HONOLULU RAIL TRANSIT PROJECT

October 2013

Cost, Schedule, Risk data date 9/27
Other Activities 10/31

MONTHLY PROGRESS REPORT

HART

HONOLULU AUTHORITY for RAPID TRANSPORTATION

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1 EXECUTIVE SUMMARY.

1.1 Key Activities This Month

A total of $63,791,074 in General Excise and Use Tax (GET) surcharge revenue was received on October 31 for the quarter ended September 30. The approximately $63.8 million marks the highest quarterly GET surcharge amount received by HART to date.

"We now have a total of $1.14 billion in surcharge revenue collected for rail. This quarter's revenue is the largest amount of GET funding for the project since collections began," said HART CEO and Executive Director Daniel Grabauskas. "Strong GET surcharge revenue coupled with the $1.55 billion in federal funding that we secured last year is keeping us on the right track to deliver the project on budget."

The half-percent GET surcharge for Oʻahu, which by law can only be used for Honolulu's rail system, began in January 2007 and is set to expire at the end of 2022. The surcharge is estimated to fund nearly 70 percent of the project's cost, with the remaining balance to be paid for using federal funds.

HART Presents Proposed Budget
The HART Board's Finance and Project Oversight Committees held a public hearing, and approved the transit authority's proposed operating and capital budgets for Fiscal Year (FY) 2015. The proposed operating budget for next year totals $21.48 million – up slightly (2.7%) from the FY 2014 budget of $20.92 million. The proposed Capital Improvement Program (CIP) is $1.56 billion, the bulk of which (70%) covers construction costs. By comparison, the FY 2014 CIP budget is $1.34 billion.

The proposed budgets will be submitted to the Mayor by December 1, 2013. The HART Board of Directors will approve the final budgets prior to July 1, 2014, which is the beginning of FY 2015.

HART's Industry Day Event a Success
As the single-largest job creator on Hawaiʻi's economic horizon, HART hosted a successful event in October for contractors interested in the rail project. More than 200 exhibitors and attendees from the construction industry were able to meet and discuss partnership and team building opportunities. Participants represented small business, disadvantaged business enterprises, local contractors, and trade unions looking to partner with the project's prime contractors.

1.2 Key Current Issues

Archaeological Inventory Survey (AIS) Reports and Review
The Archaeological Monitoring Plans for Airport and City Center, Data Recovery Plan for City Center and the City Center Burial Treatment Plan are being prepared for submittal to the State Historic Preservation Division (SHPD).

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

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

Federal Lawsuit

The Final Supplemental Environmental Impact Statement/Section 4(f) Evaluation [EIS/Section 4(f)] and Amended Record of Decision was released on September 30. This limited scope document evaluated the feasibility and prudence of the Beretania Street Tunnel Alternative and reconsidered the "no use" determination for Mother Waldron Neighborhood Park. It also incorporated by reference the evaluations of previously unidentified aboveground traditional cultural properties (TCPs) within the project corridor. A Notice of Compliance was filed with the U.S. District Court on October 8 that gave notice that the three additional studies required have been completed.

On October 11, a Stipulation and [Proposed] Order Modifying Partial Injunction was filed with the U.S. District Court requesting approval by the Court to modify the partial injunction against real property acquisition activities in Phase 4. The Order Modifying the Partial Injunction was issued on October 17. HART is now allowed to negotiate real property acquisitions with public agencies, relocate tenants from properties already acquired, and acquire certain Dillingham Boulevard properties that are needed for both the approved Project and the Beretania Street Tunnel Alternative.

1.3 Project Scope Status Overview

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

1.4 Project Schedule Status Overview

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

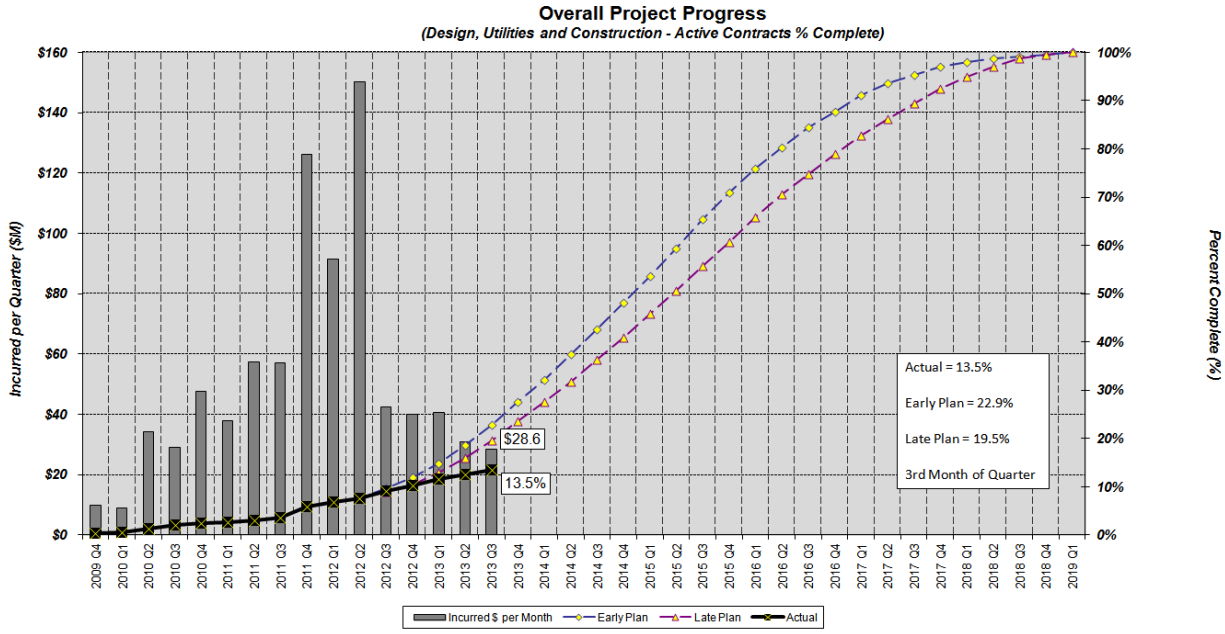
HART continues to closely monitor and manage the MPS, and all key milestones. In an effort to mitigate the AIS delay, several contract packages are being combined to maximize economies of scale and reduce interface needs between design and construction contractors to achieve both cost and schedule benefits.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

1.5 Project Progress Overview

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

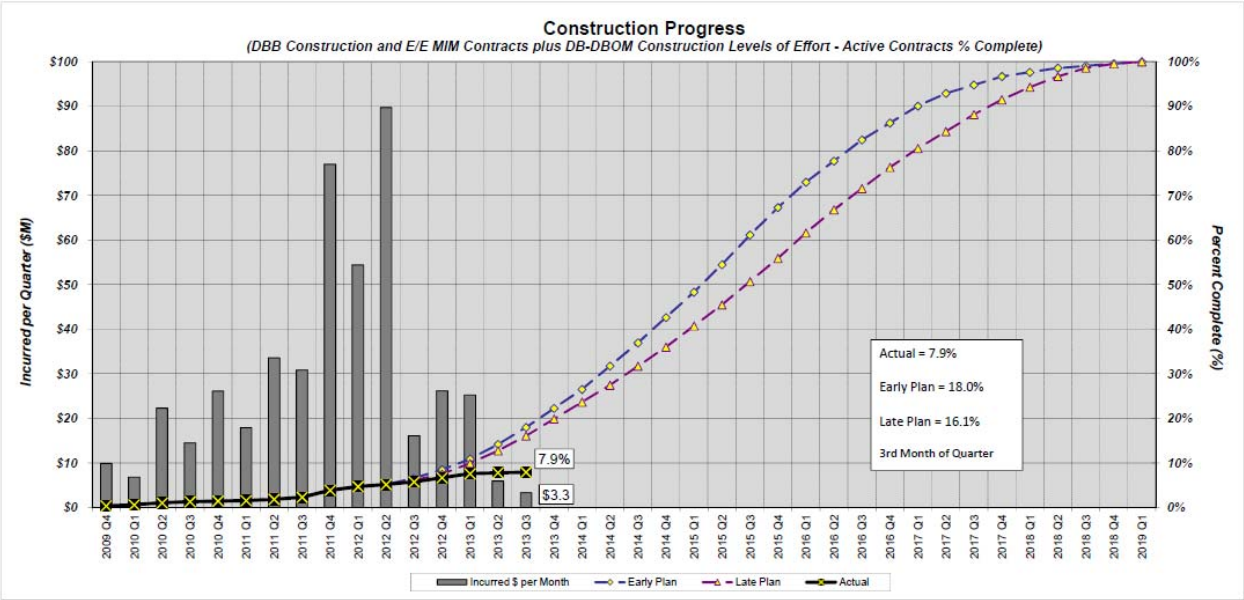
At present "overall" project progress is based on the weighted value progress of the individual construction and design contracts (Design-Build [DB], Design-Bid-Build [DBB], Design-Build-Operate-Maintain [DBOM], Elevator/Escalator Manufacture-Install-Test-Maintain [MIM], Final Design [FD] and DB-DBOM design levels of effort), not including City or non-design consultant labor. Overall Project Progress reflects all project elements as budgeted. Utilizing the existing Project progress method through September 27, 2013, progress is 13.5%, versus the early plan of 22.9% and the late plan of 19.5%, as shown in Figure 1.

