Budget |
|---|---|---|---|---|
| **Total Budget** | | | | |
| Operating Budget | 15,424,332 | 20,917,259 | 15,684,565 | 21,481,029 |
| Capital Budget | 309,364,744 | 1,140,438,300 | 380,903,801 | 1,560,404,400 |
| **Total Budget Request** | 324,789,076 | 1,161,355,559 | 396,588,366 | 1,581,885,429 |
| | | | | |
| **Operating Expenses** | | | | |
| Personnel | 9,927,964 | 13,030,366 | 10,375,523 | 13,843,425 |
| Current expenses | 5,477,839 | 7,880,893 | 5,309,042 | 7,631,604 |
| Equipment & Software/Depreciation | 18,529 | 6,000 | 0 | 6,000 |
| | 15,424,332 | 20,917,259 | 15,684,565 | 21,481,029 |
| **Reimbursements to Other City Depts.** | | | | |
| Salaries, Fringe Benefits & Current Expenses | 636,541 | 985,971 | 395,042 | 1,021,401 |
| City Overhead Contribution (CASE) | 1,065,418 | 996,060 | 1,046,498 | 1,022,906 |
| **Other City Depts. Reimbursements Total** | 1,701,959 | 1,982,031 | 1,441,541 | 2,044,307 |
| | | | | |
| **HRTP Capital Expenses** | | | | |
| Consultant Services | 88,583,364 | 19,731,900 | 55,346,822 | 26,989,500 |
| Design Services | 17,470,560 | 39,867,500 | 22,864,192 | 20,382,000 |
| Progammatic Agreement | 223,999 | 1,950,000 | 224,517 | 1,100,000 |
| Utility Relocation | 2,281,120 | 134,500,000 | 2,041,581 | 95,000,000 |
| Construction, Const. Mgmt. & Inspec. | 157,894,967 | 304,466,100 | 138,343,894 | 1,017,676,300 |
| Core Systems & Equipment | 24,675,357 | 425,907,000 | 38,702,795 | 0 |
| Land Acquisitions | 17,346,427 | 85,570,000 | 16,000,000 | 126,700,000 |
| Relocation | 888,950 | 1,000,000 | 100,000 | 11,500,000 |
| Public Art | 0 | 1,975,000 | 0 | 0 |
| Quality Audits | 0 | 0 | 0 | 56,600 |
| Contingency & Recertification & others | 0 | 325,470,800 | 107,280,000 | 261,000,000 |
| **HART Capital Program Total** | 309,364,744 | 1,340,438,300 | 380,903,801 | 1,560,404,400 |

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# ATTACHMENT D

**Honolulu Authority for Rapid Transportation**

**RESOLUTION NO. 2014 – 1**

APPROVING OPERATING AND CAPITAL BUDGETS
FOR FISCAL YEAR 2015 ENDING JUNE 30, 2015

WHEREAS, the Honolulu Authority for Rapid Transportation (HART) has been established pursuant to Article XVII of the Revised Charter of the City and County of Honolulu 1973, as amended (Charter); and

WHEREAS, the Charter empowers the Authority to prepare annual operating and capital budgets for the fixed guideway transit project and for the Authority's operations; and

WHEREAS, it is in the public interest that the Authority have spending plans for both operating and capital expenses to ensure that expenditures are properly controlled and accounted for in the fiscal year 2015; and

WHEREAS, HART prepared both operating and capital budgets for fiscal year 2015; and

WHEREAS, the Finance Committee of the Board has reviewed the line item details of the Operating and Capital Improvement Budgets, made recommendations, and approved said Operating and Capital Improvement Budgets; and

WHEREAS, the Board has reviewed said Operating and Capital Improvement Budgets for the Authority; and

WHEREAS, the said Operating and Capital Improvement Budgets are fully funded by the Transit Fund; and

WHEREAS, the Charter empowers the Board to review, modify as necessary, and adopt annual operating and capital budgets for the Authority;

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of HART as follows:

1. Estimated revenues in the amount of $21,481,029 are hereby appropriated from the Transit Fund for the Operating Budget for the fiscal year July 1, 2014 to June 30, 2015 for the following purposes:

   $ 13,843,425 Personnel
   $ 7,631,604 Current Expenses
   $ 6,000 Equipment

2. Estimated revenues in the amount of $1,560,404,400 from are hereby appropriated from the Transit fund for the Capital Improvement Budget for the fiscal year July 1, 2014 to June 30, 2015.

3. The Executive Director is hereby authorized to manage the revenues and expenditures of the Transit Fund's subsidiary fund accounts to ensure proper accounting of the

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monies pursuant to the standards for financial administration requirements of Title 49 Code of Federal Regulations Part 18.

4. The Executive Director is hereby authorized to conduct the administrative affairs of the Authority in accordance with the Authority's Financial Policies utilizing the Operating and Capital Improvement Budgets established herein.

5. This Resolution shall take effect on July 1, 2014.

ADOPTED by the Board of the Honolulu Authority for Rapid Transportation on _____.

_____
**Board Chair**

**Attest:**

_____
**Board Administrator**

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# ATTACHMENT E

# HONOLULU RAIL TRANSIT PROJECT

# May 2014*
# MONTHLY PROGRESS REPORT

*** Data Dates:** Cost, Schedule 4/25; Other Activities 5/31

HONOLULU AUTHORITY for RAPID TRANSPORTATION

www.HonoluluTransit.org

## THIRD PARTY DISCLAIMER

This report and all subsidiary reports are prepared for the Federal Transit Administration (FTA). This report should not be relied upon by any party, except the FTA or HART, in accordance with the purposes as described below.

For projects funded through the FTA Full Funding Grant Agreements (FFGAs) program, the FTA and its Project Management Oversight Contractor (PMOC) use a risk-based assessment process to review and validate a project sponsor's budget and schedule. This risk-based assessment process is a tool for analyzing project development and management. Moreover, the assessment process is iterative in nature; any results of an FTA or PMOC risk-based assessment represent a "snapshot in time" for a particular project under the conditions known at that same point in time. The status of any assessment may be altered at any time by new information, changes in circumstances, or further developments in the project, including any specific measures a sponsor may take to mitigate the risks to project costs, budget, and schedule, or the strategy a sponsor may develop for project execution. Therefore, the information in the monthly reports will change from month to month, based on relevant factors for the month and/or previous months.

## REPORT FORMAT AND FOCUS

This report is submitted in compliance with the terms of FTA Contract No. DTFT60-09-D-00012, Task Order No. 2. Its purpose is to provide information and data to assist the FTA as it continually monitors the grantee's technical capability and capacity to execute a project efficiently and effectively, and hence, whether the grantee continues to be ready to receive federal funds for further project development.

This report covers the project and quality management activities on the Honolulu Rail Transit Project managed by the Honolulu Authority for Rapid Transportation (HART) with HART as the grantee and partially financed by the FTA FFGA.

**ON THE COVER:**
Left: West O'ahu Farrington Highway Guideway along Farrington Highway looking Diamond Head.
Upper right: West O'ahu Farrington Highway Guideway along Farrington Highway looking Waianae.
Lower right: Maintenance and Storage Facility site.

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## PROJECT MAP

## HIGHLIGHT OF THE MONTH*: LEEWARD COMMUNITY COLLEGE STATION

**Serving the Leeward Community College Campus, Waikele and Outlying Residential Areas**

**Construction Timing:**

- Operational in 2017
- Part of the West Side Station Group package
- Anticipated Construction Start: 4th Quarter 2014
- Anticipated Construction Completion: 4th Quarter 2016

**Station Features:**

- ADA Pedestrian Access
- Bicycle Parking
- Elevator and Stairs
- The only at-grade (non-elevated) station
- Center Platform
- TheHandi-Van Pick-up/Drop-off
- Planned # of Entrances: 1

*Each month a different station will be highlighted with architectural renderings and key information.

# 1 EXECUTIVE SUMMARY

## KEY CURRENT ISSUES

**Archaeological Inventory Survey (AIS) Reports and Review:**

- Data recovery fieldwork was completed in late May 2014.
- Next steps are acceptance of Supplemental Archaeological Inventory Survey Plan (AISP) for the alignment and station in Kakaʻako by the State Historic Preservation Division (SHPD) with fieldwork to follow. Review and acceptance of Archaeological Monitoring Plan (AMP) for City Center by SHPD.
- Coordination with SHPD and the Oʻahu Island Burial Council (OIBC) as well as outreach to descendant families continues on the iwi kūpuna (human skeletal remains) discovered previously during the City Center AIS field work and data recovery. All iwi kūpuna continue to be protected in place and will be addressed in one Burial Treatment Plan upon completion of Supplemental AIS for the Kakaʻako area.
- Draft Cultural Monitoring Plan received for internal review.

**Station Design:**

- HART is developing a Treatment Management Plan for Historic and Cultural Resources at Aloha Stadium Station.

## KEY ACTIVITIES THIS MONTH

The Honolulu City Council has reappointed Damien Kim to a five-year term as a member of the HART Board of Directors. Kim chairs the board's Project Oversight Committee and was originally appointed to the board in 2011 for a three-year term. He is currently business manager and financial secretary of the International Brotherhood of Electrical Workers (IBEW) Local 1186, where he manages the IBEW's $500 million trust fund.

*Damien Kim*

*Ford Fuchigami*

Ford Fuchigami will also serve as an ex-officio voting member of the HART Board of Directors. He was recently named Interim Director of the state Department of Transportation.

**"Connecting Communities"**

In May, HART launched its anti-graffiti project, "Art with HART," in which HART partnered with students, community groups and organizations to create a 210-foot long community mural. Dozens of students from the Boys & Girls Club of ʻEwa Beach and Radford, Aiea and Waipahu high schools attended, as well as more than 20 community groups and organizations.

The large-scale mural, titled "Connecting Communities," was painted at the home of the future Pearlridge Station property located on Kamehameha Highway near Pearlridge Center. The initiative was put into action by HART and its community partners to combat graffiti and to provide the community with a beautiful, youth-driven mural that residents could be proud of.

HART plans to continue this community service project at other properties along the rail's route as the need arises.

**Rail to Play Key Role in Planned Aiea Community**

Plans are underway to redevelop the site where the Kamehameha Drive-In once stood and HART's rail system will play a key role in that planned development. The Live, Work, Play Aiea project will be a short walk along Kaonohi Street from the Pearlridge Station, where a new transit plaza will provide a community gathering place next to the Pearl Harbor Historic Trail. The project follows the community's vision in the Pearl City-Aiea Neighborhood Transit-Oriented Development (TOD) plan, and will be one of the first TOD neighborhoods to be built along the 20-mile rail system.

## PROJECT PROGRESS

**Overall Progress:**

| Project Progress Through April 25, 2014 | | | |
|---|---|---|---|
| | Actual | Early Plan | Late Plan |
| Overall Project Progress* | 23.6% | 33.9% | 27.7% |
| Overall Construction Progress* | 14.2% | 23.1% | 18.1% |
| Overall Design Progress* | 73.3% | 87.5% | 74.7% |
| Overall Utilities Progress | 6.1% | 24.8% | 20.0% |

*Current figures reflect adjustments to components of the budget baselines.

- 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).
- The Contract Packaging Plan (CPP) is being modified with certain facility design and construction work re-packaging.

**Schedule:**

- 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.
- HART continues to work with contractors to refresh the Master Project Schedule (MPS) as a result of the approximately 1-year construction delay.

## FINANCIALS

**Incurred Cost:**

- $962.9M = Total Incurred Cost (actual expenditures plus approved requests for payment)
- $58M = April 2014 incurred amount in costs (actual expenditures plus approved requests for payment)

**Committed Amount:**

- $2.725B = Total Committed Amount (including awarded design contract allowances of $4.3M, but excluding uncommitted contingencies and finance charges)

**Authorized for Expenditure (AFE):**

- $1.950B = Total Amount AFE by way of Notices to Proceed (NTPs)
- $27M = April 2014 total AFE increase as the result of issued NTPs, Adjustments and Change Orders.

**Project Contingency:**

- $590.7M = Current Project Contingency Balance
- $17.5M = April 2014 drawdown to Project Contingency
- $30.4M = Current Known Changes Balance
- $2.1M = April 2014 drawdown to Known Changes Balance

**Funding:**

- $1,417M = Total Cash Received Since Preliminary Engineering (PE)
- FFGA:
  - $0M = the FTA's drawdown received in April 2014
- General Excise Tax (GET) Surcharge:
  - $870M = amount received as of Q4, FY 2014, since the Project's entry into FTA's Preliminary Engineering phase of project development
  - $1,248M = amount received since 2007
  - $61.7M = the county's GET surcharge revenue received in April 2014

**Project Revenue and Costs:**

- $482.5M = Cash Balance as of 4/30/14

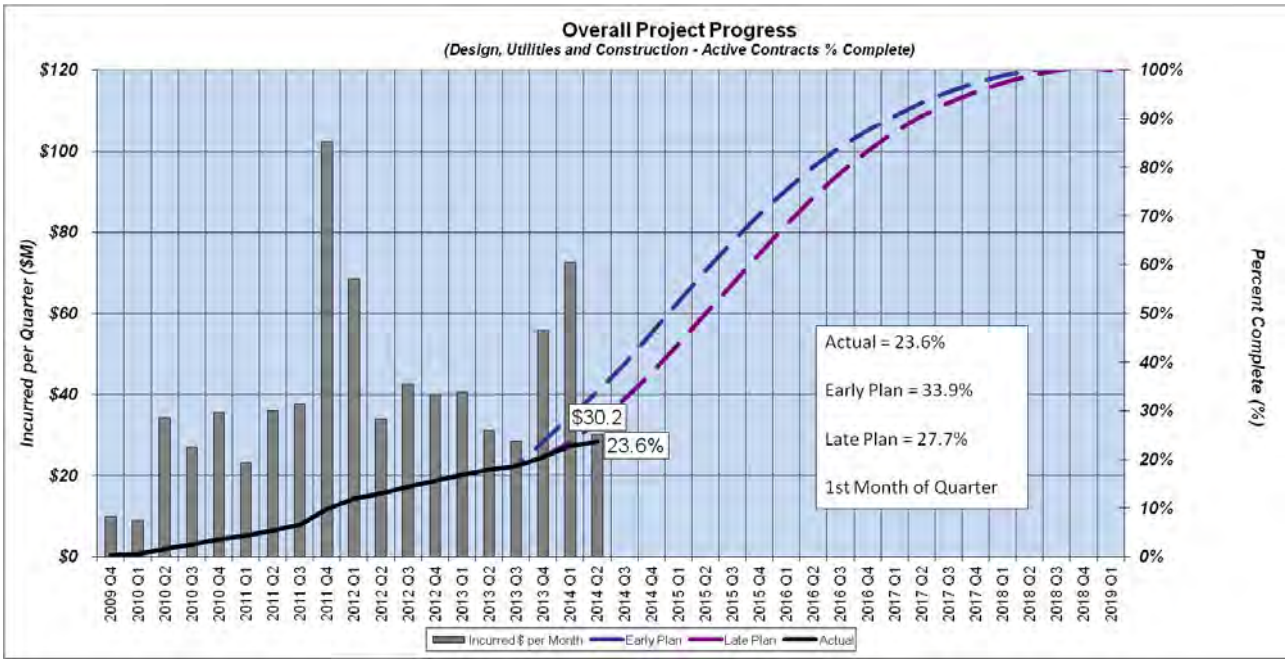
# 2 OVERALL PROJECT PROGRESS AND FINANCIALS

## 2.1 Project Progress (data as of April 25, 2014)

Note:

- Early Plan = Earliest dates activities can begin and finish, based on logic and durations used in the schedule.
- Late Plan = Latest dates activities can begin and finish and not have an impact on completion date, based on logic and durations used in the schedule.

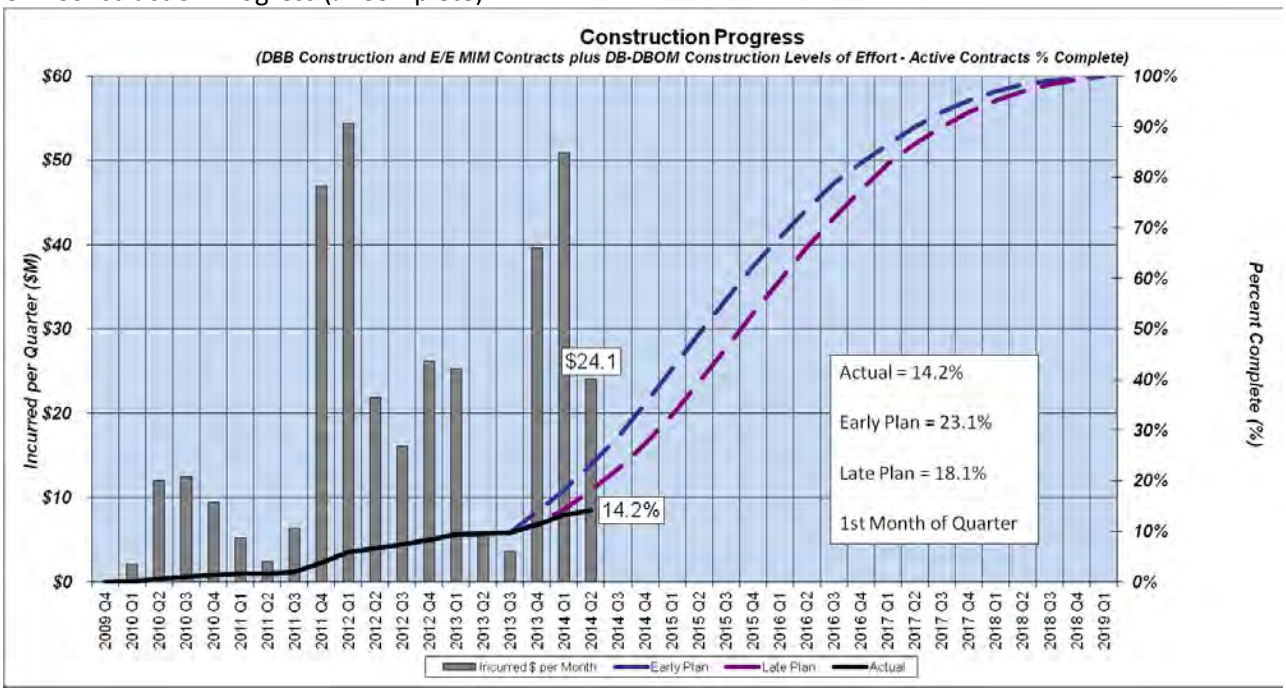
Figure 1. Overall Project Progress (% Complete)*




*Current figure reflects adjustments to components of the budget baselines.

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.

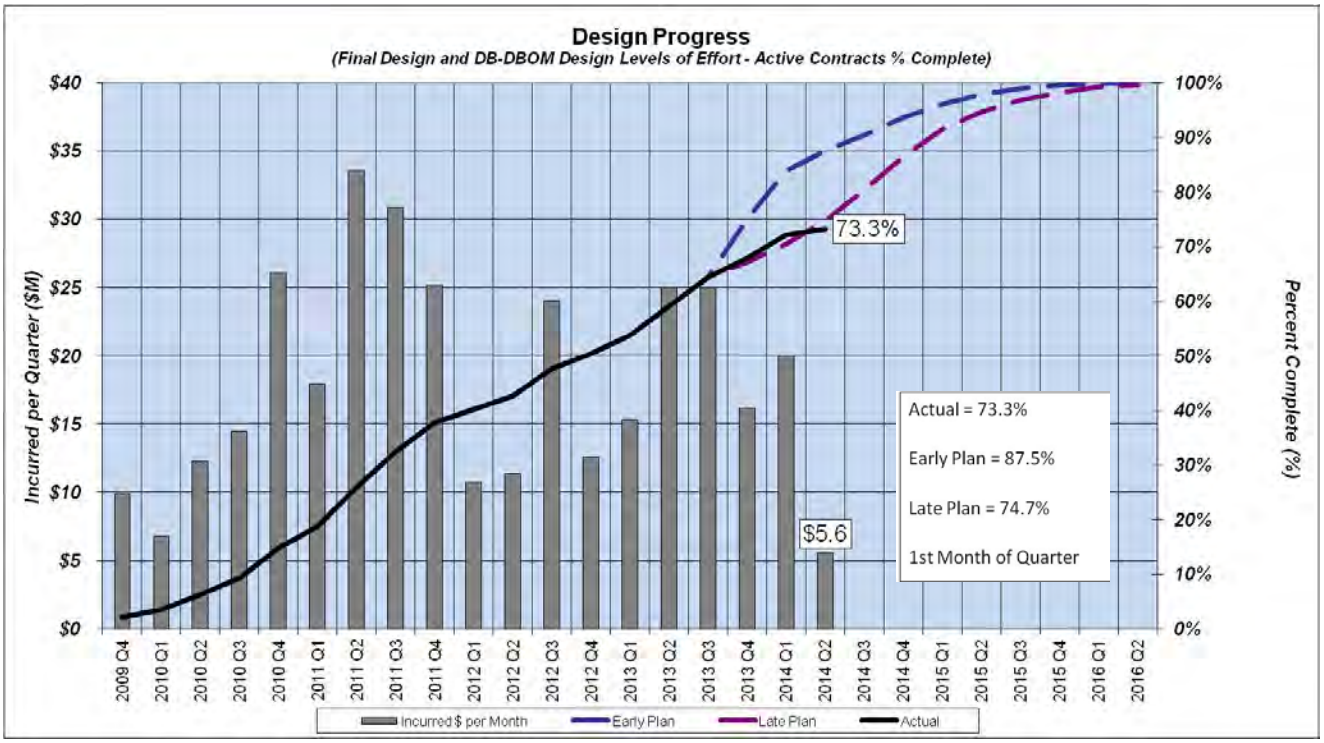
Figure 2. Construction Progress (% Complete)*




*Current figure reflects adjustments to components of the budget baselines.

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.

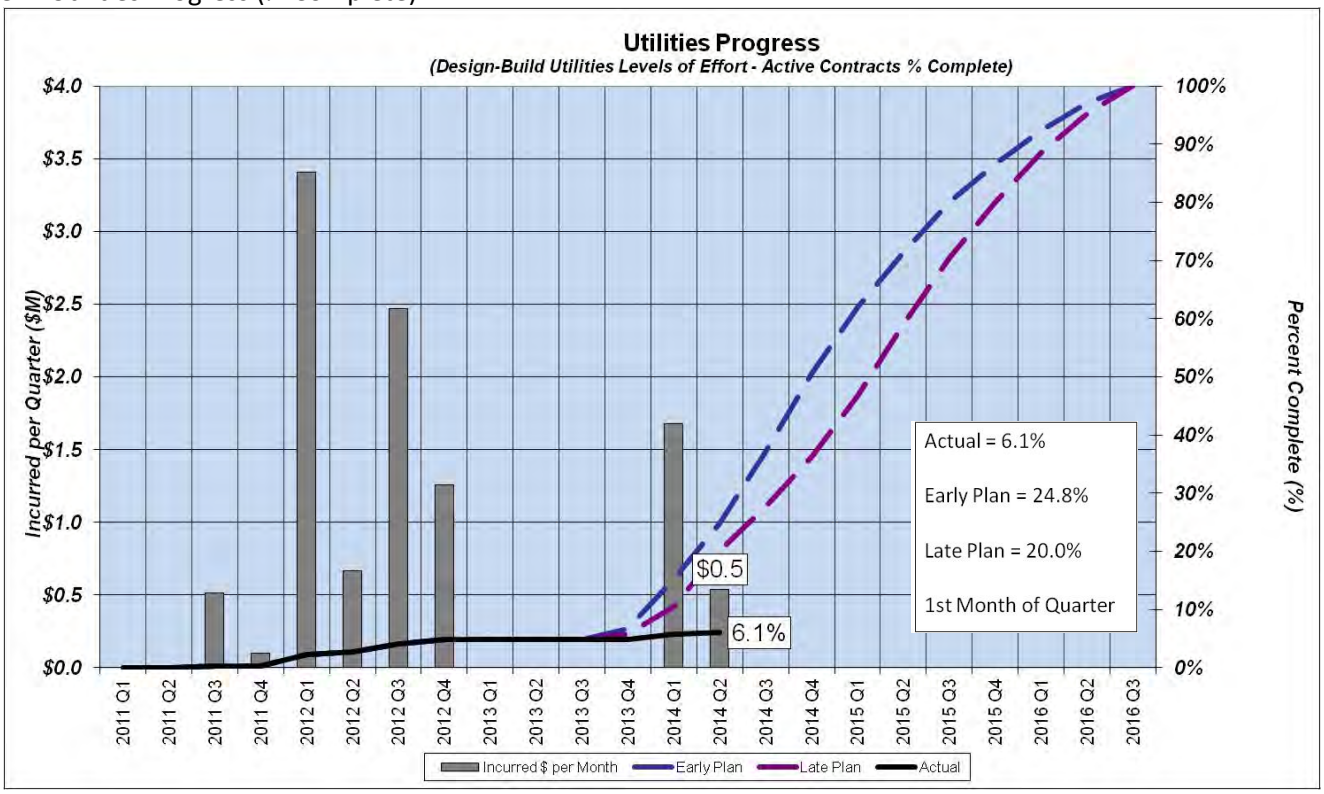
Figure 3. Design Progress (% Complete)*




*Current figure reflects adjustments to components of the budget baselines.

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 4. Utilities Progress (% Complete)




Overall utilities progress is based on the weighted average progress of the DB utilities levels of effort.

## 2.2 Project Budget (data as of April 25, 2014)

*Total Incurred Cost = $962.9M*
*(previous report = $904.5M)*

*Total Committed Amount = $2.725B*
*(previous report = $2.698B)*

*Total Amount AFE = $1.95B*
*(previous report = $1.92B)*

- $5.122B = Full Funding Grant Agreement (FFGA) Baseline Project Budget (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.

- $962.9M = Total Incurred Cost (actual expenditures plus approved requests for payment)
  - 22% of the FFGA Current Project Budget (excluding contingencies and finance charges) of $4.328B.
  - $58M = April 2014 incurred amount in costs (actual expenditures plus approved requests for payment).

- $2.725B = Total Committed Amount (including awarded design contract allowances of $4.3M, but excluding uncommitted contingencies and finance charges)
  - 63% of the FFGA Current Project Budget (excluding contingencies and finance charges).

- $1.95B = Total Amount Authorized for Expenditure (AFE) by way of Notices to Proceed (NTPs)
  - 45.1% of the FFGA Current Project Budget (excluding contingencies and finance charges).
  - $27M = April 2014 total AFE increase as the result of issued NTPs, Adjustments and Change Orders.

Figure 5. Total Authorized for Expenditure (AFE) Increase

| Notices to Proceed | | | |
|---|---|---|---|
| Contract | | Scope | Amount ($) |
| MM-920 | HDOT Coordination Consult WOFH | Fiscal Year 2014 (NTP 3) | 3,000,000 |
| MM-935 | Real Estate Consultant | PDQ Software | 42,513 |
| MM-975 | LEED Commissioning Services for MSF | Change Order No. 01 | 9,910 |
| UTIL | Utilities by Utilities Companies | HawaiiGas KHG Construction Agreement | 6,100,000 |
| OM | Project Wide O&M | Adjustments | (81,000) |
| DB-120 | West Oahu Farrington Highway Guideway DB | Change Order No. 40 | 12,400,638 |
| DB-120 | West Oahu Farrington Highway Guideway DB | Change Order No. 41 | 46,808 |
| DB-120 | West Oahu Farrington Highway Guideway DB | Change Order No. 42 | 798,049 |
| DB-200 | Maintenance & Storage Facility DB | Change Order No. 16 | 102,000 |
| DB-200 | Maintenance & Storage Facility DB | Change Order No. 17 | 4,250,000 |
| DB-200 | Maintenance & Storage Facility DB | Change Order No. 18 | 370,000 |
| **Net AFE Increase** | | | **27,038,918** |

- $2.2B = 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 through FY2014.

## 2.3 Project Contingency (data as of April 25, 2014)

*Note: Contingency management and cost contingency details, including a breakdown of Project contingency drawdowns, are discussed in further detail in Appendix C.*

*Current Contingency Balance = $590.7M*
*(previous report = $608.2M)*

- $590.7M = Current Project Contingency Balance

- There was a $17.5M contingency drawdown during the April 2014 reporting period due to the following contract modifications:
  - Contract amendment No. 04 to West O'ahu Stations Group FD (FD-140) for East Kapolei staff room pre-final submittal; contingency drawdown $0.06M
  - Contract amendment No. 08 to Airport Section Guideway and Utilities FD (FD-430) for NTP 4 and 5-provisional sum for design support during bid; contingency drawdown $1.6M
  - Change Order No. 16 to Maintenance & Storage Facility DB (DB-200) for Rail Lubricators; contingency drawdown $0.1M
  - Change Order No. 17 to Maintenance & Storage Facility DB (DB-200) for yard layout reconfiguration and Automated Train Operation (ATO) design; contingency drawdown $2.1M (out of full change order value of $4.3M)
  - Change Order No. 18 to Maintenance & Storage Facility DB (DB-200) for rail material storage plan; contingency drawdown $0.37M
  - Change Order No. 41 to West O'ahu Farrington Highway Guideway DB (DB-120) for revised track alignment and profile; contingency drawdown $0.05M
  - Change Order No. 40 to West O'ahu Farrington Highway Guideway DB (DB-120) for precast yard alternative site; contingency drawdown $12.4M
  - Change Order No. 42 to West O'ahu Farrington Highway Guideway DB (DB-120) for Sandwich Isle Communications (SIC) Utility Relocation at North South Road; contingency drawdown $0.8M

- As of this reporting period, none of the executed change orders reduced the Baseline Budget Contingency amount below the buffer zone.

- $30.4M = Current Known Changes Balance (down from the original amount of $73.9M)

- There was a $2.1M drawdown from Known Changes Contingency last period due to the following contract modification:
  - Change Order No. 17 to Maintenance & Storage Facility DB (DB-200) for yard layout reconfiguration and ATO design; contingency drawdown $2.1M (out of full change order value of $4.3M)

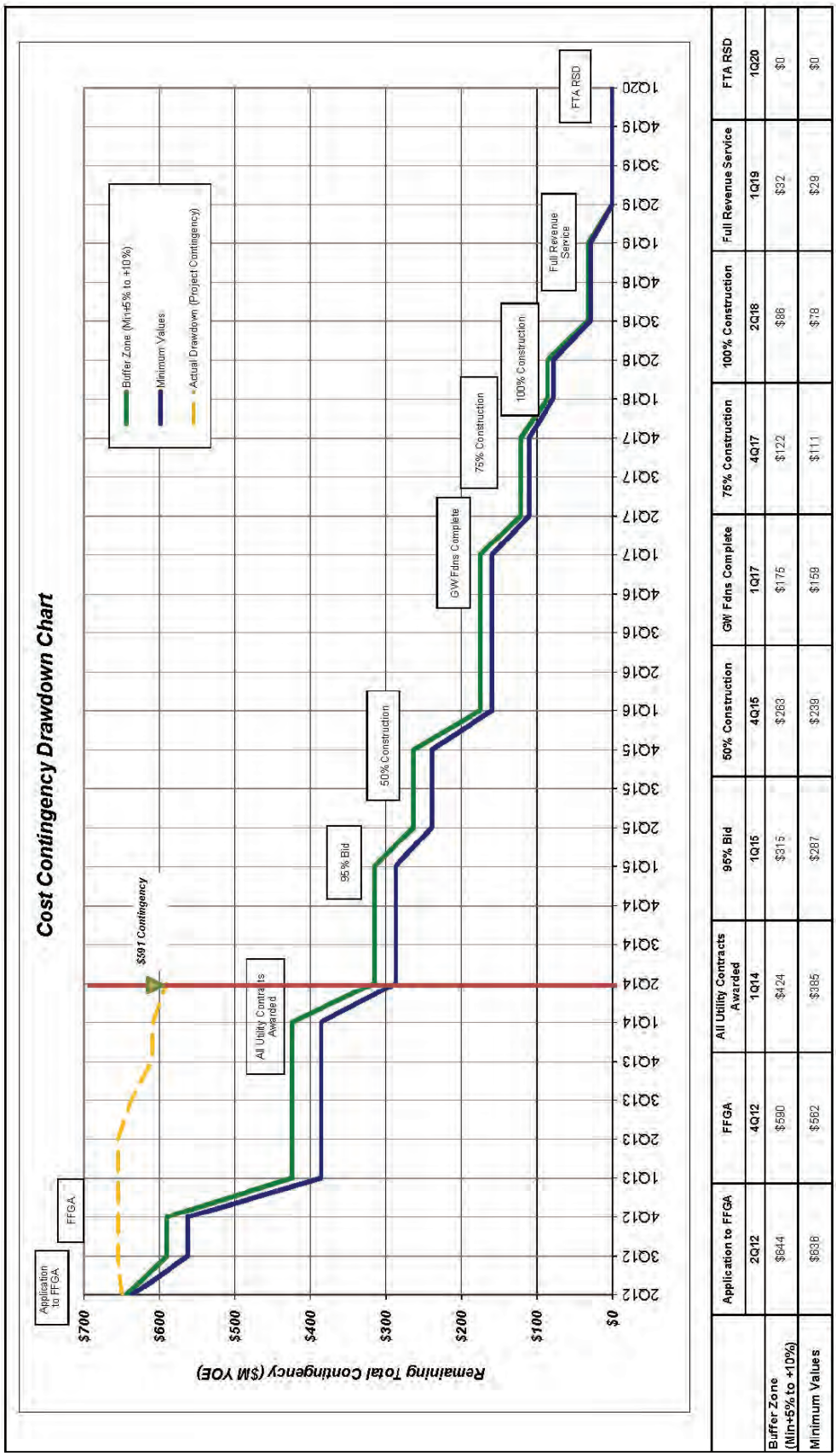
Figure 6. Project Contingency Budget

| 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 | ($52.9) |
| ***Current FFGA Project Contingency*** | ***90.01 - 90.03*** | ***$590.7*** |

Figure 7. FFGA Project Contingency Current Budget

| 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 |
| **November '13 Monthly Progress Report** | $637.1 | ($22.1) | $615.0 |
| **December '13 Monthly Progress Report** | $615.0 | ($5.0) | $610.0 |
| **January '14 Monthly Progress Report** | $610.0 | ($0.3) | $609.7 |
| **February '14 Monthly Progress Report** | $609.7 | ($1.4) | $608.3 |
| **March '14 Progress Report** | $608.3 | ($0.1) | $608.2 |
| **April '14 Monthly Progress Report** | $608.2 | $0.0 | $608.2 |
| **May '14 Monthly Progress Report** | $608.2 | ($17.5) | $590.7 |

Figure 8. Draft Cost Contingency Drawdown Chart




| | Application to FFGA | FFGA | All Utility Contracts Awarded | 95% Bid | 50% Construction | GW Fdns Complete | 75% Construction | 100% Construction | Full Revenue Service | FTA RSD |
|---|---|---|---|---|---|---|---|---|---|---|
| | 2Q12 | 4Q12 | 1Q14 | 1Q15 | 4Q15 | 1Q17 | 4Q17 | 2Q18 | 1Q19 | 1Q20 |
| Buffer Zone (Min+5% to +10%) | $644 | $590 | $424 | $315 | $263 | $175 | $122 | $86 | $32 | $0 |
| Minimum Values | $638 | $562 | $385 | $287 | $239 | $159 | $111 | $78 | $29 | $0 |

*Note: Contingency management and cost contingency details, including a breakdown of Project contingency drawdowns, are discussed in further detail in Appendix C.*

## 2.4 Project Funding (data as of April 25, 2014)

Figure 9. Planned vs. Received Project Funding

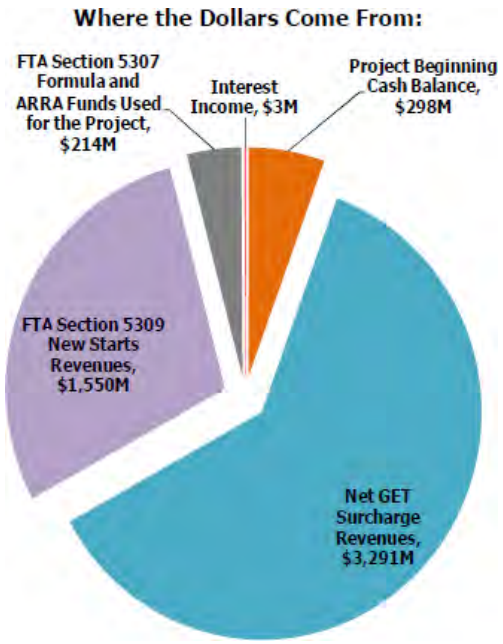
| Planned vs. Received Project Funding | | | | |
|---|---|---|---|---|
| Funding Source | *Pre-FFGA Project*[1] | FFGA Project Period | | Total Project |
| | *2007 - 2009 Actuals Received* | Planned[2] ($YOE M) | 2009 - Present Actuals Received | 2007 - Present Actuals Received |
| | *[A]* | | [B] | [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** | 243 | **243** |
| 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** | 870 | **1,248** |
| **Total** | ***385*** | **5,356** | **1,417** | **1,802** |

[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 10. Project Funding Sources (YOE $M)




*Source*: FFGA Financial Plan, p. 2-1

- General Excise Tax (GET) Surcharge
  - $870M = amount received as of Q4, FY 2014, since the Project's entry into FTA's Preliminary Engineering phase of project development.
    - $898M = Projected Net GET Surcharge Revenue for FYs 2010-2014, as stated in FFGA Financial Plan (Table A-1 *Capital Plan Cash Flows*)
  - $61.7M= GET surcharge received in April 2014.

*Total Cash Received Since PE = $1,417M*
*(previous report = $1,355M)*

*GET Received Since PE = $870M*
*(previous report = $808.5M)*

*GET Received Since 2007 = $1,248M*
*(previous report = $1,187M)*

- Full Funding Grant Agreement (FFGA)
  - $0M = New Starts drawdown received in April 2014.