Figure 1. Overall Project Progress (% Complete)



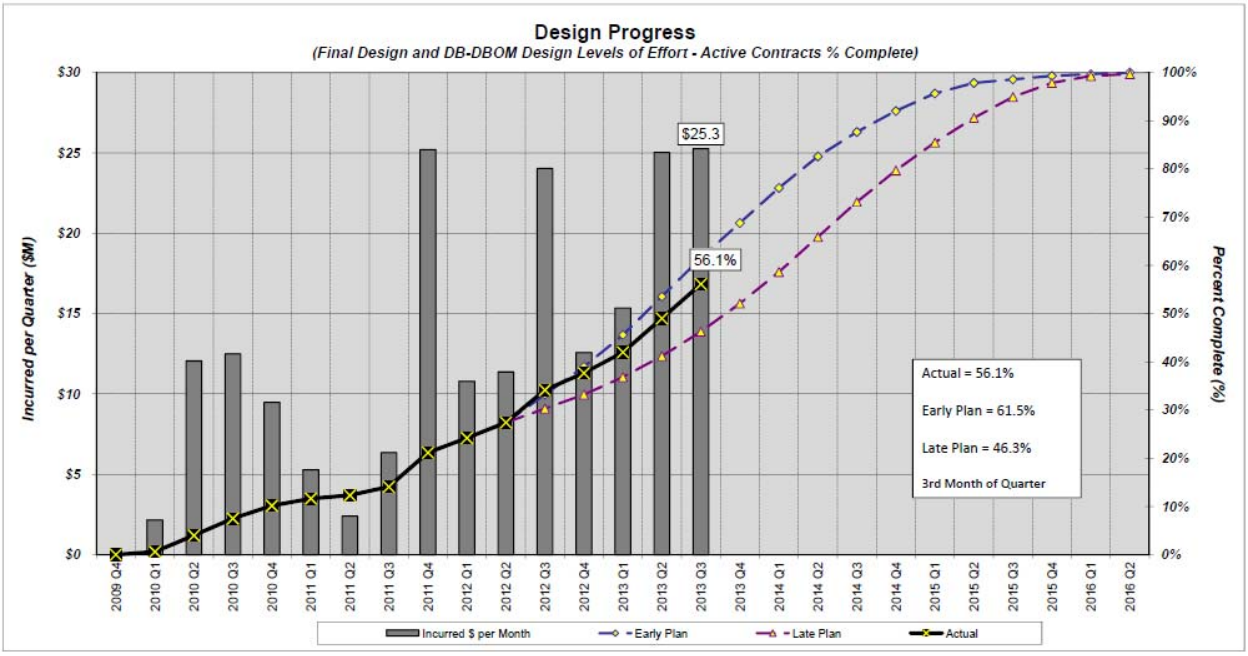
Overall construction progress as of September 27, 2013 is 7.9%, versus the early plan of 18.0% and the late plan of 16.1%, as shown in Figure 2 below. Overall construction progress is based on the weighted average progress of the individual DBB and E/E MIM construction contracts and the DB-DBOM construction levels of effort, not including consultant construction engineering and inspection (CE&I) services.

Figure 2. Construction Progress (% Complete)



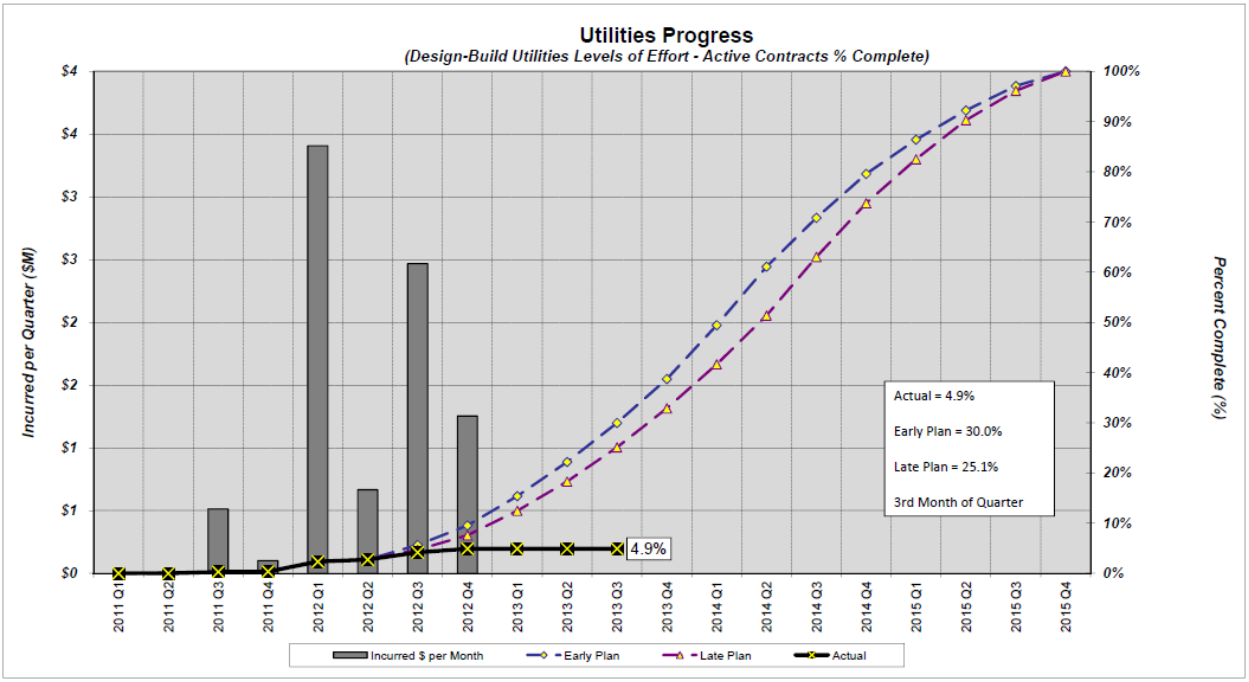
Overall design progress through September 27, 2013 is 56.1%, versus the early plan of 61.5% and the late plan of 46.3%, as shown in Figure 3 on the next page. Overall design progress is based on the weighted average progress of the individual FD contracts and the design levels of effort of the DB and DBOM construction contracts, not including City or non-design consultant labor.

Figure 3. Design Progress (% Complete)



Overall utilities progress through September 27, 2013 is 4.9%, versus the early plan of 30.0% and the late plan of 25.1%, as shown in Figure 4 below. Overall utilities progress is based on the weighted average progress of the DB utilities levels of effort.

Figure 4. Utilities Progress (% Complete)



1.6 Financial Status Overview

1.6.1 Project Budget

The total incurred cost (actual expenditures plus approved requests for payment) as of September 27 was $762.7M, or 17.9% of the FFGA Current Project Budget (excluding contingencies and finance charges) of $4.270B.

The total committed amount as of September 27 was $2.378B, or 55.7% of the FFGA Current Project Budget (including awarded design contract allowances of $4.8M, but excluding uncommitted contingencies and finance charges).

The total amount Authorized for Expenditure (AFE) by way of Notices to Proceed (NTPs) was $1.53B, or 35.8% of the FFGA Current Project Budget (excluding uncommitted contingencies and finance charges). During this reporting period, HART issued notices to proceed for the Kamehameha Highway Station Group (FD-340) and Airport Section Guideway (FD-430) contracts. In addition to the NTPs, five Change Orders were executed during the month of September as detailed in the table below. For the period, there is a total AFE increase of $10M as the result of the two issued NTPs, executed Contract Changes, and three amendments.