Figure 11. New Starts Drawdown by Federal Fiscal Year

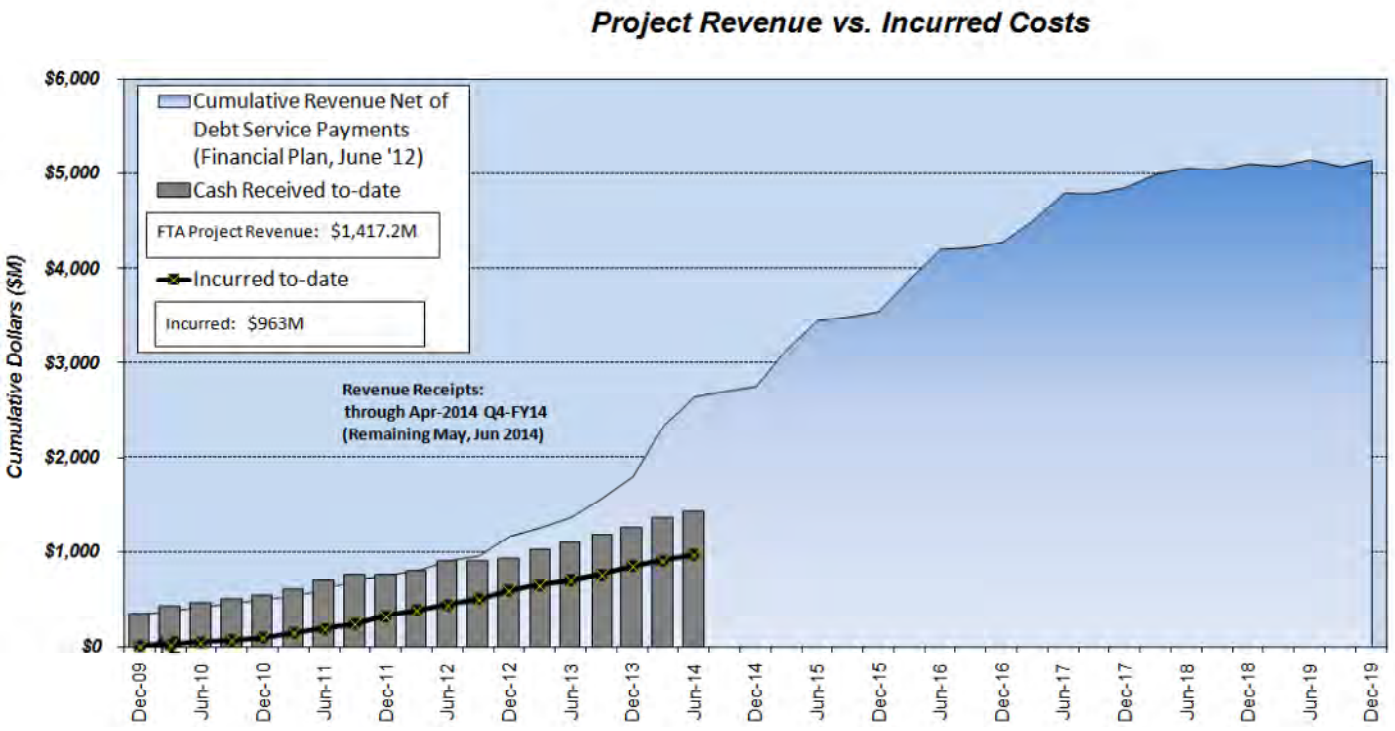
| New Starts Grant Information by Federal Fiscal Year | | | | |
|---|---|---|---|---|
| Federal Fiscal Year Allocation | Obligated Amounts | Actual Drawdown Amounts to Date | Available Balance | FFGA Plan |
| 2008 | $15,190,000 | $15,190,000 | $0 | |
| 2009 | $19,800,000 | $19,800,000 | $0 | |
| 2010 | $30,000,000 | $30,000,000 | $0 | |
| 2011 | $55,000,000 | $55,000,000 | $0 | $20,607,242 |
| 2012 | $200,000,000 | $122,738,945 | $77,261,055 | $99,382,758 |
| 2013 | $236,277,358 | $0 | $236,277,358 | $258,280,277 |
| 2014 (pending pinning) | $250,000,000 | $0 | $250,000,000 | $441,719,724 |
| 2015 (pending) | $250,000,000 | $0 | $250,000,000 | $250,000,000 |
| 2016 (pending) | $250,000,000 | $0 | $250,000,000 | $250,000,000 |
| 2017 (pending) | $243,732,642 | $0 | $243,732,642 | $230,010,000 |
| Total | $1,550,000,000 | $242,728,945 | $1,307,271,055 | $1,550,000,000 |

## 2.5 Project Revenue and Costs

(data as of April 25, 2014)

*Ending Cash Balance 04/30/14 = $482.5M*
*(previous report = $436M)*

Figure 12. Project Revenue versus Incurred Costs




Planned Funding levels as per the June 2012 FFGA Finance Plan
Data date for Revenue & Incurred Cost = Apr 25, 2014

Figure 13. Cash Balance Summary

| APRIL 2014 CASH BALANCE SUMMARY | | |
|---|---|---|
| | April | YTD Cumulative |
| **Beginning Cash Balance** | 436,336,177 | 393,709,711 |
| Expenditures: | | |
| Operating Expenditures | (1,577,830) | (13,706,866) |
| Capital Expenditures | (13,922,065) | (216,545,164) |
| **Expenditures Total:** | (15,499,894) | (230,252,030) |
| Receipts: | | |
| GET Surcharge | 61,651,178 | 219,289,704 |
| FTA Drawdown | 0 | 98,891,481 |
| Interest | 22,469 | 249,903 |
| Other (rental, refunds, copy fees, etc.) | 43,920 | 665,080 |
| **Receipts Total:** | 61,717,567 | 319,096,169 |
| | | |
| **Ending Cash Balance 04/30/14** | **482,553,850** | **482,553,850** |

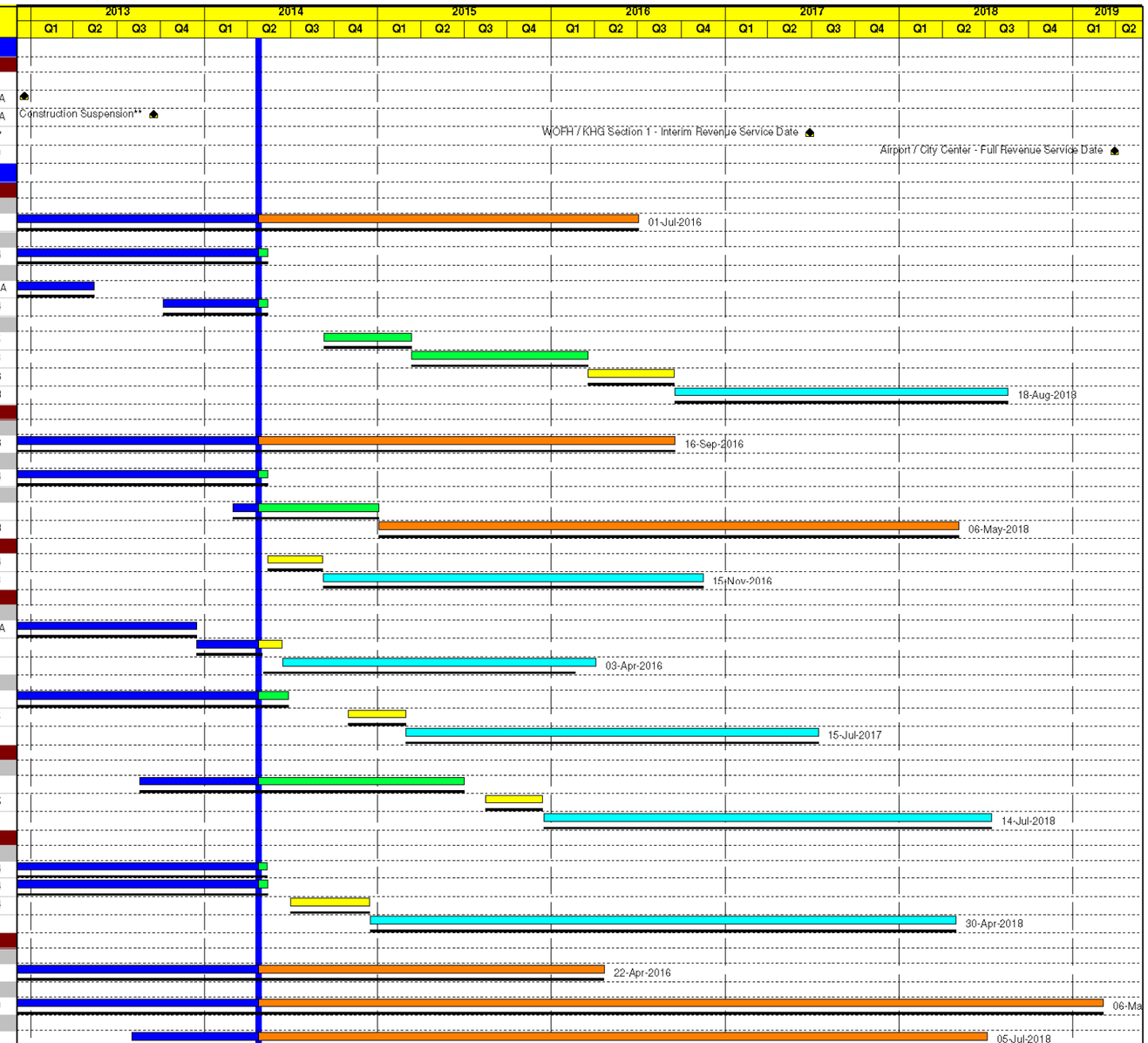
*Note: Project Cost Reports can be found in Appendix D.*

# 3 SCHEDULE

Figure 14. HRTP Master Project Schedule Summary (MPSS)

The MPSS is statused against the FFGA Baseline MPS. The baseline and actual/planned durations of each contract are displayed for comparison.

| Activity Name | Start | Finish |
|---|---|---|
| **KEY DATA** | | |
| **MILESTONES** | | |
| Letter of No Prejudice #2 - LONP 2 | 06-Feb-2012 A | |
| Full Funding Grant Agreement - (FFGA) | | 19-Dec-2012 A |
| AIS COmplete **Lift Construction Suspension** | | 16-Sep-2013 A |
| WOFH / KHG Section 1 - Interim Revenue Service Date | | 27-Jun-2017* |
| Airport / City Center - Full Revenue Service Date | | 30-Mar-2019 |
| **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 | 01-Jul-2016 |
| **West Oahu Station Group (WOSG)** | | |
| SUMM: FD-140 - West Oahu Station Group - Design | 15-Jun-2012 A | 15-May-2014 |
| **Farrington Hwy Station Group (FHSG)** | | |
| SUMM: FD-240 - Farrington Highway Station Group - Design | 12-Jan-2011 A | 16-May-2013 A |
| SUMM: FD-240 - Farrington Highway Station Group - Design Support | 07-Oct-2013 A | 15-May-2014 |
| **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 |
| SUMM: FD-600 UH West Oahu Park & Ride and Ho'opili Station Finishes - Design | 13-Mar-2015 | 16-Mar-2016 |
| SUMM: FD-600 UH West Oahu Park & Ride and Ho'opili Station Finishes - Bid & Award | 17-Mar-2016 | 15-Sep-2016 |
| SUMM: FD-600 UH West Oahu Park & Ride and Ho'opili Station Finishes - Construction | 16-Sep-2016 | 18-Aug-2018 |
| **KAMEHAMEHA HIGHWAY (KH) - SECTION 2** | | |
| **Kamehameha Highway Guideway & Utilities** | | |
| SUMM: DB-320 - KHG Guideway - Design & Construction (Design-Build) | 12-Jun-2011 A | 16-Sep-2016 |
| **Kamehameha Highway Stations** | | |
| SUMM: FD-430 - Kamehameha Highway Station Group - Design | 26-Nov-2012 A | 15-May-2014 |
| **Pearl Highlands Parking Structure & Ramps** | | |
| SUMM: Pearl Highlands Pking Structure & H2 Ramps - DB Procurement | 03-Mar-2014 A | 02-Jan-2015 |
| SUMM: DB-275 - Pearl Highlands Pking Structure & H2 Ramps - Design & Constructior | 02-Jan-2015 | 06-May-2018 |
| **West Oahu / Farrington Highway & Kamehameha Station Combined Package** | | |
| SUMM: West Oahu / Farrington & Kamehameha Station Group - Bid & Award | 15-May-2014 | 07-Sep-2014 |
| SUMM: DBB-185 - West Oahu / Farrington & Kamehameha Station Group - Construction | 08-Sep-2014 | 15-Nov-2016 |
| **AIRPORT - SECTION 3** | | |
| **Airport Utility Relocation** | | |
| SUMM: FD-430 - Airport Utilities - Design | 05-Jan-2012 A | 16-Dec-2013 A |
| SUMM: FD-430 - Airport Utilities - Bid & Award - TBD | 17-Dec-2013 A | 13-Jun-2014 |
| DBB-505 - Airport Utilities - Construction | 16-Jun-2014 | 03-Apr-2016 |
| **Airport Stations** | | |
| SUMM: FD-440 - Airport Stations Group - Design | 14-Nov-2012 A | 27-Jun-2014 |
| SUMM: Airport Stations Group - Bid & Award | 01-Nov-2014 | 28-Feb-2015 |
| SUMM: DBB-470 - Airport Stations Group - Construction | 01-Mar-2015 | 15-Jul-2017 |
| **CITY CENTER (CC) - SECTION 4** | | |
| **City Center Stations** | | |
| SUMM: FD-550 - Dillingham & Kaka'ako Stations Group - Design | 19-Aug-2013 A | 01-Jul-2015 |
| SUMM: Dillingham & Kaka'ako Station Group - Bid & Award | 15-Aug-2015 | 14-Dec-2015 |
| SUMM: DBB-580 - Dillingham & Kaka'ako Station Group - Construction | 15-Dec-2015 | 14-Jul-2018 |
| **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 |
| SUMM: FD-530 - City Center Guideway & Utilities - Design | 31-Jul-2012 A | 15-May-2014 |
| SUMM: Airport & City Center Guideway / City Center Utilities - Bid & Award | 01-Jul-2014 | 14-Dec-2014 |
| SUMM: DBB-520 - Airport & City Center Guideway / City Center Utilities - Construction | 15-Dec-2014 | 30-Apr-2018 |
| **PROJECT WIDE - ALL SECTIONS** | | |
| **Maintenance & Storage Facility (MSF)** | | |
| SUMM: DB-200 - MSF - Design & Construction (Design-Build) | 25-Jul-2011 A | 22-Apr-2016 |
| **Core Systems** | | |
| SUMM: DBOM-920 - Core Systems - Design & Construction | 13-Jan-2012 A | 06-Mar-2019 |
| **Elevators & Escalators** | | |
| SUMM: MI-930 - Elevators and Escalators - Design, Manufacture, Install, & Test | 02-Aug-2013 A | 05-Jul-2018 |




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: 25-Apr-2014

Pg 1 of 1

**MPS Summary**
**Design & Construction Contracts**

## 3 SCHEDULE (continued)

*To date, nearly 72% of the planned design, construction and consultant support contracts have been awarded.*

- 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.

Figure 15. Awarded Contracts

| Awarded Contracts | | |
|---|---|---|
| Contract No. | Contract Name | Contractor |
| DB-120 | West O'ahu/Farrington Highway (WOFH) Guideway Design-Build | Kiewit Infrastructure West Company |
| DB-200 | Maintenance and Storage Facility (MSF) Design-Build | Kiewit/Kobayashi Joint Venture |
| DB-320 | Kamehameha Highway Guideway (KHG) Design-Build | Kiewit Infrastructure West Company |
| DBOM-920 | Core Systems Contract Design-Build-Operate-Maintain | Ansaldo Honolulu JV |
| MI-930 | Elevators and Escalators Design-Furnish-Install-Maintain | Schindler Elevator Corporation |
| MM-946 | On-Call Hazardous Materials (HazMat) Removal Contractor | CH2M HILL |
| FD-140 | West O'ahu Station Group Final Design | URS Corporation |
| FD-240 | Farrington Highway Station Group Final Design 1 | HDR Engineering, Inc. |
| FD-240 (2) | Farrington Highway Station Group Final Design 2 | URS Corporation |
| FD-340 | Kamehameha Highway Station Group Final Design | Anil Verma Associates, Inc. |
| FD-430 | Airport Section Guideway and Utilities Final Design | AECOM Technical Services, Inc. |
| FD-440 | Airport Station Group Final Design | AECOM Technical Services, Inc. |
| FD-530 | City Center Section Guideway and Utilities Final Design | AECOM Technical Services, Inc. |
| FD-550 | Dillingham/Kaka'ako Station Groups Final Design | Perkins+Will |
| MM-290 | Westside Fixed Facilities CEI Services | PGH Wong Engineering, Inc. |
| MM-595 | Eastside Fixed Facilities CEI Services | URS Corporation |
| MM-900 | Program Management Support Consultant (PMSC-1) | InfraConsult LLC |
| MM-901 | Program Management Support Consultant (PMSC-2) | InfraConsult LLC |
| MM-905 | General Engineering Consultant (EIS/PE) Services (GEC-1) | Parsons Brinckerhoff |
| MM-910 | General Engineering Consultant Services for Final Design and Construction (GEC-2) | Parsons Brinckerhoff |
| MM-913 | General Engineering Consultant Services for Construction (GEC-3) | CH2M HILL |
| MM-962 | Core Systems Contract Oversight Consultant | Lea+Elliott, Inc. |
| MM-935 | Real Estate Consultant | Paragon Partners Ltd. |
| MM-937 | Real Estate Engineering Support (Mapping and Surveying) | R.M. Towill Corporation |
| MM-940 | Kako'o Consultant | Pacific Legacy, Inc. |
| MM-960 | Archaeological and Cultural Monitoring Services | Cultural Surveys Hawai'i |
| MM-950 | Owner-Controlled Insurance Program (OCIP) Consultant | Marsh USA, Inc. |
| MM-951 | Owner-Controlled Insurance Program (OCIP) Broker | Aon Risk Services, Inc., of Hawaii |
| MM-964 | Safety and Security Support Services Consultant | Lawson & Associates, Inc. |
| MM-975 | LEED Commissioning Services for MSF | Enovity, Inc. |
| MM-915 | HDOT Traffic Management Consultant | ICX Transportation Group, Inc. |
| MM-920 | HDOT Coordination Consultant – WOFH Guideway Section | AECOM Technical Services, Inc. |
| MM-921 | HDOT Coordination Consultant – KHG Section | AECOM Technical Services, Inc. |
| MM-922 | HDOT Coordination Consultant–Airport & City Center Guideway Sections | SSFM International, Inc. |
| PA-102 | Historic Architecture Design Services | Fung Associates, Inc. |
| MM-930 | HDOT State Safety Oversight Agency (SOA) Manager and Consultant | Dovetail Consulting |

= New Contracts

*Note: Procurement Tracking Reports can be found in Appendix E.*

# 4 CONTRACT STATUS

## 4.1 System-wide

### A. Core Systems Contract (CSC)

**Contract No.:** DBOM-920
**DBOM Contractor:** Ansaldo Honolulu Joint Venture (AHJV)
**Start-up Completion:** March 2019

**Project Description:** Providing rail passenger vehicles, train control system, traction electrification system, communication systems, fare vending system and operation and maintenance of the Project.

**COST INFORMATION:**

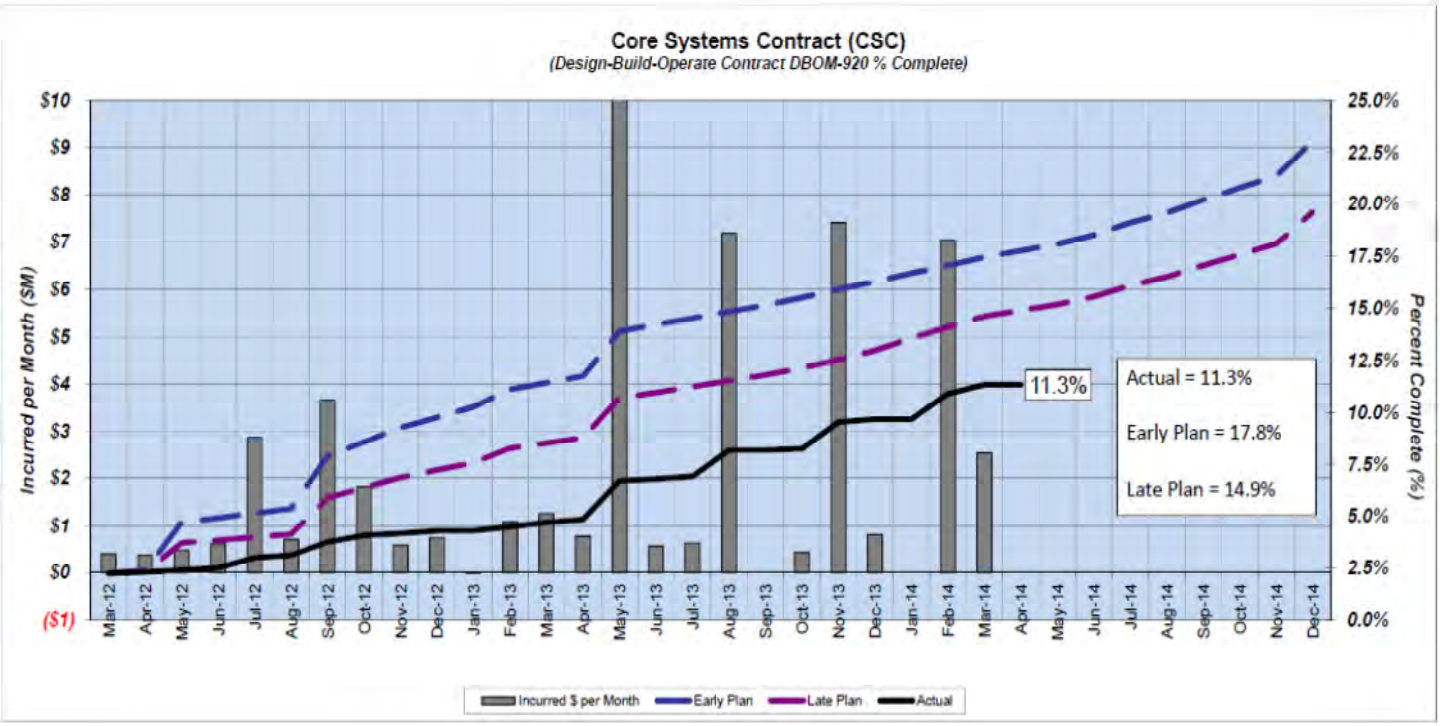
| | | | | | |
|---|---|---|---|---|---|
| Base Contract: | $573,782,793 | NTP 1: | $20,285,221 | NTP 2: | $23,703,585 |
| Committed[1]: | $602,950,143 | NTP 1A: | $53,929,585 | NTP 2B: | $37,811,301 |
| Authorized[2]: | $514,430,792 (85.3%) | NTP 1B: | $99,170,544 | NTP 2C: | $250,363,206 |
| Incurred-to-Date: | $65,025,069 | | | | |
| Incurred in April: | $0 | | | | |

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

| Disadvantaged Business Enterprise (DBE) Participation | |
|---|---|
| Actual DBE Participation: | $109,023 |
| DBE % Attained: | 0.025% |

| April Notices to Proceed |
|---|
| None |

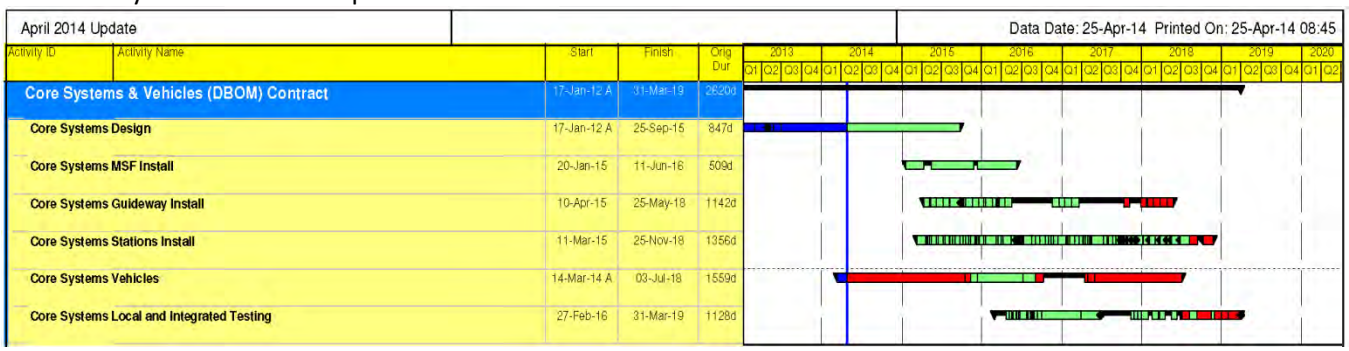
| April Change Orders | |
|---|---|
| Change No. | Amount ($) |
| None | --- |
| **Cumulative to Date** | **$29,167,350** |




- Financial progress is lagging actual design progress because milestones associated with design package documentation are incomplete and payment is not allowed.

**SCHEDULE:**

- 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.




**WORK PROGRESS:**

Activities this Month:

- Design is 42% complete.
- 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 and Final Design submittals continue particularly for Passenger Vehicles, Traction Electrification System, Train Control, Communications, and Maintenance of Way (MOW) Vehicles.

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.

**CRITICAL PATH ISSUES:**

- Design interface coordination and resolution of issues with other contractors.
- Passenger Vehicle delivery timing.
- Coordination with other contractors on construction interface milestones.
- Resolution of schedule issues.

**QUALITY MANAGEMENT:**

- Attended and participated in the weekly coordination meetings of HART CS Group and AHJV (ASTS/AB).
- Attended and participated in the Final Design review of the core system Automatic Train Control (ATC) and Supervisory Control and Data Acquisition (SCADA).
- Completed review of Stanley Access Technologies' Supplemental Quality Plan (SQP).
- The AHJV Quality Management System (QMS) was certified to ISO 9001-2008 by Lloyd's Register Quality Assurance on February 12, 2014.
- Monitoring AHJV QA/QC compliance activities.

| CSC NCR Log | | |
|---|---|---|
| Total NCRs Issued To Date | CLOSED | OPEN |
| 13 | 12 | 1 |

## B. Elevators & Escalators Manufacture-Install-Maintain (MIM)

**Contract No.:** MI-930
**Contractor:** Schindler Elevator Corporation
**Substantial Completion:** May 2018

**Project Description:** Furnish / install / test / maintain all elevator and escalator equipment located at the elevated stations.

**COST INFORMATION:**

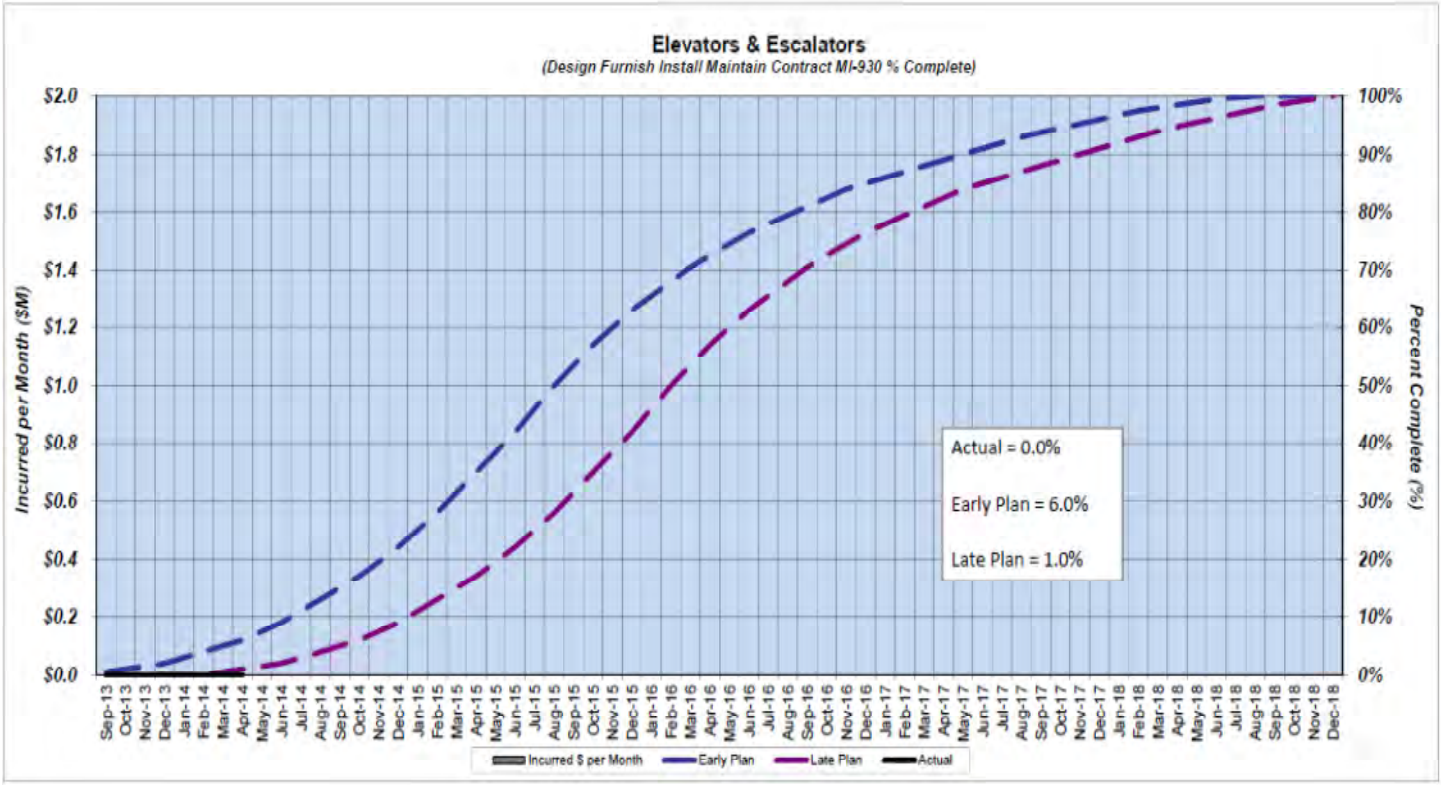
| | | | |
|---|---|---|---|
| Base Contract: | $50,982,714 | NTP 1: | $5,442,108 |
| Committed[1]: | $50,982,714 | | |
| Authorized[2]: | $5,442,108 (10.7%) | | |
| Incurred-to-Date: | $0 | | |
| Incurred in April: | $0 | | |

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

| Disadvantaged Business Enterprise (DBE) Participation | |
|---|---|
| Actual DBE Participation: | $0 |
| DBE % Attained: | 0% |

| April Notices to Proceed |
|---|
| None |

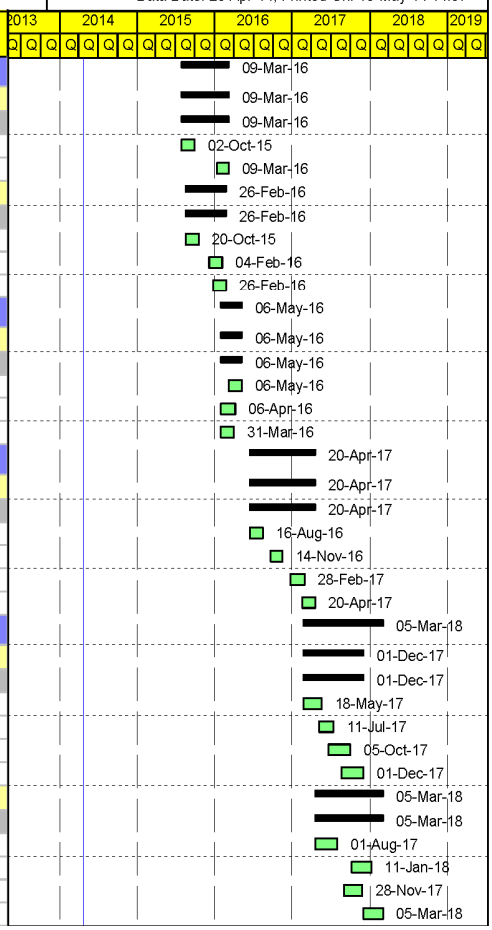
| April Change Orders | |
|---|---|
| Change No. | Amount ($) |
| None | --- |
| **Cumulative to Date** | **$0** |



**SCHEDULE:**

April 2014 Update — Data Date: 25-Apr-14, Printed On: 15-May-14 14:57

| Activity ID | Activity Name | Start | Finish | Orig Dur |
|---|---|---|---|---|
| | W. Oahu/Farrington Highway (WOFH) - Section 1 | 30-Jul-15 | 09-Mar-16 | 150 |
| | Farrington Highway Station Group | 30-Jul-15 | 09-Mar-16 | 150 |
| | Construction - Farrington Highway Station Group | 30-Jul-15 | 09-Mar-16 | 150 |
| | Waipahu Transit Station | 30-Jul-15 | 02-Oct-15 | 45 |
| | West Loch Station | 11-Jan-16 | 09-Mar-16 | 40 |
| | W. Oahu Station Group | 19-Aug-15 | 26-Feb-16 | 129 |
| | Construction - W. Oahu Station Group | 19-Aug-15 | 26-Feb-16 | 129 |
| | Ho'opili Station | 19-Aug-15 | 20-Oct-15 | 43 |
| | UH West Oahu Station | 07-Dec-15 | 04-Feb-16 | 41 |
| | East Kapolei Station | 24-Dec-15 | 26-Feb-16 | 43 |
| | Kamehameha Highway (KH) - Section 2 | 01-Feb-16 | 06-May-16 | 67 |
| | Kamehameha Highway Station Group | 01-Feb-16 | 06-May-16 | 67 |
| | Construction - Kamehameha Highway Station Group | 01-Feb-16 | 06-May-16 | 67 |
| | Pearl Ridge Station | 07-Mar-16 | 06-May-16 | 43 |
| | Aloha Stadium Station | 01-Feb-16 | 06-Apr-16 | 45 |
| | Pearl Highlands - Station | 02-Feb-16 | 31-Mar-16 | 40 |
| | Airport - Section 3 | 14-Jun-16 | 20-Apr-17 | 211 |
| | Airport Station Group | 14-Jun-16 | 20-Apr-17 | 211 |
| | Construction - Airport Station Group | 14-Jun-16 | 20-Apr-17 | 211 |
| | Pearl Harbor Station | 14-Jun-16 | 16-Aug-16 | 45 |
| | HNL Airport Station | 19-Sep-16 | 14-Nov-16 | 40 |
| | Lagoon Drive Station | 22-Dec-16 | 28-Feb-17 | 45 |
| | Middle Street Station | 14-Feb-17 | 20-Apr-17 | 45 |
| | City Center (CC) - Section 4 | 22-Feb-17 | 05-Mar-18 | 255 |
| | Dillingham Station Group | 22-Feb-17 | 01-Dec-17 | 193 |
| | Construction - Dillingham Station Group | 22-Feb-17 | 01-Dec-17 | 193 |
| | Kalihi Station | 22-Feb-17 | 18-May-17 | 60 |
| | Kapalama Station | 05-May-17 | 11-Jul-17 | 45 |
| | Iwilei Station | 20-Jun-17 | 05-Oct-17 | 75 |
| | Chinatown Station | 22-Aug-17 | 01-Dec-17 | 70 |
| | Kaka'ako Station Group | 21-Apr-17 | 05-Mar-18 | 215 |
| | Construction - Kaka'ako Station Group | 21-Apr-17 | 05-Mar-18 | 215 |
| | Downtown Station | 21-Apr-17 | 01-Aug-17 | 70 |
| | Civic Center Station | 06-Oct-17 | 11-Jan-18 | 65 |
| | Kaka'ako Station | 31-Aug-17 | 28-Nov-17 | 60 |
| | Ala Moana Center Station | 06-Dec-17 | 05-Mar-18 | 60 |




**WORK PROGRESS:**

Activities this Month:

- Design is 3.0% complete.
- Design continuing for the West Loch and Waipahu Transit Center Stations.
- Interface meetings between design teams and Core Systems Contractor continuing.
- Billing began in May 2014.

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.

**CRITICAL PATH ISSUES:**

- Resolution of design interface issues with other contractors.
- Coordination with station contractors on construction interface milestones.

**QUALITY MANAGEMENT:**

- Reviewing Schindler Elevator Corporation (Schindler) QAP.
- Met with Schindler's Project Manager to discuss quality requirements on the Project and HART's expectations.
- Scheduled a meeting with Schindler QA Manager to discuss HART comments on the QAP and QA/QC expectations.

## 4.2 Section I – West O'ahu/Farrington Highway: East Kapolei to Pearl Highlands

### A. West O'ahu/Farrington Highway Guideway (WOFH)

**Contract No.:** DB-120
**DB Contractor:** Kiewit Infrastructure West Company (KIWC)
**Substantial Completion:** June 2016

**Project Description:** Design and construction of 6.8 miles of rail alignment, starting at the East Kapolei station and ending at the Pearl Highlands station.

**COST INFORMATION:**

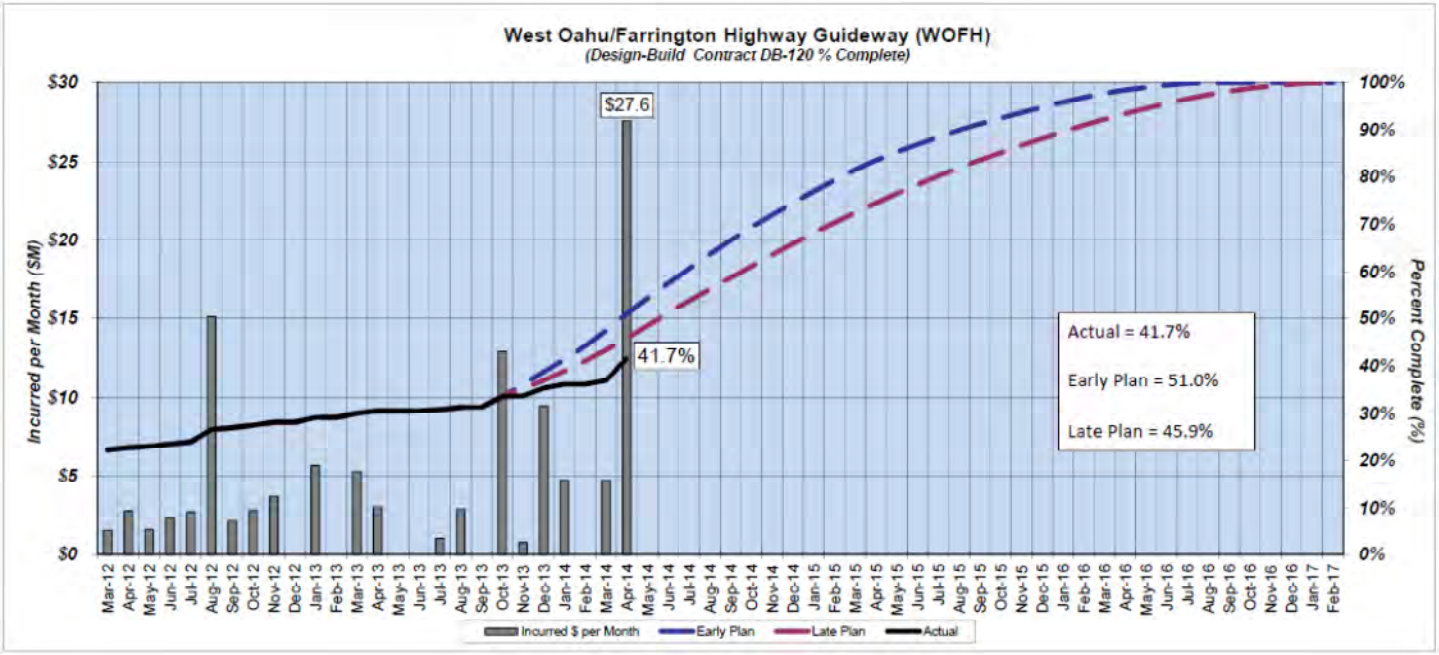
| | | | | | |
|---|---|---|---|---|---|
| Base Contract: | $482,924,000 | NTP 1: | $69,256,301 | NTP 2: | $61,975,961 |
| Committed[1]: | $570,016,959 | NTP 1A: | $4,650,251 | NTP 3: | $3,871,885 |
| Authorized[2]: | $570,016,959 (100%) | NTP 1B: | $21,152,169 | NTP 4A: | $64,417,082 |
| Incurred-to-Date: | $240,676,023 | NTP 1C: | $14,034,417 | NTP 4B: | $21,800,000 |
| Incurred in April: | $27,557,464 | | | | |

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

| Disadvantaged Business Enterprise (DBE) Participation | |
|---|---|
| Actual DBE Participation: | $2,320,886 |
| DBE % Attained: | 0.48% |

| April Notices to Proceed |
|---|
| None |

| April Change Orders | |
|---|---|
| Change No. | Amount ($) |
| CO 00040 | $12,400,638 |
| CO 00041 | $46,808 |
| CO 00042 | $798,049 |
| **Cumulative to Date** | **$87,092,959** |

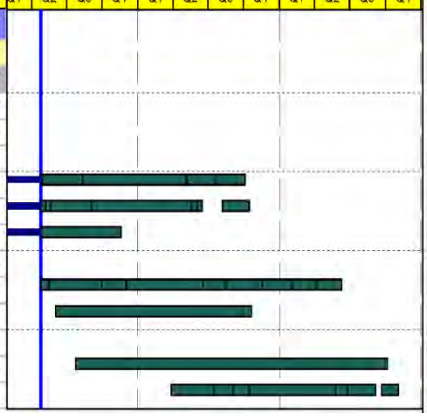


**SCHEDULE:**

- KIWC submitted a revised baseline schedule reflecting the updated substantial completion of June 2016. On May 12, 2014 HART accepted the revised baseline schedule with notes.

April 2014 Update — Data Date: 25-Apr-14, Printed On: 14-May-14 11:10

| Activity ID | Activity Name | Start | Finish | Orig Dur |
|---|---|---|---|---|
| Total | | 08-Mar-12 A | 03-Nov-16 | 1043d |
| West Guideways & Structures | | 08-Mar-12 A | 03-Nov-16 | 1043d |
| W. Oahu/Farrington Highway (WOFH) - Section 1 | | 08-Mar-12 A | 03-Nov-16 | 1043d |
| W. Oahu/Farrington Highway Guideway | | 08-Mar-12 A | 03-Nov-16 | 1043d |
| Kiewit WOFH Summary | | 08-Mar-12 A | 03-Nov-16 | 1043d |
| Foundations | | 08-Mar-12 A | 14-Oct-15 | 657d |
| Drilled Shafts | | 23-Apr-12 A | 05-Oct-15 | 648d |
| Columns | | 21-May-12 A | 14-Oct-15 | 657d |
| At Grade | | 08-Mar-12 A | 18-Nov-14 | 67d |
| Guideway | | 25-Apr-14 | 09-Jun-16 | 777d |
| Precast Segment Erection | | 25-Apr-14 | 09-Jun-16 | 777d |
| Balanced Cantilever Segments | | 04-Jun-14 | 19-Oct-15 | 503d |
| Trackwork | | 24-Jul-14 | 03-Nov-16 | 834d |
| Direct Fixation Trackwork | | 24-Jul-14 | 05-Oct-16 | 805d |
| Third Rail | | 27-Mar-15 | 03-Nov-16 | 588d |




| Contract Submittals | |
|---|---|
| # Received | # Currently Under Review |
| 611 | 3 |

| Anticipated Final Design Submittals | | |
|---|---|---|
| Total # | # Complete | % Complete |
| 122 | 88 | 72% |

| Requests for Information (RFI) from Contractor | | |
|---|---|---|
| # Received | # Open | # Voided |
| 229 | 0 | 4 |

**WORK PROGRESS:**

Activities this Month:

- Design is 96% complete, based on Schedule of Milestones completion.
- KIWC continued maintenance activities along Farrington Highway as part of the Joint Use and Occupancy Agreement with HDOT.
- Transition zone, column and bearing pedestal installations are ongoing in Work Areas 1 and 2.
- North Access Road Underpass - "East" Wall was completed early this month in Work Area 5. The falsework for the top deck between the East and West walls, along with the reinforcing steel should be completed by the end of the month. The top deck pour should be completed by the first week of June.
- Drilled shaft construction continued in Work Areas 1 and 2.
- First Wet Shaft, with temporary casing, was poured west of Ft. Weaver overpass.
- Wet utility installation ongoing in Work Area 2.
- Precast Yard is continuing to cast typical, deviator, and expansion joint production segments.
- Dry utility installation work is continuing.
- Continued street light relocations and repairs (Joint Use and Occupancy Agreement) in Work Area 2, 3 and Area 4.
- HART is continuing to work with KIWC to develop an issues list to identify critical changes that require immediate resolution.
- Segment erection span 65, Work Area 1.
- Continued the 2-555-M1 and 2-526-M1 conflict relocations.
- Continued MOT and substructure preparation work at Pier 253 and 252.
- Continued coordination with Leeward Community College and Waipahu High School for campus improvements as a result of rail construction.
- Resolved NTP delay claim.

Look Ahead:

- Continue interface and final design activities.
- Resolution of escalation changes.
- HECO and HDOT coordination.
- LCC coordination and continued work.
- Continue the underslung truss installation and segment erection at Piers 63 through 66.
- Continue production segment casting at Precast Yard.
- Continue drilled shafts in Work Area 4 near Waipahu High School.
- Installation of the Cane Haul Box Culvert.

**CRITICAL PATH ISSUES:**

- Finalize and submit Schedule Revision C.
- Access restriction to Pier 254 and 255 due to Navy land disposal policy change impacts work availability at H1 area.
- Precast segment production quantity for segment erection.
- Coordination with other contractors at interface milestones.

**UTILITY AGREEMENTS:**

- The Hawaiian Telcom (HTI) Utility Construction Agreement (UCA) has not yet been executed. HART reviewed HTI comments to the draft agreement, and returned draft to HTI for consideration.
- 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.
- Looking Ahead: Execute HTI WOFH UCA.

**HAWAI'I DEPARTMENT OF TRANSPORTATION (HDOT) AGREEMENTS:**

- The HDOT Design Coordination Consultant for the WOFH section (contract MM-920), AECOM Technical Services, Inc. (AECOM), continues to review design submittals for HDOT.

**RIGHT OF WAY:**

| W.Oahu\Farrington Right-of-Way for Parcels | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | # Parcels Impacted | Current # Parcels Needed | Appraisals In Process | Appraisals Completed | Letters of Offer Sent | Offers Accepted | Possession Granted for Condemnation | Agreements Executed | Acquisitions Completed | Relocations Completed | Properties Available for Contractor |
| **Full Acquisition** | 14 | 14 | | 14 | 14 | 13 | 1 | | 13 | 10 | 14 |
| **Partial Acquisition** | 14 | 6 | | 1 | 1 | | | 4 | 3 | | 3 |
| **Easement** | 17 | 15 | 5 | | | | | 9 | 7 | | 7 |
| **TOTAL** | **45** | **35** | **5** | **15** | **15** | **13** | **1** | **13** | **23** | **10** | **24** |

| W.Oahu\Farrington Relocation Status for Occupants | | | | | | | |
|---|---|---|---|---|---|---|---|
| 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 |
| **18** | **6** | **1** | **25** | **11** | **12** | **8** | **24** |

- Acquisitions:
  - Negotiating offer for TMK 9-4-047-008.
  - Ordering titles and surveys for TMKs 9-7-024-034, 9-6-004-023 and 9-6-0032-022, properties needed for the Pearl Highlands Garage/Ramps.
- Relocations:
  - Replacement property identified for TMK 9-6-004-006. Initiating move bids.
- Look Ahead:
  - Complete the acquisition of TMK 9-6-004-006, a full acquisition within the Banana Patch. This activity is critical path to support Guideway construction.
  - Complete negotiations with owners of TMK 9-4-047-008, a partial acquisition for West Loch Station.

**QUALITY MANAGEMENT:**

- Continued participation in Pre-activities meetings for construction scheduled activities (Segments Shipment from Casting Yard to Guideway Construction Site; Wet Shaft Construction; and Span by Span Grouting and Post Tensioning).
- Monitoring the KIWC and CE&I Inspection and Test Plan (ITP) updates and its implementation.
- Reviewing KIWC QA/QC Close-out Plan for each column including substructures and Pre-Cast segments in preparation for partial Safety and Security Certification of the Certifiable Items for Track and Structures, Civil Installations.
- Performed Environmental Compliance Audit of WOFH and KHG on 5/20-5/21.
- Monitored *Post Tensioning* process of the first erected span (No. 65) between Columns 65 and 66.
- Monitoring KIWC QA/QC activities.

| WOFH NCR Log | | |
|---|---|---|
| Total NCRs Issued To Date | CLOSED | OPEN |
| **130** | **119** | **11** |

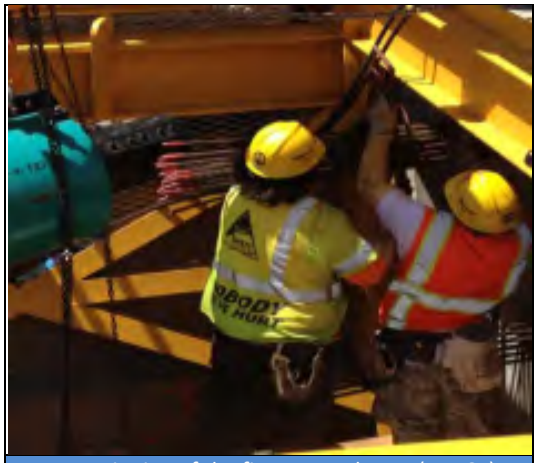
**SAFETY AND SECURITY:**

| West O'ahu / Farrington Contracts | | | | | | |
|---|---|---|---|---|---|---|
| Contract | Event Type | Total Number of Events since 1/1/2007 | Total Number of Events for May 2014 | Loss Type | Date | Event Description |
| DB-120 W. O'ahu/ Farrington Highway Guideway | Environment | 1 | 0 | | | |
| | Loss or Damage | 6 | 0 | | | |
| | Near Miss | 11 | 0 | | | |
| | *Reportable Occupational Injury/Illness | 0 | 0 | | | |
| | **Loss Time Occupational Injury/Illness | 2 | 0 | | | |
| | Road/Vehicle - Driving | 4 | 1 | Loss or Damage | May 06, 2014 | Excavator boom struck OH traffic signal light. |
| | Security | 16 | 0 | | | |
| | Service Strike | 5 | 0 | | | |

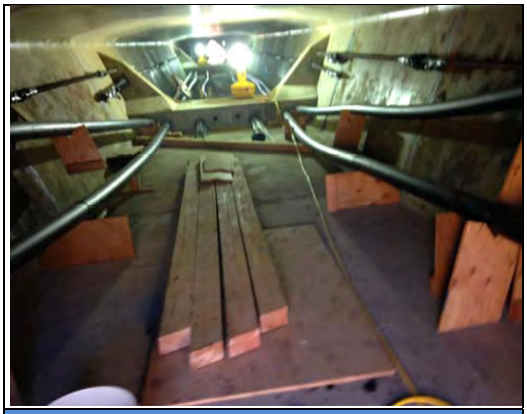
*Reportable incidents: Requires OSHA to be notified within 8 hours, and includes the death of an employee or hospitalization of three or more employees.
**Loss Time Injury: Time away from work due to injury.

**PROJECT PICTURES:**

Post Tensioning equipment being set up.



Post Tensioning of the first erected span (No. 65) between Columns 65 and 66.



Inner Cavity view.

Tendons.

Twelve segments of span 65 erected.

Striping and re-opening of Farrington Highway in Work Area 1.

Transported guideway segments to Hoʻopili area.

Adjusting column cage in wet zone close to the Ft. Weaver overpass along Farrington Highway, in Work Area 2.

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## B. West O'ahu Station Group Construction (WOSG)

**Contract No.:** FD-140
**Contractor:** URS Corporation, Final Design Consultant (Engineer of Record)
**Construction Docs Bid-Ready:** May 15, 2014

**Project Description:** Architectural and engineering services for the design of three (3) transit stations situated along the WOFH Guideway. The three stations comprising the WOSG contract are the East Kapolei Station, the UH West O'ahu Station and the Ho'opili Station.

**COST INFORMATION:**

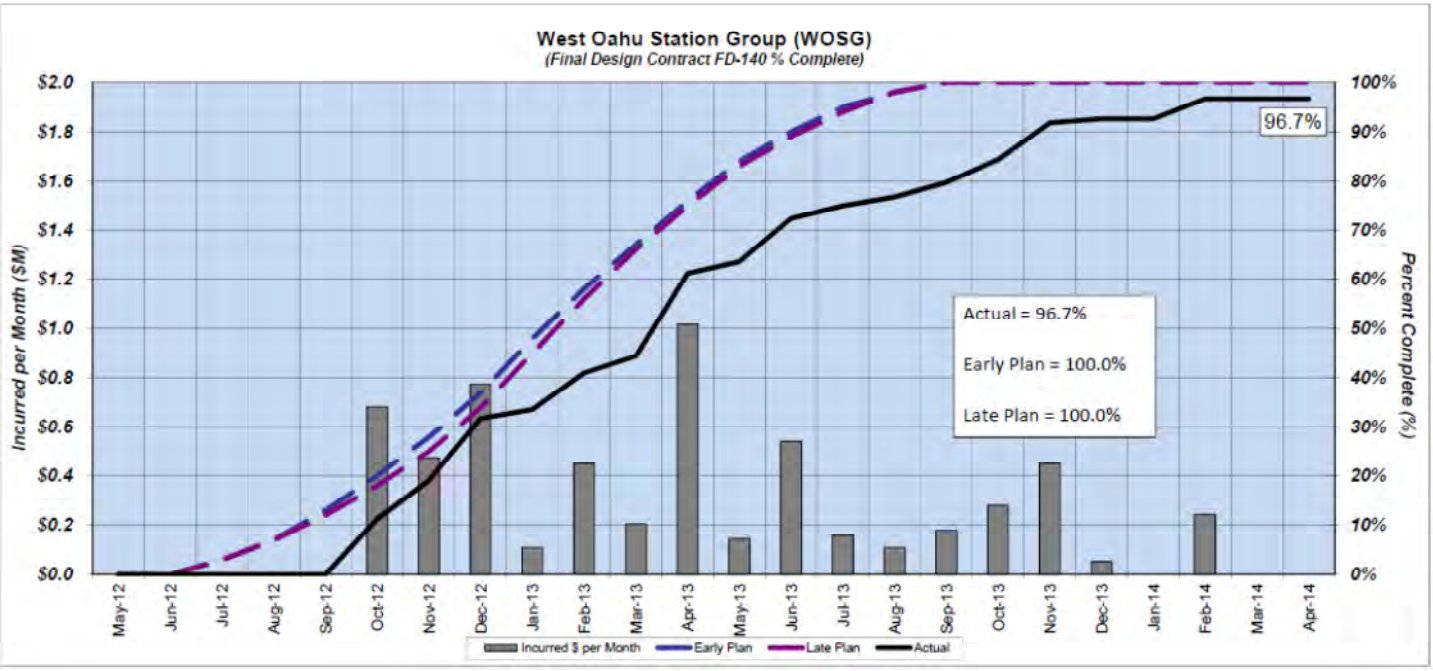
| | | | | | |
|---|---|---|---|---|---|
| Base Contract: | $7,789,000 | NTP 1A: | $326,420 | NTP 2: | $2,203,221 |
| Committed[1]: | $7,812,928 | NTP 1B: | $2,064,757 | NTP 3: | $981,181 |
| Authorized[2]: | $5,599,507 (71.7%) | | | | |
| Incurred-to-Date: | $5,871,205 | | | | |
| Incurred in April: | $0 | | | | |

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

| Disadvantaged Business Enterprise (DBE) Participation | |
|---|---|
| Actual DBE Participation: | $0 |
| DBE % Attained: | 0% |

| April Notices to Proceed |
|---|
| None |

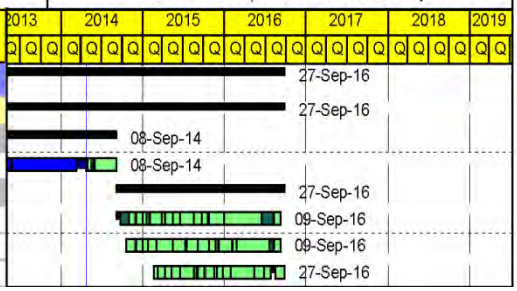
| April Change Orders | |
|---|---|
| Change No. | Amount ($) |
| CA 00004 | $60,242.57 |
| **Cumulative to Date** | **$84,170.57** |



**SCHEDULE:**

April 2014 Update — Data Date: 25-Apr-14, Printed On: 15-May-14 14:49

| Activity ID | Activity Name | Start | Finish | Orig Dur |
|---|---|---|---|---|
| W. Oahu/Farrington Highway (WOFH) - Section 1 | | 14-Jan-10 A | 27-Sep-16 | 1887 |
| W. Oahu Station Group | | 14-Jan-10 A | 27-Sep-16 | 1887 |
| Design - W. Oahu Station Group | | 14-Jan-10 A | 08-Sep-14 | 1136 |
| Design - W. Oahu Station Group | | 14-Jan-10 A | 08-Sep-14 | 1136 |
| Construction - W. Oahu Station Group | | 08-Sep-14 | 27-Sep-16 | 751 |
| Ho'opili Station | | 08-Sep-14 | 09-Sep-16 | 733 |
| UH West Oahu Station | | 20-Oct-14 | 09-Sep-16 | 691 |
| East Kapolei Station | | 18-Feb-15 | 27-Sep-16 | 399 |




**WORK PROGRESS:**

Activities this Month:

- Continued designing Hoʻopili Station.
- Continued to hold weekly progress and interface meetings.
- Finalizing the standard platform canopy standard design and drawing.
- Continued negotiation on design changes.
- Confirmed interface loads.
- Finalize advertisement set.
- Continue to process changes to the contract:
  1. 30' platform at UHWO.
  2. Traffic signal modifications.
  3. Hoʻopili access road.
- Continue to process Request for Changes (RFCs):
  1. Bike ramps.
  2. Constructability comments.
- Continue to interface with other contracts.

Look Ahead:

- Incorporate any additional design changes processed by amendment.
- Incorporate third party comments.

**CRITICAL PATH ISSUES:**

- Coordination with other contractors on construction interface milestones.
- Finalize design for procurement of west stations construction contract.
- Third party reviews.
- Third party master agreements.

**QUALITY MANAGEMENT:**

- Monitoring URS QA/QC activities.

## C. Farrington Highway Station Group (FHSG)

**Contract No.:** FD-240

**Contractors:**

***URS Corporation***

*Start Date: September 27, 2013 End Date: November 14, 2016*

***HDR Engineering, Inc.***

*Start Date: January 12, 2011 End Date: April 5, 2013*

**Construction Docs Bid-Ready:** May 15, 2014

**Project Description:** Architectural and engineering services for the design of three (3) transit stations situated along the WOFH Guideway. The three stations comprising the FHSG contract are the West Loch Station, the Waipahu Transit Center Station and the at-grade Leeward Community College Station.

**COST INFORMATION:**

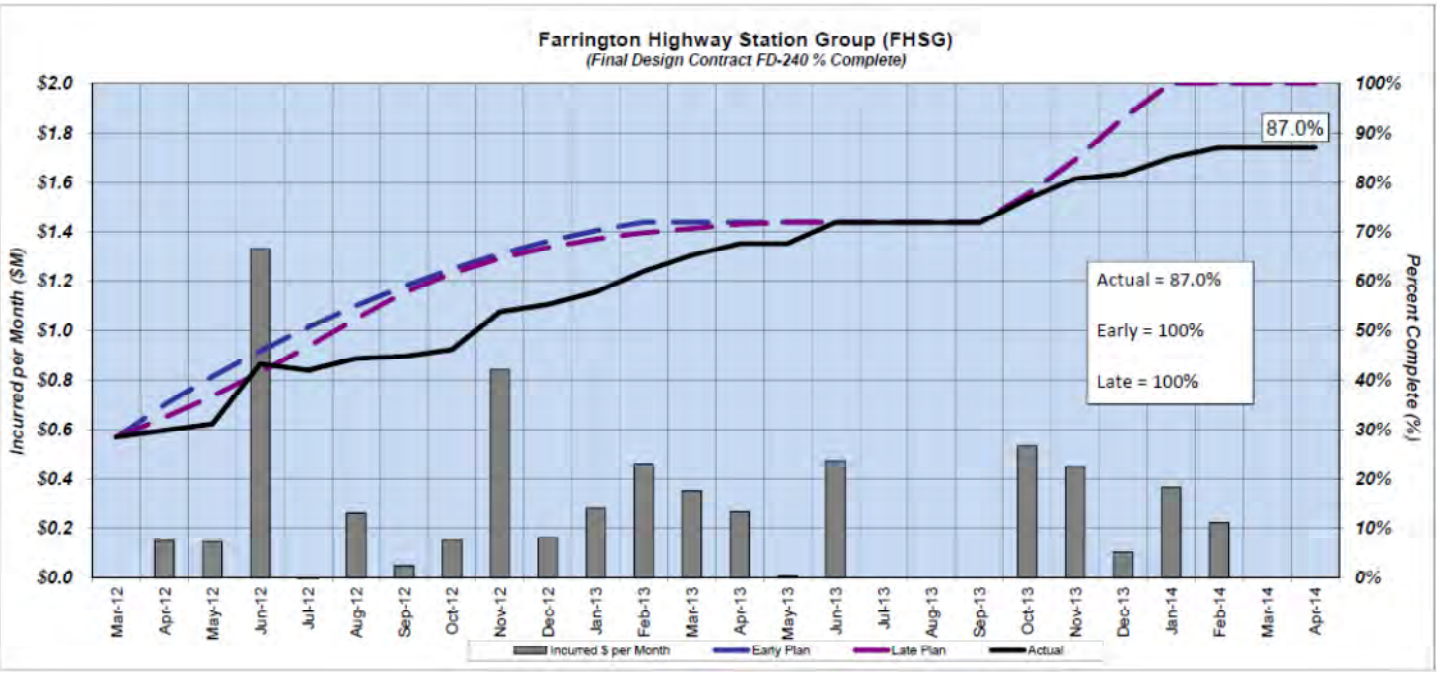
| | | | | | | | |
|---|---|---|---|---|---|---|---|
| Base Contract: | $9,300,696 | NTP 1.2: | $1,756,031 | NTP 1B REV2: | $107,783 | NTP 2 REV1: | $33,939 |
| Committed[1]: | $12,208,045 | NTP 1A: | $52,356 | NTP 1B REV3: | $12,500 | NTP 2 REV2: | $0 |
| Authorized[2]: | $9,867,090 (80.8%) | NTP 1A REV1: | $114,794 | NTP 1B REV4: | $0 | NTP 3: | $1,119,617 |
| Incurred-to-Date: | $9,620,070 | NTP 1B: | $536,955 | NTP 2: | $3,437,489 | NTP OFFSET: | ($320,000) |
| Incurred in April: | $0 | NTP 1B REV1: | $108,278 | | | | |

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

| Disadvantaged Business Enterprise (DBE) Participation | |
|---|---|
| Actual DBE Participation: | $258,611 |
| DBE % Attained: | 4.7% |

| April Notices to Proceed |
|---|
| None |

| April Change Orders | |
|---|---|
| Change No. | Amount ($) |
| None | --- |
| **Cumulative to Date** | **$2,907,349** |

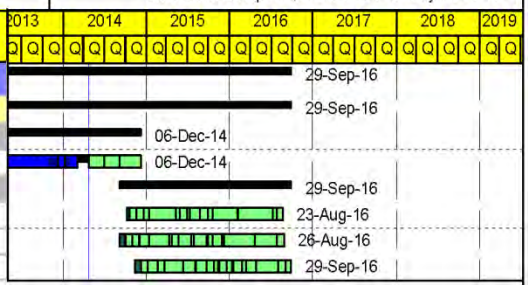



- Design was combined into the WSSG package and incorporated additional design and interface information. Design was completed as a part of WSSG in May 2014.

**SCHEDULE:**

April 2014 Update — Data Date: 25-Apr-14, Printed On: 15-May-14 15:19

| Activity ID | Activity Name | Start | Finish | Orig Dur |
|---|---|---|---|---|
| | W. Oahu/Farrington Highway (WOFH) - Section 1 | 02-Oct-09 A | 29-Sep-16 | 2080 |
| | Farrington Highway Station Group | 02-Oct-09 A | 29-Sep-16 | 2080 |
| | Design - Farrington Highway Station Group | 02-Oct-09 A | 06-Dec-14 | 1417 |
| | Design - Farrington Highway Station Group | 02-Oct-09 A | 06-Dec-14 | 1417 |
| | Construction - Farrington Highway Station Group | 08-Sep-14 | 29-Sep-16 | 753 |
| | Leeward Community College Station | 08-Oct-14 | 23-Aug-16 | 463 |
| | Waipahu Transit Station | 08-Sep-14 | 26-Aug-16 | 719 |
| | West Loch Station | 10-Nov-14 | 29-Sep-16 | 690 |




**WORK PROGRESS:**

Activities this Month:

- Continued to hold weekly progress and interface meetings.
- Continued to validate interface assumptions.
- Confirmed interface loads.
- Advertisement set has been submitted.

Look Ahead:

- Completing contract amendments. Incorporate priority items into design for addendum.
- Completing third party reviews.

**CRITICAL PATH ISSUES:**

- Coordination with other contractors on construction interface milestones.
- Finalize design for procurement of west stations construction contract.
- Completing third party reviews.
- Third party master agreements.

**QUALITY MANAGEMENT:**

- Monitoring URS QA/QC activities.

## D. Maintenance and Storage Facility (MSF)

**Contract No.:** DB-200
**Contractor:** Kiewit/Kobayashi Joint Venture (KKJV)
**Substantial Completion:** April 15, 2016

**Project Description:** The MSF contract consists of the operations & service, maintenance of way, train wash facility and wheel truing facility buildings. In addition to the four (4) facility buildings, MSF includes rail, special trackwork, ties, third rail and other track material for the four guideway segments on the project.

**COST INFORMATION:**

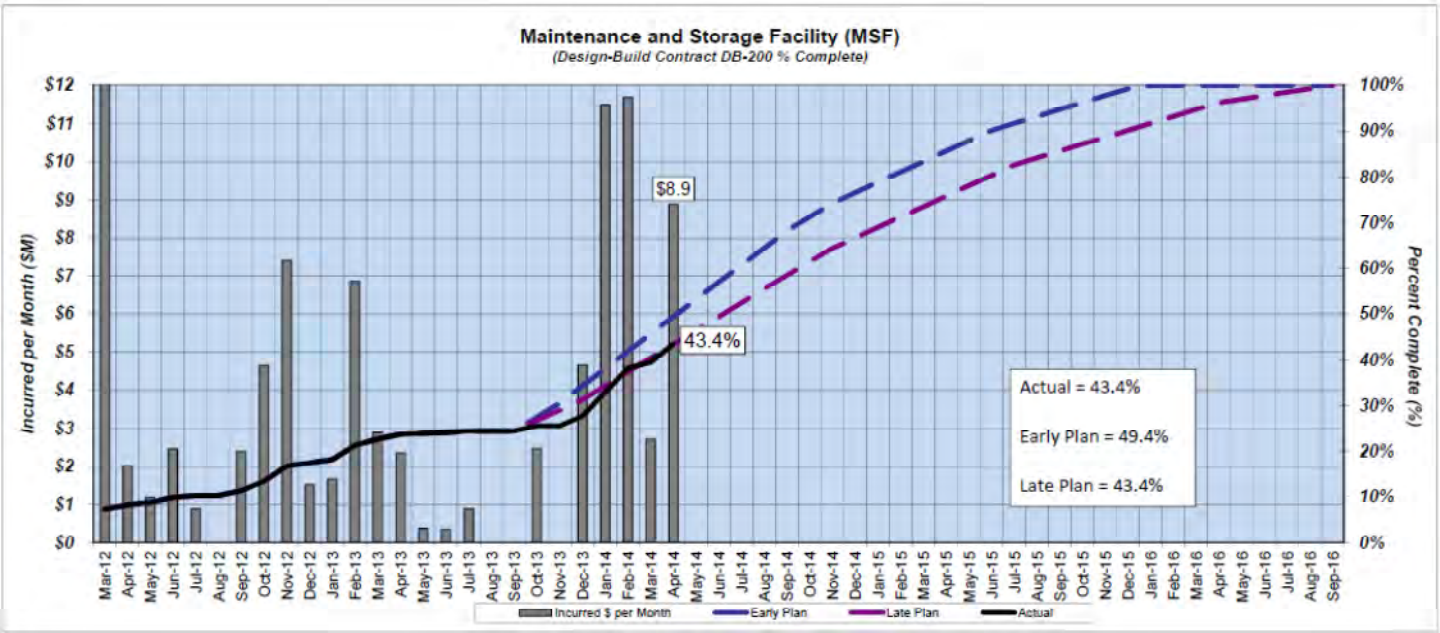
| | | | | | |
|---|---|---|---|---|---|
| Base Contract: | $195,258,000 | NTP 1: | $16,886,751 | NTP 2 REV1: | $12,749,013 |
| Committed[1]: | $229,990,244 | NTP 2: | $66,261,187 | NTP 3: | $32,391,783 |
| Authorized[2]: | $163,020,978 (70.9%) | | | | |
| Incurred-to-Date: | $95,989,872 | | | | |
| Incurred in April: | $8,887,739 | | | | |

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

| Disadvantaged Business Enterprise (DBE) Participation | |
|---|---|
| Actual DBE Participation: | $51,254 |
| DBE % Attained: | 0.03% |

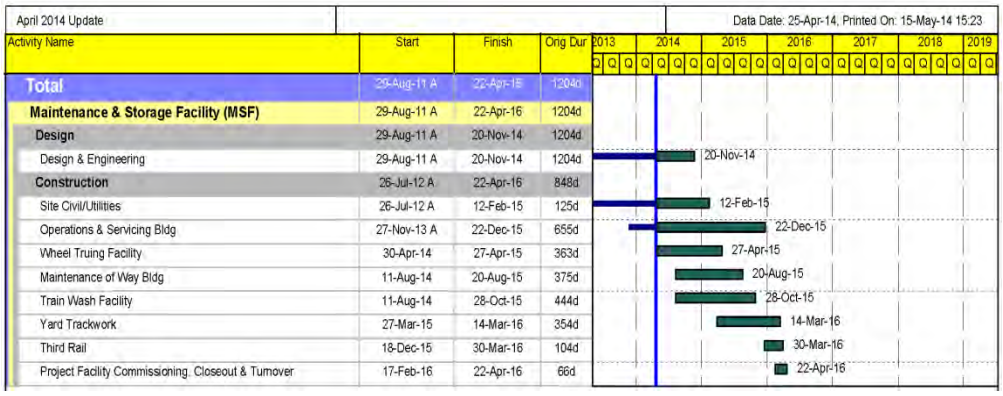
| April Notices to Proceed |
|---|
| None |

| April Change Orders | |
|---|---|
| Change No. | Amount ($) |
| CO 00016 | $102,000 |
| CO 00017 | $4,250,000 |
| CO 00018 | $370,000 |
| CO 00019 | $0 |
| **Cumulative to Date** | **$34,732,244** |



**SCHEDULE:**

- The MSF substantial completion date is extended from December 27, 2015 to April 15, 2016 per Contract Change Order 00020.




| Activity Name | Start | Finish | Orig Dur |
|---|---|---|---|
| Total | 29-Aug-11 A | 22-Apr-16 | 1204d |
| Maintenance & Storage Facility (MSF) | 29-Aug-11 A | 22-Apr-16 | 1204d |
| Design | 29-Aug-11 A | 20-Nov-14 | 1204d |
| Design & Engineering | 29-Aug-11 A | 20-Nov-14 | 1204d |
| Construction | 26-Jul-12 A | 22-Apr-16 | 848d |
| Site Civil/Utilities | 26-Jul-12 A | 12-Feb-15 | 125d |
| Operations & Servicing Bldg | 27-Nov-13 A | 22-Dec-15 | 655d |
| Wheel Truing Facility | 30-Apr-14 | 27-Apr-15 | 363d |
| Maintenance of Way Bldg | 11-Aug-14 | 20-Aug-15 | 375d |
| Train Wash Facility | 11-Aug-14 | 28-Oct-15 | 444d |
| Yard Trackwork | 27-Mar-15 | 14-Mar-16 | 354d |
| Third Rail | 18-Dec-15 | 30-Mar-16 | 104d |
| Project Facility Commissioning, Closeout & Turnover | 17-Feb-16 | 22-Apr-16 | 66d |

| Contract Submittals | |
|---|---|
| # Received | # Currently Under Review |
| 412 | 14 |

| Anticipated Final Design Submittals | | |
|---|---|---|
| Total # | # Complete | % Complete |
| 9 | 9 | 100% |

| Requests for Information (RFI) from Contractor | | |
|---|---|---|
| # Received | # Open | # Voided |
| 170 | 1 | 2 |

**WORK PROGRESS:**

Activities this Month:

- Redesign of the yard layout and facilities are underway due to the Core Systems Contractor (CSC) consolidated changes.
- KKJV continued monitoring Best Management Practice (BMP) measures for permit compliance.
- KKJV continued to excavate trenches for storm drain and sewer lines.
- KKJV continued to install storm drain and sewer lines with their respective manholes.
- KKJV completed the installation of Retaining Wall No. 9.
- KKJV continued Operation and Servicing Building (OSB) foundations and stem walls.
- KKJV commenced the OSB underground electrical and plumbing rough in.
- KKJV completed forming and placement of concrete for the underpass foundation.
- KKJV completed installation of underpass wall.
- KKJV continued with the procurement of rail materials.
- KKJV continued stockpiling rail material in the Pasha yard.
- KKJV continued installing site waterlines.
- Continued working with the CSC to resolve design interface issues.
- HART continued working with KKJV on the resolution of CSC consolidated changes.
- Continued workshops with the CSC contract on CSC consolidated changes redesign.
- KKJV started grading at Maintenance of Way (MOW), poured elevator foundation.
- Commenced working with KKJV on interim milestone dates.

Look Ahead:

- Continue installing sewer lines and manholes.
- Continue installing storm drain lines and manholes.
- Continue with the OSB stem walls.
- Continue the OSB underground electrical and plumbing rough in.
- Continue placing topsoil with irrigation on the makai slope.
- Continue installing site waterlines.
- Continue working with the Core Systems Contractor to resolve design interface issues.
- Continue working with KKJV and HNTB on the final redesign on CSC consolidated changes.
- Commence working with KKJV to mitigate potential schedule impacts due to CSC consolidated changes.
- Commence OSB slab on grade preparation.
- Commence MOW mechanical/electrical rough ins.
- Commence MOW spread footings.

**CRITICAL PATH ISSUES:**

- Coordination with other contractors on construction interface milestones.
- Resolving yard reconfiguration interface with Core Systems Contractor.
- Prioritizing work related to test track and functional track to support program opening dates.

**QUALITY MANAGEMENT:**

- Participated in Pre-activities meetings on construction scheduled activities (Mesa Walls and Slab-on-Grade).
- KKJV responded to the QA Design Audit Report audit held on 1/15-16/2014. HART is reviewing the responses.
- Monitoring KKJV QA/QC activities.

| MSF NCR Log | | |
|---|---|---|
| Total NCRs Issued To Date | CLOSED | OPEN |
| 7 | 5 | 2 |

**SAFETY AND SECURITY:**

| Maintenance & Storage Facility | | | | | | |
|---|---|---|---|---|---|---|
| Contract | Event Type | Total Number of Events since 1/1/2007 | Total Number of Events for May 2014 | Loss Type | Date | Event Description |
| DB-200 Maintenance & Storage Facility | Environment | 4 | 0 | | | |
| | Near Miss | 2 | 0 | | | |
| | Road/Vehicle - Driving | 3 | 0 | | | |
| | Security | 4 | 0 | | | |

*Reportable incidents: Requires OSHA to be notified within 8 hours, and includes the death of an employee or hospitalization of three or more employees.
**Loss Time Injury: Time away from work due to injury.

**PROJECT PICTURES:**

Planting trees at makai slope.

Installing 18" dia. high density polyethylene (HDPE) pipe D1 to D2.

Installing rebar for OSB column footing.

Placing concrete for south underpass.

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## 4.3 Section II – Kamehameha Highway: Pearl Highlands to Aloha Stadium

### A. Kamehameha Highway Guideway (KHG)

**Contract No.:** DB-320
**Contractor:** Kiewit Infrastructure West Company (KIWC)
**Substantial Completion:** September 2016

**Project Description:** Kamehameha Highway Guideway DB Contract (KHG) consists of 3.9 miles and starts 400 feet east of the Pearl Highlands Station and terminates 1,400 feet beyond the Aloha Stadium Station. KHG is made up of utility relocations, highway widening, drilled shaft foundations (one per column), columns, and aerial structure.

**COST INFORMATION:**

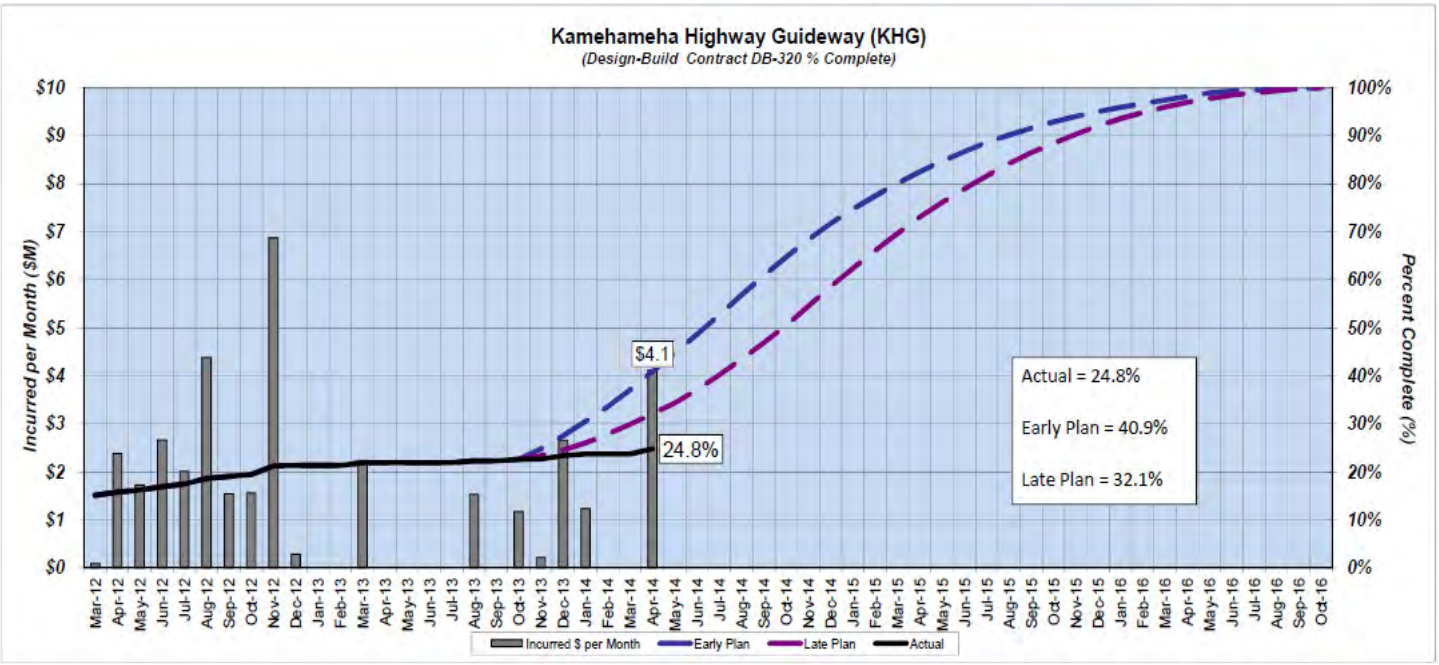
| | | | | | |
|---|---|---|---|---|---|
| Base Contract: | $372,150,000 | NTP 1: | $106,744,930 | NTP 3A: | $33,348,881 |
| Committed[1]: | $378,860,981 | NTP 2: | $22,072,270 | NTP 3B: | $0 |
| Authorized[2]: | $168,877,062 (44.6%) | | | | |
| Incurred-to-Date: | $93,981,945 | | | | |
| Incurred in April: | $4,114,802 | | | | |

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

| Disadvantaged Business Enterprise (DBE) Participation | |
|---|---|
| Actual DBE Participation: | $297,631 |
| DBE % Attained: | 0.08% |

| April Notices to Proceed |
|---|
| None |

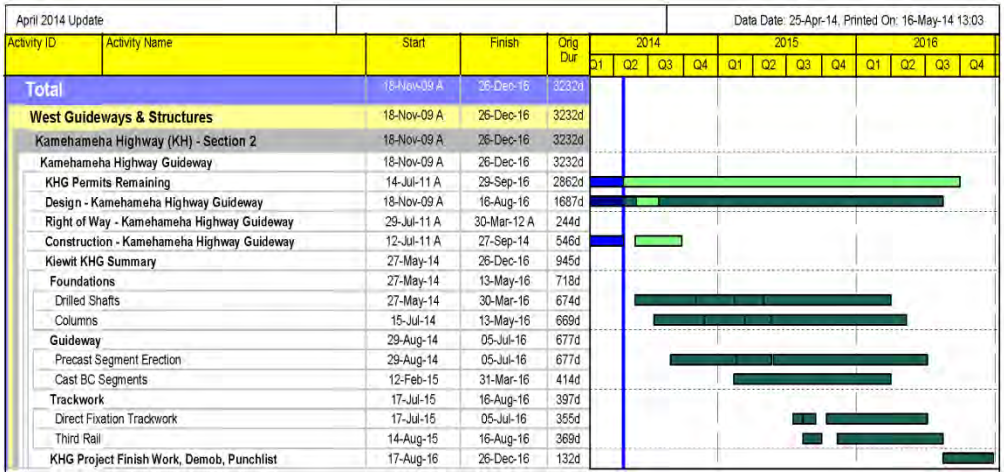
| April Change Orders | |
|---|---|
| Change No. | Amount ($) |
| CO 00005 | $0 |
| **Cumulative to Date** | **$6,710,981** |




- Contractor billings for activities completed are lagging which is affecting the progress reported. It is anticipated that contractor billings will be current in July 2014.

**SCHEDULE:**

- KIWC's revised schedule (Rev E) based on the restart of construction on September 16, 2013, has been approved.




| Contract Submittals | |
|---|---|
| # Received | # Currently Under Review |
| 265 | 5 |

| Final Design Submittals | | |
|---|---|---|
| Total # | # Complete | % Complete |
| 50 | 26 | 52% |

| Requests for Information (RFI) from Contractor | | |
|---|---|---|
| # Received | # Open | # Voided |
| 86 | 1 | --- |

**WORK PROGRESS:**

Activities this Month:

- Approved updated schedule revision "E".
- Baselined all design packages that have been issued for construction to date.
- Began compilation of completed design package CIL for Safety and Security Certification.
- Continued ITS Phase 2 work.
- Continued relocation of Water Line "A".
- Continued relocation of Drain Line "B".
- Continued relocation of electrical duct banks.
- Began relocation of gas lines.
- Completed drilling and Cross Hole Sonic Logging (CSL) test for Test Shaft 15.
- Completed coring of Test Shaft 12.
- Installed new bus pad at 24 Hour Fitness near Acacia Road while implementing test of MOT 3.

Look Ahead:

- Continue interface and design activities.
- Continue JUAO activities.
- Continue utility relocation work.
- Complete load test for Test Shaft 15.
- Begin roadway widening in Phase 1 fronting UH Urban Gardens.
- Process progress payments for January, February and March.

**CRITICAL PATH ISSUES:**

- Maintenance of Traffic along Congested Corridor.
- Coordination with other contractors on construction interface milestones.

**UTILITY AGREEMENTS:**

- Oceanic agreement has been signed and is awaiting execution.
- Construction Agreement for Hawai'iGAS was executed on April 14, 2014.
- No UCA's for Chevron and SIC will be needed.
- Looking Ahead:
  - Execute HTI KHG UCA.

**HAWAI'I DEPARTMENT OF TRANSPORTATION (HDOT) AGREEMENTS:**

- AECOM, the HDOT Design Consultant for the KHG section (contract MM-921), continues to review design submittals for HDOT.

**RIGHT OF WAY:**

| Kamehameha Right-of-Way for Parcels | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | # Parcels Impacted | Current # Parcels Needed | Appraisals In Process | Appraisals Completed | Letters of Offer Sent | Offers Accepted | Possession Granted for Condemnation | Agreements Executed | Acquisitions Completed | Relocations Completed | Properties Available for Contractor |
| **Full Acquisition** | 3 | 3 | | 3 | 3 | 3 | | | 3 | 1 | 2 |
| **Partial Acquisition** | 19 | 3 | | 3 | 3 | | 1 | | | | 3 |
| **Easement** | 5 | 5 | 1 | | | | | 8 | 3 | | 3 |
| **TOTAL** | **27** | **11** | **1** | **6** | **6** | **3** | **1** | **8** | **6** | **1** | **8** |

| Kamehameha Relocation Status for Occupants | | | | | | | |
|---|---|---|---|---|---|---|---|
| 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 |
| | **4** | | **4** | **4** | **3** | **3** | **4** |

- Look Ahead: Complete partial acquisitions associated with TMK 9-7-023-008, TMK 9-7-022-008 and TMK 9-7-022-021.

**QUALITY MANAGEMENT:**

- QA/QC activities are the same as the WOFH contract.
- Participated in Pre-activities meetings on construction scheduled activities (Gas Line Relocations).

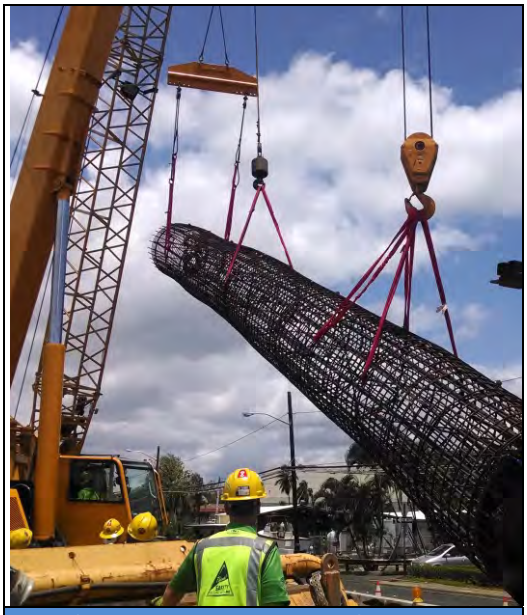
| KHG NCR Log | | |
|---|---|---|
| **Total NCRs Issued To Date** | **CLOSED** | **OPEN** |
| **18** | **13** | **5** |

**SAFETY AND SECURITY:**

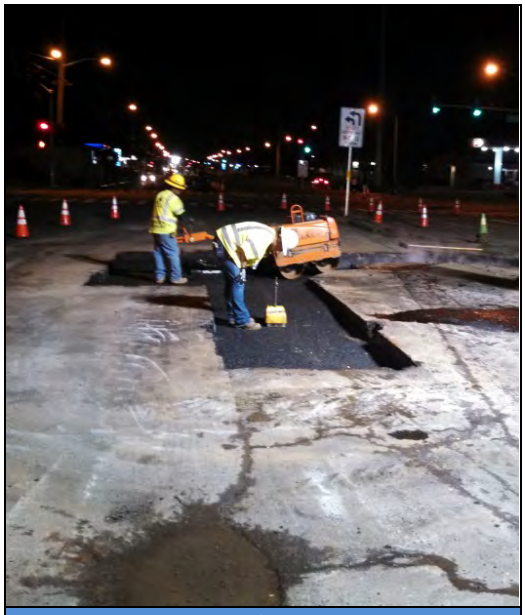
| Kamehameha Contracts | | | | | | |
|---|---|---|---|---|---|---|
| **Contract** | **Event Type** | **Total Number of Events since 1/1/2007** | **Total Number of Events for May 2014** | **Loss Type** | **Date** | **Event Description** |
| **DB-320 Kamehameha Highway Guideway** | Environment | 2 | 0 | | | |
| | Loss or Damage | 6 | 1 | Damage to Sign | May 07, 2014 | Citizen struck arrow board. |
| | Near Miss | 2 | 0 | | | |
| | Road/Vehicle - Driving | 4 | 0 | | | |
| | Security | 6 | 0 | | | |
| | Service Strike | 3 | 1 | Street Light Utility Damage | May 30, 2014 | While excavating, crew hit an unmarked street light conduit. Incident reported and repairs made. |

*Reportable incidents: Requires OSHA to be notified within 8 hours, and includes the death of an employee or hospitalization of three or more employees.
**Loss Time Injury: Time away from work due to injury.

**PROJECT PICTURES:**



Reinforcing cage at Test Shaft 15.



Asphalt installation for utility relocation.

Utility relocation in Phase 12.

## B. Kamehameha Highway Station Group (KHSG)

**Contract No.:** FD-340
**Contractor:** Anil Verma Associates, Inc., Final Design Consultant (Engineer of Record)
**Construction Docs Bid-Ready:** May 15, 2014

**Project Description:** The Kamehameha Highway Stations Group FD Contract (KHSG) consists of architectural and engineering services for the design of three (3) transit stations situated along the Kamehameha Highway Guideway. The three (3) stations comprising the KHSG contract are the Pearl Highlands Station and H2R2 Ramp, the Pearlridge Station, and the Aloha Stadium Station.