Figure 5. Total Authorized for Expenditure (AFE) Increase

Notices to Proceed			
Contract		Scope	Amount ($)
FD-340	Kamehameha Highway Station Group	NTP 3	1,913,030
FD-430	Airport Section Guideway	NTP 3	293,939
Change Orders/Cost Adjustment			
DB-120	West O‘ahu Farrington Hwy DB	CO 00033	4,900,000
DB-120	West O‘ahu Farrington Hwy DB	CO 00035	120,812
DB-200	Maintenance & Storage Facility DB	CO 00012	823,500
DB-200	Maintenance & Storage Facility DB	CO 00013	191,155
DBOM-920	Core Systems DBOM	CO 0004	235,000
FD-240	Farrington Highway Station Group	Amend 10	400,000
MM-920	HDOT Conslt WOFH	Adjustment	1,000,000
MM-935	Real Estate/Right-of-Way	Adjustment	153,750
Net AFE Increase			**10,031,186**

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

During the September 2013 cost period, there was a $6.1M drawdown to Project Contingency and a resulting balance of $637.1M. Cost contingency details, along with a discussion of contingency management and the proposed Cost Contingency Drawdown Chart are presented in Section 2.4.

1.6.2 Project Funding

There were no New Starts drawdowns received in September.

No county General Excise Tax (GET) surcharge was received in September. As reported in Section 1.1, the distribution of GET surcharge for the quarter ended September 30 was received on October 31. See Section 2.2 for project funding details.

1.6.3 Full Funding Grant Agreement (FFGA) Status

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

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

Figure 6. Drawdown by Fiscal Year

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

1.7 HART Board of Directors Meetings and Events in October

HART Transit-Oriented Development Committee Meeting

Thursday, October 17, 2013, 8:30 a.m., Mission Memorial Annex Conference Room, 550 S. King St., Honolulu
Open to the Public.

HART Joint Finance/Project Oversight Committee Meeting

Thursday, October 17, 2013, 9:00 a.m., Mission Memorial Annex Conference Room, 550 S. King St., Honolulu
Open to the Public.

2 PROJECT BUDGET AND SCHEDULE

2.1 Project Budget

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

The total committed amount as of September 27 was $2.378B (including awarded design contract allowances of $4.8M, but excluding uncommitted contingencies and finance charges), or 55.7% of the FFGA Current Project Budget (excluding uncommitted contingencies and finance charges).

In September 2013, the Project incurred $13.8M in costs (actual expenditures plus approved requests for payment as of the cost data date of September 27). This brought the total incurred cost to date to $762.7M, or 17.9% of the Project Budget (excluding contingencies and finance charges). The FFGA Financial Plan (*Honolulu Rail Transit Project Final Financial Plan for Full Funding Grant Agreement*, June 2012, Tables 2-4 and A-1) projected cumulative capital expenditures of $1.3B through FY2013.

The total amount Authorized for Expenditure (AFE) by way of Notices to Proceed (NTPs) is $1.5B, or 35.8% of the FFGA Project Budget (excluding uncommitted contingencies and finance charges).

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

2.2 Project Revenue and Costs

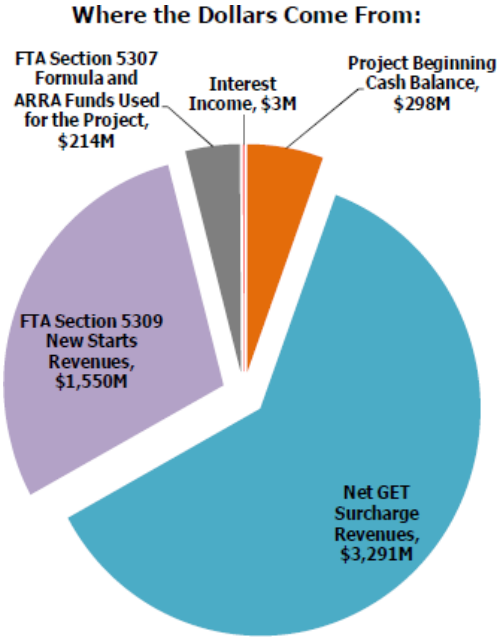
Total cash received to date since the start of Preliminary Engineering is $1,185M.

The FFGA Financial Plan (Table A-1 *Capital Plan Cash Flows*) projects Net GET Surcharge Revenue of $898M for FYs 2010-2014. As of the September 27 cost data date, approximately $701M has been received since the Project's entry into FTA's Preliminary Engineering phase of project development. See Figure 7 on the next page for Project funding and Figure 8 for planned versus received funding.

Project revenue is presented against costs incurred as of the September 27 cost data date in Figure 9 on page 12. Cash Balance for the period is $419.9M as detailed on Figure 10 also on page 12.

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

Figure 7. Project Funding Sources (YOE $M)



Source: FFGA Financial Plan, p. 2-1

Figure 8. Planned vs. Received Project Funding

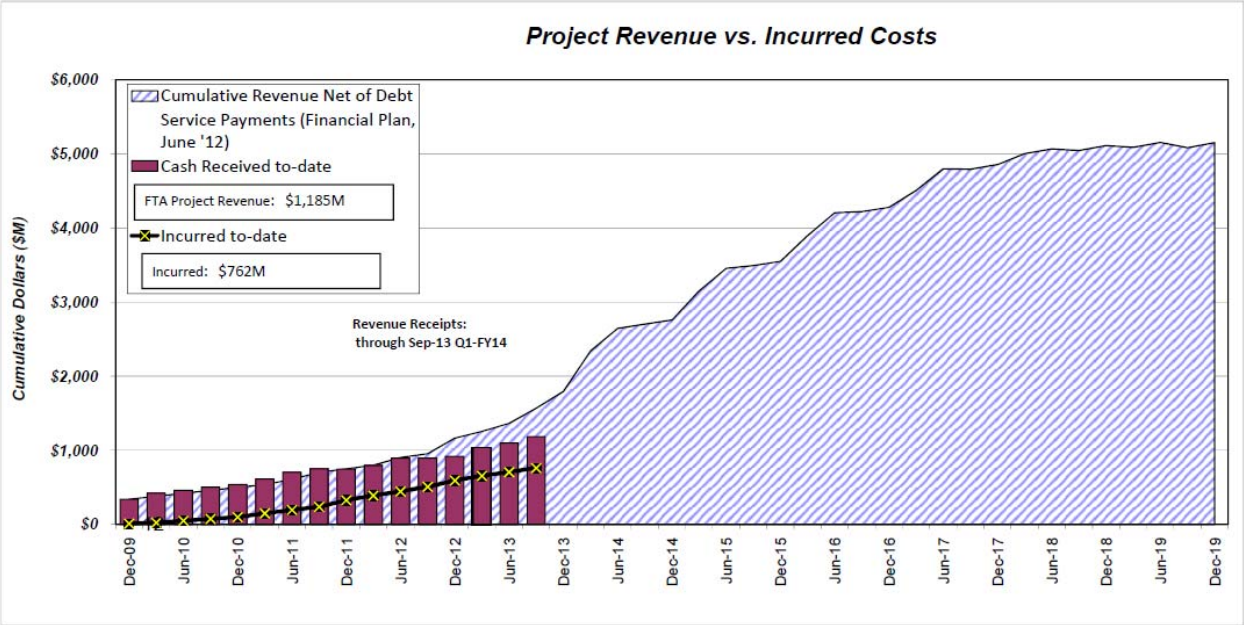
Funding Source	*Pre-FFGA Project*[1]	FFGA Project Period		Total Project
	2007 - 2009 Actuals Received	Planned[2] ($YOE M)	2009 - Present Actuals Received	2007 - Present Actuals Received
	[A]		[B]	[C] = A +B
Beginning Project Cash Balance[3]	*0*	**298**	298	**298**
Interest Income on Cash Balance	*7*	**3**	2	**9**
FTA Section 5309 New Starts Revenue	*0*	**1,550**	180	**180**
FTA Section 5307 Formula Funds	*0*	**210**	0	**0**
ARRA Funds	*0*	**4**	4	**4**
Net General Excise Tax (GET) Surcharge revenues FY2010-FY2023	*378*	**3,291**	701	**1,079**
Total	***385***	**5,356**	**1,185**	**1,570**

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

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

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

Figure 9. Project Revenue versus Incurred Costs



Planned Funding levels as per the June 2012 FFGA Finance Plan
Data date for Revenue & Incurred Cost = September 27, 2013

Figure 10. Cash Balance Summary

SEPTEMBER 2013 CASH BALANCE SUMMARY	
Beginning Cash Balance 9/1/2013	441,732,098
Expenditures:	
Operating expenditures	(941,694)
Capital Expenditures	(20,929,682)
Expenditures Total:	(21,871,376)
Receipts:	
GET Surcharge	0
FTA Drawdown	0
Interest	21,055
Other (rental, refunds,copy fees, etc.)	64,467
Receipts Total:	85,522
Ending Cash Balance 9/30/13	419,946,244

Figure 11. Project Costs by Contract

HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: September 2013

Project Monthly Cost Report by Contract - One Line Summary

Page: 1 of 3

CPP No	Title	A COMMITTED Original	B COMMITTED Changes	C=A+B COMMITTED Current *	D AFE AFE**	E INCURRED Incurred To Date	F PERCENT %
ART	Project Wide ART	0	0	0	0	0	0%
CCH-100	Inactive Hart/City CCH	15,348,443	0	15,348,443	0	14,925,228	97%
CCH-101	HART/ City Dept of BFS	105,092	0	105,092	0	0	0%
CCH-102	HART/ City DDC Land Division	256,201	0	256,201	0	173,182	68%
CCH-107	HART/ City Corporation Counsel (COR)	1,896,664	0	1,896,664	0	3,650	0%
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	69,422,279	552,346,279	330,580,345	186,294,137	34%
DB-200	Maintenance & Storage Facility DB	195,258,000	25,922,398	221,180,398	154,211,132	54,082,554	24%
DB-320	Kamehameha Hwy Guideway DB	372,150,000	6,710,981	378,860,981	168,877,062	84,597,001	22%
DBB-185	WOFH/KHSG Construction	0	0	0	0	0	0%
DBB-275	Pearl Highlands Pkg. Str./BTC Cnstr.	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	2,042,496	575,825,289	487,305,938	45,894,864	8%
FD-140	West Oahu Station Group Final Design	7,789,000	-0	7,789,000	5,575,579	4,845,187	62%
FD-240	Farrington Highway Stations Group 2	5,500,696	2,907,349	8,408,045	8,111,060	8,344,602	99%
FD-245	Pearl Highlands Pkg. Str./BTC FD	0	0	0	0	0	0%
FD-340	Kamehameha Hwy Station Group H2R2 FD	8,702,592	0	8,702,592	7,797,781	6,044,105	69%
FD-430	Airport Sect. Guideway/Utilities FD	38,840,960	739,114	39,580,074	32,099,844	26,627,835	67%
FD-440	Airport Station Group FD	10,177,365	0	10,177,365	6,504,666	6,012,619	59%
FD-530	City Center Guideway/Utilities FD	43,948,220	0	43,948,220	34,629,648	13,244,859	30%
FD-550	Dillingham and Kaka'ako SG FD	18,321,918	0	18,321,918	1,305,204	0	0%
FD-600	UHWO Pkg-Hoopili Station Finishes FD	0	0	0	0	0	0%
HRT-200	HART Labor	19,251,942	0	19,251,942	0	15,523,339	81%
HRT-201	HART ODC	11,923,053	0	11,923,053	0	5,095,899	43%
MI-930	Elevators & Escalators Install/Maint	50,982,714	0	50,982,714	5,442,108	0	0%

* Current Committed = Original Contract + CCO/Amendment

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

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HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: September 2013

Project Monthly Cost Report by Contract - One Line Summary

		A	B	C=A+B	D	E	F
		COMMITTED			AFE	INCURRED	PERCENT
CPP No	Title	Original	Changes	Current *	AFE**	Incurred To Date	%
MM-280	WOFH/KHSG CE&I	0	0	0	0	0	0%
MM-385	Pearl Highlands Garage and Ramps CEI	0	0	0	0	0	0%
MM-500	Airport-City Center Utilities CEI	0	0	0	0	0	0%
MM-525	Airport-City Center Guideway CEI	0	0	0	0	0	0%
MM-590	Aiport/Dillingham/Kaka'ako SG CE&I	0	0	0	0	0	0%
MM-600	UHWO Pkg-Hoopili Stn Finishes CEI	0	0	0	0	0	0%
MM-900	Program Mgt Support Conslt (PMSC-1)	36,727,162	0	36,727,162	20,700,000	20,774,593	57%
MM-901	Program Mgt Support Conslt (PMSC-2)	33,376,897	0	33,376,897	11,240,790	13,873,238	42%
MM-905	MM-905 Gen Engrg Conslt EIS/PE	0	78,564,942	78,564,942	78,564,942	74,119,129	94%
MM-910	MM-910 Gen Engrg Conslt FD-Construct	150,000,000	0	150,000,000	150,000,000	124,069,526	83%
MM-915	HDOT Traffic Mgmt. Consult.	1,600,000	-600,000	1,000,000	600,000	506,375	51%
MM-920	HDOT Coordination Conslt WOFH	3,000,000	7,500,000	10,500,000	7,000,000	4,751,865	45%
MM-921	HDOT Coordination Conslt KHG	10,000,000	-1,400,000	8,600,000	4,000,000	541,963	6%
MM-922	HDOT Coord. Conslt. Airport	12,000,000	-5,600,000	6,400,000	3,000,000	982,031	15%
MM-923	HDOT Coordination Conslt City Center	0	0	0	0	0	0%
MM-925	HDOT Labor - Highway Group	550,000	0	550,000	550,000	268,827	49%
MM-926	HDOT Labor - Airport Group	0	0	0	0	0	0%
MM-930	HDOT State SOA Manager & Consultant	1,272,400	583,142	1,855,542	322,293	142,024	8%
MM-935	Real Estate Consultant	3,000,000	0	3,000,000	2,359,343	309,026	10%
MM-940	Kako'o Consultant	1,000,000	0	1,000,000	505,490	251,097	25%
MM-945	On-Call Contractor	0	0	0	0	0	0%
MM-946	On-Call Hazmat Removal Contractor	3,000,000	0	3,000,000	1,000,000	471,949	16%
MM-950	OCIP Consultant	1,250,000	0	1,250,000	437,500	504,219	40%
MM-951	Owner-Controlled Insurance Program	0	0	0	0	0	0%
MM-975	LEED Commissioning Services for MSF	278,630	0	278,630	278,630	58,660	21%
OTHER	Project Wide	0	0	0	0	0	0%
PA-101	Programmatic Agreement Humanities	0	0	0	0	0	0%
PA-102	Programmatic Agreement HPC	400,000	0	400,000	200,000	0	0%
PA-103	Programmatic Agreement HPC Park Impr	0	0	0	0	0	0%
ROW	Real Estate / Right-of-Way	49,019,536	0	49,019,536	0	45,249,919	92%

*** Current Committed = Original Contract + CCO/Amendment**

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

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HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: September 2013

Project Monthly Cost Report by Contract - One Line Summary

		A	B	C=A+B	D	E	F
		COMMITTED			AFE	INCURRED	PERCENT
CPP No	Title	Original	Changes	Current *	AFE**	Incurred To Date	%
UTIL	Utilities by Utility Companies	27,287,988	150,000	27,437,988	3,959,000	3,154,701	11%
Total Project:		**2,191,850,590**	**186,942,701**	**2,378,793,291**	**1,527,158,353**	**762,666,526**	

* Current Committed = Original Contract + CCO/Amendment

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

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Figure 12. Project Costs by SCC – Summary

HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: September 2013

Project Monthly Cost Report by SCC Summary

Page: 1 of 1

		A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
SCC	Title	Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
1. Subtotal 10 - 80 SCC Costs										
10	Guideway & Track Elements	1,114,215,147	20,577,149	1,134,792,296	520,996,879	11,256,318	3,359,000	1,134,792,296	0	28,542,146
20	Stations,Stops,Terminals,Intermo	421,804,740	(25,138,472)	396,666,268	50,982,714	0	0	396,666,268	0	0
30	Support Facilities;Yards,Shops, A	92,535,015	10,387,675	102,922,690	102,847,345	6,503,681	1,591,096	102,922,690	0	5,440,378
40	Sitework & Special Conditions	983,178,121	(26,518,542)	956,659,579	545,259,256	80,823,820	3,002,108	956,659,579	0	237,364,097
50	Systems	221,284,301	(569,228)	220,715,073	205,554,860	172,640	22,816,050	220,715,073	0	0
60	ROW, Land, Existing Improvement	197,397,947	277,800	197,675,747	52,297,336	1,147,143	0	197,675,747	0	45,836,745
70	Vehicles	186,829,020	4,713,997	191,543,017	191,543,017	1,514,720	0	191,543,017	0	212,900
80	Professional Services	1,087,830,119	(18,472,973)	1,069,357,146	704,509,029	91,961,029	(15,397,698)	1,069,357,146	0	445,270,260
Subtotal:		4,305,074,410	(34,742,593)	4,270,331,817	2,373,990,436	193,379,351	15,370,556	4,270,331,817	0	762,666,526
2. NTP										
NTP	Authorized For Expenditure	0	0	0	0	1,334,982,536	0	0	0	0
Subtotal:		0	0	0	0	1,334,982,536	0	0	0	0
3. Contingency										
CNTR	Contingency	541,689,343	34,742,593	576,431,936	4,802,855	(1,203,533)	158,759,590	576,431,936	0	0
PRJ	Contingency	101,871,170	0	101,871,170	0	0	0	101,871,170	0	0
Subtotal:		643,560,513	34,742,593	678,303,106	4,802,855	(1,203,533)	158,759,590	678,303,106	0	0
4. Finance Charges - Eligible										
OTH	Finance Charges	173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
Subtotal:		173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
FTA TOTAL PROJECT COSTS		5,121,693,166	0	5,121,693,166	2,378,793,291	1,527,158,353	174,130,146	5,121,693,166	0	762,666,526
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	2,378,793,291	1,527,158,353	174,130,146	5,163,693,166	0	762,666,526