**COST INFORMATION:**

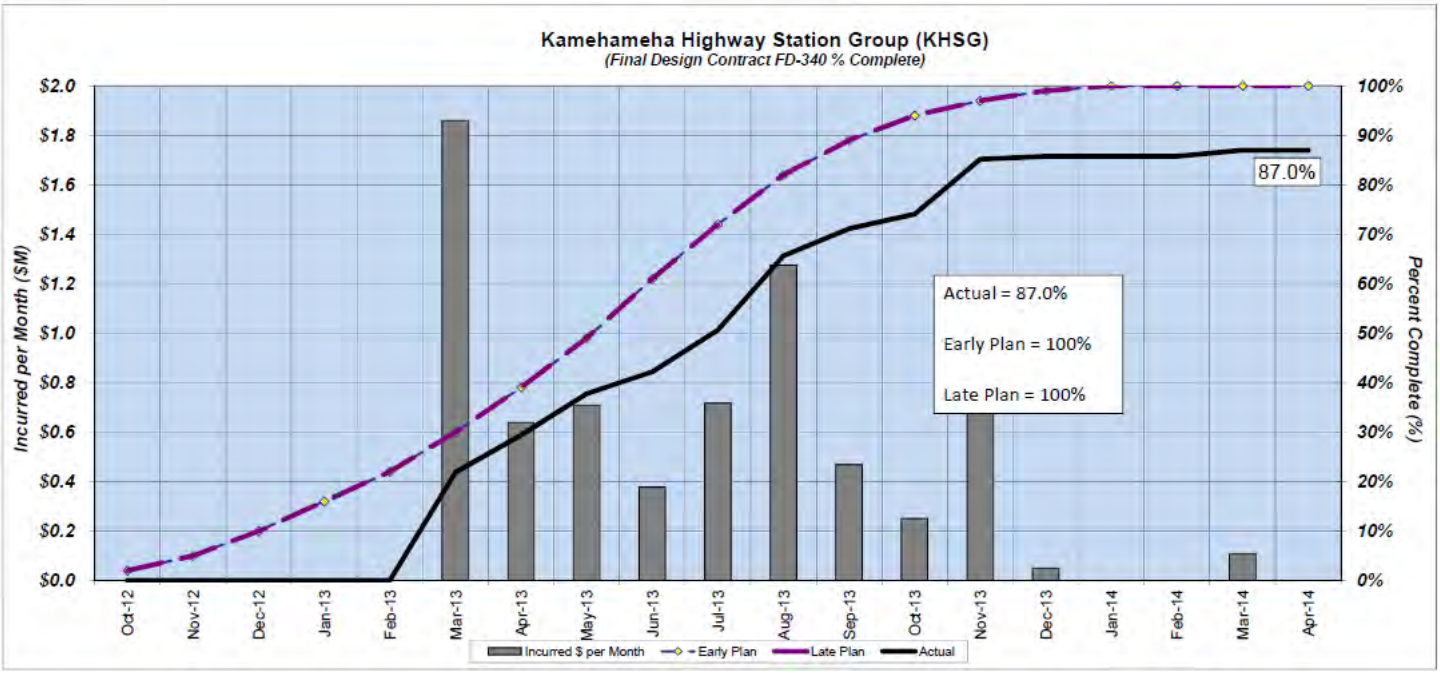
| | | | | | |
|---|---|---|---|---|---|
| Base Contract: | $8,702,592 | NTP 1A: | $491,104 | NTP 2: | $2,860,226 |
| Committed[1]: | $8,702,592 | NTP 1B: | $2,533,421 | NTP 3: | $1,913,030 |
| Authorized[2]: | $7,797,781 (89.6%) | | | | |
| Incurred-to-Date: | $7,393,143 | | | | |
| Incurred in April: | $0 | | | | |

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

| Disadvantaged Business Enterprise (DBE) Participation | |
|---|---|
| Actual DBE Participation: | $3,111,750 |
| DBE % Attained: | 35.76% |

| April Notices to Proceed |
|---|
| None |

| April Change Orders | |
|---|---|
| Change No. | Amount ($) |
| None | --- |
| **Cumulative to Date** | **$0** |

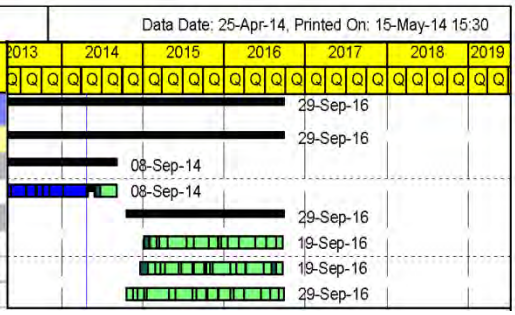



- Design was combined into the WSSG package and incorporated additional design and interface information. Design was completed as a part of WSSG in May 2014.

**SCHEDULE:**

April 2014 Update — Data Date: 25-Apr-14, Printed On: 15-May-14 15:30

| Activity ID | Activity Name | Start | Finish | Orig Dur |
|---|---|---|---|---|
| Kamehameha Highway (KH) - Section 2 | | 28-Jun-11 A | 29-Sep-16 | 1861 |
| Kamehameha Highway Station Group | | 28-Jun-11 A | 29-Sep-16 | 1861 |
| Design - Kamehameha Highway Station Group | | 28-Jun-11 A | 08-Sep-14 | 1108 |
| Design - Kamehameha Highway Station Group | | 28-Jun-11 A | 08-Sep-14 | 1108 |
| Construction - Kamehameha Highway Station Group | | 20-Oct-14 | 29-Sep-16 | 711 |
| Pearl Ridge Station | | 05-Jan-15 | 19-Sep-16 | 624 |
| Aloha Stadium Station | | 23-Dec-14 | 19-Sep-16 | 637 |
| Pearl Highlands - Station | | 20-Oct-14 | 29-Sep-16 | 711 |




**WORK PROGRESS:**

Activities this Month:

- Design is 98% complete.
- Continued to hold biweekly progress and interface meetings.
- Coordinated meetings with stakeholders: U.S. Navy, Aloha Stadium and HDOT.
- Continued design updates to the advertisement set.
- Coordinated with URS to combine west station packages.
- Continued negotiation on design changes.
- Continued consultation with Programmatic Agreement Consulting Parties on the Aloha Stadium Station.
- Continued work on the draft Treatment Plan for Historic and Cultural Resources for the Aloha Stadium Station. Responding to consulting party comments and document revisions.
- Confirmed interface loads.
- Finalize advertisement set.

Look Ahead:

- Prepare addendum #1.

**CRITICAL PATH ISSUES:**

- Coordination with other contractors on construction interface milestones.
- Finalize design for procurement of west stations construction contract.

**QUALITY MANAGEMENT:**

- Monitoring AVA QA/QC activities.

## 4.4 Section III – Airport: Aloha Stadium to Middle Street Transit Center Station

### A. Airport Section Guideway and Utilities

**Contract No.:** FD-430
**Contractor:** AECOM Technical Services, Inc., Final Design Consultant (Engineer of Record)
**Construction Docs Bid-Ready:**
Utilities: Dec. 2013
Guideway: June 2014

**Project Description:** The Airport Segment Guideway and Utilities FD Contract (Airport) consists of widening of portions of Kamehameha Highway and other streets to accommodate the guideway columns, provide bus stops, improve sidewalks and medians, related traffic signals, address environmental mitigation commitments, and other related improvements. Design of barrier walls attached to the guideway, and running rails. Numerous utilities along the proposed alignment require relocation to allow for the guideway construction.

**COST INFORMATION:**

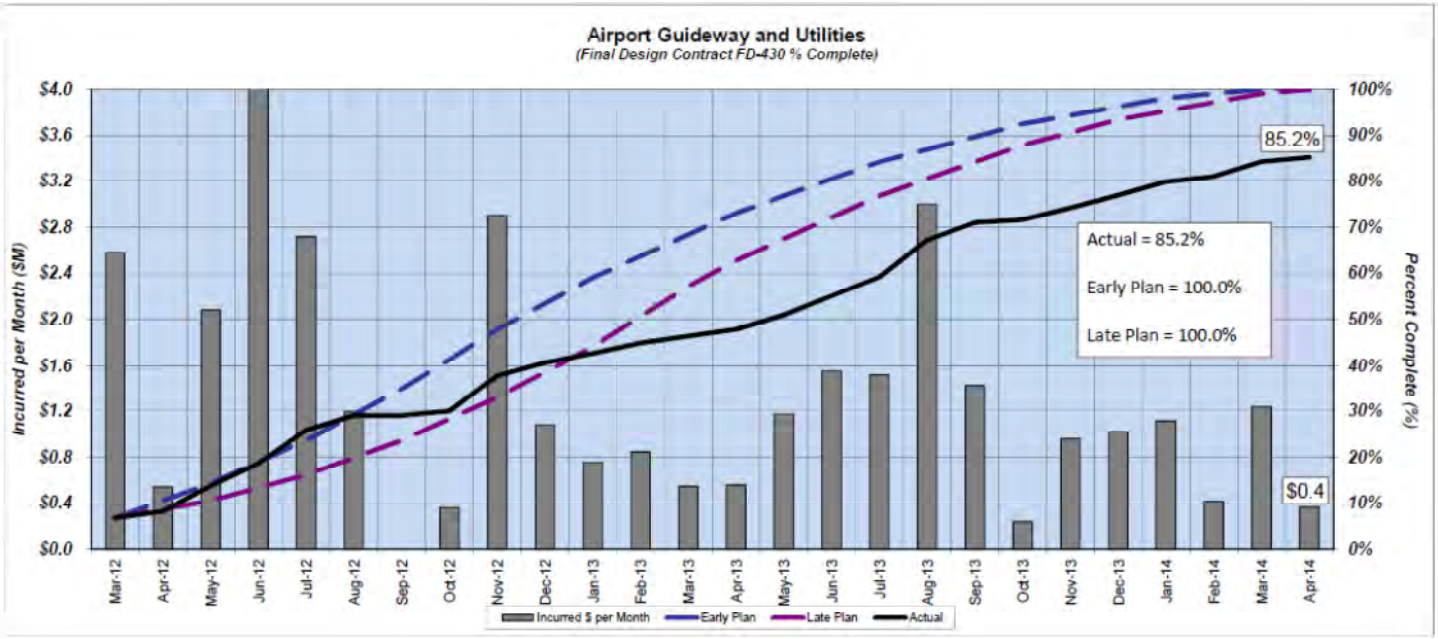
| | | | | | |
|---|---|---|---|---|---|
| Base Contract: | $38,840,960 | NTP 1A: | $784,136 | NTP 3: | $293,939 |
| Committed[1]: | $42,268,382 | NTP 1B: | $13,233,957 | NTP 3A: | $5,892,216 |
| Authorized[2]: | $40,680,368 (96.2%) | NTP 2: | $17,048,698 | | |
| Incurred-to-Date: | $31,983,079 | | | | |
| Incurred in April: | $367,070 | | | | |

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

| Disadvantaged Business Enterprise (DBE) Participation | |
|---|---|
| Actual DBE Participation: | $162,813 |
| DBE % Attained: | 0.42% |

| April Notices to Proceed |
|---|
| None |

| April Change Orders | |
|---|---|
| Change No. | Amount ($) |
| CA 00008 | $1,588,014 |
| **Cumulative to Date** | **$5,015,436** |

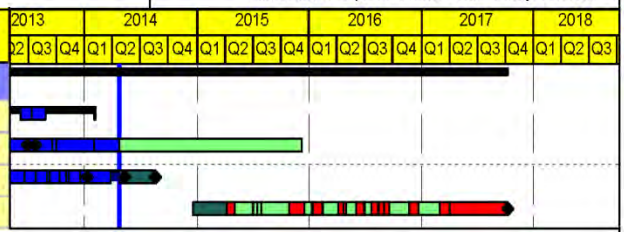



- Design was combined with the City Center Guideway and Utilities and is scheduled to be complete in June 2014 to support the Airport and City Center Sections Guideway Construction procurement in July 2014.

**SCHEDULE:**

April 2014 Update — Data Date: 25-Apr-14, Printed On: 14-May-14 09:51

| Activity ID | Activity Name | Start | Finish | Orig Dur |
|---|---|---|---|---|
| Total | | 09-Nov-11 A | 10-Oct-17 | 2314 |
| Airport Programmatic | | 01-May-12 A | 04-Feb-14 A | 306 |
| Airport Permits | | 09-Nov-11 A | 08-Dec-15 | 2314 |
| Design - Airport Guideway & Utilities | | 05-Jan-12 A | 17-Aug-14 | 997 |
| Construction - Airport Guideway & Utilities | | 19-Dec-14 | 10-Oct-17 | 1027 |




**WORK PROGRESS:**

Activities this Month:

- Continued final design development on the guideway package which is approx. 90% complete.
- Processing pending changes.
- Continued coordination with HDOT (Highway and Airport Divisions), utility companies, U.S. Navy and other stakeholders.
- Continued weekly progress/design and interface meetings.

Look Ahead:

- Continue guideway final design development.
- Continue working on request for changes.
- Continue geotechnical investigations.
- Continue environmental reports.

**CRITICAL PATH ISSUES:**

- Coordination with other contractors on design and construction interface milestones.
- Coordination of existing utility relocations with HECO.
- Coordination of work at Post Office area with USPS.
- Coordination with DOT-Airports for construction contract interface.
- Coordination with U.S. Navy/General Services Administration (GSA) for land disposal at Makalapa Gate.

**UTILITY AGREEMENTS:**

- tw telecom, Tesoro, Hawai'iGAS, 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.
- Draft Construction Agreement has been sent over to Hawai'iGAS for review.
- AT&T Corp. has reviewed the draft Construction Agreement, and has provided comments. Draft Construction Agreement is currently under HART review. This agreement will also cover work for the City Center Section, as the AT&T relocations begin at Middle Street (near the end of the Airport Section). It is not expected that this agreement be in place for the Airport Segment utility construction.
- No UCA's for Chevron and Tesoro will be needed for the Airport section.
- Looking Ahead:
  - Execute Hawai'iGAS Airport UCA.
  - Execute Oceanic Airport UCA.

**HDOT AGREEMENTS:**

- Looking Ahead: Airport Joint Use and Occupancy expected to be executed mid-2014.

**RIGHT OF WAY:**

| Airport Right-of-Way for Parcels | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | # Parcels Impacted | Current # Parcels Needed | Appraisals In Process | Appraisals Completed | Letters of Offer Sent | Offers Accepted | Possession Granted for Condemnation | Agreements Executed | Acquisitions Completed | Relocations Completed | Properties Available for Contractor |
| **Full Acquisition** | 5 | 5 | 1 | 4 | 5 | 5 | | | 4 | | |
| **Partial Acquisition** | 6 | 6 | 3 | | | | | 1 | 1 | | 1 |
| **Easement** | 36 | 35 | 1 | 1 | 1 | | | 23 | 23 | | 23 |
| **TOTAL** | **47** | **46** | **5** | **5** | **6** | **5** | | **24** | **28** | | **24** |

| Airport Relocation Status for Occupants | | | | | | | |
|---|---|---|---|---|---|---|---|
| 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 |
| | 8 | | 8 | 5 | 6 | | 3 |

- Acquisitions:
  - Negotiating offer on TMK 1-1-016-007.
  - Completed mapping and surveying on TMKs 1-2-013-020 and 021.
  - Offer accepted on TMK 9-9-003-066. Opened escrow.
  - Appraisal site inspection completed on TMKs 1-2-013-020 and 021.
- Relocations:
  - Initiated move for tenant at TMK 1-1-016-006.
- Look Ahead:
  - Complete the appraisals for the remaining partial acquisitions and easements along Waiwai Loop, Post Office and Middle Street.
  - Ordering surveys and titles for properties recently identified.

**QUALITY MANAGEMENT:**

- Monitoring AECOM QA/QC activities.

**SAFETY AND SECURITY:**

| Airport Contracts | | | | | | |
|---|---|---|---|---|---|---|
| Contract | Event Type | Total Number of Events since 1/1/2007 | Total Number of Events for May 2014 | Loss Type | Date | Event Description |
| FD-430 Airport Section Guideway & Utilities | Environment | 3 | 0 | | | |
| | Loss or Damage | 1 | 0 | | | |
| | Near Miss | 1 | 0 | | | |
| | *Reportable Occupational Injury/Illness | 0 | 0 | | | |
| | Security | 1 | 0 | | | |
| | **Loss Time Occupational Injury/Illness | 2 | 0 | | | |
| | Service Strike | 2 | 0 | | | |

*Reportable incidents: Requires OSHA to be notified within 8 hours, and includes the death of an employee or hospitalization of three or more employees.
**Loss Time Injury: Time away from work due to injury.

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## B. Airport Station Group (ASG)

**Contract No.:** FD-440
**Contractor:** AECOM Technical Services, Inc., Final Design Consultant (Engineer of Record)
**Construction Docs Bid-Ready:** June 2014

**Project Description:** Architectural and engineering services for the design of four (4) transit stations situated along the Airport Guideway. The four (4) stations comprising the ASG contract are the Pearl Harbor Naval Base Station, the Honolulu International Airport Station, the Lagoon Drive Station, and the Middle Street Station.

**COST INFORMATION:**

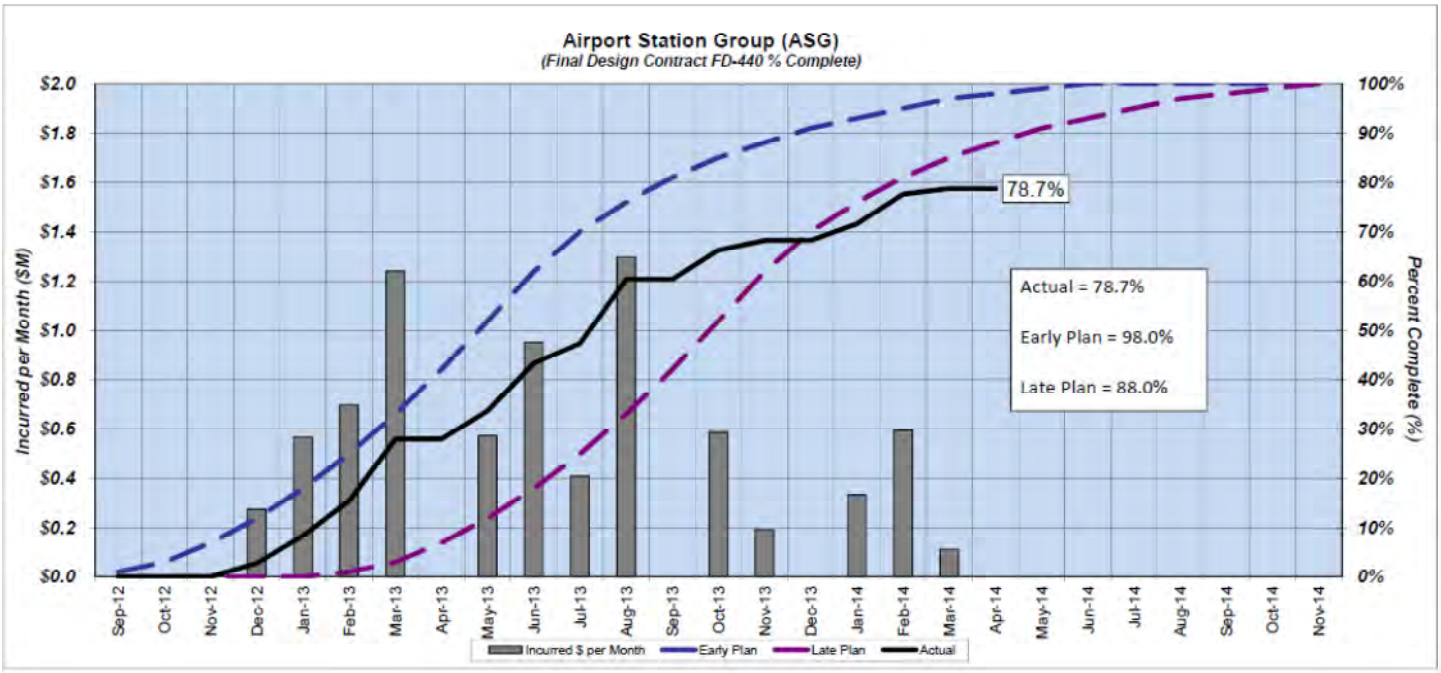
| | | | | | |
|---|---|---|---|---|---|
| Base Contract: | $10,177,365 | NTP 1A: | $276,035 | NTP 2: | $3,626,123 |
| Committed[1]: | $10,177,365 | NTP 1B: | $2,602,508 | NTP 3: | $2,623,356 |
| Authorized[2]: | $9,128,022 (89.7%) | | | | |
| Incurred-to-Date: | $7,834,158 | | | | |
| Incurred in April: | $0 | | | | |

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

| Disadvantaged Business Enterprise (DBE) Participation | |
|---|---|
| Actual DBE Participation: | $234,761 |
| DBE % Attained: | 2.31% |

| April Notices to Proceed |
|---|
| None |

| April Change Orders | |
|---|---|
| Change No. | Amount ($) |
| None | --- |
| **Cumulative to Date** | **$0** |

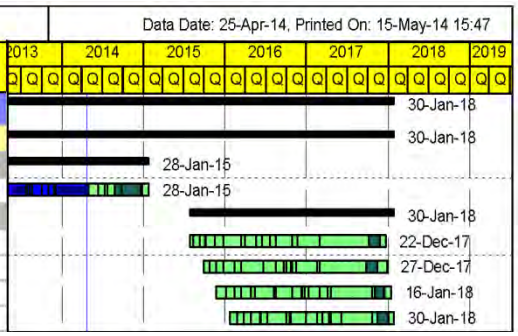



- Schedule delay is due to ongoing design coordination with third party stakeholders including the Navy and HDOT-Airports. Design is expected to be complete in November 2014 to support construction procurement.

**SCHEDULE:**

April 2014 Update — Data Date: 25-Apr-14, Printed On: 15-May-14 15:47

| Activity ID | Activity Name | Start | Finish | Orig Dur |
|---|---|---|---|---|
| | Airport - Section 3 | 02-May-11 A | 30-Jan-18 | 2411 |
| | Airport Station Group | 02-May-11 A | 30-Jan-18 | 2411 |
| | Design - Airport Station Group | 02-May-11 A | 28-Jan-15 | 1375 |
| | Design - Airport Station Group | 02-May-11 A | 28-Jan-15 | 1375 |
| | Construction - Airport Station Group | 28-Jul-15 | 30-Jan-18 | 620 |
| | Pearl Harbor Station | 28-Jul-15 | 22-Dec-17 | 596 |
| | HNL Airport Station | 29-Sep-15 | 27-Dec-17 | 555 |
| | Lagoon Drive Station | 25-Nov-15 | 16-Jan-18 | 527 |
| | Middle Street Station | 27-Jan-16 | 30-Jan-18 | 497 |




**WORK PROGRESS:**

Activities this Month:

- Continued final design development which is approx. 90% complete.
- Continued weekly progress/design and interface meetings.
- Continued negotiating design changes.
- Addressing review comments.

Look Ahead:

- Continue coordination meetings with stakeholders: HDOT, U.S. Navy and others.
- Third party reviews in progress.
- Coordination with Consulting Parties on the Pearl Harbor Station.

**CRITICAL PATH ISSUES:**

- Coordination with other contractors on design and construction interface milestones.
- Resolution of easements at Pearl Harbor Station.
- Resolution of Airport Station interface with DOT-Airports.

**QUALITY MANAGEMENT:**

- Monitoring AECOM QA/QC activities.

## 4.5 Section IV – City Center: Middle Street Transit Center Station to Ala Moana Center

### A. City Center Section Guideway and Utilities

**Contract No.:** FD-530
**Contractor:** AECOM Technical Services, Inc., Final Design Consultant (Engineer of Record)
**Construction Docs Bid-Ready:**
Guideway & Utilities: June 2014

**Project Description:** The City Center Guideway and Utilities FD Contract (CCUG) consists of widening of portions of Kamehameha Highway and other streets to accommodate the guideway columns, provide bus stops, improve sidewalks and medians, related traffic signals, address environmental mitigation commitments, and other related improvements. Design of barrier walls attached to the guideway, and running rails.

**COST INFORMATION:**

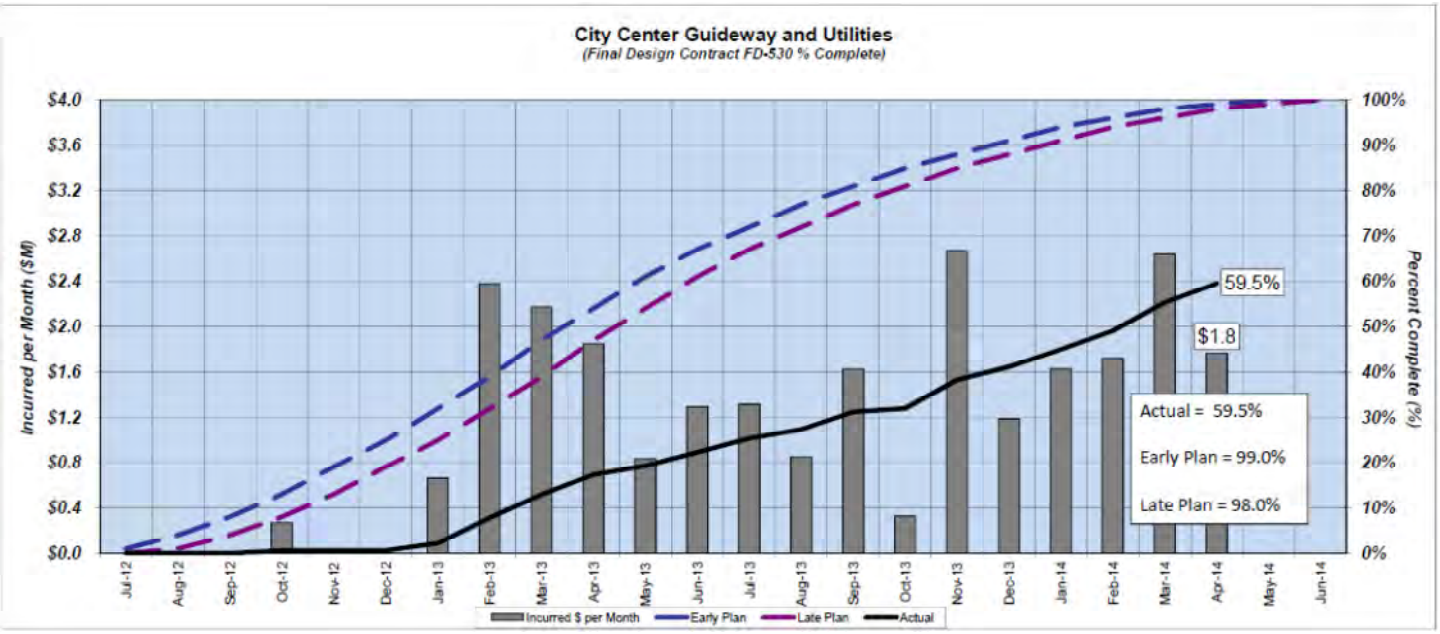
| | | | | | |
|---|---|---|---|---|---|
| Base Contract: | $43,948,220 | NTP 1A: | $537,870 | NTP 2: | $18,680,227 |
| Committed[1]: | $44,887,173 | NTP 1B: | $15,411,551 | NTP3: | $6,315,814 |
| Authorized[2]: | $41,884,415 (93.3%) | | | | |
| Incurred-to-Date: | $25,186,351 | | | | |
| Incurred in April: | $1,769,147 | | | | |

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

| Disadvantaged Business Enterprise (DBE) Participation | |
|---|---|
| Actual DBE Participation: | $191,227 |
| DBE % Attained: | 0.44% |

| April Notices to Proceed |
|---|
| None |

| April Change Orders | |
|---|---|
| Change No. | Amount ($) |
| None | --- |
| **Cumulative to Date** | **$938,953** |

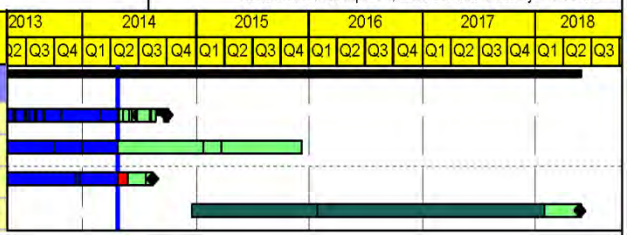



- Design progress is delayed due to federal lawsuit restrictions on property acquisition. Design activities are being expedited in order to support the Airport and City Center Sections Guideway Construction procurement in July 2014.

**SCHEDULE:**

April 2014 Update — Data Date: 25-Apr-14, Printed On: 14-May-14 10:09

| Activity ID | Activity Name | Start | Finish | Orig Dur |
|---|---|---|---|---|
| Total | | 19-Aug-11 A | 31-May-18 | 3918 |
| City Center Programmatic | | 01-Nov-11 A | 02-Oct-14 | 497 |
| City Center Permits | | 19-Aug-11 A | 08-Dec-15 | 3918 |
| Design - City Center Guideway & Utilities | | 01-Jul-12 A | 13-Aug-14 | 684 |
| Construction - City Center Guideway & Utilities | | 19-Dec-14 | 31-May-18 | 1260 |




**WORK PROGRESS:**

Activities this Month:

- Design is 75% complete.
- Continued weekly progress/design and interface meetings.
- Continued final design development.
- Continued to meet with various private and public stakeholders to coordinate station and guideway interface with their planned developments.
- Continued geotechnical investigations.

Look Ahead:

- Continue final design development.
- Continue coordination with various private and public stakeholders.
- Continue geotechnical investigations.
- Continue environmental reports.

**CRITICAL PATH ISSUES:**

- Coordination with other contractors on design and construction interface milestones.
- Coordination of existing utility relocations with HECO.
- Coordination with property owners and developers along alignment.
- Timely acquisition of properties and easements.

**UTILITY AGREEMENTS:**

- tw telecom, Tesoro, Hawai'iGAS, 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.
- No UCA's for Chevron and Tesoro will be needed for the City Center section.
- AT&T Corp. has reviewed the Draft Construction Agreement, and has provided comments. Draft Construction Agreement is currently under HART review. This agreement will also cover work for the Airport Guideway Section, as the AT&T relocations begin at Middle Street (near the end of the Airport Section). It is not expected that this agreement be in place for the Airport Segment utility construction.

**HDOT AGREEMENTS:**

- Looking Ahead: City Center Joint Use and Occupancy expected to be executed early 2015.

**RIGHT OF WAY:**

**City Center Right-of-Way for Parcels**

| | # Parcels Impacted | Current # Parcels Needed | Appraisals In Process | Appraisals Completed | Letters of Offer Sent | Offers Accepted | Possession Granted for Condemnation | Agreements Executed | Acquisitions Completed | Relocations Completed | Properties Available for Contractor |
|---|---|---|---|---|---|---|---|---|---|---|---|
| **Full Acquisition** | 14 | 14 | | 10 | 9 | 7 | | | 7 | 3 | 2 |
| **Partial Acquisition** | 81 | 71 | 1 | 1 | 2 | 1 | | | | | |
| **Easement** | 37 | 36 | | | | | | 2 | 2 | | 2 |
| **TOTAL** | **132** | **121** | **1** | **11** | **11** | **8** | | **2** | **9** | **3** | **4** |

**City Center Relocation Status for Occupants**

| 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 |
|---|---|---|---|---|---|---|---|
| **3** | **54** | | **57** | **14** | **21** | **4** | **12** |

- Acquisitions:
  - Conducted appraisal site inspections for TMKs 1-2-003-082, 1-2-003-017, 1-5-015-017, 1-5-028-073, 1-2-009-001, and 1-2-003-014.
  - Sent to FTA for appraisal review of TMK 2-3-007-044.
  - Complete appraisals on TMKs 1-5-007-021, 2-3-007-036, and 2-3-007-033.
  - Completing letters of intent to acquire for private properties.
  - Meeting with property owners to determine impacts for partial acquisitions.
- Relocations:
  - Move complete for tenant at TMK 1-2-003-016.
- Look Ahead:
  - For design support, continue to secure consents to do geotechnical testing on properties along the proposed guideway and stations.
  - Conduct surveying for partial acquisition properties.
  - Secure consents for Environmental Site Assessments.
  - Make offer on TMK 2-3-007-044.

**QUALITY MANAGEMENT:**

- Monitoring AECOM QA/QC activities.

**SAFETY AND SECURITY:**

| City Center Contracts | | | | | | |
|---|---|---|---|---|---|---|
| Contract | Event Type | Total Number of Events since 1/1/2007 | Total Number of Events for May2014 | Loss Type | Date | Event Description |
| FD-550 Dillingham and Kaka'ako Station Group | Near Miss | 1 | 0 | | | |

*Reportable incidents: Requires OSHA to be notified within 8 hours, and includes the death of an employee or hospitalization of three or more employees.
**Loss Time Injury: Time away from work due to injury.

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## B. Dillingham and Kaka'ako Station Group (DKSG)

**Contract No.:** FD-550
**Contractor:** Perkins+Will, Final Design Consultant (Engineer of Record)
**Construction Docs Bid-Ready:** July 2015

**Project Description:** Design eight stations for the fourth and final phase of the rail transit project that will connect Dillingham Blvd. to Ala Moana Center.

**COST INFORMATION:**

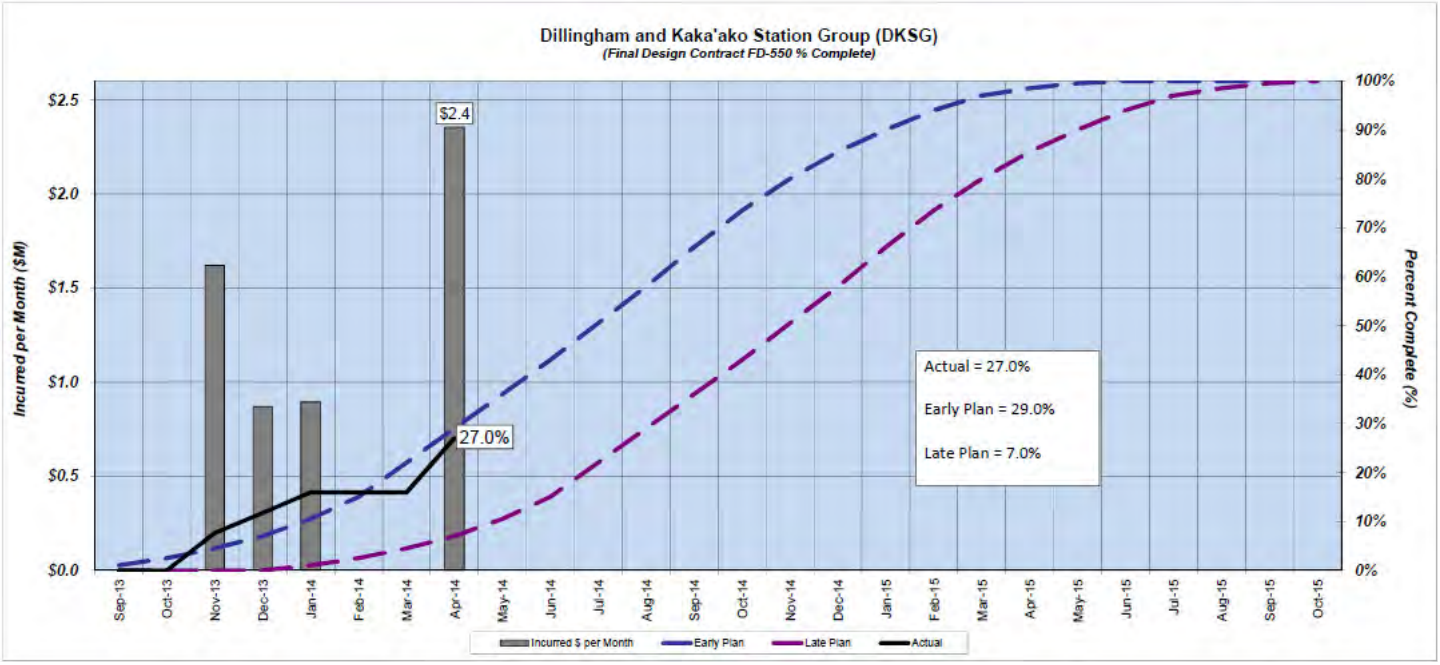
| | | | | | |
|---|---|---|---|---|---|
| Base Contract: | $18,321,918 | NTP 1A: | $1,305,204 | NTP 1B: | $4,593,942 |
| Committed[1]: | $18,321,918 | NTP 2: | $5,763,606 | | |
| Authorized[2]: | $11,662,752 (63.7%) | | | | |
| Incurred-to-Date: | $5,738,811 | | | | |
| Incurred in April: | $2,354,780 | | | | |

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

| Disadvantaged Business Enterprise (DBE) Participation | |
|---|---|
| Actual DBE Participation: | $0 |
| DBE % Attained: | 0% |

| April Notices to Proceed |
|---|
| None |

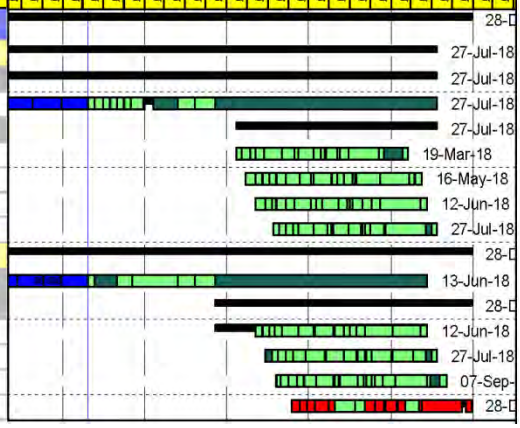
| April Change Orders | |
|---|---|
| Change No. | Amount ($) |
| None | --- |
| **Cumulative to Date** | **$0** |



**SCHEDULE:**

April 2014 Update — Data Date: 25-Apr-14, Printed On: 15-May-14 15:58

| Activity ID | Activity Name | Start | Finish | Orig Dur |
|---|---|---|---|---|
| City Center (CC) - Section 4 | | 15-Oct-12 A | 28-Dec-18 | 2164 |
| Dillingham Station Group | | 15-Oct-12 A | 27-Jul-18 | 2010 |
| Design - Dillingham Station Group | | 15-Oct-12 A | 27-Jul-18 | 2010 |
| Design - Dillingham Station Group | | 15-Oct-12 A | 27-Jul-18 | 2010 |
| Construction - Dillingham Station Group | | 10-Feb-16 | 27-Jul-18 | 609 |
| Kalihi Station | | 10-Feb-16 | 19-Mar-18 | 520 |
| Kapalama Station | | 28-Mar-16 | 16-May-18 | 530 |
| Iwilei Station | | 09-May-16 | 12-Jun-18 | 517 |
| Chinatown Station | | 26-Jul-16 | 27-Jul-18 | 496 |
| Kaka'ako Station Group | | 15-Oct-12 A | 28-Dec-18 | 2132 |
| Design - Kaka'ako Station Group | | 15-Oct-12 A | 13-Jun-18 | 1934 |
| Construction - Kaka'ako Station Group | | 14-Nov-15 | 28-Dec-18 | 1141 |
| Downtown Station | | 14-Nov-15 | 12-Jun-18 | 942 |
| Civic Center Station | | 22-Jun-16 | 27-Jul-18 | 519 |
| Kaka'ako Station | | 11-Aug-16 | 07-Sep-18 | 512 |
| Ala Moana Center Station | | 17-Oct-16 | 28-Dec-18 | 543 |




**WORK PROGRESS:**

Activities this Month:

- Design is 40% complete.
- Continued weekly progress/design and interface meetings.
- Coordinated with various private developers and third party stakeholders.
- Evaluated cost savings measures to mitigate design budget impacts.
- Generated interface loads.
- Continued geotechnical borings.
- PE submittal on Downtown and Civic Center. Resubmittal of Kalihi and Kapalama.

Look Ahead:

- Continue interface loads.
- Interim design on 6 of the 8 stations.
- Geotechnical borings at Iwilei and Downtown.
- NTP 2 submittal for Kaka‘ako and Iwilei.
- Continue coordination with various stakeholders and private developers.

**CRITICAL PATH ISSUES:**

- Coordination with other contractors on design and construction interface milestones.
- Coordination with property owners/developers on station integration.
- Chinatown concourse structural cantilever.

**QUALITY MANAGEMENT:**

- Monitoring P+W QA/QC activities.
- Approved revised QAP (Revision 1).

# 5 OVERALL PROJECT-WIDE ACTIVITIES

## 5.1 Interface

| Requests for Interface Data (RFIDs) | |
|---|---|
| Total Submitted | Closed |
| 1,338 | 922 |

| Interface Issues Elevated | | | | | |
|---|---|---|---|---|---|
| Total | New | Open | Closed | On Hold | OSR |
| 48 | 5 | 1 | 8 | 2 | 32 |

- **Activities this month**
  - Held Interface Partnering meetings.
  - Facilitated 29 interface definition meetings with various contractors.
  - Update Interface Control Manuals ICMs for MSF interface contractor partners AHJV and KKJV.
  - Update Stations' systems device types, quantity, location, and support detail.
  - Facilitate resolution of outstanding elevated Guideway RFIDs.
  - Mock up Preliminary Hazard Assessments for Guideway-related Safety Security Certification (SSC) Open Issues.
  - Resolve Chinatown Station configuration to firm up track alignment.
  - Commence compilation of PICM (Project Interface Control Manual).

- **Look Ahead**
  - Continue Interface Partnering meeting with WOFH, KHG, MSF, station designers and CSC contractors.
  - 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.

## 5.2 Other Design Activities

- **Activities this month**
  - Prepare community meeting presentations.
  - Coordination with various private developers and third party stakeholders.
  - Support weekly maintenance of traffic coordination.
  - Continued work on Pearl Highlands Transit Center and Garage procurement package.
  - Technical review of Request for Changes.
  - Technical review of design submittals.
  - Provide technical support for construction-related issues as they arise.
  - Provide technical support for design-related issues as they arise.

- **Look Ahead**
  - Continue working on the procurement package for Pearl Highlands Transit Center and Garage Design-Build Package.

## 5.3 Permits

- **Activities this month**
  - HART received approval of the Airport Section Community Noise Permit application from the Hawai'i Department of Health (HDOH), on May 14, 2014.
  - HART submitted the Coastal Zone Management (CZM) federal consistency review for construction within Waiawa Stream and Tributary, on May 12, 2014.
  - HART received notification from the Office of Planning that our Coastal Zone Management application was received, and is considered incomplete pending an accepted 401 Water Quality Certification permit application from the HDOH, on May 15, 2014.
  - HART submitted three draft well abandonment permit applications to abandon wells around the future Pearl Highland Station area.

- HART received approval of the KHG Hawai'i Department of Transportation (HDOT) Municipal Separate Storm Sewer System (MS4), on May 13, 2014.
- HART met with HDOH 401 Water Quality Certification review team to answer questions regarding design changes for Waiawa stream since last submittal.

- **Look Ahead**
  - Upcoming significant permit activity:
    - Continue agency coordination in order to complete Section 404/401 Waiawa Stream permit.
    - The Airport Section 401 HDOH application submission for permanent in-water construction is being drafted.
    - AECOM will resubmit City Center Community Noise and Variance permit applications after last review period.

## 5.4 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.
  - Kiewit is responsible for maintenance of Farrington Highway and Kamehameha Highway as part of the Master Agreement.
  - SSFM, the HDOT Design Coordination Consultant for the Airport and City Center Guideway sections (contract MM-922), is reviewing guideway design submittals for HDOT.