* Current Committed = Original Contract + CCO/Amendment

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

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

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

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Figure 13. Project Costs by SCC – Level 2

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HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: September 2013

Project Monthly Cost Report SCC Level 2

Page: 1 of 3

		A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
SCC	Title	Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
1. Subtotal 10 - 80 SCC Costs										
10	Guideway & Track Elements	1,114,215,147	20,577,149	1,134,792,296	520,996,879		3,359,000	1,134,792,296	0	28,542,146
10.04	Guideway: Aerial Structure	1,022,380,671	17,183,225	1,039,563,896	435,276,279	1,176,828	3,359,000	1,039,563,896	0	8,015,046
10.08	Guideway: Retained Cut or Fill	7,492,944	(1,056,688)	6,436,256	6,436,256	0	0	6,436,256	0	0
10.09	Track: Direct Fixation	79,347,205	3,515,585	82,862,790	75,055,594	10,048,614	0	82,862,790	0	20,527,100
10.11	Track: Ballasted	3,293,724	(595,849)	2,697,875	2,697,875	0	0	2,697,875	0	0
10.12	Track:Special (Switches, turnouts)	1,700,603	1,530,876	3,231,479	1,530,876	30,876	0	3,231,479	0	0
20	Stations,Stops,Terminals,Intermod	421,804,740	(25,138,472)	396,666,268	50,982,714		0	396,666,268	0	0
20.01	At-grade station, stop, shelter,..	6,111,332	0	6,111,332	0	0	0	6,111,332	0	0
20.02	Aerial Station, stop, shelter,mall	294,563,457	(21,400,000)	273,163,457	0	0	0	273,163,457	0	0
20.06	Automobile parking multi-story str	66,408,765	0	66,408,765	0	0	0	66,408,765	0	0
20.07	Elevators, Escalators	54,721,186	(3,738,472)	50,982,714	50,982,714	0	0	50,982,714	0	0
30	Support Facilities;Yards,Shops, A	92,535,015	10,387,675	102,922,690	102,847,345		1,591,096	102,922,690	0	5,440,378
30.02	Light Maintenance Facility	7,591,888	(5,095)	7,586,793	7,586,793	0	0	7,586,793	0	125,000
30.03	Heavy Maintenance Facility	38,099,138	(242,108)	37,857,030	37,872,685	15,655	0	37,857,030	0	2,657,874
30.04	Storage or Maintenance of Way Buil	7,797,460	(61,550)	7,735,910	7,735,910	0	0	7,735,910	0	123,606
30.05	Yard and Yard Track	39,046,529	10,696,428	49,742,957	49,651,957	6,488,026	1,591,096	49,742,957	0	2,533,898
40	Sitework & Special Conditions	983,178,121	(26,518,542)	956,659,579	545,259,256		3,002,108	956,659,579	0	237,364,097
40.01	Demolition, Clearing, Earthwork	29,980,158	(2,308,147)	27,672,011	8,022,358	1,025,233	0	27,672,011	0	241,537
40.02	Site Utilities, Utility Relocation	299,449,756	4,444,187	303,893,943	100,211,394	5,966,502	824,826	303,893,943	0	9,247,124
40.03	Haz. mat'l, contam'd soil removal	9,199,237	(5,421,634)	3,777,603	3,016,085	916,104	(391,304)	3,777,603	0	488,034
40.04	Environmental Mitigation	26,979,122	4,976,801	31,955,923	16,543,497	902,708	0	31,955,923	0	3,430,633
40.05	Site structures, retaining walls,	7,998,960	1,062,414	9,061,374	8,902,848	900,019	0	9,061,374	0	575,338
40.06	Pedestrian/bike access/landscaping	41,073,897	799,143	41,873,040	5,049,834	953,419	0	41,873,040	0	0
40.07	Auto, bus, van accessways	181,979,367	(11,508,007)	170,471,360	35,558,916	1,690,419	(72,000)	170,471,360	0	1,254,888
40.08	Temporary Facilities/Indirect Cost	386,517,624	(18,563,299)	367,954,325	367,954,325	74,769,549	2,640,586	367,954,325	0	222,126,543
50	Systems	221,284,301	(569,228)	220,715,073	205,554,860		22,816,050	220,715,073	0	0
50.01	Train control and signals	81,982,556	420,090	82,402,646	82,402,646	0	22,816,050	82,402,646	0	0
50.02	Traffic signals and crossing prot.	10,458,226	(206,890)	10,251,336	0	0	0	10,251,336	0	0
50.03	Traction power supply: substation	29,500,926	1,526,385	31,027,311	31,027,311	59,020	0	31,027,311	0	0
50.04	Traction power distribution: cate	32,878,150	(2,881,277)	29,996,873	25,087,996	0	0	29,996,873	0	0
50.05	Communications	53,691,339	673,678	54,365,017	54,365,017	113,620	0	54,365,017	0	0

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HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: September 2013

Project Monthly Cost Report SCC Level 2

		A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
SCC	Title	Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
1. Subtotal 10 - 80 SCC Costs										
50	Systems	221,284,301	(569,228)	220,715,073	205,554,860		22,816,050	220,715,073	0	0
50.06	Fare collection system and equipme	9,159,277	58,822	9,218,099	9,218,099	0	0	9,218,099	0	0
50.07	Central Control	3,613,827	(160,036)	3,453,791	3,453,791	0	0	3,453,791	0	0
60	ROW, Land, Existing Improvement	197,397,947	277,800	197,675,747	52,297,336		0	197,675,747	0	45,836,745
60.01	Purchase or lease of real estate	179,360,664	0	179,360,664	46,401,859	869,343	0	179,360,664	0	42,623,748
60.02	Relocation of existing households	18,037,283	277,800	18,315,083	5,895,477	1,147,143	0	18,315,083	0	3,212,997
70	Vehicles	186,829,020	4,713,997	191,543,017	191,543,017		0	191,543,017	0	212,900
70.01	Light Rail	166,721,386	5,915,687	172,637,073	172,637,073	1,514,720	0	172,637,073	0	0
70.06	Non-revenue vehicles	14,346,923	(1,320,375)	13,026,548	13,026,548	0	0	13,026,548	0	212,900
70.07	Spare parts	5,760,711	118,685	5,879,396	5,879,396	0	0	5,879,396	0	0
80	Professional Services	1,087,830,119	(18,472,973)	1,069,357,146	704,509,029		(15,397,698)	1,069,357,146	0	445,270,260
80.01	Preliminary Engineering	94,055,262	24,203,496	118,258,758	109,126,439	23,999,869	369,567	118,258,758	0	95,183,857
80.02	Final Design	228,321,632	(36,548,480)	191,773,152	171,965,797	6,937,718	4,762,445	191,773,152	0	70,494,760
80.03	Project Management Design & Cons	363,849,768	(3,142,981)	360,706,787	283,287,421	66,163,029	(17,323,901)	360,706,787	0	221,567,015
80.04	Constr. Admin. & Management	199,656,728	(1,576,800)	198,079,928	35,665,055	3,986,954	0	198,079,928	0	35,917,876
80.05	Professional Liability & other Ins	46,549,724	(7,510,408)	39,039,316	2,174,857	4,164,254	(2,430,000)	39,039,316	0	1,106,006
80.06	Legal; Permits,Review Fees ect..	67,641,005	32,777	67,673,782	33,652,275	3,980,174	0	67,673,782	0	8,232,560
80.07	Surveys, Testing, Investigation, I	21,759,336	7,262,016	29,021,352	20,730,316	3,511,556	0	29,021,352	0	8,276,931
80.08	Start up	65,996,664	(1,192,593)	64,804,071	47,907,069	3,463,754	(775,809)	64,804,071	0	4,491,256
NT	Authorized For Expenditure	0	0	0	0		0	0	0	0
NTP	Notice To Proceed	0	0	0	0	1,334,982,536	0	0	0	0
Subtotal:		4,305,074,410	(34,742,593)	4,270,331,817	2,373,990,436	1,528,361,887	15,370,556	4,270,331,817	0	762,666,526
2. Contingency										
CNTR	Contingency	541,689,343	34,742,593	576,431,936	4,802,855		158,759,590	576,431,936	0	0
90.02	Allocated Contract Contingency	540,101,329	(9,701,005)	530,400,324	0	0	104,565,734	530,400,324	0	0
90.03	Allowances	1,588,014	3,214,841	4,802,855	4,802,855	(1,203,533)	1,500,000	4,802,855	0	0
90.07	Known Change Contingency	0	41,228,758	41,228,758	0	0	52,693,856	41,228,758	0	0
PRJ	Contingency	101,871,170	0	101,871,170	0		0	101,871,170	0	0
90.01	Unallocated Project Contingency	101,871,170	0	101,871,170	0	0	0	101,871,170	0	0
Subtotal:		643,560,513	34,742,593	678,303,106	4,802,855	(1,203,533)	158,759,590	678,303,106	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: September 2013