## 5.5 Utility Agreements

Figure 16. Utility Agreements Status

| Utility Agreements Status Matrix | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Utility Owner | *Status* | WOFH | | KHG | | Airport | | City Center | |
| | | ESA | UCA | ESA | UCA | UCA | COMBINED ESA | | UCA |
| **AT&T** | *Executed* | 5/11/11 | 12/20/11 | 5/18/12 | AT&T has provided comments 4/11/14 (will include City Center) | Submitted draft to AT&T (will include City Center) | Agreement Executed | | |
| | *NTP* | 5/12/11 | 12/21/11 | | | | | | |
| **Chevron** | *Executed* | 12/4/09 | | 11/4/11 | | | | | |
| | *NTP* | 12/22/09 | | 11/15/11 | | | | | |
| **Hawaiian Telcom** | *Executed* | 5/20/10 | HART completed review of comments from HTI and returned to HTI | 5/10/12 | Pending negotiation of WOFH Template | | HTI agreement executed 9/27/13 | | |
| | *NTP* | 6/14/10 | | | | | | | |
| **HECO** | *Executed* | By Agreement with PB | 4/20/12 (to be vacated once Design and Construction Services Agreements Executed) | 7/12/12 (Agreement to be vacated once Design and Construction Services Agreements are Executed) | | | Airport Bridging Agreement (Expired 11/29/13) City Center Bridging Agreement (Expired 11/29/13) | | |
| | *NTP* | | | | | | | | |
| | | Pre-Construction | | Pre-Construction | | Pre-Construction | | | |
| | *Executed* | 10/30/13 | | 10/4/13 | | n/a | | | |
| | *Expired* | 11/29/13 | | 11/29/13 | | n/a | | | |
| | | Design Services | Construction Services | Design Services | Construction Services | Design Services | Construction Services | Design Services | Construction Services |
| | *Executed* | 11/20/13 | 11/29/13 | 11/20/13 | 11/29/13 | 11/20/13 | | 11/25/13 | |
| | *NTP* | 11/20/13 | 11/29/13 | 11/20/13 | 11/29/13 | 11/20/13 | | 11/25/13 | |
| **Oceanic Time Warner Cable** | *Executed* | 12/8/09 | 12/21/11 | 1/9/12 | Oceanic signed, awaiting execution | Revised language is being reviewed by Counsel. Draft to be submitted to Oceanic. | Executed 4/4/2013 | | |
| | *NTP* | 12/22/09 | | | | | | | |
| **Pacific Lightnet/ Wavecom** | *Executed* | 4/28/10 | 3/12/12 | 2/15/12 | | | | | |
| | *NTP* | 4/29/10 | 3/13/12 | 2/16/12 | | | | | |
| **Sandwich Isle Communications** | *Executed* | 5/20/10 | Submitted draft to SIC | 4/20/12 | Submitted draft to SIC | | Submitted draft to SIC | | |
| | *NTP* | 6/8/10 | | | | | | | |
| **Hawai'iGAS** | *Executed* | 12/18/09 | 6/30/11 | 6/1/12 | 4/14/14 | Submitted draft to Hawai'iGAS | 9/27/13 | | |
| | *NTP* | 12/22/09 | 7/12/11 | | | | | | |
| **tw telecom** | *Executed* | 12/2/09 | | 2/14/12 | No Scope – Oceanic to relocate for tw telecom for KHG | | Executed 10/11/12 | | |
| | *NTP* | 12/22/09 | | 2/16/12 | | | | | |
| **Tesoro** | *Executed* | | | 2/15/12 | Agreement executed 9/12/13 | | Agreement executed 9/3/13 | | |
| | *NTP* | | | 2/16/12 | | | | | |

**Legend:** = Action this month; = Not applicable

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

## 5.6 Right-of-Way (data as of May 21, 2014)

- **Budget**
  - $54.1M was spent to acquire 26 properties. The budgeted amount for the 26 parcels was $60.1M, resulting in a budget underrun of $6.0M.
  - $2.7M has been expended to date for relocations.

Figure 17. Right-of-Way Status for the Parcels [data provided by Real Estate Acquisition database (READ)]

| Right-of-Way Status for the Parcels* | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | # Parcels Impacted | Current # Parcels Needed | Appraisals In Process | Appraisals Completed | Letters of Offer Sent | Offers Accepted | Possession Granted For Condemnation | Agreements Executed | Acquisitions Completed | Relocations Completed | Properties Available for Contractor |
| **Full Acquisition** | 36 | 36 | 1 | 31 | 31 | 28 | 1 | | 27 | 14 | 18 |
| **Partial Acquisition** | 120 | 86 | 4 | 5 | 6 | 1 | 1 | 5 | 4 | | 7 |
| **Easement** | 95 | 91 | 7 | 1 | 1 | | | 42 | 35 | | 35 |
| **GRAND TOTAL** | **251** | **213** | **12** | **37** | **38** | **29** | **2** | **47** | **66** | **14** | **60** |

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

Figure 18. Relocation Status for the Occupants (data provided by READ)

| Relocation Status for the Occupants | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | 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 |
| **GRAND TOTAL** | **21** | **72** | **1** | **94** | **34** | **42** | **15** | **43** |

Figure 19. Third-Party Agreement Status

| Third-Party Agreement Status | | | | |
|---|---|---|---|---|
| **Agreement** | **Status** | **Target** | **Section** | **Notes/Remarks** |
| University of Hawai'i (UH) Master Agreement | Pending | September 2014 | WOFH, KHG, City Center | Final negotiations are underway. Will secure Right of Construction as not to delay the project. |
| UH - West O'ahu (UHWO) Consent to Construct | Pending | June 2014 | WOFH | Secured design right of entry. Construction ROE pending. |
| UH - West O'ahu (UHWO) Sub-agreement | Pending | June 2014 | WOFH | In negotiations. |
| Leeward Community College (LCC) Consent to Construct | Pending | June 2014 | WOFH | Secured design right of entry. |
| Leeward Community College (LCC) Sub-agreement | Pending | June 2014 | WOFH | In negotiations.<br>Secured design right of entry. |
| UH Urban Garden Consent to Construct | Pending | June 2014 | KHG | Secured design right of entry. In negotiations. |
| UH Urban Garden Sub-agreement | Pending | June 2014 | KHG | In negotiations.<br>Secured design right of entry. |
| D.R. Horton Agreement for Construction | Executed | | WOFH | Allows for construction to proceed. |
| D.R. Horton Final Easement Agreement | Pending | December 2014 | WOFH | Document in process with D.R. Horton. |
| Honolulu Community College (HCC) Consent to Construct | Pending | June 2014 | City Center | In negotiations.<br>Secured design right of entry. |
| Honolulu Community College (HCC) Sub-agreement | Pending | June 2014 | City Center | In negotiations.<br>Secured design right of entry. |
| Department of Land and Natural Resources (DLNR) Right of Entry | Executed | | WOFH | Right of entry is in place. |

| Third-Party Agreement Status | | | | |
|---|---|---|---|---|
| Agreement | Status | Target | Section | Notes/Remarks |
| Department of Land and Natural Resources (DLNR) Easement | Pending | Dec 2014 | WOFH | ROE received. Easement documents in process. |
| Department of Education Master Agreement and Consent to Construct | Executed | | WOFH | ROE is pending to allow entry for work to proceed; Master Agreement is pending. |
| Aloha Stadium / Department of Accounting & General Services (DAGS) Right of Entry | Executed | | KHG | Limited ROE granted for staging for Kiewit for KHG contract. |
| Aloha Stadium / Department of Accounting & General Services (DAGS) Easement | Pending | September 2014 | KHG | Easement in process. |
| DHHL Master Agreement | Executed | | WOFH, MSF | |
| DHHL Consent to Construct | Executed | | WOFH, MSF | Consent to construct in place. |
| DHHL License | Pending | June 2014 | WOFH, MSF | License agreement approved by City Council. Awaiting final execution. |
| HDOT Master Agreement | Executed | | WOFH | |
| HDOT Joint Use & Occupancy (JU&O) Sub-agreement | Executed | | WOFH | |
| HDOT Master Agreement for KHG, Airport and City Center | Executed | | KHG, Airport, City Center | |
| HDOT JU&O Sub-agreement | Executed | | KHG, Airport, City Center | |
| HDOT SOA MOU | Executed | | Program | |
| OCCC/Hawai'i Department of Public Safety Agreement Dillingham Blvd | Pending | Dec 2014 | City Center | Finalizing requirements. |
| 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. |
| U.S. Navy / General Services Administration (GSA) | Pending | N/A | Airport | Easements and fee taking are being processed by the Navy. Under new directive, Navy will charge for all licenses and easements. |
| U.S. Post Office Honolulu Processing Center | Pending | April 2015 | Airport | Finalized design. Title Search and mapping have been initiated. |
| Federal Court House/GSA | Pending | Oct 2014 | City Center | Awaiting final design requirements for the guideway |
| Pacific Guardian Center * | Pending | June 2015 | City Center | Awaiting final design requirements for the guideway and Downtown station. |
| Howard Hughes Corporation – Joint Development Agreement * | Pending | June 2015 | City Center | Awaiting final design requirements for the guideway and Kaka'ako station. |
| Sam House Development LLC – Joint Development Agreement * | Pending | June 2015 | City Center | Awaiting final design requirements for the guideway and Ala Moana Center station. |
| GGP Ala Moana LLC – Joint Development Agreement * | Pending | June 2015 | City Center | Awaiting final design requirements for the guideway and Ala Moana station. |

* Development agreements may not be necessary to transfer possession and use of the property in order to be available for contractor.

## 5.7 Safety and Security Project-Wide Contracts

Figure 20. Project-Wide Contracts

**SAFETY AND SECURITY:**

| Project-Wide Contracts | | | | | | |
|---|---|---|---|---|---|---|
| Contract | Event Type | Total Number of Events since 1/1/2007 | Total Number of Events for May 2014 | Loss Type | Date | Event Description |
| **Archaeological Inventory Survey** | Environment | 1 | 0 | | | |
| | Loss or Damage | 1 | 0 | | | |
| | Near Miss | 3 | 0 | | | |
| | *Reportable Occupational Injury/Illness | 0 | 0 | | | |
| | **Loss Time Occupational Injury/Illness | 0 | 0 | | | |
| | Road/Vehicle - Driving | 3 | 0 | | | |
| | Security | 3 | 0 | | | |
| **MM-905 General Engineering Consultant (EIS/PE)** | Road/Vehicle - Driving | 1 | 0 | | | |
| **MM-910 General Engineering Consultant II (Final Design & Construction)** | Road/Vehicle - Driving | 1 | 0 | | | |

*Reportable incidents: Requires OSHA to be notified within 8 hours, and includes the death of an employee or hospitalization of three or more employees.
**Loss Time Injury: Time away from work due to injury.

# 6 MANAGEMENT & ADMINISTRATIVE UPDATES

## 6.1 Safety and Security

Figure 21. Safety and Security Issues Overview

| Overview of Safety and Security Issues | | |
|---|---|---|
| Period/Date | Number | Comments |
| Q1 2014 | 10 in Q1 2014 | January (0), February (5), March (5) |
| April 2014 | 3 in April | |
| May 2014 | 3 in May | |
| **2014** | **16 to date in 2014** | |

- **Activities this month**
  - HART reviewed submittals from KKJV, AHJV, DKSG, AECOM, WOFH, WOSG, and MSF for compliance and technical specifications.
  - HART staff continues to meet with HDOT bi-weekly to address FTA, HDOT, and HART concerns.
  - 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.
  - Working with the Department of Emergency Management to include HART in the 2014 Hurricane Drill.
  - Working with the Department of Emergency Management concerning evacuation zones during a Great Aleutian Tsunami (GAT) event.
  - Continue to meet with the fire and police departments to review design packages for compliance.
  - Held Certified CPR-AED Training Class on May 22 and 23.
  - Held Personal Protective Equipment (PPE) Brown Bag Orientation for HART employees during lunch.

- **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.
  - 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.
  - Continue to work with the Department of Emergency Management concerning Hurricane Drill and Tsunami event.
  - Continue with Brown Bag Lunch Training for HART employees.

## 6.2 Quality Management

- **Activities this month**
  - HART 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 – Quality Assurance Engineer and 1-Planning and Environmental staff).
- Continued updating and implementing the 1) QA Audits and 2) Environmental Compliance Audits Schedules for 2014. Closed 2013 Audits Schedules.
- Continued updating and reviewing 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); Corrective Actions (CARs) and Preventative Actions (PARs); quality compliance; various process improvements; and Buy America compliance.
- Reviewing GEC III and 2-CE&I (URS-East and PGH Wong-West) supplemental QAP to HART QMP.
- Conducted a Combined Internal QA and Safety & Security Audit of HART (3/18 – 4/1).
- Conducted QA and Environmental Compliance of Data Recovery Activities on Trench No. 120C, Halekauwila Street on 5/17.

| HART NCR Log | | |
|---|---|---|
| Total NCRs Issued To Date | CLOSED | OPEN |
| **26 (Audits)** | **15** | **11** |

- **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 and Environmental Compliance monitoring and oversight of contracts executed to date.
  - Update and implement the 2014: QA and Environmental Audit Schedules.
  - Follow up on and close corrective and preventative actions on all NCRs and Observations issued to all contracts, if any.
  - Review and approve Contractor/Consultant QAPs, Inspection and Test Plans (ITPs) and implementing procedures (new and updates).

## 6.3 Buy America Compliance (49 CFR 661 and 49 CFR 663)

### Core Systems

- **Activities this month**
  - 49 CFR 661 and 49 CFR 663 requires that Rolling Stock, Train Control Equipment, Communication Equipment, and Traction Power Equipment shall have 60% of US contents and be Finally Assembled in the USA.
  - Continued discussion on procurement status and Buy America updates with AHJV (ASTS/AB):
    - E Cars (Breda): 69.3% Pre-Award Audit US contents - April 2014 Monthly Report shows 71% US contents. The higher value includes the proposed manufacturing of Truck Frames and Bolsters at the Finmeccanica (DRS) facilities in West Plains, MO.
    - M Cars (Breda): Prepare Buy America Compliance Matrix (BACM) upon completion of contract negotiation.
    - Train Control System Wayside Portion (ASTS USA): 90% US contents HART- approved BACM; no changes during this reporting period.
    - Supervisory Control and Data Acquisition (SCADA) System (ASTS USA): 92.8% US contents HART-approved BACM; no changes during this reporting period.
    - Traction Electrification System (Siemens): 69.9% US contents HART-approved BACM; no changes during this reporting period.
    - Communication System Wayside Portion (Alcatel-Lucent): 80.7% US contents HART-approved BACM; no changes during this reporting period.
    - MOW Multi-purpose Vehicle (Modern Track Machinery, Inc. [MTM]): 100% US contents HART-approved BACM; no changes during this reporting period.

- MOW 15 Ton Flatbed Trailer (MTM): 100% US contents HART-approved BACM; no changes during this period.
- MOW Rail Grinder Equipment (MTM): 69.3% US contents HART-approved BACM; changed to 66.7% (-2.6%).
- MOW Tamper (MTM): 85% US contents HART-approved BACM; changed to 82% (-3%).
- MOW Geometry Car (MTM): 71.9% US contents HART-approved BACM; no changes during this reporting period.
- MOW High Reach Lift Truck (MTM): 100% US contents HART-approved BACM; no changes during this period.
- MOW Rail Car Mover (MTM): 100% US contents HART-approved BACM; no changes during this reporting period.
- MOW Enclosed Trailer (MTM): 71% US contents HART-approved BACM; changed to 73.9% (+2.9%).
- Fire Detection & Alarm System Components (Johnson Controls): 100% US contents HART-approved BACM; no changes during this reporting period.
- Uninterrupted Power Supply (UPS) System: TBD
- Platform Screen Gates System, a Train Control Subsystem (Stanley Access Technologies, LLC): 96.4% US contents HART-approved BACM; no changes during this reporting period.

- **Look Ahead**
  - Monitoring AHJV/AB Buy America compliance.
  - The Ticket Vending Equipment will be removed from the Core Systems Contract.

### Construction

- **Activities this month**
  - 49 CFR 661 requires that all iron, steel and manufactured products, which apply to all construction materials used in infrastructure projects such as transit or maintenance facilities, rail lines, and bridges must be manufactured in the USA.
  - Monitored Final Design consultants to include Buy America requirements into Design and Specifications.
  - Included Buy America compliance on QA Audit Checklist of Final Design consultants.
  - Monitored DB contractors' compliance to Buy America requirements.
  - Update and implement the 2014: Buy America Audit Schedule.
  - Close-out 2013: Buy America Audit Schedule.
  - Resolving one Noncompliance Report (sand from B.C., Canada) on the MSF Project. HART sent a letter to FTA Region IX (J. Maing) regarding concrete is defined as a component in the construction of the project and the subcomponents of the concrete are aggregates, sand, cement, water and other additives to enhance the workability and strength of the concrete. Therefore, the sand is a subcomponent and can be from foreign sources.
- **Look Ahead**
  - Monitoring KIWC (WOFH and KHG) and KKJV (MSF) Buy America compliance.

### Utilities

- **Activities this month**
  - 49 CFR 661 requires that all iron, steel and manufactured products, which apply to all construction materials used in infrastructure projects such as transit or maintenance facilities, rail lines, and bridges must be manufactured in the USA.
  - 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.
- **Look Ahead**
  - Monitoring Utilities Buy America compliance.

## 6.4 Disadvantaged Business Enterprise (DBE)

*Total DBE Participation = $16.2M*
*(previous report = $15.8M)*

- **Activities this month**
  - $16,168,823 = total dollar participation for all DBEs on all HART contracts from 9/24/07 to 5/31/14
    - 6.55% = DBE utilization on total disbursed FTA funds received to date ($16,168,823 divided by $246,728,945)
    - 0.92% = DBE utilization to date on total Project FTA funds ($16,168,823 divided by $1,763,903,901)

Figure 22. DBE Participation this Month

| DBE Participation in May | | |
|---|---|---|
| **DBE Firm** | **Contract Number** | **Participation** |
| Bright Light Marketing Group | SC-HRT-1200149 FD-530 | $10,960 |
| Anil Verma Associates, Inc. | SC-HRT-1200111 FD-340 | $155,923 |
| Lawson & Associates | SC-HRT-11H0131 MM-905 | $14,180 |
| Gary K. Omori | SC-HRT-11H0131 MM-905 | $13,585 |
| LKG-CMC | SC-HRT-11H0131 MM-905 | $97,939 |
| Pat Lee & Associates | SC-HRT-11H0131 MM-905 | $12,417 |
| AMR Estimating Services | SC-HRT-1400027 MM-913 | $41,718 |
| LKG-CMC | SC-HRT-1400049 MM-962 | $7,349 |
| Hawaiya Technologies | CT-HRT-10H0449 DB-200 | $27,514 |
| LP&D Hawaii | SC-DTS-1100013 FD-240 | $3,802 |
| **TOTAL FOR THE MONTH** | | **$385,387** |

- **Look Ahead**
  - 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.
  - An extensive outreach program directed to the minority small business community through their leaders and organizations is planned for 2014, 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. HART is 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.

*Note: For a full listing of DBE participation to date, please see Appendix F.*

## 6.5 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):
      - Project staff completed data recovery fieldwork in the City Center section. HART continues consultation with SHPD, OIBC and cultural descendants regarding the additional human bone fragments found in February and March.
      - A meeting was held on May 7 to continue consultation with recognized descendants.
      - Draft Cultural Monitoring plan was received for internal review.
    - IV. Design Standards:
      - A HART/Kākoʻo monthly meeting held to discuss Historic Context Studies; the status of design of the Civic Center, Kakaʻako and Ala Moana Station; and status of the Historic Preservation Fund.
      - HART continued developing a Treatment Management Plan for Historic and Cultural Resources at Aloha Stadium Station.
    - V. Recordation and Documentation:
      - Historic Context Study - HART has completed an internal review and update of the context study outline and circulated a new draft for review and comment by Consulting Parties prior to the Kākoʻo Meeting on May 22, 2014.
      - Cultural Landscape Reports – Contracts for Historic American Landscape Survey (HALS) and Cultural Landscape Reports were initiated under GEC III during this reporting period.
    - VI. National Register of Historic Places/Historic Landmark Nominations:
      - Preparation of National Register (NR) nomination forms for adversely affected historic properties remains in progress. National Register of Historic Places (NRHP) nominations for Waimalu Bridge, Waiawa Bridge, Kalaulao Springs Bridge, Kalaulao Stream Bridge, Waikele Stream Bridge, Honouliuli Bridge and Mother Waldron Park had a public hearing by the Hawaiʻi Historic Places Review Board (HHPRB) on May 31, 2014. Mother Waldron Park was deferred at the last meeting of the HHPRB.
    - IX. B. Historic Preservation Program:
      - Historic Preservation Fund (HPF) applications will receive final review at an upcoming meeting of the HPF committee which will be scheduled in June.
    - XIV.E. Monitoring and Reporting:
      - Implementation Schedule - HART is developing a comprehensive schedule that also incorporates the construction schedule.
    - XIII.C. Public Information
      - No update.
  - Mitigation Monitoring Program (MMP)
    - MMP Reporting:
      - Monthly Reporting for May2014 was completed.
      - Revision 1 of the Mitigation Monitoring Program was prepared and finalized for transmittal to FTA.
  - Planning Activities
      - Continued coordination on Transit-Oriented Development (TOD) with the Department of Planning and Permitting (DPP) and Department of Transportation Services (DTS). Monthly meeting was held on May 23.
      - Staff continues coordination on station design. A community meeting on the Hoʻopili station design was held on May 6.

- HART continues to support other various city initiatives, including the Age-Friendly Cities initiative as members of the Transportation Focus Group Citizen's Advisory Board (May 6); and Transit-Oriented Development.

- **Looking Ahead**
  - Finalize the Treatment Plan for Aloha Stadium Station.
  - Conduct monthly HART/Kākoʻo meeting with Consulting Parties.
  - Conduct monthly OIBC and cultural descendant meetings.

## 6.6 Risk Management

Risk management is integral to all phases leading up to project delivery including: planning, design, construction, systems testing, system operation start up, and ultimately to project construction 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 develop prudent contingency plans. The Project Risk Register (RR) is the depository for all risks identified for the Project. Every month, risks contained in the RR 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 Project within budget and on schedule. The primary strategy of risk management is to maintain a reserved contingency balance throughout the life of the Project that is acceptable to HART and the FTA, and in turn reassures the public that the Project will be completed on time and on budget. Effective management of project risks is necessary to significantly increase the likelihood of delivering a successful project.

Maintaining the RR includes assessing the potential for a risk to happen as well as the cost and schedule impacts should the risk occur in isolation. The cost and time impacts to the Project are assessed based on a "most likely scenario." Construction of the Project involves systematically using equipment and materials through a variety of means and methods to create a quality transit system. Therefore, not all risks (known and unknown) will occur with the same frequency or probability as estimated in isolation. In addition, risks can be eliminated due to design best practices as well as through the implementation of safe alternative means and methods of construction to avoid the occurrence.

This report includes a listing of the top ten program wide risks which is an aggregate of the individual contract risks of the same category. Key metrics are subject to change as more is learned about the risks and as additional expertise is brought in to implement various aspects of the Project. By actively managing the RR, HART is able to actively manage the Project and ensure it is built on time and on budget for the tax payer and future passengers.

Figure 23. Risk Matrix

| Risk Matrix | | | | | |
|---|---|---|---|---|---|
| Legend | Low (1) | Med (2) | High (3) | Very High (4) | Significant (5) |
| Probability | < 10% | 10><50% | > 50% | 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 is used to score and rank identified risks. The rating is the average cost and schedule impact score multiplied by the probability score.

Figure 24. Top 10 Project Risks

| Top 10 Risks May 2014 | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Risk ID | Contract Package | Risk Description | Prob | Prob Rating | Cost Impact | Time Impact | May Risk Rating | Mar. Risk Rating |
| 6.07 | Maint Storage Facility | Utilities - There may be insufficient utility company resources available to meet the design, approvals and/or construction schedule. (i.e. Delay in providing HECO with service power demands may impact start up schedule.) | 75% | 4 | 4 | 5 | 18 | 16 |
| 6.04 | KHG | Utilities - There may be insufficient utility company resources available to meet the design, permit approvals and/or construction schedule. | 90% | 5 | 4 | 3 | 17.5 | 17.5 |
| 115 | Project Wide | Interface - Change in station designs may affect guideway and result in additional construction costs. | 90% | 5 | 5 | 2 | 17.5 | 17.5 |
| 35 | Project Wide | Third Parties - Due to court delays, there has been limited access to properties resulting in delays of geotechnical exploration that may result in cost and schedule impacts. | 75% | 4 | 4 | 4 | 16 | 16 |
| 20 | Project Wide | Interface - Late delivery or acceptance of Traction Power Substations may result in change orders for delay. | 75% | 4 | 4 | 4 | 16 | NEW |
| 28.09 | WSSG | Contractual - Design coordination of multiple designers on the same three station package could lead to construction delay. | 75% | 4 | 5 | 3 | 16 | NEW |
| 33 | Project Wide | Interface - Core Systems design interface may result in changes to fixed facility design resulting in formal change orders. | 90% | 5 | 4 | 2 | 15 | 15 |
| 75.14 | DKSG | ROW - Delay to obtain property access for designers to perform preconstruction activities may impact design quality and construction pricing. | 90% | 5 | 3 | 3 | 15 | 15 |
| 20.03 | WOFH | Interface - Late delivery of/or acceptance of civils, stations, or systems interface to guideway may result in formal change orders. | 90% | 5 | 3 | 3 | 15 | 15 |
| 33 | WOFH | ROW - Delay to obtain access to remaining properties may result in cost and schedule impacts. | 75% | 4 | 4 | 3 | 14 | 14 |

Risks are placed in order based on highest risk rating for the month. The Top 10 list represents risks that could have a major impact on the Project and require additional focus by management. There are other high rated risks that are not listed and are in the process of being mitigated.

*Note: Risks by Contract Package and a Comparison of Risk Ratings can be found in Appendix G.*

## 6.7 Community Outreach

- **Activities this month**
  - HART participated in nearly two dozen community events, meetings and presentations this month, in addition to construction canvassing and outreach. HART's public outreach team also sponsored several key events in May. The first of two community meetings to discuss the design of the Hoʻopili station was held in early May, and provided an early look at the design for the new station and collected input from the community. HART also sponsored its second Industry Day workshop, which drew more than 250 attendees from more than 145 companies. The event brought large, prime contractors together with numerous local firms, including Disadvantaged Business Enterprise (DBE) companies, and provided information about upcoming work related to the rail project and the many opportunities for local contractors, organizations and professionals in construction-related fields. Honolulu Mayor Kirk Caldwell, City Council Chairman Ernie Martin and HART Board Chairman Ivan Lui-Kwan joined HART Executive Director and CEO Dan Grabauskas at the event. The project currently has more than 1,100 people working on the design, engineering and construction of the rail system.

*To date, HART's outreach team has participated in:*
- *1,622 presentations and events*
- *871 Neighborhood Board meetings*

Figure 25. HART's Industry Day provided information on upcoming rail project construction work to more than 250 participants from 145 companies.

HART Deputy Executive Director Brennon Morioka discusses the upcoming contracting opportunities ahead for the rail project.

Figure 26. Art with HART, an anti-graffiti community painting project designed to deter graffiti and to bring communities together, was launched this month. The successful pilot program will be replicated in other areas along the rail alignment.

Students, community leaders, elected officials and HART volunteers spent the weekend working on a community mural that covered graffiti at the site of the future Pearlridge rail station.

- **Construction Outreach**
  - HART's public outreach team also launched an anti-graffiti pilot program this month. The program brought together more than 80 students and community and business leaders from more than 20 companies and organizations who worked side-by-side to paint a mural in Aiea. ART with HART is designed to fight graffiti on HART-owned properties and to build partnerships with communities along the rail route. The theme for the mural painting project is "Connecting Communities." It reflects HART's presence in and partnership with communities along the alignment. Students from Waipahu, Aiea and Radford high schools and the Boys and Girls Club of Hawaiʻi developed the design

for the community mural. All of the painting supplies, equipment and refreshments were donated by businesses and area retailers.

- HART's outreach program to keep the public informed about traffic remains in high gear. Traffic briefings with reporters every other week, traffic posts on Facebook and Twitter, and weekly news releases keep the community informed about detours, traffic delays and road closures. Canvassing in areas along Kamehameha Highway and in urban Honolulu is also underway to update businesses and residents about the work in their area. In preparation for the balanced cantilever work, discussions at community meetings, with elected officials, business and community groups and neighborhood boards are underway. Outreach designed specifically for this work includes using print and broadcast media to reach a broad segment of our community, heightened coordination with the Hawai'i Department of Transportation and the City on other road work, and prominent signage and partnerships to help get the word out. Monthly business, community and smaller business briefings as well as additional community meetings are also helping HART to keep the community well-informed.

- **Community Input**
  - HART's public information team responded to more than 75 public inquiries and requests in May that came in via the agency's website, email and 24-hour hotline. Inquiries this month primarily focused on construction activities and employment opportunities.

- **Look Ahead**

  Coming in June:
  - Media briefing on guideway segments installation
  - Column work reaches 100th column mark
  - Community and business meetings for Dillingham, Kamehameha Highway and Waipahu areas
  - Traffic updates and information for motorists continues

## 6.8 Staffing

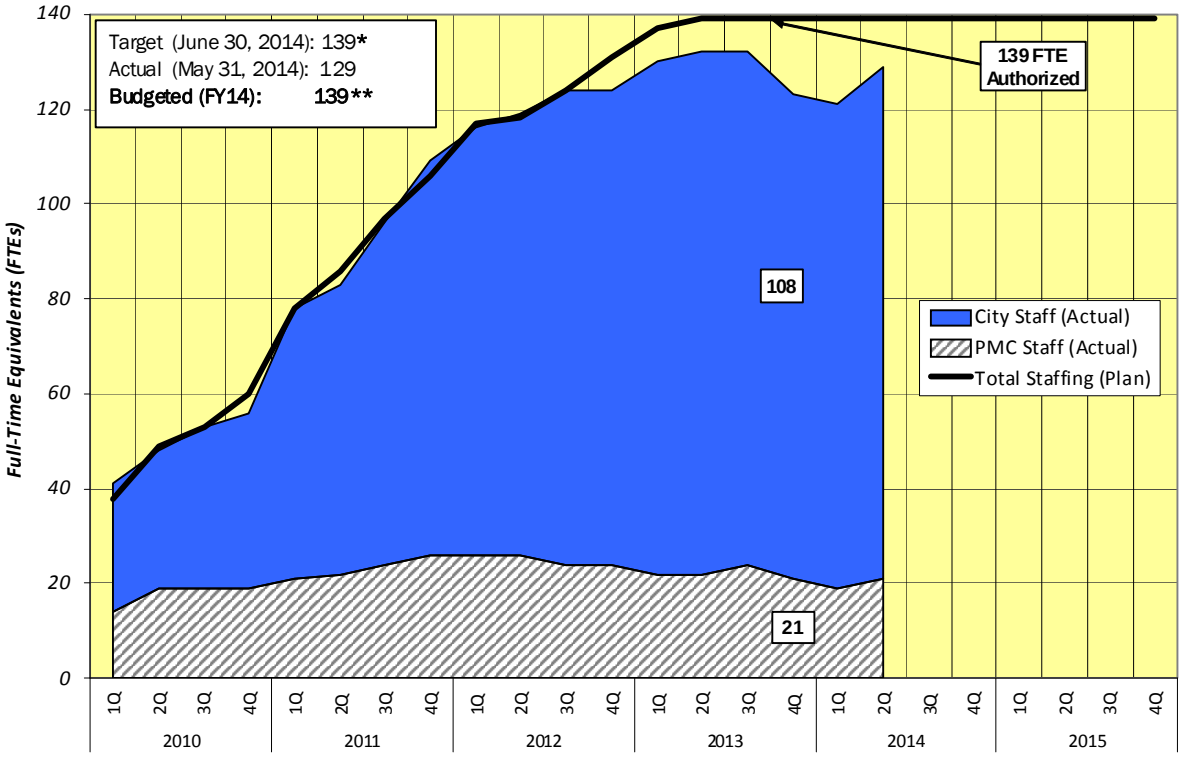
Figure 27. Staffing Activities

| Staffing Activities | | | | |
|---|---|---|---|---|
| Title | Group | New/Existing HART position (City or PMC) | Position Status | Start Month |
| **Design and Construction** | | | | |
| Change Order Specialist | Change Order | Existing (City) | Filled | May |
| Assistant Project Manager | Construction (KHG) | New (City) | Recruiting/ Interviewing | |
| Assistant Project Manager | Construction (WOFH) | New (City) | Recruiting/ Interviewing | |
| Deputy Director of Construction | Construction | Existing (PMC) | Recruiting/ Interviewing | |
| Assistant Deputy Director of Construction | Construction | New (PMC) | Recruiting | |
| Assistant Deputy Director | Design | New (City or PMC) | Recruiting | |
| HECO Coordinator | Utilities & Traffic Engineering | New (City) | Recruiting | |
| Project Manager | Design – DSG/KSG | Existing (City) | Recruiting/ Interviewing | |
| **Budget and Finance** | | | | |
| Transit Contracts Manager* (1) | Procurement and Contracts | Existing (City) | Filled | Jul |
| Transit Contracts Manager* (2) | Procurement and Contracts | Existing (City) | Recruiting/ Interviewing | |
| Procurement & Specifications Specialist | Procurement and Contracts | Existing (City) | Filled | Jun |
| **Project Controls** | | | | |
| Clerk | Document Controls | Existing (City) | Selected | Jun |
| **Planning, Utilities, Permits & Right-of-Way** | | | | |
| Secretary | Planning | New (City) | Filled | May |
| Deputy Director of Planning | Planning | Existing (City) | Filled | May |
| Planner V (Land Use) | Planning | Existing (City) | Recruiting | |
| Planner* (Environmental) | Planning | Existing (City) | Recruiting | |
| Right-of-Way Agent | Right-of-Way | New (City) | Recruiting | |
| Assistant Deputy Director | Right-of-Way | New (PMC) | Filled (PMC) | May |
| **Administrative Services** | | | | |
| Personnel Clerk | Administrative Services | Existing (City) | Recruiting | |
| Senior Clerk | Administrative Services | Existing (City) | Filled | May |
| **Executive Management** | | | | |
| Chief of Staff position changed to Director of Special Projects | Executive Management | New (City) | Filled | May |

*Per qualifications.

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 28. 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

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.

*Note: For a project organization chart, see Appendix H.*

# APPENDICES

## Appendix A. Project Fact Sheet

HONOLULU AUTHORITY for RAPID TRANSPORTATION

### HONOLULU AUTHORITY FOR RAPID TRANSPORTATION PROJECT FACT SHEET AS OF MAY 2014

| FINANCIAL & PROJECT DATA | May Report | April Report | Variance |
|---|---|---|---|
| **Progress (Pg. 9-10)** | | | |
| Overall Project Progress | **23.6%** | 22.7% | 0.9% |
| Overall Construction Progress | **14.2%** | 12.7% | 1.5% |
| Overall Design Progress | **73.3%** | 70.6% | 2.7% |
| Overall Utilities Progress | **6.1%** | 5.8% | 0.3% |
| **Incurred Cost (Pg. 11)** | | | |
| Total Incurred Cost | **$962.9M** | $904.5M | $58.4M |
| Monthly Incurred Cost | **$58M** | $19M | N/A |
| **Committed Amount (Pg. 11)** | | | |
| Total Committed | **$2.725B** | $2.698B | $0.027B |
| **Authorized for Expenditure (AFE) (Pg. 11)** | | | |
| Total AFE by way of NTP | **$1.950B** | $1.922B | $0.028B |
| Monthly AFE | **$27M** | $6.3M | N/A |
| **Project Contingency (Pg. 12-14)** | | | |
| Current Balance | **$590.7M** | $608.2M | ($17.5M) |
| Monthly Drawdown | **$17.5M** | $0 | N/A |
| Known Changes Balance | **$30.4M** | $32.5M | ($2.1M) |
| **Funding (Pg. 15-17)** | | | |
| Cash Received Since PE | **$1,417.2M** | $1,355M | $62.2M |
| Ending Cash Balance | **$482.5M** | $436.3M | N/A |
| § 5309 New Starts Received | **$243M** | $243M | $0 |
| GET Received Since PE | **870.1M** | $808.5M | $61.6M |
| GET Received Since 2007 | **$1,248.5M** | $1,187M | $61.6M |

| | May Report | April Report | Variance |
|---|---|---|---|
| **ROW (Pg. 59-60)** | | | |
| Total # Properties Acquired | **26** | 26 | 0 |
| Total $ Spent on Acquisitions | **$54.1M** | $54.1M | $0 |
| Total $ Expended for Relocations | **$2.7M** | $2.7M | $0 |
| **Safety/Security Incidents (Pg. 62)** | | | |
| # of Incidents for the Month | **3** | 3 | N/A |
| **NCRs (Pg. 62-63)** | | | |
| Total Open NCRs for the Month | **30** | 28 | N/A |
| **DBE (Pg. 65)** | | | |
| Total Participation | **$16.2M** | $15.8M | $0.4M |
| **Risks (Pg. 67-68)** | | | |
| Total # of Risks | **261** | 238 | 23 |
| **Community Outreach (Pg. 69-70)** | | | |
| Presentations and Events | **1,622** | 1,604 | 18 |
| Neighborhood Board Meetings | **871** | 860 | 11 |
| **Staffing (Pg. 71-72)** | | | |
| Actual | **129** | 125 | 4 |

### CONSTRUCTION & DESIGN CONTRACTS EXPENDITURES STATUS

| CONSTRUCTION | | | |
|---|---|---|---|
| **CSC DBOM-920 (Pg. 20-21)** | | | |
| Committed / Incurred | **$603M / $65M** | $603M / $65M | $0 / $0 |
| % Complete | **11.3%** | 11.3% | 0.0% |
| **Elevators & Escalators MI-930 (Pg. 22-23)** | | | |
| Committed / Incurred | **$51M / $0** | $51M / $0 | $0 / $0 |
| % Complete | **0.0%** | 0.0% | 0.0% |
| **WOFH DB-120 (Pg. 24-28)** | | | |
| Committed / Incurred | **$570M / $240.7M** | $556.8M / $213.1M | $13.2M / $27.6M |
| % Complete | **41.7%** | 36.9% | 4.8% |
| **MSF DB-200 (Pg. 34-36)** | | | |
| Committed / Incurred | **$229.9M / $96M** | $225.3M / $87.1M | $4.6M / $8.9M |
| % Complete | **43.4%** | 39.4% | 4.0% |
| **KHG DB-320 (Pg. 38-41)** | | | |
| Committed / Incurred | **$378.9M / $94M** | $378.9M / $89.9M | $0 / $4.1M |
| % Complete | **24.8%** | 23.7% | 1.1% |
| **CONTRACTS TOTAL (Construction + Design)** | | | |
| Committed | **$1.98B** | $1.96B | $0.02B |
| Incurred-to-Date | **$589.3M** | $544.2M | $45.1M |

| DESIGN | | | |
|---|---|---|---|
| **WOSG FD-140 (Pg. 30-31)** | | | |
| Committed / Incurred | **$7.8M / $5.9M** | $7.8M / $5.9M | $0 / $0 |
| % Complete | **96.7%** | 96.7% | 0.0% |
| **FHSG FD-240 (Pg. 32-33)** | | | |
| Committed / Incurred | **$12.2M / $9.6M** | $12.2M / $9.6M | $0 / $0 |
| % Complete | **87.0%** | 87.0% | 0.0% |
| **KHSG FD-340 (Pg. 42-43)** | | | |
| Committed / Incurred | **$8.7M / $7.4M** | $8.7M / $7.4M | $0 / $0 |
| % Complete | **87.0%** | 87.0% | 0.0% |
| **Airport Section Guideway and Utilities FD-430 (Pg. 44-46)** | | | |
| Committed / Incurred | **$42.3M / $32M** | $42.3M / $31.6M | $0 / $0.4M |
| % Complete | **85.2%** | 84.2% | 1.0% |
| **ASG FD-440 (Pg. 48-49)** | | | |
| Committed / Incurred | **$10.2M / $7.8M** | $10.2M / $7.8M | $0 / $0 |
| % Complete | **78.7%** | 78.7% | 0.0% |
| **City Center Section Guideway and Utilities FD-530 (Pg. 50-52)** | | | |
| Committed / Incurred | **$44.9M / $25.2M** | $44.9M / $23.4M | $0 / $1.8M |
| % Complete | **59.5%** | 55.3% | 4.2% |
| **DKSG FD-550 (Pg. 54-55)** | | | |
| Committed / Incurred | **$18.3M / $5.7M** | $18.3M / $3.4M | $0 / $2.3M |
| % Complete | **27.0%** | 15.9% | 11.1% |

## Appendix B. Action Items

The following are Action Items for HART and/or the PMOC, which are reviewed and discussed on a monthly basis.

| Action Items | | | | | | |
|---|---|---|---|---|---|---|
| Item No. | Item | Responsible Party | Date Identified | Date Due | Date Completed | Status |
| 1 | Provide information on resolution for Federal Courthouse | HART | Oct-13 | Jun-14 | | Open |
| 2 | Schedule PMP & QMP compliance audit | PMOC | Nov-13 | TBD | | Open – HART to conduct an internal audit in advance |
| 3 | Status of HART's request for waiver from Navy related to fair market value compensation for easements/licenses/acquisition | HART | Nov-13 | Jun-14 | | Open – Navy waiver request moving through the process. |
| 4 | HART to provide summaries of bidability/constructability reviews for Airport and City Center Guideway and Utilities | HART | Dec-13 | Jun-14 | | Open |
| 5 | Add major development agreements to MPS | HART | Feb-14 | Apr-14 | May-14 | Closed (ongoing) |
| 6 | Provide information of resolution on HECO 50-foot offset requirement | HART | Mar-14 | Jun-14 | | Open |
| 7 | Process Kiewit submission of first claim for materials escalation due to AIS/NTP delay | HART | Mar-14 | Jun-14 | | Open |
| 8 | Receive confirmation that license agreement with DHHL has been executed | HART | Mar-14 | Jun-14 | | Open |
| 9 | Resolve issue with AHJV regarding cost savings associated with change to 4-car trains | HART | Mar-14 | Jun-14 | | Open |
| 10 | Resolve HECO issue with Davis-Bacon requirements | HART/FTA | Mar-14 | May-14 | | Open |
| 11 | Update primary and secondary mitigation measures | HART | May-13 | Jun-14 | | Open |
| 12 | Update MPS to include realistic schedule for City Center ROW acquisitions | HART | Jun-13 | Apr-14 | May-14 | Open (ongoing) |
| 13 | Revisit Hold Points when after MPS is updated | HART/ PMOC | Sept-13 | Jun-14 | | Open |
| 14 | Provide System-wide TVA | HART | Apr-14 | May-14 | | Open |
| 15 | Provide CE&I cost estimate for Westside Stations Group | HART | Apr-14 | Jun-14 | | Open |
| 16 | Provide CE&I cost estimate for Airport/City Center Guideway | HART | Apr-14 | Jul-14 | | Open |
| 17 | Re-baseline MPS | HART | Apr-14 | Jul-14 | | Open |
| 18 | Re-baseline budget | HART | Apr-14 | Jul-14 | | Open |
| 19 | Re-baseline Financial Plan | HART | Apr-14 | Jul-14 | | Open |
| 20 | Provide opening date for interim UH West O'ahu Park and Ride Project | HART | Apr-14 | May-14 | | Open |
| 21 | Provide list of ROW parcels requiring FTA review over next three months | HART | Apr-14 | Jun-14 | | Open |
| 22 | Provide Geotechnical Data Report for Airport and City Center Guideway | HART | May-14 | Aug-14 | | Open |
| 23 | Provide FTA with response to HDOT Letter dated April 25, 2014 | HART | May-14 | Jun-14 | | Open |
| 24 | Provide copy of report/findings from HDOT Safety Audit | HART | May-14 | Jun-14 | | Open |

# Appendix C. Project Contingency Management General Background and Clarifications

*Current Contingency Balance = $590.7M*

*Current Known Changes Contingency = $30.4M*

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.