Project Monthly Cost Report SCC Level 2

		A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
SCC	Title	Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
3. Finance Charges - Eligible										
OTH	Finance Charges	173,058,243	0	173,058,243	0		0	173,058,243	0	0
100.1	Finance Charges:Project-Eligible	173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
Subtotal:		173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
FTA TOTAL PROJECT COSTS		5,121,693,166	0	5,121,693,166	2,378,793,291	1,527,158,353	174,130,146	5,121,693,166	0	762,666,526
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	2,378,793,291	1,527,158,353	174,130,146	5,163,693,166	0	762,666,526

* Current Committed = Original Contract + CCO/Amendment

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

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

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

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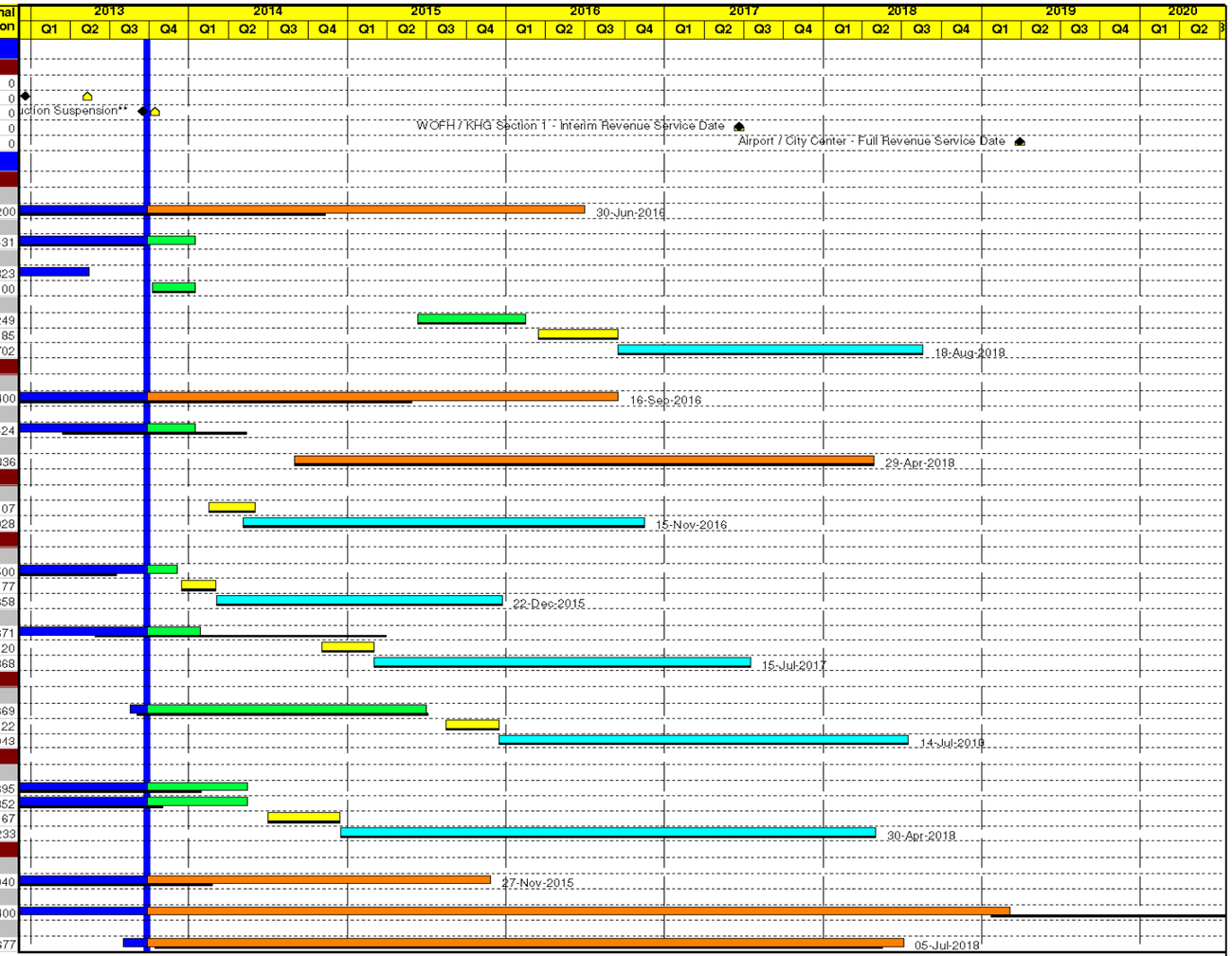
2.3 Project Schedule

The HRTP Master Project Schedule (MPS) has been updated as of September 27, 2013 as shown in the Master Project Schedule Summary (MPSS) in Figure 14 on the next page. This was statused against the FFGA Baseline MPS. The baseline and actual/planned durations of each contract are displayed for comparison.