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.

**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.

**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.

# HART Project Contingency Drawdown with Details

Data as of 05/22/14

| # | Project No. | Project Desc. | Budget Transfer/Change Description | Contingency Drawdown (+/-) | Contingency Code |
|---|---|---|---|---|---|
| **July '12 (Bottoms-Up Estimate)** | | | **Beg. Balance:** | **$643.6** | |
| 1) | FD-240 | Farrington Highway Stations Group FD | Budget Transfer at Bottoms-Up-Estimate from Project Scope to Contingency (contract allowance) | $58,443 | 90.03 - Contract Allowance |
| 2) | FD-430 | Airport Section Guideway Utilities FD | Budget Transfer for Contract Award less than the ASGU FD contract budget | $2,054,106 | 90.02 - Allocated Contingency |
| 3) | MM-975 | LEED Commissioning Services | Budget Transfer for Contract Award above the LEED Comm. Services contract budget | ($35,623) | 90.02 - Allocated Contingency |
| 4) | DB-320 | Kamehameha Highway Guideway DB | Budget Transfer for Contract Award above the KHG DB contract budget | ($220,883) | 90.02 - Allocated Contingency |
| 5) | DB-120 | West Oahu Farrington Highway Guideway DB | Budget Transfer for Ins. Covg per executed CO No. 004 | $3,995,230 | 90.02 - Allocated Contingency |
| | | | **July '12 Contingency Drawdown** | **$5,851,273** | |
| | | | **July '12 - Ending Contingency Balance** | **$649.4** | |
| **August '12** | | | **Beg. Balance:** | **$649.4** | |
| 1) | FD-140 | West Oahu Stations Group FD | Budget Transfer for Contract Awarded under WOSG FD contract budget | $1,808,200 | 90.02 - Allocated Contingency |
| 2) | FD-530 | City Center Guideway Utilities FD | Budget Transfer for Contract Awarded under CCGU FD contract budget | $5,917,945 | 90.02 - Allocated Contingency |
| 3) | DB-120 | West Oahu Farrington Highway Guideway DB | Executed Change Order No. 17 - Procure and Install Portable Buildings | ($2,670,000) | 90.02 - Allocated Contingency |
| | | | **August '12 Contingency Drawdown** | **$5,056,145** | |
| | | | **August '12 - Ending Contingency Balance** | **$654.5** | |
| **September '12** | | | **Beg. Balance:** | **$654.5** | |
| | N/A | N/A | No Contingency Drawdown | $0 | |
| | | | **September '12 Contingency Drawdown** | **$0** | |
| | | | **September '12 - Ending Contingency Balance** | **$654.5** | |
| **October '12** | | | **Beg. Balance:** | **$654.5** | |
| 1) | DB-120 | West Oahu Farrington Highway Guideway DB | Executed Change Order No. 21 - Builders Risk Insurance Coverage | ($56,689) | 90.02 - Allocated Contingency |
| | | | **October '12 Contingency Drawdown** | **($56,689)** | |
| | | | **October '12 - Ending Contingency Balance** | **$654.4** | |
| **November '12** | | | **Beg. Balance:** | **$654.4** | |
| 1) | FD-440 | Airport Stations Group FD | Budget Transfer for Contract Award under ASG FD the contract budget | $227,784 | 90.03 - Contract Allowance |
| 2) | FD-340 | Kamehameha Highway Stations Group FD | Budget Transfer for Contract Award under KHSG FD the contract budget | $202,469 | 90.03 - Contract Allowance |
| 3) | MM-905 | General Engineering Consultant | Budget Transfer to align contract budget with Committed value | ($120,630) | 90.02 - Allocated Contingency |
| | | | **November '12 Contingency Drawdown** | **$309,623** | |
| | | | **November '12 - Ending Contingency Balance** | **$654.7** | |
| **December '12** | | | **Beg. Balance:** | **$654.7** | |
| 1) | FD-430 | Airport Section Guideway Utilities FD | Executed Contract Amendment No. 01 - Design & Engineering Cost Estimates | ($275,000) | 90.02 - Allocated Contingency |

# HART Project Contingency Drawdown with Details

Data as of 05/22/14

| # | Project No. | Project Desc. | Budget Transfer/Change Description | Contingency Drawdown (+/-) | Contingency Code |
|---|---|---|---|---|---|
| | | | **December '12 Contingency Drawdown** | **($275,000)** | |
| | | | **December '12 - Ending Contingency Balance** | **$654.4** | |
| | | **January '13** | **Beg. Balance:** | **$654.4** | |
| 1) | DB-320 | Kamehameha Highway Guideway DB | Executed Change Order No. 01 - Acacia Rd alternative analysis | ($15,981) | 90.02 - Allocated Contingency |
| | | | **January '13 Contingency Drawdown** | **($15,981)** | |
| | | | **January '13 - Ending Contingency Balance** | **$654.4** | |
| | | **February '13** | **Beg. Balance:** | **$654.4** | |
| 1) | DB-120 | West Oahu Farrington Highway Guideway DB | Executed Change Order No. 26 - Ins. Covg Requirement/ Additional BGGV at Ft. Weaver Rd | ($1,670,178) | 90.02 - Allocated Contingency |
| | | | **February '13 Contingency Drawdown** | **($1,670,178)** | |
| | | | **February '13 - Ending Contingency Balance** | **$652.8** | |
| | | **March '13** | **Beg. Balance:** | **$652.8** | |
| 1) | FD-240 | Farrington Highway Stations Group FD | Executed Contract Amendment No. 09 - Waipahu Station sewer | ($3,885) | 90.03 - Contract Allowance |
| 2) | DB-200 | Maintenance & Storage Facility DB | Executed Change Order No. 06 - Ins. Covg Requirements/ Dbl Crossovers Insulated Joints | ($464,876) | 90.02 - Allocated Contingency |
| | | | **March '13 Contingency Drawdown** | **($468,761)** | |
| | | | **March '13 - Ending Balance** | **$652.3** | |
| | | **April '13** | **Beg. Balance:** | **$652.3** | |
| 1) | FD-140 | West Oahu Stations Group FD | Executed Contract Amendment No. 01 - Second elevator provision | ($81,013) | 90.03 - Contract Allowance |
| 2) | DB-120 | West Oahu Farrington Highway Guideway DB | Budget Transfer to offset Ins. Covg Requirement for Change Order No. 26 | $1,670,178 | 90.02 - Allocated Contingency |
| 3) | DB-200 | Maintenance & Storage Facility DB | Budget Transfer to offset Ins. Covg Requirement for Change Order No. 06 | $434,000 | 90.02 - Allocated Contingency |
| 4) | DB-320 | Kamehameha Highway Guideway DB | Budget Transfer to Align current budget to contract Schedule of Milestones | $600 | 90.02 - Allocated Contingency |
| | | | **April '13 Contingency Drawdown** | **$2,023,765** | |
| | | | **April '13 - Ending Contingency Balance** | **$654.3** | |
| | | **May '13** | **Beg. Balance:** | **$654.3** | |
| | N/A | N/A | No Contingency Drawdown | $0 | |
| | | | **May '13 Contingency Drawdown** | **$0** | |
| | | | **May '13 - Ending Contingency Balance** | **$654.3** | |
| | | **June '13** | **Beg. Balance:** | **$654.3** | |
| | N/A | N/A | No Contingency Drawdown | $0 | |
| | | | **June '13 Contingency Drawdown** | **$0** | |
| | | | **June '13 - Ending Contingency Balance** | **$654.3** | |
| | | **July '13** | **Beg. Balance:** | **$654.3** | |
| 1) | FD-430 | Airport Section Guideway Utilities FD | Executed Contract Amendment No. 04 - Antenna Engineering Design Services | ($464,114) | 90.02 - Allocated Contingency |

# HART Project Contingency Drawdown with Details

Data as of 05/22/14

| # | Project No. | Project Desc. | Budget Transfer/Change Description | Contingency Drawdown (+/-) | Contingency Code |
|---|---|---|---|---|---|
| 2) | DB-200 | Maintenance & Storage Facility DB | Executed Change Order No. 07 - Archeological Inventory Survey (AIS) Provisional Sum Part 2 | ($3,000,000) | 90.02 - Allocated Contingency |
| 3) | DB-200 | Maintenance & Storage Facility DB | Executed Change Order No. 08 - Maintenance & Storage Facilty Yard Switch Machines | ($553,000) | 90.02 - Allocated Contingency |
| 4) | DB-200 | Maintenance & Storage Facility DB | Executed Change Order No. 09 - Yard Layout Revisions | ($514,426) | 90.02 - Allocated Contingency |
| 5) | DB-200 | Maintenance & Storage Facility DB | Executed Change Order No. 10 - Train Configuration | ($27,700) | 90.02 - Allocated Contingency |
| 6) | DB-200 | Maintenance & Storage Facility DB | Executed Change Order No. 11 - Preliminary Design & Supplemental Project Mgt | ($694,866) | 90.02 - Allocated Contingency |
| | | | **July '13 Contingency Drawdown** | **($5,254,106)** | |
| | | | **July '13 - Ending Contingency Balance** | **$649.1** | |
| **August '13** | | | **Beg. Balance:** | **$649.1** | |
| 1) | DB-120 | West Oahu Farrington Highway Guideway DB | Executed Change Order No. 30 - Archeological Inventory Survey (AIS) Provisional Part 2 | ($5,800,000) | 90.02 - Allocated Contingency |
| 2) | DB-120 | West Oahu Farrington Highway Guideway DB | Executed Change Order No. 32 - Kaloi Channel Station Mod Concept | ($72,381) | 90.02 - Allocated Contingency |
| 3) | DB-120 | West Oahu Farrington Highway Guideway DB | Executed Change Order No. 34 - Traditional Cultural Property Construction Partial Suspension | ($1,195,094) | 90.02 - Allocated Contingency |
| 4) | DB-120 | West Oahu Farrington Highway Guideway DB | Executed Change Order No. 36 - Ho'opili Station Relocation Design | ($490,615) | 90.02 - Allocated Contingency |
| 5) | DB-320 | Kamehameha Highway Guideway DB | Executed Change Order No. 06 - Archeological Inventory Survey (AIS) Provisional Part 2 | ($1,500,000) | 90.02 - Allocated Contingency |
| 6) | FD-140 | West Oahu Stations Group FD | Executed Contract Amendment No. 02 - Canopy Redesign | ($504,386) | 90.03 - Contract Allowance |
| 7) | MI-930 | Elevator & Escalator Install/Maint | Budget Transfer for Contract Awarded under E&E I/M contract budget | $3,738,472 | 90.02 - Allocated Contingency |
| | | | **August '13 Contingency Drawdown** | **($5,824,004)** | |
| | | | **August '13 - Ending Contingency Balance** | **$643.2** | |
| **September '13** | | | **Beg. Balance:** | **$643.2** | |
| 1) | DB-120 | West Oahu Farrington Highway Guideway DB | Executed Change Order No. 33 - Provisional Sum HDOT Joint Use and Occupancy | ($4,900,000) | 90.02 - Allocated Contingency |
| 2) | DB-120 | West Oahu Farrington Highway Guideway DB | Executed Change Order No. 35 - Aesthetic Column Design Conflict | ($120,812) | 90.02 - Allocated Contingency |
| 3) | DB-200 | Maintenance & Storage Facility DB | Executed Change Order No. 12 - HNTB Design Escalation | ($823,500) | 90.02 - Allocated Contingency |
| 4) | FD-240 | Farrington Highway Stations Group FD | Executed Contract Amendment No. 10 - Notice-To-Proceed 2 Delay/Design Delay from Core Systems Contract & West Oahu Farrington Highway DB Contract | ($270,985) | 90.02 - Allocated Contingency |
| | | | **September '13 Contingency Drawdown** | **($6,115,297)** | |
| | | | **September '13 - Ending Contingency Balance** | **$637.1** | |
| **October '13** | | | **Beg. Balance:** | **$637.1** | |
| 1) | DB-200 | Maintenance & Storage Facility DB | Executed Change Order No. 13 - Ins. Covg Requirements/ Roof Access Modification | ($282,155) | 90.02 - Allocated Contingency |
| 2) | DB-200 | Maintenance & Storage Facility DB | Budget Transfer for Change Order No. 13 for Ins. Covg Requirements | $266,500 | 90.02 - Allocated Contingency |
| 3) | DB-120 | West Oahu Farrington Highway Guideway DB | Executed Change Order No. 37 - Ala Ike Street Mod/ W36 at DR Horton & Farrington HWY | $24,815 | 90.02 - Allocated Contingency |

# HART Project Contingency Drawdown with Details

Data as of 05/22/14

| # | Project No. | Project Desc. | Budget Transfer/Change Description | Contingency Drawdown (+/-) | Contingency Code |
|---|---|---|---|---|---|
| 4) | DBOM-920 | Core Systems Design Build O/M | Executed Change Order No. 05 - Platform Screen Gates Systems | ($23,301,657) | 90.02 - Allocated Contingency/ 90.01 - Unallocated Contingency |
| 5) | FD-550 | Dillingham and Kaka'ako Stations Group FD | Budget Transfer for Contract awarded under DKSG FD contract budget | $1,157,760 | 90.02 - Allocated Contingency |
| | | | **October '13 Contingency Drawdown** | **($22,134,737)** | |
| | | | **October '13 - Ending Contingency Balance** | **$615.0** | |
| **November '13** | | | **Beg. Balance:** | **$615.0** | |
| 1) | DB-120 | West Oahu/Farrington Highway Guideway DB | Executed Change Order No. 38 - Insurance Coverage Requirement Q4 2013 | ($1,600,000) | 90.02 - Allocated Contingency |
| 2) | DB-120 | West Oahu/Farrington Highway Guideway DB | Budget Transfer for Change Order No. 038 for Ins. Covg. Requirements | $1,600,000 | 90.02 - Allocated Contingency |
| 3) | DB-200 | Maintenance & Storage Facility DB | Executed Change Order No. 014 - Preliminary Design & Supplemental Project Management 2 | ($214,846) | 90.02 - Allocated Contingency |
| 4) | DB-200 | Maintenance & Storage Facility DB | Executed Change Order No. 015 - Yard Layout Revisions/RFP Structural Steel Modification | ($1,723,000) | 90.02 - Allocated Contingency |
| 5) | DB-200 | Maintenance & Storage Facility DB | Budget Transfer for Change Order No. 015 for Ins. Covg. Requirements | $223,000 | 90.02 - Allocated Contingency |
| 6) | FD-530 | City Center Guideway Utilities FD | Executed Contract Amendment No. 01 - Archeological Inventory Survey (AIS) Suspension | ($532,800) | 90.02 - Allocated Contingency |
| 7) | FD-240 | Farrington Highway Station Group FD | Budget Transfer for Contract Award for FHSG FD II | ($2,700,205) | 90.01 - Unallocated Contingency |
| | | | **November '13 Contingency Drawdown** | **($4,947,851)** | |
| | | | **November '13 - Ending Contingency Balance** | **$610.0** | |
| **December '13** | | | **Beg. Balance:** | **$610.0** | |
| 1) | FD-430 | Airport Section Guideway Utilities FD | Executed Contract Amendment No. 05 - Ulena St redesign scope impact | ($248,958) | 90.02 - Allocated Contingency |
| 2) | FD-140 | West Oahu Station Group FD | Executed Contract Amendment No. 03 - Design relocation of HECO 46Kv and fiber optic lines | ($23,928) | 90.02 - Allocated Contingency |
| | | | **December '13 Contingency Drawdown** | **($272,886)** | |
| | | | **December '13 - Ending Contingency Balance** | **$609.8** | |
| **January '14** | | | **Beg. Balance:** | **$609.8** | |
| 1) | FD-430 | Airport Section Guideway Utilities FD | Executed Contract Amendment No. 06 - Archeological Inventory Survey (AIS) Suspension | ($2,306,450) | 90.02 - Allocated Contingency |
| 2) | FD-530 | City Center Guideway Utilities FD | Executed Contract Amendment No. 02 - Soil Resistance Test and Max Sag Calculation | ($406,153) | 90.02 - Allocated Contingency |
| 3) | MM-290 | Construction Engineering & Inspection West | Budget Transfer for Contract Award less than CE&I West contract budget | $181,068 | 90.02 - Allocated Contingency |
| 4) | MM-595 | Construction Engineering & Inspection East | Budget Transfer for Contract Award less than CE&I East contract budget | $1,102,817 | 90.02 - Allocated Contingency |
| | | | | | |
| | | | **January '14 Contingency Drawdown** | **($1,428,718)** | |
| | | | **January '14 - Ending Contingency Balance** | **$608.3** | |
| **February '14** | | | **Beg. Balance:** | **$608.3** | |

# HART Project Contingency Drawdown with Details

Data as of 05/22/14

| # | Project No. | Project Desc. | Budget Transfer/Change Description | Contingency Drawdown (+/-) | Contingency Code |
|---|---|---|---|---|---|
| 1) | FD-430 | Airport Section Guideway Utilities FD | Executed Contract Amendment No. 07 - Resist & Sag Geotech Investigation | ($132,900) | 90.02 - Allocated Contingency |
| 2) | HRT-201 | HART ODC | Budget Transfer for Contract Award - Archeological & Cultural Monitoring contract | ($11,487) | 90.02 - Allocated Contingency |
| 3) | MM-910 | GEC II | Budget Transfer for Contract Award - Archeological & Cultural Monitoring & Core Systems Support contracts | ($4,424,173) | 90.02 - Allocated Contingency |
| 4) | MM-960 | Archeological & Cultural Monitoring | Budget Transfer for Contract Award - Archeological & Cultural Monitoring contract | $36,761 | 90.02 - Allocated Contingency |
| 5) | MM-962 | Core Systems Support | Budget Transfer for Contract Award - Core Systems Support contract | $4,398,899 | 90.02 - Allocated Contingency |
| | | | | | |
| | | | **February '14 Contingency Drawdown** | **($132,900)** | |
| | | | **February '14 - Ending Contingency Balance** | **$608.2** | |
| **March '14** | | | **Beg. Balance:** | **$608.2** | |
| | N/A | N/A | No Contingency Drawdown | $0 | |
| | | | | | |
| | | | **March '14 Contingency Drawdown** | **$0** | |
| | | | **March '14 - Ending Contingency Balance** | **$608.2** | |
| **April '14** | | | **Beg. Balance:** | **$608.2** | |
| 1) | FD-140 | West Oahu Stations Group FD | Executed Contract Amendment No. 04 - East Kapolei Staff Room Pre-Final Submittal | ($60,243) | 90.03 - Contract Allowance |
| 2) | FD-430 | Airport Section Guideway Utility FD | Executed Contract Amendment No. 08 - Notice-to-Proceed 4&5/Provisional Sum for Design Support during bid | ($1,588,014) | 90.03 - Contract Allowance |
| 3) | DB-200 | Maintenance & Storage Facility DB | Executed Change Order No. 016 - Rail Lubricators | ($102,000) | 90.02 - Allocated Contingency |
| 4) | DB-200 | Maintenance & Storage Facility DB | Executed Change Order No. 017 - Yard Layout Reconfiguration/Automated Train Operation Design | ($2,125,000) | 90.02 - Allocated Contingency |
| 5) | DB-200 | Maintenance & Storage Facility DB | Executed Change Order No. 018 - Rail Material Storage Plan | ($370,000) | 90.02 - Allocated Contingency |
| 6) | DB-200 | Maintenance & Storage Facility DB | Executed Change Order No. 019 - Train Wash Facility Shortening | $0 | 90.02 - Allocated Contingency |
| 7) | DB-120 | West Oahu Farrington Highway Guideway DB | Executed Change Order No. 040 - Precast Yard Alternative Site | ($12,400,638) | 90.02 - Allocated Contingency |
| 8) | DB-120 | West Oahu Farrington Highway Guideway DB | Executed Change Order No. 041 - Revised Track Alignment and Profile | ($46,808) | 90.02 - Allocated Contingency |
| 9) | DB-120 | West Oahu Farrington Highway Guideway DB | Executed Change Order No. 042 - Sandwhich Isles Communications Utility Relocation @ North South Rd | ($798,049) | 90.02 - Allocated Contingency |
| 10) | DB-320 | Kamehameha Highway Guideway DB | Executed Change Order No. 005 - Rebar Clear Spacing Design Criteria | $0 | 90.02 - Allocated Contingency |
| | | | | | |
| | | | **April '14 Contingency Drawdown** | **($17,490,752)** | |
| | | | **April '14 - Ending Contingency Balance** | **$590.7** | |

# HART Project Contingency Drawdown with Details

Data as of 05/22/14

| # | Project No. | Project Desc. | Budget Transfer/Change Description | Contingency Drawdown (+/-) | Contingency Code |
|---|---|---|---|---|---|
| *May '14 - Board Approved Changes Only - Pending execution | | | Beg. Balance: | $590.7 | |
| 1) | DB-200 | Maintenance & Storage Facility DB | Board Approved RFCC 00010 - Amendment 1 Non-Rail Escalation | ($5,000,000) | 90.02 - Allocated Contingency |
| 2) | DB-200 | Maintenance & Storage Facility DB | Board Approved RFCR 00043 - Yard Layout Reconfiguration & Automated Train Operation Construction | ($22,500,000) | 90.01 - Unallocated Contingency |
| 3) | DB-320 | Kamehameha Highway Guideway DB | Board Approved RFCC 00027 - Delay of issuance of Notice-to-Proceed 2 & 3 | ($1,828,000) | 90.02 - Allocated Contingency |
| | | | | | |
| | | | May '14 Contingency Drawdown | ($29,328,000) | |
| | | | May '14 - Ending Contingency Balance (Pending Execution) | $561.4 | |

# Appendix D. Project Cost Reports (data as of April 25, 2014)

**Project Costs by Contract**

Cost reports are run from the HART Contract Management System (CMS)

HART
HONOLULU AUTHORITY – RAPID TRANSPORTATION

Costs Reported as of Month Ending: April 2014

## Project Monthly Cost Report by Contract - One Line Summary

Page: 1 of 3

| | | 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) | 1,646,273 | 0 | 1,646,273 | 0 | 99,986 | 6% |
| 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 | 87,092,959 | 570,016,959 | 570,016,959 | 240,676,023 | 42% |
| DB-200 | Maintenance & Storage Facility DB | 195,258,000 | 34,732,244 | 229,990,244 | 163,020,978 | 95,989,872 | 42% |
| DB-320 | Kamehameha Hwy Guideway DB | 372,150,000 | 6,710,981 | 378,860,981 | 168,877,062 | 93,981,945 | 25% |
| DBB-185 | West Side SG 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 | 65,025,069 | 11% |
| FD-140 | West Oahu Station Group Final Design | 7,789,000 | 23,928 | 7,812,928 | 5,599,507 | 5,871,205 | 75% |
| FD-240 | Farrington Highway Stations Group 2 | 9,300,696 | 2,907,349 | 12,208,045 | 9,867,090 | 9,620,070 | 79% |
| 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 | 7,393,143 | 85% |
| FD-430 | Airport Sect. Guideway/Utilities FD | 38,840,960 | 3,427,422 | 42,268,382 | 40,680,368 | 31,983,079 | 76% |
| FD-440 | Airport Station Group FD | 10,177,365 | 0 | 10,177,365 | 9,128,022 | 7,834,158 | 77% |
| FD-530 | City Center Guideway/Utilities FD | 43,948,220 | 938,953 | 44,887,173 | 41,884,415 | 25,186,351 | 56% |
| FD-550 | Dillingham and Kaka'ako SG FD | 18,321,918 | 0 | 18,321,918 | 11,662,752 | 5,738,811 | 31% |
| FD-600 | UHWO Pkg-Hoopili Station Finishes FD | 0 | 0 | 0 | 0 | 0 | 0% |
| HRT-200 | HART Labor | 23,751,942 | 0 | 23,751,942 | 0 | 23,568,302 | 99% |
| HRT-201 | HART ODC | 15,198,833 | 0 | 15,198,833 | 0 | 13,389,521 | 88% |
| 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: April 2014

## Project Monthly Cost Report by Contract - One Line Summary



| CPP No | Title | A COMMITTED Original | B COMMITTED Changes | C=A+B COMMITTED Current * | D AFE AFE** | E INCURRED Incurred To Date | F PERCENT % |
|---|---|---|---|---|---|---|---|
| MM-280 | WOFH/KHSG CE&I | 0 | 0 | 0 | 0 | 0 | 0% |
| MM-290 | Construction Engrg & Inspection West | 54,232,479 | 0 | 54,232,479 | 16,650,000 | 623,846 | 1% |
| 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-595 | Construction Engrg & Inspection East | 63,083,417 | 0 | 63,083,417 | 15,257,000 | 1,222,847 | 2% |
| 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 | 0 | 0% |
| MM-901 | Program Mgt Support Consit (PMSC-2) | 33,376,897 | 0 | 33,376,897 | 21,240,790 | 18,807,719 | 56% |
| MM-905 | MM-905 Gen Engrg Consit EIS/PE | 0 | 78,564,942 | 78,564,942 | 78,564,942 | 74,157,822 | 94% |
| MM-910 | MM-910 Gen Engrg Consit FD-Construct | 150,000,000 | 0 | 150,000,000 | 150,000,000 | 148,798,835 | 99% |
| MM-913 | MM-913 Gen Engrg Recompete | 46,143,277 | 0 | 46,143,277 | 4,359,403 | 1,190,440 | 3% |
| MM-915 | HDOT Traffic Mgmt. Consult. | 1,600,000 | -600,000 | 1,000,000 | 1,000,000 | 915,297 | 92% |
| MM-920 | HDOT Coordination Consit WOFH | 3,000,000 | 7,500,000 | 10,500,000 | 9,000,000 | 5,326,858 | 51% |
| MM-921 | HDOT Coordination Consit KHG | 10,000,000 | -1,400,000 | 8,600,000 | 4,000,000 | 1,263,128 | 15% |
| MM-922 | HDOT Coord. Consit. Airport | 12,000,000 | -5,600,000 | 6,400,000 | 3,000,000 | 1,472,580 | 23% |
| 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 | 634,461 | 115% |
| 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 | 264,953 | 14% |
| MM-935 | Real Estate Consultant | 3,000,000 | 0 | 3,000,000 | 4,809,690 | 416,437 | 14% |
| MM-940 | Kako'o Consultant | 1,000,000 | 0 | 1,000,000 | 740,516 | 351,344 | 35% |
| 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 | 665,274 | 22% |
| MM-950 | OCIP Consultant | 1,250,000 | 0 | 1,250,000 | 833,750 | 625,625 | 50% |
| MM-951 | Owner-Controlled Insurance Program | 0 | 0 | 0 | 0 | 0 | 0% |
| MM-960 | Archeological & Cultural Monitoring | 459,517 | 0 | 459,517 | 0 | 0 | 0% |
| MM-962 | CORE Systems Support | 43,988,989 | 0 | 43,988,989 | 0 | 873,545 | 2% |
| MM-975 | LEED Commissioning Services for MSF | 278,630 | 9,910 | 288,540 | 288,540 | 58,660 | 20% |

* 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: April 2014

## Project Monthly Cost Report by Contract - One Line Summary

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| | | A | B | C=A+B | D | E | F |
|---|---|---|---|---|---|---|---|
| | | COMMITTED | | | AFE | INCURRED | PERCENT |
| CPP No | Title | Original | Changes | Current * | AFE** | Incurred To Date | % |
| 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 | 355,911 | 42,247 | 11% |
| PA-103 | Programmatic Agreement HPC Park Impr | 0 | 0 | 0 | 0 | 0 | 0% |
| ROW | Real Estate / Right-of-Way | 59,519,536 | 0 | 59,519,536 | 0 | 58,302,815 | 98% |
| UTIL | Utilities by Utility Companies | 85,514,585 | 1,010,000 | 86,524,585 | 67,565,592 | 4,507,864 | 5% |
| **Total Project:** | | 2,479,810,256 | 245,069,181 | 2,724,879,436 | 1,949,746,277 | 962,906,865 | |

* 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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**Project Costs by SCC – Summary**

Cost reports are run from the HART Contract Management System (CMS)

HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: April 2014

## Project Monthly Cost Report by SCC Summary

Page: 1 of 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** | | | | | | | | | | |
| 10 | Guideway & Track Elements | 1,114,215,147 | 35,410,024 | 1,149,625,171 | 535,829,754 | 26,089,193 | 509,000 | 1,149,625,171 | 0 | 53,821,718 |
| 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 | 11,886,075 | 104,421,090 | 104,421,090 | 8,077,426 | 170,000 | 104,421,090 | 0 | 25,954,732 |
| 40 | Sitework & Special Conditions | 983,178,121 | (23,399,821) | 959,778,300 | 607,464,574 | 148,049,130 | (34,497) | 959,778,300 | 0 | 277,580,457 |
| 50 | Systems | 221,284,301 | 24,396,822 | 245,681,123 | 230,520,910 | 25,138,690 | 0 | 245,681,123 | 0 | 190,026 |
| 60 | ROW, Land, Existing Improvemen | 197,397,947 | 999,444 | 198,397,391 | 62,849,356 | 3,649,510 | 0 | 198,397,391 | 0 | 58,997,052 |
| 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 | (6,345,622) | 1,081,484,497 | 934,037,554 | 109,439,433 | (16,006,634) | 1,081,484,497 | 0 | 518,038,680 |
| AC | Provisional Pay Requests | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 22,102,207 |
| Subtotal: | | 4,305,074,410 | 22,522,448 | 4,327,596,858 | 2,717,648,969 | 321,958,102 | (15,362,131) | 4,327,596,858 | 0 | 962,876,796 |
| **2. NTP** | | | | | | | | | | |
| NTP | Authorized For Expenditure | 0 | 0 | 0 | 0 | 1,627,663,891 | 0 | 0 | 0 | 0 |
| Subtotal: | | 0 | 0 | 0 | 0 | 1,627,663,891 | 0 | 0 | 0 | 0 |
| **3. Contingency** | | | | | | | | | | |
| CNTR | Contingency | 541,689,343 | (9,401,333) | 532,288,010 | 7,230,467 | 124,284 | 112,379,082 | 532,288,010 | 0 | 30,069 |
| PRJ | Contingency | 101,871,170 | (13,121,115) | 88,750,055 | 0 | 0 | 0 | 88,750,055 | 0 | 0 |
| Subtotal: | | 643,560,513 | (22,522,448) | 621,038,065 | 7,230,467 | 124,284 | 112,379,082 | 621,038,065 | 0 | 30,069 |
| **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 | 2,724,879,436 | 1,949,746,277 | 97,016,952 | 5,121,693,166 | 0 | 962,906,865 |

* 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: April 2014

## Project Monthly Cost Report by SCC Summary

Page: 2 of 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 |
| **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 | 2,724,879,436 | 1,949,746,277 | 97,016,952 | 5,163,693,166 | 0 | 962,906,865 |

* 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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**Project Costs by SCC – Level 2**

Cost reports are run from the HART Contract Management System (CMS)

HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: April 2014

## Project Monthly Cost Report SCC Level 2

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| | | 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 | 35,410,024 | 1,149,625,171 | 535,829,753 | | 509,000 | 1,149,625,171 | 0 | 53,821,718 |
| 10.04 | Guideway: Aerial Structure | 1,022,380,671 | 32,433,863 | 1,054,814,534 | 450,526,917 | 16,427,466 | 509,000 | 1,054,814,534 | 0 | 24,276,516 |
| 10.08 | Guideway: Retained Cut or F | 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 | 3,097,822 | 82,445,027 | 74,537,831 | 9,630,851 | 0 | 82,445,027 | 0 | 29,545,202 |
| 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,ma | 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 | 11,886,075 | 104,421,090 | 104,421,090 | | 170,000 | 104,421,090 | 0 | 25,954,732 |
| 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 | 170,000 | 39,222,563 | 0 | 5,195,023 |
| 30.04 | Storage or Maintenance of Way Bu | 7,797,460 | 88,572 | 7,886,032 | 7,886,032 | 150,122 | 0 | 7,886,032 | 0 | 139,106 |
| 30.05 | Yard and Yard Track | 39,046,529 | 10,679,173 | 49,725,702 | 49,725,702 | 6,561,771 | 0 | 49,725,702 | 0 | 20,440,603 |
| 40 | Sitework & Special Conditions | 983,178,121 | (23,399,821) | 959,778,300 | 607,464,571 | | (33,497) | 959,778,300 | 0 | 277,580,457 |
| 40.01 | Demolition, Clearing, Earthwork | 29,980,158 | (2,308,147) | 27,672,011 | 8,022,358 | 64,271,822 | 0 | 27,672,011 | 0 | 241,537 |
| 40.02 | Site Utilities, Utility Relocation | 299,449,756 | 5,242,236 | 304,691,992 | 160,096,040 | 70,871,140 | 26,807 | 304,691,992 | 0 | 12,003,895 |
| 40.03 | Haz. mat', contam'd soil removal | 9,199,237 | (5,421,634) | 3,777,603 | 3,016,085 | 64,162,693 | (891,304) | 3,777,603 | 0 | 681,359 |
| 40.04 | Environmental Mitigation | 26,979,122 | 4,976,801 | 31,955,923 | 16,543,497 | 64,149,297 | 0 | 31,955,923 | 0 | 4,282,105 |
| 40.05 | Site structures, retaining walls, | 7,998,960 | 1,062,414 | 9,061,374 | 8,902,848 | 64,146,608 | 0 | 9,061,374 | 0 | 575,338 |
| 40.06 | Pedestrian/bike access/landscaping | 41,073,897 | 799,143 | 41,873,040 | 5,049,834 | 64,200,008 | 0 | 41,873,040 | 0 | 50,000 |
| 40.07 | Auto, bus, van accessways | 181,979,367 | (11,580,007) | 170,399,360 | 35,486,916 | 64,865,008 | 0 | 170,399,360 | 0 | 2,129,204 |
| 40.08 | Temporary Facilities/Indirect Cost | 386,517,624 | (16,170,627) | 370,346,997 | 370,346,997 | 140,408,810 | 330,000 | 370,346,997 | 0 | 257,617,019 |
| 50 | Systems | 221,284,301 | 24,396,822 | 245,681,123 | 230,520,910 | | 0 | 245,681,123 | 0 | 190,026 |
| 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: catel | 32,878,150 | (1,159,703) | 31,718,447 | 26,809,570 | 1,721,574 | 0 | 31,718,447 | 0 | 190,026 |
| 50.05 | Communications | 53,691,339 | 1,102,104 | 54,793,443 | 54,793,443 | 542,046 | 0 | 54,793,443 | 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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HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: April 2014

## 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 | 230,520,910 | | 0 | 245,681,123 | 0 | 190,026 |
| 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 Improvemen | 197,397,947 | 999,444 | 198,397,391 | 62,849,356 | | 0 | 198,397,391 | 0 | 59,997,052 |
| 60.01 | Purchase or lease of real estate | 179,360,664 | 721,644 | 180,082,308 | 55,903,879 | 3,371,710 | 0 | 180,082,308 | 0 | 55,549,238 |
| 60.02 | Relocation of existing households | 18,037,283 | 277,800 | 18,315,083 | 6,945,477 | 3,597,490 | 0 | 18,315,083 | 0 | 3,447,813 |
| 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 | 14,346,923 | (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 | 1,087,830,119 | (6,345,622) | 1,081,484,497 | 934,037,554 | | (16,096,634) | 1,081,484,497 | 0 | 518,038,680 |
| 80.01 | Preliminary Engineering | 94,055,262 | 24,274,618 | 118,329,880 | 109,197,560 | 30,083,023 | 369,567 | 118,329,880 | 0 | 99,802,662 |
| 80.02 | Final Design | 228,321,632 | (25,578,055) | 202,743,577 | 181,175,341 | 20,507,396 | 1,686,758 | 202,743,577 | 0 | 101,918,293 |
| 80.03 | Project Management Design & Cons | 363,849,768 | (914,198) | 362,935,570 | 339,859,778 | 74,196,182 | (17,323,901) | 362,935,570 | 0 | 236,862,388 |
| 80.04 | Constr. Admin. & Management | 199,656,728 | (36,243,033) | 163,413,695 | 156,495,845 | 11,658,122 | 0 | 163,413,695 | 0 | 46,131,653 |
| 80.05 | Professional Liability & other Ins | 46,549,724 | (9,333,408) | 37,216,316 | 2,174,657 | 10,247,408 | 0 | 37,216,316 | 0 | 2,491,558 |
| 80.06 | Legal; Permits, Review Fees etc. | 67,641,005 | 76,305 | 67,717,310 | 33,480,413 | 10,063,327 | 0 | 67,717,310 | 0 | 11,632,322 |
| 80.07 | Surveys, Testing, Investigation, I | 21,759,336 | 42,564,742 | 64,324,078 | 63,746,890 | 9,965,422 | 36,752 | 64,324,078 | 0 | 11,937,759 |
| 80.08 | Start up | 65,996,664 | (1,192,593) | 64,804,071 | 47,907,069 | 9,546,908 | (775,609) | 64,804,071 | 0 | 7,262,044 |
| AC | Provisional Pay Requests | 0 | 0 | 0 | 0 | | 0 | 0 | 0 | 22,102,207 |
| ACR | Provisional Request For Payment | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 22,102,207 |
| NT | Authorized For Expenditure | 0 | 0 | 0 | 0 | | 0 | 0 | 0 | 0 |
| NTP | Notice To Proceed | 0 | 0 | 0 | 0 | 1,627,663,891 | 0 | 0 | 0 | 0 |
| Subtotal: | | 4,305,074,410 | 22,522,448 | 4,327,596,858 | 2,717,648,969 | 1,949,621,993 | (15,362,131) | 4,327,596,858 | 0 | 962,876,796 |
| **2. Contingency** | | | | | | | | | | |
| CNTR | Contingency | 541,689,343 | (9,401,333) | 532,288,010 | 7,230,467 | | 112,379,082 | 532,288,010 | 0 | 30,069 |
| 90.02 | Allocated Contract Contingency | 540,101,329 | (42,439,273) | 497,662,056 | 2,976,074 | 2,976,074 | 106,363,381 | 497,662,056 | 0 | 30,069 |
| 90.03 | Allowances | 1,588,014 | 2,666,379 | 4,254,393 | 4,254,393 | (2,851,790) | 5,996,308 | 4,254,393 | 0 | 0 |
| 90.07 | Known Change Contingency | 0 | 30,371,561 | 30,371,561 | 0 | 0 | 79,393 | 30,371,561 | 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: April 2014

## Project Monthly Cost Report SCC Level 2

Page: 3 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 |
| **2. Contingency** | | | | | | | | | | |
| PRJ | Contingency | 101,871,170 | (13,121,115) | 88,750,055 | 0 | | 0 | 88,750,055 | 0 | 0 |
| 90.01 | Unallocated Project Contingency | 101,871,170 | (13,121,115) | 88,750,055 | 0 | 0 | 0 | 88,750,055 | 0 | 0 |
| Subtotal: | | 643,560,513 | (22,522,448) | 621,038,065 | 7,230,467 | 124,284 | 112,379,082 | 621,038,065 | 0 | 30,063 |
| **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 | 2,724,879,436 | 1,949,746,277 | 97,016,952 | 5,121,693,166 | 0 | 962,906,865 |
| **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 | 2,724,879,436 | 1,949,746,277 | 97,016,952 | 5,163,693,166 | 0 | 962,906,865 |

* 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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# Appendix E. Contract Status

## 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 O'ahu/Farrington Highway Guideway (WOFH) | Kiewit Infrastructure West Company (KIWC) | *Current Forecast*<br>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*<br>Actual Date | Jul 24 '09 | Jul 25 '11 | *Dec 27 '15* |
| DB-275 | Pearl Highlands Parking Structure / Bus Transit Center | | *Current Forecast*<br>Actual Date | Mar 03 '14 | *Dec 28 '14* | *Apr 30 '18* |
| DB-320 | Kamehameha Guideway (KHG) | Kiewit Infrastructure West Company (KIWC) | *Current Forecast*<br>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*<br>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*<br>Actual Date | Dec 18 '12 | Aug 02 '13 | *Mar 15 '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 O'ahu Station Group Final Design | URS Corporation | *Current Forecast*<br>Actual Date | Jun 14 '10 | Jun 15 '12 | *Jun 30 '16* |
| FD-240 | Farrington Highway Station Group Design Support | URS Corporation | *Current Forecast*<br>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 Associates, Inc. | *Current Forecast*<br>Actual Date | Jun 28 '11 | Nov 26 '12 | *Oct 31 '16* |
| FD-430 | Airport Section Guideway and Utilities Final Design | AECOM Technical Services, Inc. | *Current Forecast*<br>Actual Date | Jan 26 '11 | Jan 05 '12 | *Jun 30 '17* |
| FD-530 | City Center Section Guideway and Utilities Final Design | AECOM Technical Services, Inc. | *Current Forecast*<br>Actual Date | Dec 16 '11 | Jul 31 '12 | *Apr 30 '18* |
| FD-440 | Airport Station Group Final Design | AECOM Technical Services, Inc. | *Current Forecast*<br>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*<br>Actual Date | Nov 16 '12 | Jul 31 '13 | *Jul 30 '18* |
| FD-600 | UH West O'ahu Park-and-Ride and Ho'opili Station Finishes Final Design | | *Current Forecast*<br>Actual Date | *Sep 10 '14* | *Mar 12 '15* | *Sep 29 '18* |

## 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*<br>Actual Date | Dec 17 '13 | *Aug 02 '14* | *Dec 22 '15* |
| Re-Pkg DBB-185 | West O'ahu/Farrington Hwy/Kamehameha Hwy Station Groups "West Side Stations" Construction *[Airport Station not included]* | | *Current Forecast*<br>Actual Date | May 20 '14 | *Sep 08 '14* | *Nov 15 '16* |
| DBB-470 | Airport Station Group Construction | | *Current Forecast*<br>Actual Date | *Nov 01 '14* | *Mar 01 '15* | *Jul 15 '17* |
| Re-Pkg DBB-580 | Dillingham/Kaka'ako Station Groups "East Side Stations" Construction | | *Current Forecast*<br>Actual Date | *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*<br>Actual Date | *Jul 01 '14* | *Dec 15 '14* | *Apr 29 '18* |
| DBB-600 | UH West O'ahu Park-and-Ride and Ho'opili Station Finishes Construction | | *Current Forecast*<br>Actual Date | *Mar 15 '16* | *Sep 15 '16* | *Aug 15 '18* |