Figure 14. HRTP Master Project Schedule (MPS) Summary

Activity Name	Current Start	Current Finish	Original Duration
KEY DATA			
MILESTONES			
Letter of No Prejudice #2 - LONP 2	06-Feb-2012 A		0
Full Funding Grant Agreement - (FFGA)		19-Dec-2012 A	0
AIS Complete **Lift Construction Suspension**		16-Sep-2013 A	0
WOFH / KHG Section 1 - Interim Revenue Service Date		20-Jun-2017	0
Airport / City Center - Full Revenue Service Date		30-Mar-2019	0
CONTRACTS - DESIGN & CONSTRUCTION			
WEST OAHU / FARRINGTON HIGHWAY (WOFH) - SECTION 1			
WOFH Guideway & Utilities			
SUMM: DB-120 - WOFH Guideway - Design & Construction (Design-Build)	01-Dec-2009 A	30-Jun-2016	1200
West Oahu Station Group (WOSG)			
SUMM: FD-140 - West Oahu Station Group - Design	15-Jun-2012 A	15-Jan-2014	431
Farrington Hwy Station Group (FHSG)			
SUMM: FD-240 - Farrington Highway Station Group - Design	12-Jan-2011 A	16-May-2013 A	323
SUMM: FD-240 - Farrington Highway Station Group - Design Support	08-Oct-2013	15-Jan-2014	100
UH West Oahu Park n Ride & Ho`opili Station Finishes			
SUMM: FD-600 UH West Oahu Park and Ride and Ho`opili Station Finishes - Design	12-Jun-2015	15-Feb-2016	249
SUMM: UH West Oahu Park n Ride & Ho`opili Station Finishes - Bid & Award	15-Mar-2016	15-Sep-2016	185
SUMM: DBB-600 UH West Oahu Park and Ride / Ho`opili Station Finishes - Construction	16-Sep-2016	18-Aug-2018	702
KAMEHAMEHA HIGHWAY (KH) - SECTION 2			
Kamehameha Highway Guideway & Utilities			
SUMM: DB-320 - KHG Guideway - Design & Construction (Design-Build)	12-Jul-2011 A	16-Sep-2016	1400
Kamehameha Highway Stations			
SUMM: FD-340 - Kamehameha Highway Station Group - Design	26-Nov-2012 A	15-Jan-2014	424
Pearl Highlands Parking Structure & Ramps			
SUMM: DB-275 - Pearl Highlands Pking Structure & H2 Ramps - Design & Construction (Desigr	02-Sep-2014	29-Apr-2018	1336
West Oahu / Farrington Highway & Kamehameha Station Combined Package			
West Oahu / Farrington Highway & Kamehameha Station Group Construction			
SUMM: West Oahu / Farrington & Kamehameha Station Group - Bid & Award	15-Feb-2014	01-Jun-2014	107
SUMM: DBB-185 - West Oahu / Farrington Hwy & Kamehameha Station Group - Construction	03-May-2014	15-Nov-2016	928
AIRPORT - SECTION 3			
Airport Utility Relocation			
SUMM: FD-430 - Airport Utilities - Design	05-Jan-2012 A	04-Dec-2013	500
SUMM: Airport Utilities - Bid & Award	16-Dec-2013	02-Mar-2014	77
SUMM: DBB-505 - Airport Utilities - Construction	05-Mar-2014	22-Dec-2015	658
Airport Stations			
SUMM: FD-440 - Airport Station Group - Design	14-Nov-2012 A	26-Jan-2014	671
SUMM: Airport Station Group - Bid & Award	01-Nov-2014	28-Feb-2015	120
SUMM: DBB-470 - Airport Station Group - Construction	01-Mar-2015	15-Jul-2017	868
CITY CENTER (CC) - SECTION 4			
City Center Stations			
SUMM: FD-550 - Dillingham & Kaka'ako Station Group - Design	19-Aug-2013 A	01-Jul-2015	669
SUMM: Dillingham & Kaka'ako Station Group - Bid & Award	15-Aug-2015	14-Dec-2015	122
SUMM: DBB-580 - Dillingham & Kaka'ako Station Group - Construction	15-Dec-2015	14-Jul-2018	943
Airport & City Center Guideway / City Center Utilities Combined Package			
Airport & City Center Guideway / City Center Utility Relocation			
SUMM: FD-430 - Airport Guideway - Design	05-Jan-2012 A	15-May-2014	695
SUMM: FD-530 - City Center Guideway & Utilities - Design	31-Jul-2012 A	15-May-2014	352
SUMM: Airport & City Center Guideway / City Center Utilities - Bid & Award	01-Jul-2014	14-Dec-2014	167
SUMM: DBB-520 - Airport & City Center Guideway / City Center Utilities - Construction	15-Dec-2014	30-Apr-2018	1233
PROJECT WIDE - ALL SECTIONS			
Maintenance & Storage Facility (MSF)			
SUMM: DB-200 - MSF - Design & Construction (Design-Build)	25-Jul-2011 A	27-Nov-2015	940
Core Systems			
SUMM: DBOM-920 - Core Systems - Design & Construction	13-Jan-2012 A	06-Mar-2019	2400
Elevators & Escalators			
SUMM: MI-930 - Elevators and Escalators - Des, Manufacture, Install & Test	02-Aug-2013 A	05-Jul-2018	1677



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: 27-Sep-2013

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MPS Summary
Design & Construction Contracts

2.4 Contingency Management

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

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

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

As discussed in Section 1.6, the Current Project Contingency Budget is $637.1M, down from the FFGA Baseline budget of $643.6M.

FFGA Project Contingency Current Budget

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

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

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

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

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

The $6.1M contingency drawdown resulted from the following change orders and contract amendment processed during the September 2013 reporting period:

- $5.0M from executed change order Nos. 33 and 35 on the West O'ahu Farrington Highway Guideway DB contract (DB-120);
- $0.8M from contract change order No. 12 on the Maintenance and Storage Facility DB contract (DB-200); and
- $0.3M from contract amendment No. 10 for Farrington Highway Stations Group FD (FD-240). Amendment No. 10 was executed for $0.4M, of which $0.3M was drawndown against Project Contingency and $0.1M came from "known" changes contingency.

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

Figure 15. Project Contingency Budget

Contingency	SCC Code	Budget ($M)
Unallocated Contingency	90.01	$101.9
Allocated Contingency	90.02	$540.1
Allowances	90.03	$1.6
Baseline FFGA Project Contingency Budget	***90.01 - 90.03***	***$643.6***
Contingency Transfers to date	90.02 & 90.03	($6.5)
Current FFGA Project Contingency	***90.01 - 90.03***	***$637.1***

Changes Identified and Project Performance

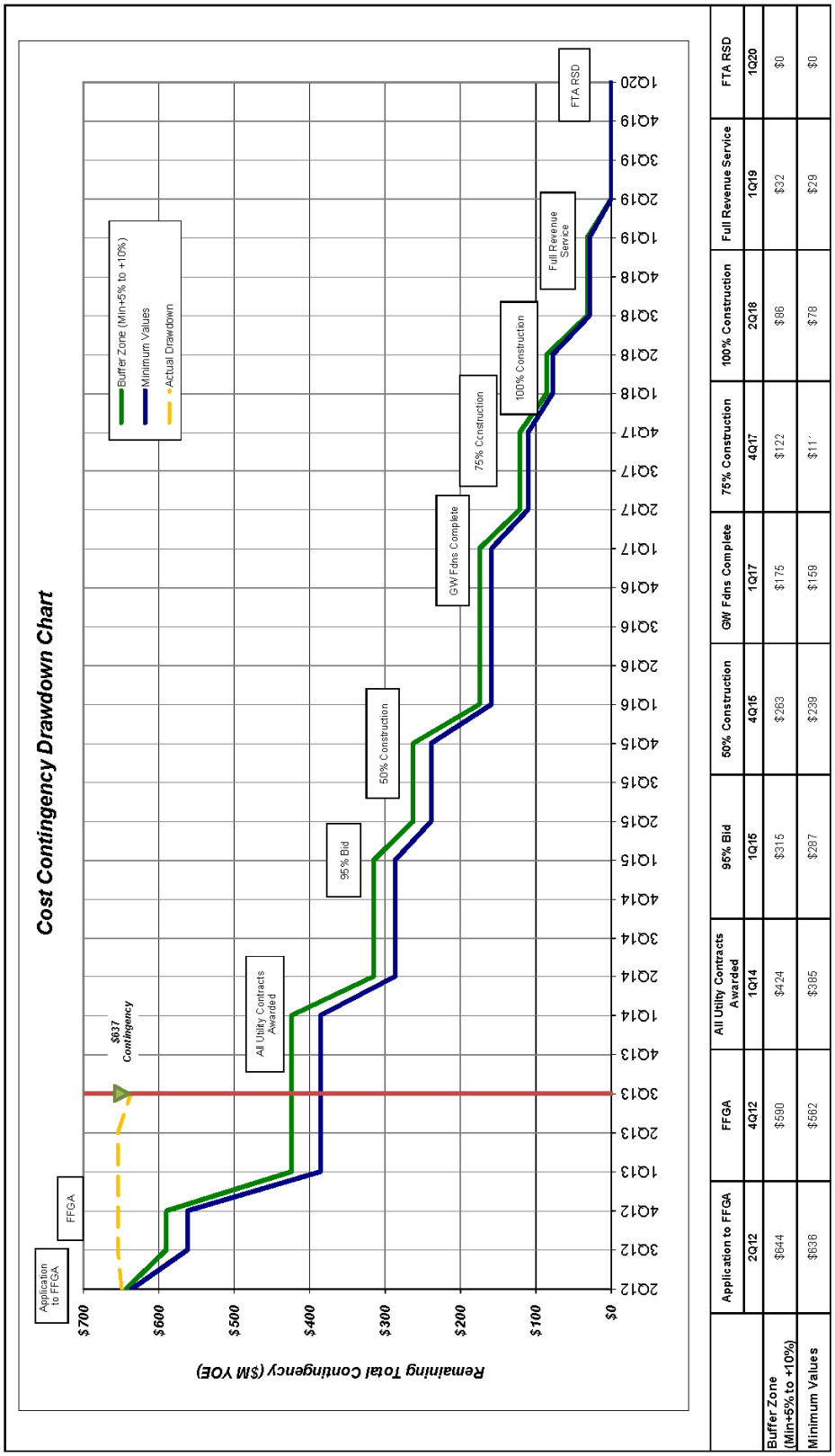
HART and the PMOC continue to hold a monthly breakout session to review changes being considered for each contract. Changes are tracked by four categories which are determined by how well defined a change is and are summarized as Changes Identified in Project Cost reports. HART continually manages the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