## 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 | PGH Wong Engineering, Inc. | *Current Forecast*<br>Actual | Jul 26 '13 | Jan 09 '14 | *Mar 01 '19* |
| MM-595 | Construction Engineering & Inspection East Side Sections | URS Corporation | *Current Forecast*<br>Actual | Jul 26 '13 | Jan 09 '14 | *Mar 01 '19* |

## 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*<br>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*<br>Actual | Sep 03 '09 | Aug 02 '11 | *Aug 01 '14* |
| MM-913 | General Engineering Consultant III (GEC-3) | CH2M HILL | *Current Forecast*<br>Actual | Jul 26 '13 | Dec 05 '13 | *Mar 01 '19* |
| MM-935 | Real Estate Consultant | Paragon Partners, Ltd. | *Current Forecast*<br>Actual | Apr 01 '11 | Mar 14 '12 | *Mar 13 '17* |
| MM-937 | Real Estate Mapping & Surveying | R.M. Towill Corporation | *Current Forecast*<br>Actual | Nov 15 '13 | May 23 '14 | *Dec 30 '17* |
| MM-940 | Kako'o Consultant | Pacific Legacy, Inc. | *Current Forecast*<br>Actual | May 20 '11 | Mar 30 '12 | *Feb 14 '17* |
| MM-945 | On-Call Construction Contractor | | *Current Forecast*<br>Actual | *May 23 '14* | *Jun 27 '14* | *Mar 03 '19* |
| MM-950 | Owner-Controlled Insurance Program (OCIP) Consultant | Marsh USA, Inc. | *Current Forecast*<br>Actual | Jan 31 '12 | Jun 05 '12 | *May 09 '17* |
| MM-951 | Owner-Controlled Insurance Program (OCIP) Brokerage Services | Aon Risk Services, Inc., of Hawaii | *Current Forecast*<br>Actual | Jun 04 '13 | Apr 08 '14 | *Mar 30 '19* |
| MM-960 | Archeological & Cultural Monitoring | Cultural Surveys Hawai'i | *Current Forecast*<br>Actual | Sep 10 '13 | Jan 15 '14 | *May 30 '18* |
| MM-962 | CORE Systems Support - Recompete | Lea+Elliot, Inc. | *Current Forecast*<br>Actual | Sep 13 '13 | Feb 11 '14 | *Mar 01 '19* |
| MM-964 | Safety / Security Support | Lawson & Associates, Inc. | *Current Forecast*<br>Actual | Oct 23 '13 | Feb 11 '14 | *Dec 14 '17* |
| MM-966 | Financial Support Services | | *Current Forecast*<br>Actual | *Aug 01 '14* | *Oct 17 '14* | *Dec 30 '15* |
| MM-975 | LEED Commissioning Services for the Maintenance and Storage Facility (MSF) | Enovity, Inc. | *Current Forecast*<br>Actual | | Oct 07 '10 | *Jan 14 '16* |
| PA-102 | Historic Architecture Design Services | Fung Associates, Inc. | *Current Forecast*<br>Actual | Mar 15 '13 | Aug 01 '13 | *May 01 '16* |

## Procurement: HDOT Consultant Services and Other Contracts

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

## Appendix F. DBE Participation

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.

| DBE Participation (9/24/07 to 5/31/14) | | | | | | |
|---|---|---|---|---|---|---|
| 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 | |
| | | | | CT-DTS-1100195 DB-320 | $129,816 | $136,616 |
| Glad's Landscaping | 561730 | APA | M | CT-HRT-10H0137 DB-120 | $303,790 | $303,790 |
| Don's Makiki | 484110 | APA | M | CT-HRT-10H0137 DB-120 | $537,031 | |
| | | | | CT-HRT-10H0449 DB-200 | $20,894 | |
| | | | | CT-DTS-1100195 DB-320 | $60,714 | $618,639 |
| Pacific Preferred Contractors Corp. | 237310 | APA | M | CT-HRT-10H0137 DB-120 | $13,610 | $13,610 |
| PAC Electric | 238210 | APA | F | CT-HRT-10H0137 DB-120 | $1,415,789 | $1,415,789 |
| PMJ Builders | 238310 | APA | M | CT-HRT-10H0137 DB-120 | $43,866 | |
| | | | | CT-DTS-1100195 DB-320 | $107,100 | $150,966 |
| Standard Sheetmetal & Mechanical | 236220 | APA | M | CT-HRT-10H0449 DB-200 | $2,846 | $2,846 |
| LP&D Hawaii | 541320 | APA | M | SC-DTS-1100013 FD-240 | $219,911 | $219,911 |
| Ace Land Surveying | 541370 | NA | M | SC-DTS-1100013 FD-240 | $38,700 | $38,700 |
| Integrated Security Tech. | 561621 | O | F | CT-HRT-1200106 DBOM-920 | $105,180 | $105,180 |
| LKG-CMC | 541618 | O | F | SC-HRT-11H0131 MM-905 | $2,511,968 | |
| | | | | SC-DTS-0700001 **** MM-910 | $2,783,277 | |
| | | | | SC-HRT-1400049 MM-962 | $7,349 | $5,302,594 |
| Lawson & Associates | 541690 | O | F | SC-HRT-11H0131 MM-905 | $688,482 | |

| DBE Participation (9/24/07 to 5/31/14) | | | | | | |
|---|---|---|---|---|---|---|
| DBE Firm | NAICS Code | Race | Sex | Contract Number | Participation to Date | Total DBE Participation |
| | | | | SC-DTS-0700001 **** MM-910 | $150,141 | $838,623 |
| Gary K. Omori | 541618 | APA | M | SC-HRT-11H0131 MM-905 | $385,214 | |
| | | | | SC-DTS-0700001 **** MM-910 | $392,920 | $778,134 |
| Pat Lee & Assoc. | 541618 | APA | M | SC-HRT-11H0131 MM-905 | $400,487 | |
| | | | | SC-DTS-0700001 **** MM-910 | $374,110 | $774,597 |
| 212 Harakawa | 541430 | APA | F | SC-HRT-11H0131 MM-905 | $325,320 | |
| | | | | SC-DTS-0700001 **** MM-910 | $354,758 | $680,078 |
| JAD & Associates | 541330 | APA | M | SC-DTS-0700001 **** MM-910 | $508,355 | $508,355 |
| Pacific Architects | 541310 | APA | M | SC-DTS-0700001 **** MM-910 | $39,273 | $39,273 |
| Nagame Okawa* | 541310 | APA | M | SC-DTS-0700001 MM-910 | $67,014 | $67,014 |
| Consulting Structural Hawaii | 541330 | APA | M | SC-DTS-0700001 **** MM-910 | $298,557 | $298,557 |
| Bright Light Marketing Group | 541613 | APA | F | SC-HRT-1200038 FD-430 | $162,813 | |
| | | | | SC-HRT-1200149 FD-530 | $191,227 | |
| | | | | SC-HRT-1300022 FD-440 | $134,912 | $488,952 |
| Ki Concepts | 541320 | APA | M | SC-HRT-1200077 MM-922/923 | $17,100 | $17,100 |
| Miyabara Associates | 541320 | APA | M | SC-HRT-1300022 FD-440 | $99,850 | $99,850 |
| Anil Verma Associates, Inc.** | 541350 | HA | M | SC-HRT-1200111 FD-340 | $3,111,750 | $3,111,750 |
| AMR Estimating Services *** | 541330 | HA | M | SC-HRT-11H0131 MM-905 | $84,824 | |
| | | | | SC-HRT-1400027 MM-913 | $41,718 | $126,542 |
| The Nakoa Companies | 541620 | NA | M | CT-HRT-1200106 DBOM-920 | $3,843 | $3,843 |
| Hawaiya Technologies | 238210 | APA | F | CT-HRT-10H0449 DB-200 | $27,514 | $27,514 |
| **Total** | | | | | | **$16,168,823** |

** 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, Inc. is a prime contractor and was certified as a DBE effective 6/26/13.*
**** AMR Estimating Services, Inc. was certified as a DBE effective 10/25/13.*
***** DBE participation from 9/24/07 to 9/17/13.*

**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 |

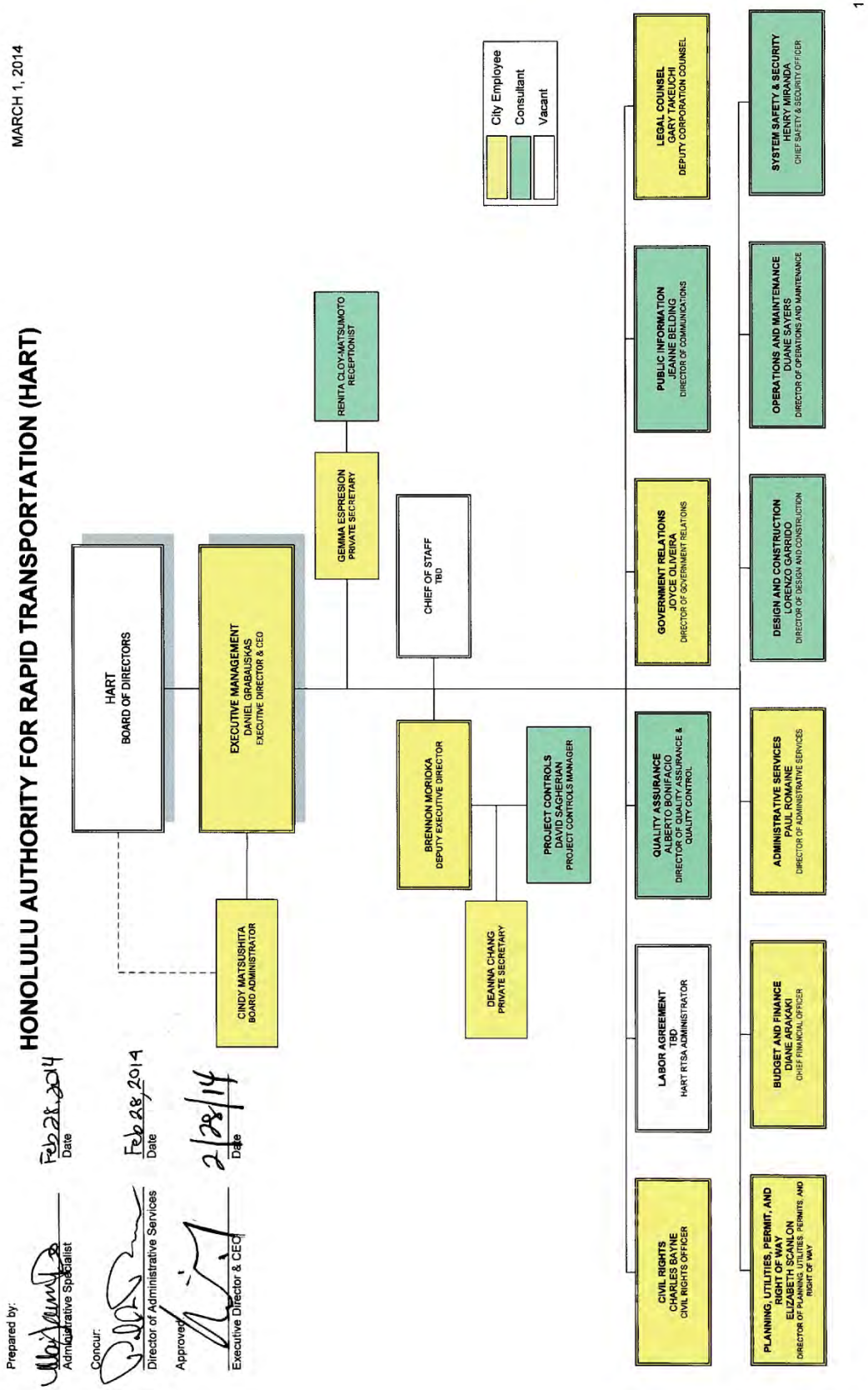
## Appendix G. Risk

| Risk by Contract Package | | | | |
|---|---|---|---|---|
| Contract Packages | ** April 2014 # of Risks | ** May 2014 Update | | |
| | | Total # of Risks | New Risks | Deleted Risks |
| **Project Wide | 54 | 3 | 0 | 51 |
| **Project Wide Stations | 1 | 0 | 0 | 1 |
| WOFH | 31 | 31 | 2 | 2 |
| MSF | 12 | 11 | 5 | 6 |
| KHG | 35 | 31 | 3 | 4 |
| Core Systems Contract | 17 | 22 | 7 | 2 |
| ***Elevator/Escalator | | 3 | 2 | 0 |
| ***Airport Utilities | | 3 | 2 | 0 |
| ***Pearl Highlands Garage | | 6 | 4 | 0 |
| Airport Guideway | 39 | 35 | 5 | 9 |
| City Center Guideway | 49 | 49 | 6 | 6 |
| West Side Stations | 9 | 29 | 22 | 2 |
| Airport Section Stations | 2 | 27 | 25 | 0 |
| City Center Section Stations | 5 | 11 | 6 | 0 |
| **Total** | **254** | **261** | **89** | **83** |

Notes:
** March to April was a transition month. Additional program wide risks have been re-named to the appropriate contract and are not accounted for properly in the new/delete.
***Three contracts were not tracked as separate contracts in prior reports.

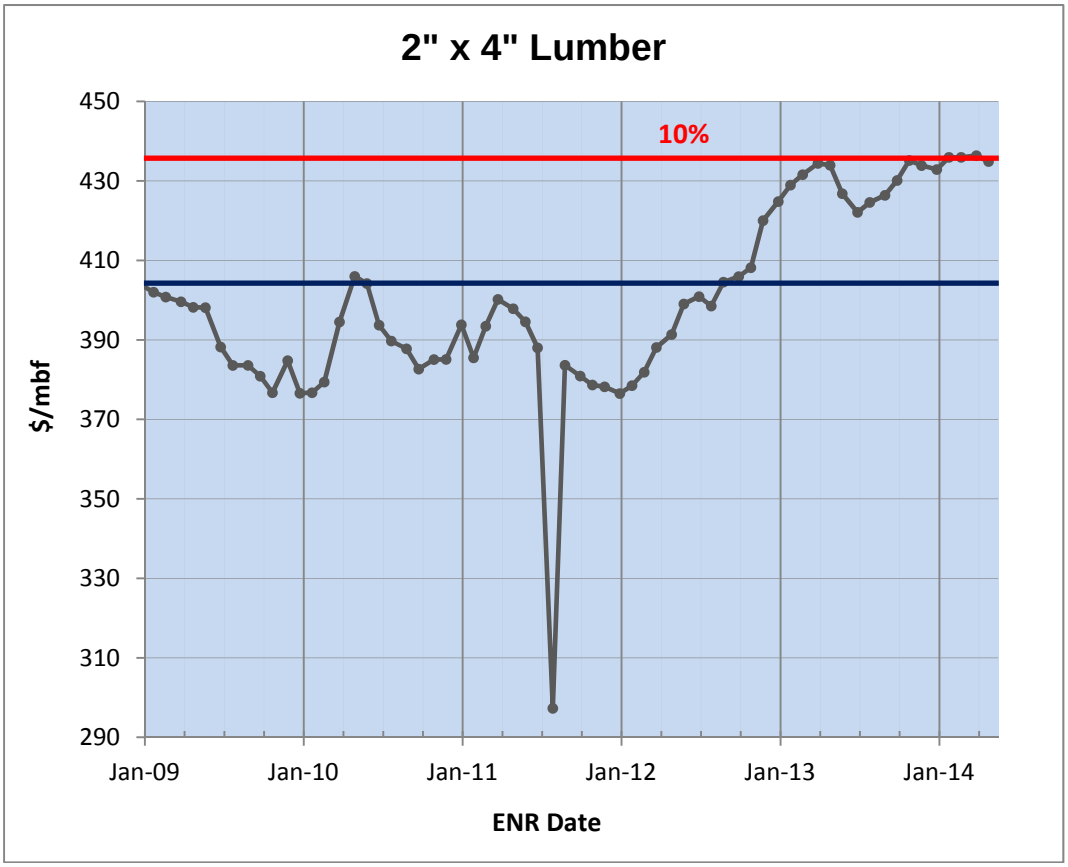
| Comparison of Risk Ratings | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Contract Package/Section | May 2014 Update # of Risks | | | | March 2014 # of Risks | | | |
| | Total | High | Medium | Low | Total | High | Medium | Low |
| Project Wide | 3 | 0 | 3 | 0 | 60 | 21 | 33 | 6 |
| Project Wide Stations | 0 | 0 | 0 | 0 | 2 | 1 | 1 | 0 |
| WOFH Guideway | 31 | 10 | 15 | 6 | 30 | 9 | 15 | 6 |
| Maintenance & Storage Facility | 11 | 4 | 7 | 0 | 9 | 3 | 5 | 1 |
| Kamehameha Highway Guideway | 31 | 9 | 15 | 7 | 29 | 7 | 15 | 7 |
| Core Systems Contract | 22 | 8 | 11 | 3 | 16 | 4 | 7 | 5 |
| Elevator/Escalator | 3 | 0 | 3 | 0 | | | | |
| Airport Utilities | 3 | 3 | 0 | 0 | | | | |
| Pearl Highlands Garage | 6 | 1 | 5 | 0 | | | | |
| West Side Stations | 29 | 6 | 20 | 3 | 7 | 1 | 5 | 1 |
| Airport Guideway | 35 | 11 | 20 | 4 | 34 | 4 | 25 | 5 |
| City Center Guideway | 49 | 18 | 26 | 5 | 46 | 10 | 31 | 5 |
| Airport Stations | 27 | 2 | 23 | 2 | 2 | 1 | 1 | 0 |
| City Center Stations | 11 | 1 | 9 | 1 | 3 | 0 | 3 | 0 |
| **Total** | **261** | **73** | **157** | **31** | **238** | **61** | **141** | **36** |

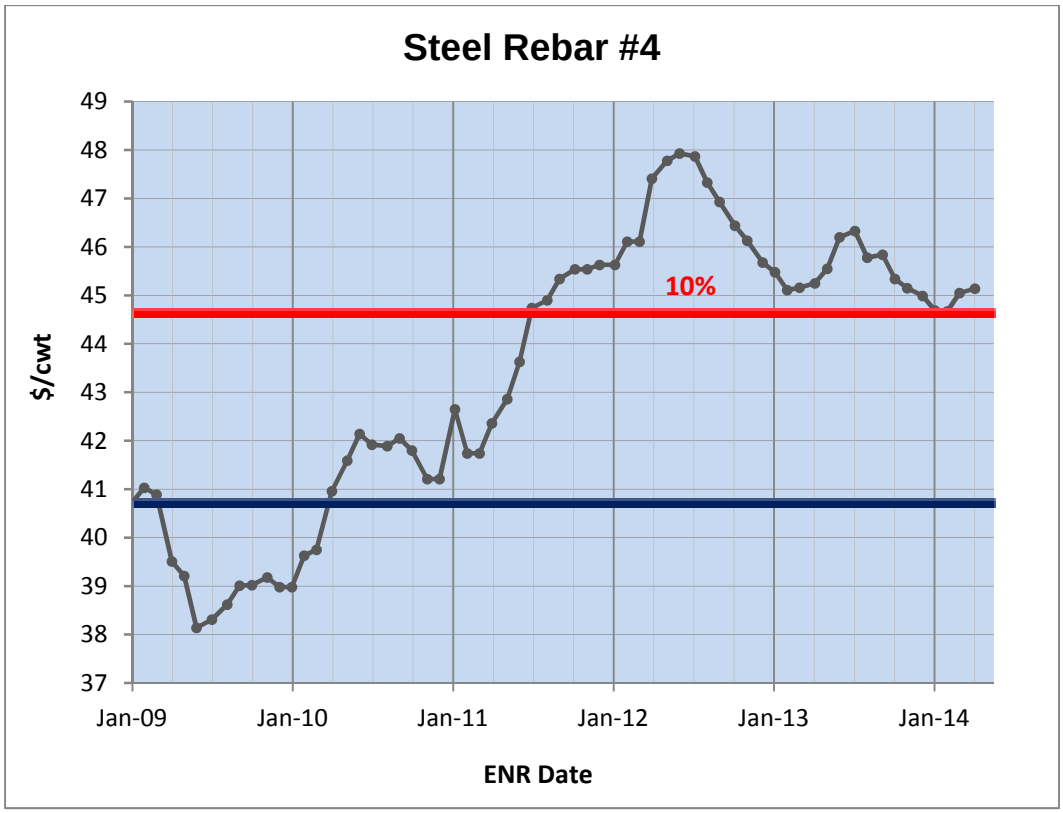
## Appendix H. Project Organization Chart

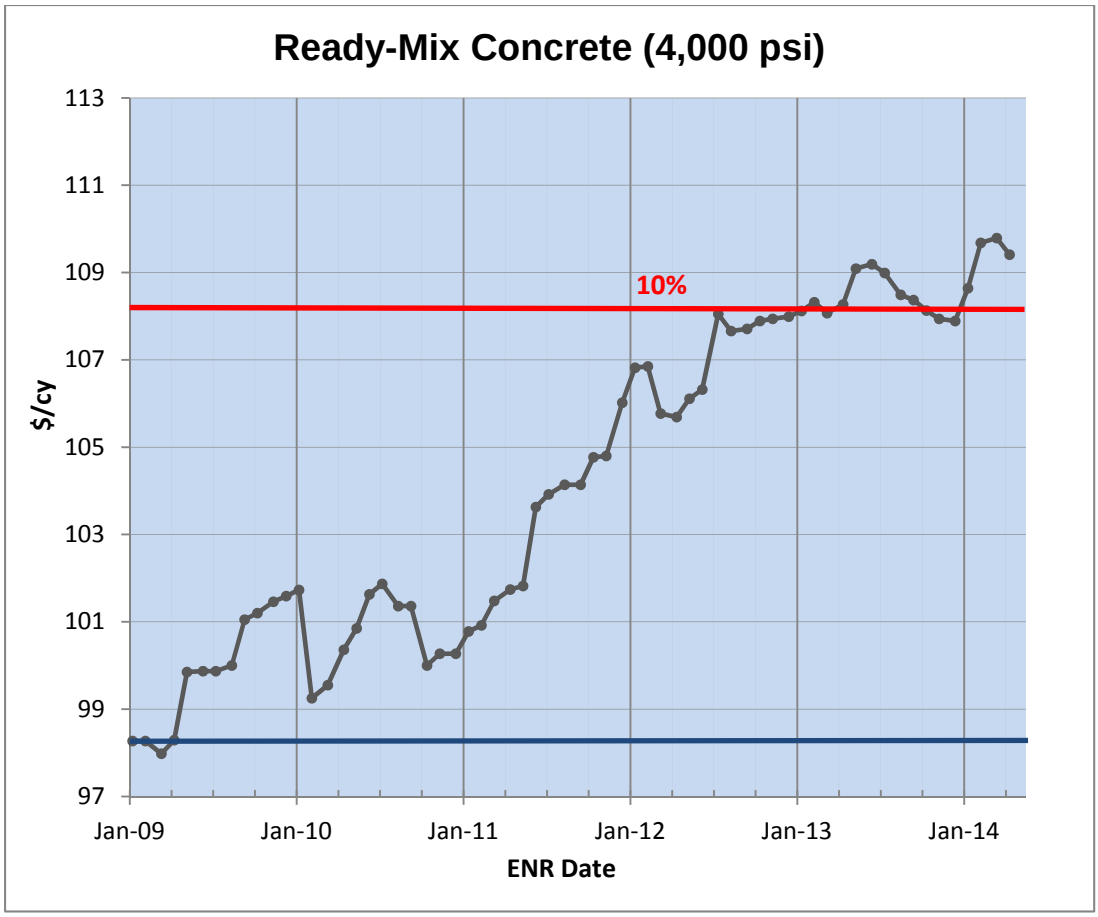


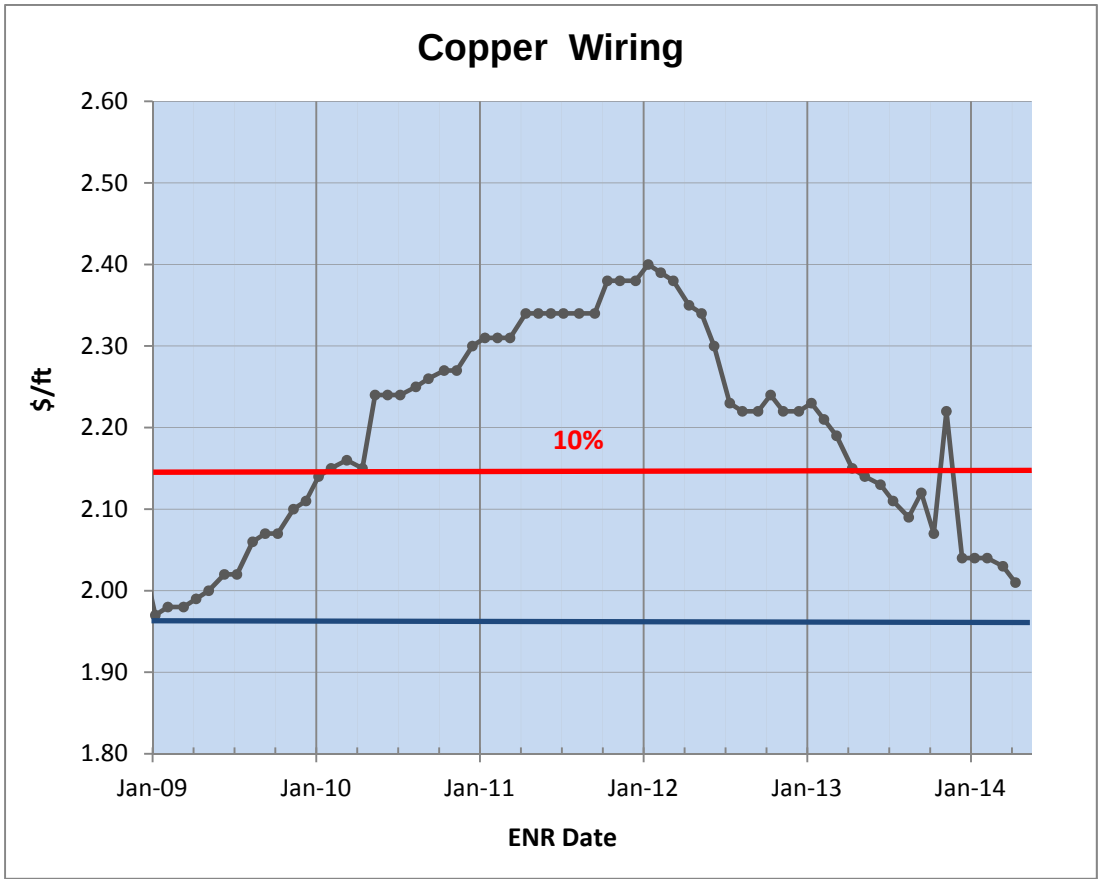
## Appendix I. 5 Year Indices on Key Commodities

The following charts represent the cost trends on some of the key materials used in the program.




Ready-Mix Concrete (4,000 psi)
113
111
109
107
105
103
101
99
97
$/cy
10%
Jan-09
Jan-10
Jan-11
Jan-12
Jan-13
Jan-14
ENR Date


Copper Wiring
2.60
2.50
2.40
2.30
2.20
2.10
2.00
1.90
1.80
$/ft
10%
Jan-09
Jan-10
Jan-11
Jan-12
Jan-13
Jan-14
ENR Date

## Appendix J. List of Acronyms

| | |
|---|---|
| AFE | Authorized for Expenditure |
| AHJV | Ansaldo Honolulu Joint Venture |
| AIS | Archeological Inventory Survey |
| ARRA | American Recovery and Reinvestment Act |
| ASG | Airport Station Group |
| ATC | Automatic Train Control |
| ATO | Automated Train Operation |
| BA | Buy America |
| BACM | Buy America Compliance Matrix |
| BFS | Budget and Fiscal Services |
| BMP | Best Management Practice |
| BUE | Bottom-Up Estimate |
| CAR | Corrective Actions |
| CE&I | Construction Engineering and Inspection |
| CMS | Contract Management System |
| COR | Corporation Counsel |
| CPP | Contract Packaging Plan |
| CSC | Core Systems Contract |
| CSL | Cross Hole Sonic Logging |
| CZM | Coastal Zone Management |
| DAGS | Department of Accounting & General Services |
| DB | Design-Build |
| DBB | Design-Bid-Build |
| DBE | Disadvantaged Business Enterprise |
| DBEDT | Department of Business, Economic Development and Tourism |
| DBOM | Design-Build-Operate-Maintain |
| DDC | Department of Design and Construction |
| DHHL | Department of Hawaiian Homelands |
| DHR | Department of Human Resources |
| DIT | Department of Information Technology |
| DKSG | Dillingham and Kakaʻako Station Group |
| DLNR | Department of Land and Natural Resources |
| DPM | Deputy Project Managers |
| DPP | Department of Planning and Permitting |
| DPS | Department of Public Safety |
| DTS | Department of Transportation Services |
| E/E | Elevator/Escalator |
| ESA | Engineering Services Agreement |
| FAA | Federal Aviation Administration |
| FAI | First Article Inspections |
| FD | Final Design |
| FEIS | Final Environmental Impact Statement |
| FFC | Fixed Facility Contractors |
| FFGA | Full Funding Grant Agreement |
| FHSG | Farrington Highway Station Group |
| FTA | Federal Transit Administration |
| FTE | Full-Time Equivalent |
| GAT | Great Aleutian Tsunami |

| | |
|---|---|
| GEC | General Engineering Consultant |
| GET | General Excise Tax |
| GSA | General Services Administration |
| HABS | Historic American Buildings Survey |
| HAER | Historic American Engineering Record |
| HALS | Historic American Landscape Survey |
| HART | Honolulu Authority for Rapid Transportation |
| HCC | Honolulu Community College |
| HCDA | Hawai‘i Community Development Authority |
| HCSD | Hawai‘i Capital Special District |
| HDOH | Hawai‘i Department of Health |
| HDOT | Hawai‘i Department of Transportation |
| HDPE | High-density polyethylene |
| HFD | Honolulu Fire Department |
| HHPRB | Hawai‘i Historic Places Review Board |
| HPC | Historic Preservation Committee |
| HPD | Honolulu Police Department |
| HPF | Historic Preservation Fund |
| HRTP | Honolulu Rail Transit Project |
| HTI | Hawaiian Telcom |
| ICD | Interface Control Documents |
| ICM | Interface Control Manual |
| ITP | Inspection and Test Plan |
| ITS | Intelligent Transportation Systems |
| JTMS | Joint Traffic Management System |
| JU&O | Joint Use & Occupancy |
| KHG | Kamehameha Highway Guideway |
| KHSG | Kamehameha Highway Station Group |
| KIWC | Kiewit Infrastructure West Company |
| KKJV | Kiewit/Kobayashi Joint Venture |
| LCC | Leeward Community College |
| LEED | Leadership in Energy and Environmental Design |
| MIM | Manufacture-Install-Maintain |
| MMP | Mitigation Monitoring Program |
| MOT | Maintenance of Traffic |
| MOW | Maintenance of Way |
| MPS | Master Project Schedule |
| MPSS | Master Project Schedule Summary |
| MS4 | Municipal Separate Storm Sewer System |
| MSF | Maintenance and Storage Facility |
| MTM | Modern Track Machineries |
| NCR | Non-Conformance Report |
| NOI | Notice of Intent |
| NPDES | National Pollution Discharge Elimination System |
| NPS | National Park Service |
| NR | National Register |
| NRHP | National Register of Historic Places |
| NTP | Notice to Proceed |
| OCIP | Owner-Controlled Insurance Program |
| OIBC | O‘ahu Island Burial Council |
| OSB | Operation and Servicing Building |

| | |
|---|---|
| OSHA | Occupational Safety and Health Administration |
| OTWC | Oceanic Time Warner Cable |
| PA | Programmatic Agreement |
| PARs | Preventative Actions |
| PB | Parsons Brinckerhoff, Inc. |
| PE | Preliminary Engineering |
| PICM | Project Interface Control Manual |
| PIM | Project Interface Manager |
| PM | Project Managers |
| PMC | Project Management Consultant |
| PMOC | Project Management Oversight Contractor |
| PMSC | Program Management Support Consultant |
| PPE | Personal Protective Equipment |
| QA | Quality Assurance |
| QC | Quality Control |
| QMP | Quality Management Plan |
| QMS | Quality Management System |
| QTF | Quality Task Force |
| RCMP | Risk and Contingency Management Plan |
| READ | Real Estate Acquisition Database |
| RFC | Request for Change |
| RFI | Requests for Information |
| RFID | Requests for Interface Data |
| RFMP | Rail Fleet Management Plan |
| RFP | Request for Proposals |
| RFQ | Request for Qualifications |
| ROD | Record of Decision |
| ROE | Right of Entry |
| ROW | Right-of-Way |
| RR | Risk Register |
| RSD | Revenue Service Date |
| SCADA | Supervisory Control and Data Acquisition |
| SCC | Standard Cost Category |
| SHPD | State Historic Preservation Division |
| SIC | Sandwich Isle Communications |
| SOI | Secretary of the Interior |
| SQP | Supplemental Quality Plan |
| SSC | Safety Security Certification |
| SSCWG | Safety and Security Certification Working Group |
| SSI | Sensitive Security Information |
| SWPPP | Storm Water Pollution Prevention Plan |
| TIGER | Transportation Investment Generating Economic Recovery |
| TOD | Transit-Oriented Development |
| TPSS | Traction Power Sub-Station |
| TSA | Transportation Security Administration |
| TSI | Transportation Safety Institute |
| TVA | Threat and Vulnerability Analysis |
| UCA | Utility Construction Agreement |
| UFRCRA | Utility Facilities Relocation and Cost Reimbursement Agreement |
| UH | University of Hawaiʻi |
| UHWO | University of Hawaiʻi West Oʻahu |

| | |
|---|---|
| UPS | Uninterrupted Power Supply |
| USDOT | U.S. Department of Transportation |
| WOFH | West O‘ahu/Farrington Highway |
| WOSG | West O‘ahu Station Group |
| YOE | Year of Expenditure |

# ATTACHMENT F

# BALANCED SCORECARD

***Project Implementation/Pre-Revenue Operation***



***Comments and Legend***

- On track or ahead of plan.
- Monitoring.
- Monitoring; Requires special attention.
- Immediate attention needed; Requires recovery/resolution.
- No current target/activity to date; Action pending.
- 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.

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

| | | Activity | Time Period | Actual | Plan | Variance | Status | Comments |
|---|---|---|---|---|---|---|---|---|
| 1 | Financials | **Project Finances** | | | | | | |
| 2 | | **Operating Budget** [Negative = below Plan] | | | | | | |
| 3 | | Operating Expenditures | **Current Quarter (Q3 FY14)** Jan., Feb., Mar. 2014 | $4 | $5 | ($1) | | For Current Quarter monitoring purposes: $20.9M Total Budget/4 quarters = $5.23M. The Plan numbers for Inception to Date and the Financial Plan = the FY12 + FY13 + FY14 budgets + actual expenditures for fiscal years 2007 through 2011. *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). |
| 4 | | | **FY2014 Total** July 2013-March 2014 | $11 | $16 | ($5) | | |
| 5 | | | **FFGA Financial Plan** October 16, 2009 - March 2014 | $55 | $70 | ($15) | | |
| 6 | | | **Inception* to Date** January 2007 - March 2014 | $59 | $74 | ($15) | | |
| 7 | | **Capital Budget** [Negative = below Plan] | | | | | | |
| 8 | | Capital Expenditures | **Current Quarter (Q3 FY14)** Jan., Feb., Mar. 2014 | $103 | $233 | ($130) | | Plan amounts are per the Full Funding Grant Agreement Financial Plan. *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. The Plan numbers for Inception to Date = the Plan amounts from 10/16/2009 to 03/31/2014 + actual expenditures for fiscal year 2007 through 10/15/2009. 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. The "Current Quarter" and "FY14 Total" actual amounts are on a cash basis. All audit adjustments for the previous years are now reflected in the "FFGA Financial Plan" and "Inception to Date" actual amounts. Actual expenditure amounts are below plan due to the suspension of construction which was lifted in September 2013. As a result of the construction delay, we are currently rebaselining the master project schedule and the plan will be readjusted by spring of 2014. |
| 9 | | | **FY2014 Total** July 2013-March 2014 | $177 | $635 | ($458) | | |
| 10 | | | **FFGA Financial Plan** October 16, 2009 - March 2014 | $951 | $1,938 | ($987) | | |
| 11 | | | **Inception* to Date** January 2007 - March 2014 | $1,035 | $2,021 | ($986) | | |
| 12 | | **Revenues** [Negative = below Plan] | | | | | | |
| 13 | | *GET Collections* | | | | | | |
| 14 | | Net GET Surcharge Receipts | **Current Quarter (Q3 FY14)** Jan., Feb., Mar. 2014 | $43 | $54 | ($11) | | GET receipts are reported on a cash basis. The $43M received in January 2014 is for the October - December 2013 quarter. The Current Quarter plan is based on annual reporting. $3,291M = Total Net GET Surcharge revenue forecast for FYs 2010-2023. Actual amounts from inception are the collections from January 2007 to 01/31/2014. The $1,222M Plan amount is equal to the Financial Plan amount of $844M from the Project Start date of 10/16/2009 to 01/31/2014 plus $378M collected prior to the Project Start Date. 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). *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. Status for the Current Quarter and FY2014 Total have changed from green to yellow. |
| 15 | | | **FY2014 Total** July 2013-March 2014 | $158 | $160 | ($3) | | |
| 16 | | | **FFGA Financial Plan** October 16, 2009 - March 2014 | $808 | $844 | ($36) | | |
| 17 | | | **Inception* to Date** January 2007 - March 2014 | $1,187 | $1,222 | ($36) | | |
| 18 | | *Federal Grants* | | | | | | |
| 19 | | Federal Grant Funds New Starts §5309 (Reimbursed) | **Current Quarter (Q3 FY14)** Jan., Feb., Mar. 2014 | $29 | $0 | +$29 | | There were no planned FTA reimbursements for Q3 FY14 per the financial plan. Forecasted FTA receipts by fiscal years to 6/30/14 per the Plan are FY2011 - $21M; FY2012 - $99M; FY2013 -$258M, FY2014-$442M, Total $820M. The FY2014 New Starts appropriation is $250M. The variance for FY2014 Total and FFGA Financial Plan indicate the available appropriation amounts. Reimbursement amounts are below plan due to the suspension of construction which reduced reimbursable project expenditures. Reimbursements will increase as construction activities increase in FY14. Status for the Current Quarter has changed from yellow to green. |
| 20 | | | **FY2014 Total** July 2013-March 2014 | $99 | $192 | ($93) | | |
| 21 | | | **FFGA Financial Plan** October 16, 2009 - March 2014 | $243 | $570 | ($327) | | |
| 22 | | Federal Grant Funds §5307 (Reimbursed) | **Current Quarter (Q3 FY14)** Jan., Feb., Mar. 2014 | --- | --- | N/A | | No §5307 funds will be used in FY14. Total forecasted §5307 funds per the plan is $210M. The forecasted amounts by fiscal year are: FY16 - $35M; FY17 - $35M; FY18 - $36M; FY19 - $37M; FY20 - $33M; FY21 - $34M |
| 23 | | | **FY2014 Total** July 2013-March 2014 | --- | --- | N/A | | |
| 24 | | | **FFGA Financial Plan** October 16, 2009 - March 2014 | --- | --- | N/A | | |

HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

# BALANCED SCORECARD

***Project Implementation/Pre-Revenue Operation***

***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.

**For the remainder of the Balanced Scorecard, reporting will be based on Current Quarter and Inception to Date data.**

| | | Activity | Current Quarter (Q3 FY14) | | | | Inception to Date | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | January, February, March 2014 | | | | January 2007 - March 2014 | | | | |
| | | | Actual | Plan | Variance | Status | Actual | Plan | Variance | Status | |
| 25 | Financials (Continued) | **Project Budget** | | | | | | | | | |
| 26 | | FFGA Baseline Project Budget | N/A | N/A | N/A | ○ | $5,122 | $5,122 | N/A | ● | $M FFGA Baseline Project Budget (including contingencies and FTA-eligible finance charges), in accordance with FTA New Starts project guidelines. |
| 27 | | Committed ($) | $226 | ---- | ---- | ● | $2,698 | $4,308 | ($1,610) | ● | $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 (%) | 8.4% | ---- | ---- | ● | 62.6% | ---- | N/A | ● | % $M Committed of the committed Baseline FFGA Project Budget. |
| 29 | | Incurred ($M) | $63 | ---- | ---- | ● | $905 | $4,308 | ($3,403) | ● | $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 rebaselined in spring 2014. 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 | | Incurred (%) | 1% | ---- | ---- | ● | 21% | ---- | ---- | ● | % $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 | $1.0 | $4.7 | ($3.7) | ● | $31.4 | $35.1 | ($3.7) | ● | 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. Direct costs of the delay due to the Supreme Court decision were originally estimated at $36.2M through September 2013. Actual and plan amounts are through October 2013. |
| 32 | | Escalation Costs Related to Supreme Court Decision to Date | $0.0 | N/A | N/A | ● | $0.0 | N/A | N/A | ● | Escalation value to be determined based on actual costs incurred. |
| 33 | | *Total Cost of Delay Due to Supreme Court Decision to Date* | *$1.0* | *$4.7* | *($3.7)* | ● | *$31.4* | *$35.1* | *($3.7)* | ● | *Actual and plan amounts are through October 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 | $6 | N/A | N/A | ● | $519 | $542 | ($22) | ● | 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 | ($4) | N/A | N/A | ● | $89 | $102 | ($13) | ● | 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* | *$2* | *N/A* | *N/A* | ● | *$608* | *$644* | *($35)* | ● | *See the HART Monthly Progress Report for more detailed information on contingency.*<br>*Current Quarter = Total Project Contingency usage, Inception to Date = Current Budget Project Contingency value vs. Baseline Budget Project Contingency*<br>*The status is green because the Inception to Date actual number is above the FFGA minimum buffer value of $424M.* |
| 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 Progress | **PROJECT DELIVERY - OVERALL** | | | | | | | | | |
| 41 | | **Overall Progress** [Positive = ahead of Late Plan; Negative = behind Late Plan] | | | | | | | | | |
| 42 | | Overall Project Progress Completed | 1.7% | 2.4% | (0.7%) | ● | 22.7% | 23.6% | (0.9%) | ● | % 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. Revised project schedules for WOFH, MSF and KHG have been incorporated into the overall project progress curve and the interim opening will be June 2017. |
| 43 | | Overall Design Progress Completed | 10.6% | 9.7% | +0.9% | ● | 70.6% | 69.2% | +1.4% | ● | % Complete of Final Design contracts & DB-DBOM design levels-of-effort actual vs. late plan. Design is progressing satisfactorily in support of the planned bid dates. The design progress schedule has been rebaselined and the interim opening will be June 2017. |
| 44 | | Overall Construction Progress Completed | 3.5% | 4.0% | (0.5%) | ● | 12.7% | 13.7% | (1.0%) | ● | % Completion of Construction (DB, DBB, DBOM & E/E) contracts vs. planned. On 9/16/13, the temporary suspension of work for all ground-disturbing activities was lifted. The construction progress schedule has been rebaselined and includes revised project schedules for WOFH, MSF and KHG DB contracts. The interim opening will be June 2017. |
| 45 | | **Contracts Awarded** | | | | | | | | | |
| 46 | | Total Number of Contracts Awarded | 1 | 3 | (2) | ● | 32 | 34 | (2) | ● | The plan numbers are based off of the FTA Full Funding Grant Agreement Contract Packaging Plan (CPP) contracts.<br>Contracts awarded: Core Systems Support Services. Pending (not awarded yet): Safety and Security Support Services and Owner-Controlled Insurance Brokerage Services. Variance includes savings from planned budget with contingency. |
| 47 | | Total Value of Contracts Awarded | $43.9 | $52.7 | ($8.8) | ● | $3,133.0 | $3,199.4 | ($66.4) | ● | $M Awarded. Note, CORE systems includes costs of O&M. Variance includes savings from planned budget with contingency.<br>For a full list of contracts awarded please see the HART Monthly Progress Report. |
| 48 | | **Change Orders** | | | | | | | | | |
| 49 | | Change Orders (#) | 3 | N/A | N/A | ● | 103 | N/A | N/A | ● | # Change Orders executed this quarter (3 Final Design). These change orders reflect the Notice to Proceed and AIS delays. |
| 50 | | Change Orders ($) | $2.8 | N/A | N/A | ● | $227.7 | N/A | N/A | ● | $M Change Orders executed this quarter ($2.8M Final Design). These change orders are reducing our allocated, unallocated and known contingency. The most significant amendment during the third quarter was $2.3M for AIS suspension for Airport Section Guideway Utilities Final Design contract (FD-430). |
| 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. |

# BALANCED SCORECARD

***Project Implementation/Pre-Revenue Operation***



***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.

| | | Activity | Current Quarter (Q3 FY14) January, February, March 2014 | | | | Inception to Date January 2007 - March 2014 | | | | Comments |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Actual | Plan | Variance | Status | Actual | Plan | Variance | Status | |
| 54 | Project Progress (continued) | **Agreements*** | | | | | | | | | **Inception to Date Plan numbers vary each quarter due to advancement of design.* |
| 55 | | Utility Agreements - Engineering Services | 0 | 1 | (1) | | 28 | 29 | (1) | | Inception to Date Plan = total number of agreements planned for the project<br>WOFH - all 9 agreements executed.<br>KHG - all 10 agreements executed.<br>KHG/Airport/City Center - only 1 agreement executed.<br>Airport/City Center - 8 of the 9 agreements executed.<br>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 | 0 | 8 | (8) | | 9 | 29 | (20) | | Inception to Date Plan = total number of agreements planned for the project<br>WOFH - 6 out of 8 agreements executed.<br>KHG - 3 out of 6 agreements executed.<br>Airport - 0 of the 7 planned are executed.<br>City Center - 0 of the 8 planned are executed.<br>The status is orange due to the agreements needed for WOFH and KHG, which could delay construction. |
| 57 | | *Total Utility Agreements* | *0* | *9* | *(9)* | | *37* | *58* | *(21)* | | *Inception to Date Plan = total number of agreements planned for the project*<br>*WOFH - 2 agreements of 17 outstanding.*<br>*KHG - 3 agreements of 16 outstanding.*<br>*KHG/Airport/City Center ESA - Only 1 agreement planned/executed.*<br>*Airport/City Center ESA - 8 of 9 agreements executed.*<br>*Airport Construction- no agreements executed (7 agreements planned).*<br>*City Center Construction- no agreements executed (8 agreements planned).*<br>*The status is based on the potential for construction to be delayed.* |
| 58 | | HDOT Master Agreements/Joint Use & Occupancy | 0 | 0 | -0- | | 2 | 2 | 0 | | Inception to Date Plan = total number of agreements planned for the project<br>WOFH and a combined Master Agreement for KHG, Airport and City Center sections are executed. |
| 59 | | Other Agreements | 0 | 5 | (5) | | 10 | 20 | (10) | | Inception to Date Plan = total number of agreements planned for the project<br>Agreements needed for the project (**bold, red** items are high priority agreements):<br>**WOFH, KHG, City Center:**<br>**-University of Hawaii Master Agreement**<br>**WOFH:**<br>-Leeward Community College Pre-Construction Right of Entry Agreement -- COMPLETED<br>**-Leeward Community College Construction Right of Entry Agreement**<br>-UH West Oahu Pre-Construction Right of Entry Agreement -- COMPLETED<br>-Department of Land and Natural Resources -- COMPLETED<br>-Department of Education Master Agreement and Consent to Construct -- COMPLETED<br>-D.R. Horton Agreement for Construction -- COMPLETED<br>-DHHL MOU -- COMPLETED<br>-DHHL Consent to Construct -- COMPLETED<br>-DHHL License or Property Transfer (near completion)<br>**KHG:**<br>-UH Urban Garden Pre-Construction Right of Entry Agreement -- COMPLETED<br>**-UH Urban Garden Construction Right of Entry Agreement**<br>-Aloha Stadium/Department of Accounting & General Services (DAGS) -- COMPLETED<br>**Airport:**<br>-U.S. Navy/General Services Administration (GSA)<br>-U.S. Post Office Honolulu Processing Center<br>**City Center:**<br>-Honolulu Community College (HCC) Pre-Construction Right of Entry Agreement -- COMPLETED<br>-HCC Construction Right of Entry Agreement<br>-Federal Court House/GSA<br>-Hawaii Community Development Agreement<br>-DAGS<br>The status is based on the agreements needed for WOFH and KHG, which could impact ongoing construction. |

HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

# BALANCED SCORECARD

***Project Implementation/Pre-Revenue Operation***

***Comments and Legend***

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- 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.

| | | Activity | Current Quarter (Q3 FY14) January, February, March 2014 | | | | Inception to Date January 2007 - March 2014 | | | | Comments |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | Actual | Plan | Variance | Status | Actual | Plan | Variance | Status | |
| 60 | Project Progress (continued) | **Real Estate/Right-of-Way (ROW)** | | | | | | | | | |
| 61 | | *Acquisitions** | | | | | | | | | **Inception to Date Plan numbers vary each quarter due to advancement of design; Actual numbers are based on property availability for construction.* |
| 62 | | WOFH Full Acquisitions | 0 | 0 | -0- | | 14 | 14 | -0- | | Inception to Date Plan = total number needed for project<br>Consent to Construct received. Awaiting stipulated judgment and final order. |
| 63 | | WOFH Partial Acquisitions | 0 | 3 | (3) | | 3 | 6 | (3) | | Inception to Date Plan = total number needed for project<br>Finalizing agreements for two partial acquisitions. Offer made for one partial acquisition for West Loch Station. |
| 64 | | *Summary WOFH Acquisitions (Full + Partial)* | *0* | *3* | *(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<br>All property is available to contractors. |
| 66 | | KHG Partial Acquisitions | 0 | 0 | -0- | | 3 | 3 | -0- | | Inception to Date Plan = total number needed for project<br>Eminent domain on one partial is proceeding through the courts and two partials are in negotiations. |
| 67 | | *Summary KHG Acquisitions (Full + Partial)* | *0* | *0* | *-0-* | | *6* | *6* | *-0-* | | *Inception to Date Plan = total number needed for project* |
| 68 | | Airport Full Acquisitions | 1 | 4 | (3) | | 2 | 5 | (3) | | Inception to Date Plan = total number needed for project<br>One full acquisition in escrow closed and available for contractor. Two full acquisitions closed escrow, but relocations remain. One acquisition in negotiations. |
| 69 | | Airport Partial Acquisitions | 0 | 1 | (1) | | 1 | 5 | (4) | | Inception to Date Plan = total number needed for project<br>Two parcels in appraisal process and agreements for remaining parcels are pending. |
| 70 | | *Summary Airport Acquisitions (Full + Partial)* | *1* | *5* | *(4)* | | *3* | *10* | *(7)* | | *Inception to Date Plan = total number needed for project* |
| 71 | | City Center Full Acquisitions | 0 | 0 | -0- | | 2 | 15 | (13) | | Inception to Date Plan = total number needed for project<br>With the recent court decisions in favor of HART and the lifting of the injunction, HART is beginning the acquisition process and generating letter of intent to acquire. |
| 72 | | City Center Partial Acquisitions | 0 | 0 | -0- | | 0 | 70 | (70) | | Inception to Date Plan = total number needed for project<br>Awaiting resolution on design re: Dillingham acquisitions. With the recent court decisions in favor of HART and the lifting of the injunction, HART is beginning the acquisition process and generating letter of intent to acquire. One property added in due to tax record data. |
| 73 | | *Summary City Center Acquisitions (Full + Partial)* | *0* | *0* | *-0-* | | *2* | *85* | *(83)* | | *Inception to Date Plan = total number needed for project*<br>*With the recent court decisions in favor of HART and the lifting of the injunction, HART is beginning the acquisition process and generating letter of intent to acquire.* |
| 74 | | Expenditures for Full Acquisitions | N/A | N/A | N/A | | $42.5 | $45.4 | ($2.9) | | $M in expenditures recorded for full acquisitions vs. planned in the FFGA Budget. WOFH property final cost awaiting court approval. |
| 75 | | *Easements** | | | | | | | | | **Inception to Date Plan numbers vary each quarter due to advancement of design; Actual numbers are based on property availability for construction.* |
| 76 | | WOFH Easements | 0 | 0 | -0- | | 7 | 14 | (7) | | Inception to Date Plan = total number needed for project |
| 77 | | KHG Easements | 0 | 0 | -0- | | 3 | 5 | (2) | | Inception to Date Plan = total number needed for project |
| 78 | | Airport Easements | 0 | 0 | -0- | | 0 | 34 | (34) | | Inception to Date Plan = total number needed for project<br>2 easements in appraisal process and 1 offer made; 15 easements in process by Navy. |
| 79 | | City Center Easements | 0 | 0 | -0- | | 0 | 24 | (24) | | Inception to Date Plan = total number needed for project<br>Awaiting resolution on design re: Dillingham acquisitions. With the recent court decisions in favor of HART and the lifting of the injunction, HART is beginning the acquisition process and generating letter of intent to acquire. |
| 80 | | *Summary Easements* | *0* | *0* | *-0-* | | *10* | *77* | *(67)* | | *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.<br>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.<br>From 2010-2014 (YTD), Kiewit's average incident rate for recordable cases for the Project is 0.49. According to the U.S. Bureau of Labor Statistics, in 2012 the incidence rate of nonfatal occupational injuries and illnesses for heavy and civil engineering construction for total recordable cases was 3.2 nationally and 5.9 in Hawaii.<br>For additional information on recordable incidents please see the HART Monthly Progress Report. |
| 84 | | **Quality Assurance (QA)** | | | | | | | | | |
| 85 | | Completion of QA Audits | 0 | 0 | -0- | | 46 | 43 | +3 | | # QA Audits of HART, GEC, contractors and suppliers completed vs. planned. |
| 86 | | Successful Closure of Design NCRs | 0 | 0 | -0- | | 9 | 10 | (1) | | # Design Non-Conformance Reports (NCRs) closed vs. issued. One issued Dec. 2013 on MSF. |
| 87 | | Successful Closure of Construction NCRs | 19 | 30 | (11) | | 112 | 123 | (11) | | # Construction NCRs closed vs. issued. The variance: 30 (21-WOFH, 7-KHG and 2-MSF) issued Jan.-Mar.; 11 NCRs remain Open. |

HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

# BALANCED SCORECARD

***Project Implementation/Pre-Revenue Operation***

***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.

| | | Activity | Current Quarter (Q3 FY14) | | | | Inception to Date | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | January, February, March 2014 | | | | January 2007 - March 2014 | | | | |
| | | | Actual | Plan | Variance | Status | Actual | Plan | Variance | Status | |
| 88 | Project Progress (continued) | **Economic Multipliers** [Negative = below plan] | | | | | | | | | |
| 89 | | DBE Participation (%) | 0.15% | 0.13% | +0.02% | Monitoring | 0.89% | 13% | -12.11% | Monitoring | % actual vs. target participation rate of Disadvantaged Business Enterprises (DBE) to date since September 24, 2007. The planned DBE participation rate is an overall project goal. The Inception to Date Actual amount includes an audit adjustment removing ineligible payments. The inception date has also been adjusted to September 24, 2007 to include eligible payments on SC-HRT-11H0131, GEC I. |
| 90 | | DBE Participation ($) | $2.72 | $2.29 | +$0.43 | Monitoring | $15.62 | $229 | ($213.38) | Monitoring | $M actual vs. target participation of DBE to date since September 24, 2007. The planned DBE participation rate is an overall project goal. The Inception to Date Actual amount includes an audit adjustment removing ineligible payments. The inception date has also been adjusted to September 24, 2007 to include eligible payments on SC-HRT-11H0131, GEC I. |
| 91 | Workforce Development | **PERSONNEL** | | | | | | | | | |
| 92 | | HART Staffing Level | 5 | 0 | +5 | On track or ahead of plan | 121 | 139 | (18) | On track or ahead of plan | # Current HART Full-Time Equivalents (FTEs) vs. planned positions in the FY14 Operating Budget. 121 current FTEs. This includes 102 City employees and 19 Project Management Support Consultant (PMSC) employees. The actual number reported in the Current Quarter reflects all new hires for the quarter. The Inception to Date numbers reflect the total number of employees currently onboard as of March 31, 2014. |
| 93 | | Direct Project Jobs Created | ---- | ---- | ---- | No current target/activity to date; Action pending | 1,042 | ---- | ---- | No current target/activity to date; Action pending | # Direct project jobs created. Actual number reflects input from all contractors and a calculated count for all agencies supporting HART's activities. |
| 94 | Partnerships | **Transit-Oriented Development (TOD) Planning** | | | | | | | | | |
| 95 | | City Department of Planning and Permitting Draft TOD Plans | 0 | 3 | N/A | On track or ahead of plan | 16 | 19 | N/A | On track or ahead of plan | City Department of Planning and Permitting (DPP) is responsible for TOD plans for 19 of the 21 stations. A total of 16 stations have Draft TOD neighborhood plans at this time. DPP started developing Draft TOD plans for the remaining 3 stations: Pearl Harbor Naval Base, Airport and Lagoon Drive. Final TOD Plans are expected starting in the second quarter of 2014 through 2015. In the interim, DPP has drafted Bill 71 Land Use Ordinance (LUO) Amendment Relating to Interim Plan Development Permits for TOD, which will allow for negotiations on TOD projects as per the Draft TOD plans before zoning is in place. |
| 96 | | Hawai'i Community Development Authority Draft TOD Overlay Plan | 0 | 0 | N/A | On track or ahead of plan | 2 | 2 | N/A | On track or ahead of plan | HCDA developed a Draft TOD Overlay Plan for the areas around Kaka'ako and Civic Center Station. It will be finalized in the Kaka'ako Environmental Impact Statement which is expected to be available in draft form in Q3 2014. |
| 97 | | *Total Stations with Approved Draft TOD Plans* | *0* | *3* | *N/A* | On track or ahead of plan | *18* | *21* | *N/A* | On track or ahead of plan | *TOD plans are being created for 21 stations.* |
| 98 | Customer Perspective | **PUBLIC OUTREACH** | | | | | | | | | |
| 99 | | Build a Social Media Community | 75 | ---- | N/A | On track or ahead of plan | 2,037 | ---- | N/A | On track or ahead of plan | # of unique Facebook followers. |
| 100 | | Proactive Community Outreach: Neighborhood Board Meetings | 33 | ---- | N/A | On track or ahead of plan | 852 | ---- | N/A | On track or ahead of plan | # Neighborhood Board Meetings in which HART has participated to date since 2006. |
| 101 | | Proactive Community Outreach: Presentations/Events | 52 | ---- | N/A | On track or ahead of plan | 1,580 | ---- | N/A | On track or ahead of plan | # Events in which HART has participated to date since 2006. |
| 102 | | **SERVICE DELIVERY** | | | | | | | | | |
| 103 | | Fare Collection System | | | | No current target/activity to date; Action pending | | | | No current target/activity to date; Action pending | TBD in FY15. |
| 104 | | Bus-Rail Integration Plan | | | | No current target/activity to date; Action pending | | | | No current target/activity to date; Action pending | TBD |
| 105 | | HART Operating Organization Plan | | | | No current target/activity to date; Action pending | | | | No current target/activity to date; Action pending | TBD |
| 106 | | HART Service Policy/Standards | | | | No current target/activity to date; Action pending | | | | No current target/activity to date; Action pending | TBD |
| 107 | | **LIVABILITY** | | | | | | | | | |
| 108 | | HART Sustainability Policy | | | | No current target/activity to date; Action pending | | | | No current target/activity to date; Action pending | TBD in FY14. |
| 109 | | Transit-Oriented Development (TOD) Policy | | | | No current target/activity to date; Action pending | | | | No current target/activity to date; Action pending | TOD stakeholders group in development. |

ATTACHMENT G

HONOLULU AUTHORITY for RAPID TRANSPORTATION

# Construction and Traffic Update
## June 19, 2014

# Project Map

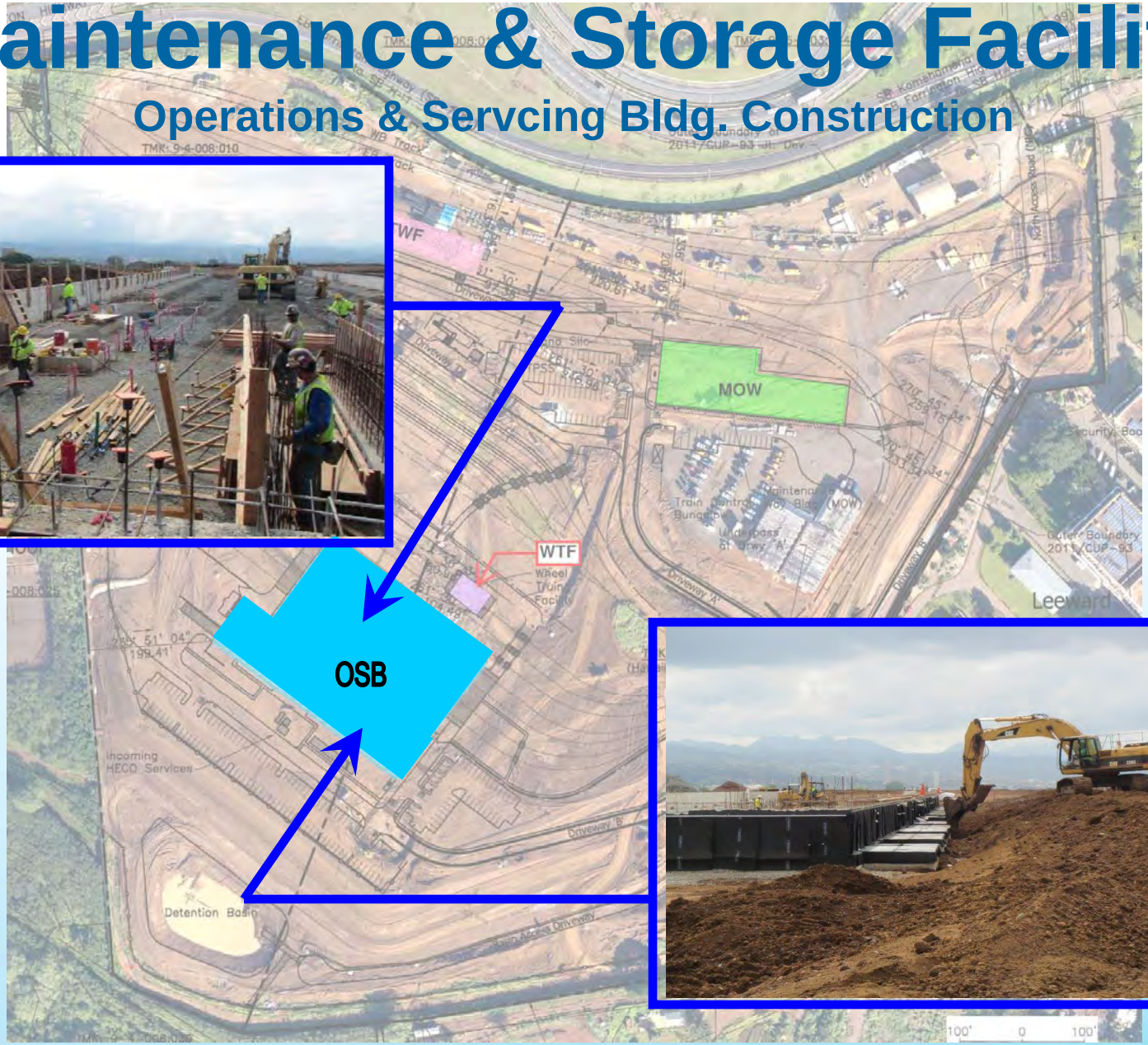
LEGEND
HRTP Guideway
HRTP Station
Park and Ride Access Ramps
Park and Ride
Maintenance and Storage Facility (MSF)
WOFH Section
KHG Section
Airport Section
City Center Section
Leeward Community College
Pearl Highlands
Waipahu Transit Center
West Loch
Pearlridge
Aloha Stadium
Ho'opili
UH West O'ahu
Pearl Harbor Naval Base
East Kapolei
Honolulu International Airport
Lagoon Drive
Middle Street Transit Center
Kalihi
Kapalama
Iwilei
Chinatown
Downtown
Civic Center
Kaka'ako
Ala Moana Center
PACIFIC OCEAN
MAMALA BAY
N
0 0.5 1 2 Miles

# Maintenance & Storage Facility

# Maintenance & Storage Facility

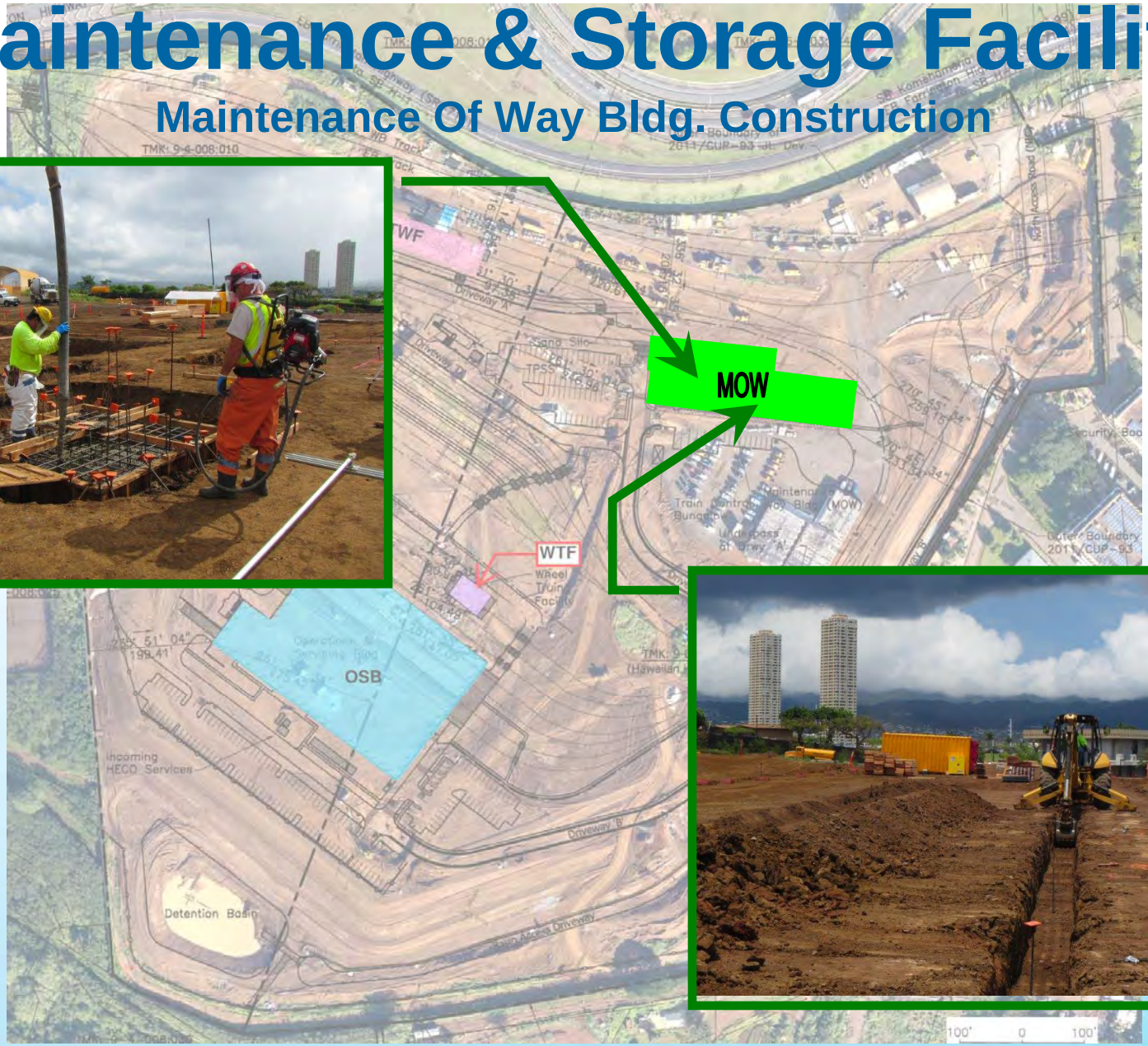
# Maintenance & Storage Facility

## Operations & Servcing Bldg. Construction



# Maintenance & Storage Facility

## Maintenance Of Way Bldg. Construction



# Maintenance & Storage Facility

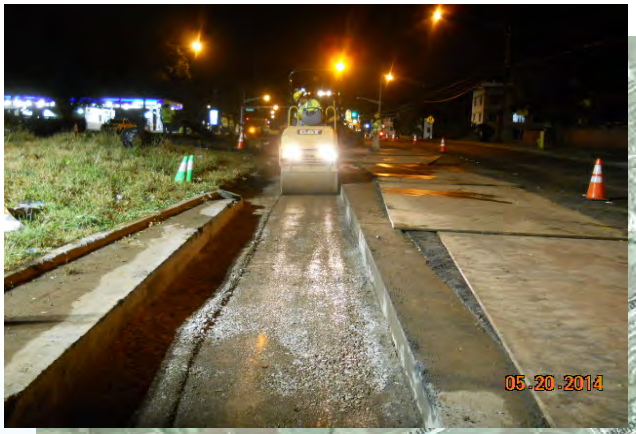
## Utility Installation Construction

# Guideway

# Precast Yard

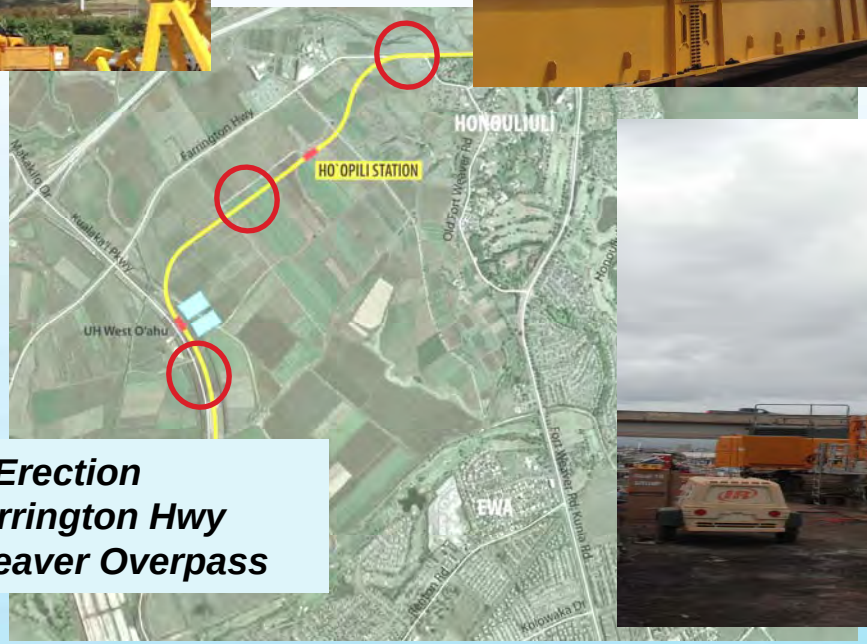
***-Segment hauling***
***-Storage***

# Utilities, Balanced Cantilever & Underpass



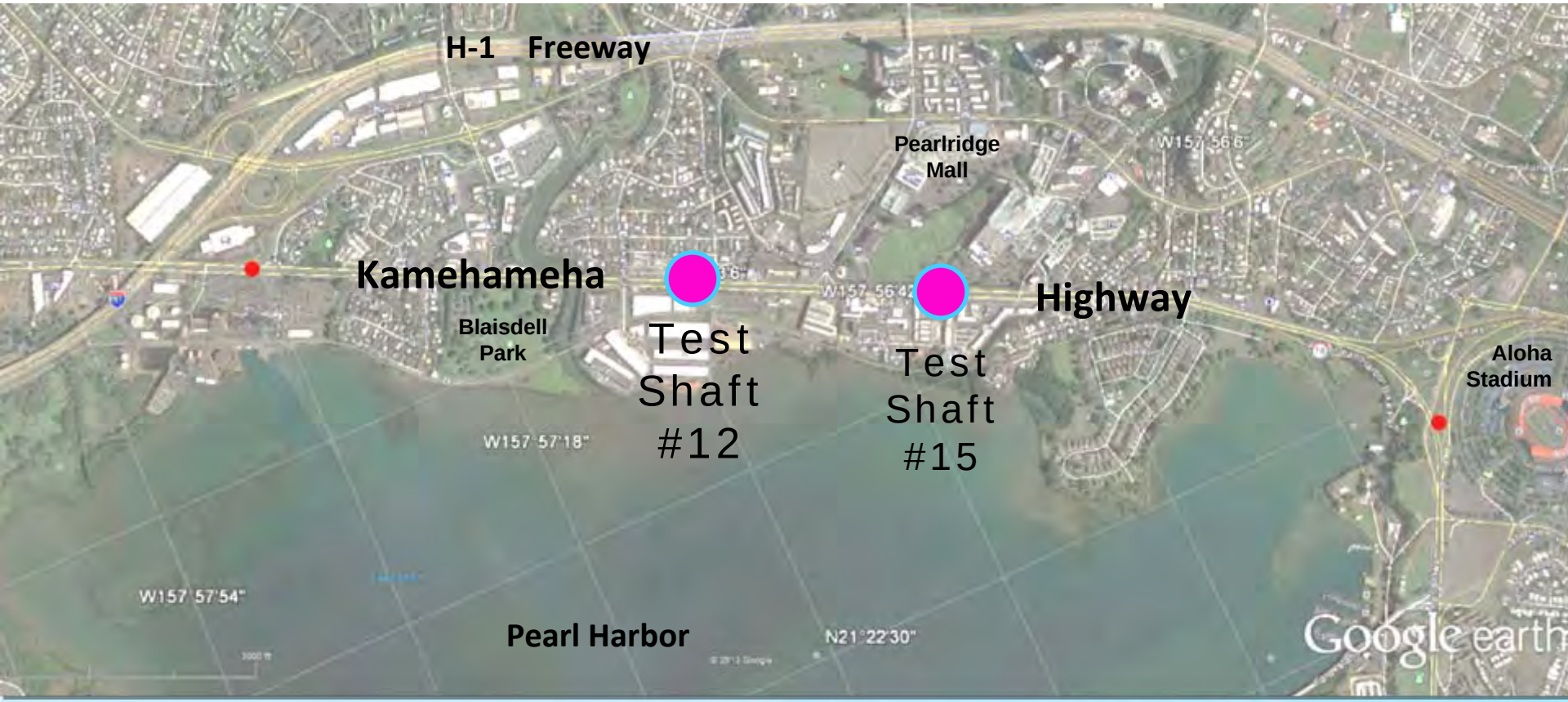
*-North Access Underpass*
*-Power Line Relocation*
*-Pier Foundation at H-1*

# Columns, Shafts and Segments



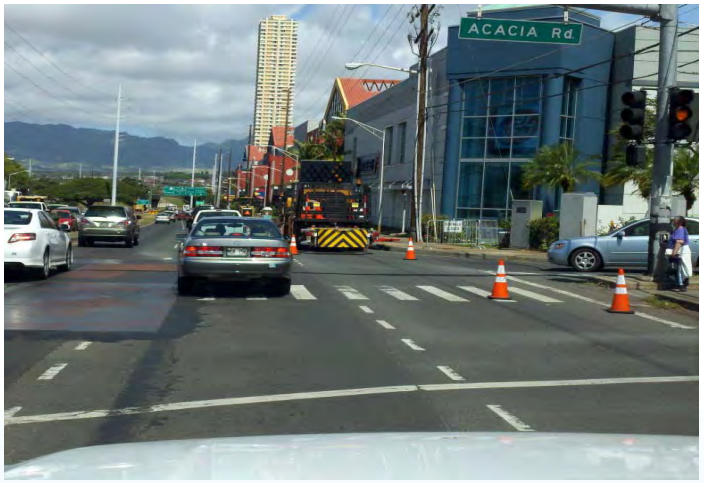
***-Segment Erection***
***-Columns in Farrington Hwy***
***-Shafts near Ft Weaver Overpass***

# Kamehameha Highway Guideway




## Test Shaft Locations

# Kamehameha Highway Guideway



## Roadway Widening, Test Shafts & Utility Relocations

# Traffic Update

**Location: Farrington Highway in Ewa between Kualakai Parkway and Old Fort Weaver Road**
Work: Overnight utility work

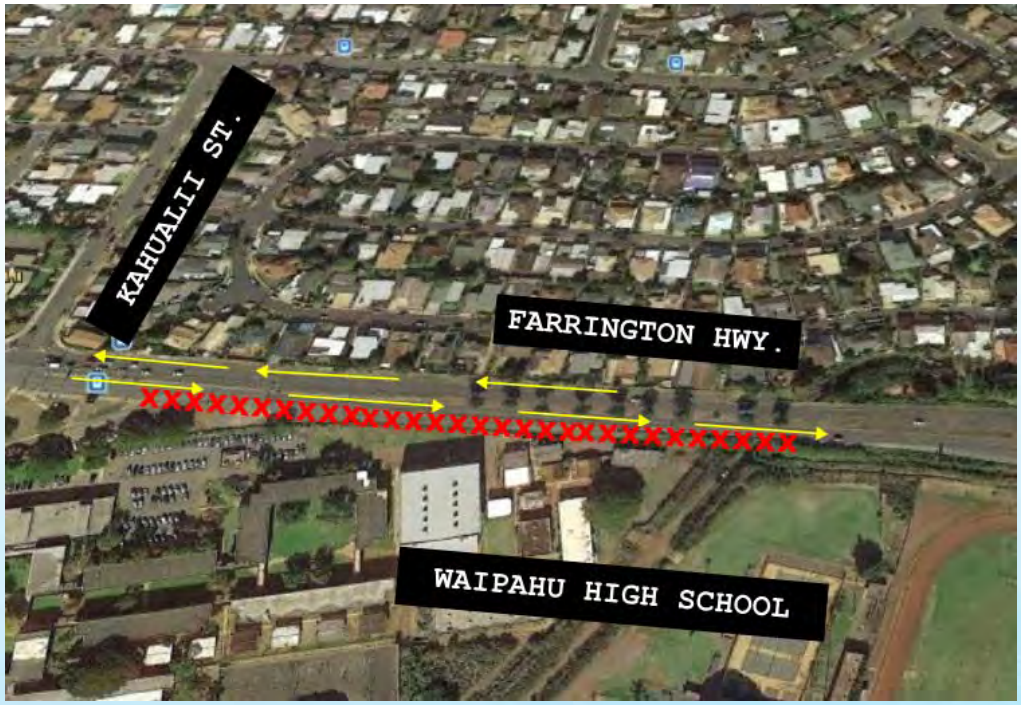
# Traffic Update

**Location: Kunia on-ramp at Ft. Weaver Road**

Work: Installation of shaft and column at Ft. Weaver Rd. overpass

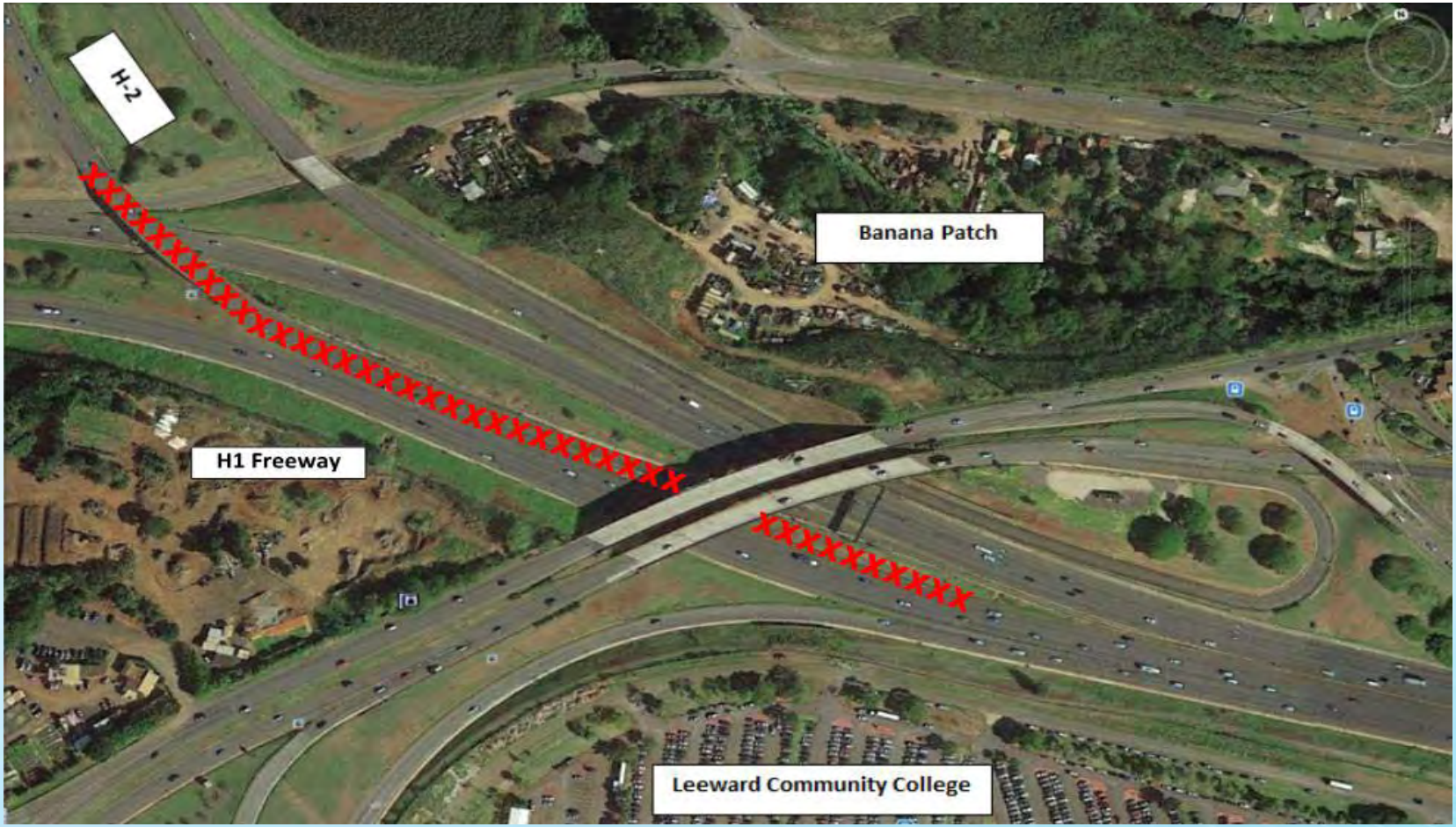
# Traffic Update

**Location: Near Waipahu High School**
Work:  Restripe, Utility relocations, K-rail set up and Column/Shaft work



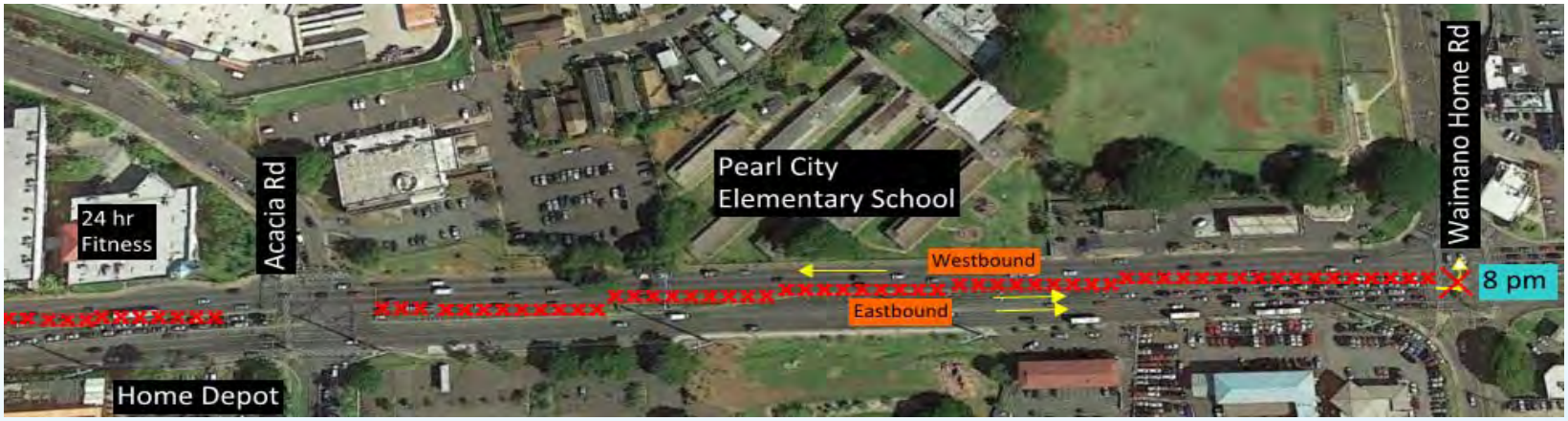
# Traffic Update

**Location: H-1/H-2 merge (Waiawa Interchange)**
Work: Preparation work for balanced cantilever work later this summer



# Traffic Update

**Location: Kamehameha Highway between Acacia Road and Puu Poni Street**
Work: Utility relocation work



# Traffic Update

**Location: Puu Poni St to Kuleana Rd**
Work: Relocation of utility lines includes potholing, sawcutting and excavation

# Traffic Update

**Location: Kamehameha Highway between Lipoa Place and Pali Momi Street**
Work: Drill shaft work

# *Mahalo!*

HONOLULU RAIL TRANSIT