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

Known Changes Contingency

Known Changes, though tracked separately from the Project Contingency established under the FFGA, functions like contingency and is designated as SCC 90.07 on project cost reports. In re-baselining the Project Budget for FFGA, a bottoms-up estimate (BUE) was developed for each work package identified in the CPP based on the level of design and current pricing of material, equipment, construction labor, professional services, real estate and all other costs. These revised estimates took into account the reduction of contingency to reflect the advancement of Final Design since the Preliminary Engineering phase. Contingency was then allocated in accordance with FTA guidelines and current risk modeling methodologies. The net effect was a reduction of approximately $170M of contingency between the previous Final Design Project Budget and the FFGA Project Budget. Included in the base costs of the BUE were elements that were considered "Known" or pending changes that were still subject to final negotiations with contractors and the execution of change orders. The estimated costs for Known Changes were applied to work packages established under the FFGA. Based on the level of risk, the estimated costs for Known Changes were either classified as base cost or as separate contingency for specific work packages (contingencies eventually convert to base costs via change order). Of the total $170M estimated for Known Changes, $97M was classified as base cost and allocated to multiple contracts. The remaining $74M was classified as "contingency" in order to process all changes using a consistent methodology of transferring budget from contingency to the appropriate base cost code when a change order is executed. As it was intended for this reserve, the majority of the change orders executed since the BUE draws against this contingency since these were partially defined already. To date, the Current Known Changes balance stands at $41.2M, down from the original amount of $73.9M as shown in Figure 13.

Figure 16. 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	$836	$582	$385	$287	$239	$159	$11[illegible]	$78	$29	$0

3 CONTRACT STATUS

3.1 Procurement Status

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

Procurement Tracking Report

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

Figure 18. Procurement: Final Design (FD) Contracts

Procurement Tracking Report

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

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

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

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

Procurement Tracking Report						
Contract No.	**Contract Name**	**Contractor Name**	**Dates**	**Advertise RFQ**	**Issue NTP**	**Contract Completion**
Construction Engineering & Inspection (CE&I) Services Contracts						
MM-290	Construction Engineering & Inspection West Side Sections		*Current Forecast* Actual	Jul 26 '13	*Nov 29 '13*	*Mar 01 '19*
MM-595	Construction Engineering & Inspection East Side Sections		*Current Forecast* Actual	Jul 26 '13	*Dec 15 '13*	*Mar 01 '19*

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

Procurement Tracking Report						
Contract No.	**Contract Name**	**Contractor Name**	**Dates**	**Issue RFQ**	**Issue NTP**	**Contract Completion**
Project Management and Specialty Consultant Services Contracts						
MM-901	**Program Management Support Consultant - 2 (PMSC-2)**	**InfraConsult LLC**	*Current Forecast* **Actual**	**Aug 03 '11**	**Mar 08 '12**	*Feb 28 '15*
MM-910	**General Engineering Consultant II (GEC-2) (Final Design and Construction)**	**Parsons Brinckerhoff**	*Current Forecast* **Actual**	**Sep 03 '09**	**Aug 02 '11**	*Aug 01 '14*
MM-913	**General Engineering Consultant Re-compete**		*Current Forecast* **Actual**	**Jul 26 '13**	*Nov 29 '13*	*Mar 01 '19*
MM-935	**Real Estate Consultant**	**Paragon Partners, Ltd.**	*Current Forecast* **Actual**	**Apr 01 '11**	**Mar 14 '12**	*Mar 13 '17*
MM-937	**Real Estate Mapping & Surveying**		*Current Forecast* **Actual**	*Oct 31 '13*	*Dec 15 '13*	*Dec 30 '17*
MM-940	**Kako'o Consultant**	**Pacific Legacy, Inc.**	*Current Forecast* **Actual**	**May 20 '11**	**Mar 30 '12**	*Feb 14 '17*
MM-945	**On-Call Construction Contractor**		*Current Forecast* **Actual**	*Nov 30 '13*	*Dec 02 '13*	*Mar 03 '19*
MM-950	**Owner Controlled Insurance Program (OCIP) Consultant**	**Marsh USA, Inc.**	*Current Forecast* **Actual**	**Jan 31 '12**	**Jun 05 '12**	*May 09 '17*

Procurement Tracking Report

Contract No.	Contract Name	Contractor Name	Dates	Issue RFQ	Issue NTP	Contract Completion
Project Management and Specialty Consultant Services Contracts Continued						
MM-951	**Owner Controlled Insurance Program (OCIP) Brokerage Services**		*Current Forecast* **Actual**	**Jun 04 '13**	**TBD**	*Jul 31 '14*
MM-960	**Archeological & Cultural Monitoring**		*Current Forecast* **Actual**	**Sep 10 '13**	*Nov 01 '13*	*May 30 '18*
MM-962	**CORE Systems Support - Recompete**		*Current Forecast* **Actual**	**Sep 13 '13**	*Dec 30 '13*	*Mar 01 '19*
MM-964	**Safety / Security Support**		*Current Forecast* **Actual**	*Oct 25 '13*	*Dec 01 '13*	*Dec 14 '17*
MM-966	**Financial Support Services**		*Current Forecast* **Actual**	*TBD*	*Nov 01 '13*	*Dec 30 '15*
MM-975	**LEED Commissioning Services for the Maintenance**	**Enovity, Inc.**	*Current Forecast* **Actual**		**Oct 07 '10**	*Jan 14 '16*
PA-102	**Historic Architecture Design Services**	**Fung Associates, Inc.**	*Current Forecast* **Actual**	**Mar 15 '13**	**Aug 01 '13**	*May 01 '16*

Figure 22. Procurement: HDOT Consultant Services and Other Contracts

Procurement Tracking Report

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

3.2 Design-Build (DB) Contract Status

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

DB Contractor: Kiewit Infrastructure West Company (KIWC)

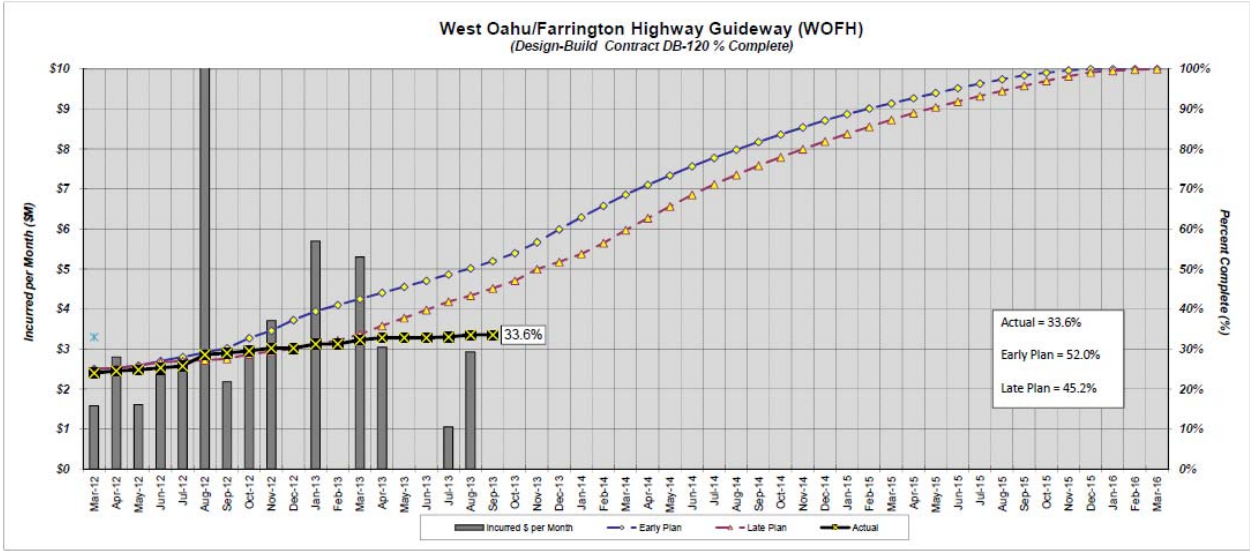
Committed:[1]	$552,346,279		Actual DBE Participation:	$2,329,922
Authorized:[2]	$330,580,345	(59.9%)	DBE % Attained:	0.48%
Incurred to date:	$186,294,137		Substantial Completion:	February 2016

[1] Commitment as of September 27 = Contract value (not including contingency) + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of September 27 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of September 27 is 33.6%, versus the early plan of 52% and the late plan of 45.2%, as shown in Figure 23 below. Design is 96% complete, based on Schedule of Milestones completion. KIWC has been requested to submit a revised schedule based on the restart of construction in September 2013.

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



- **Activities this month**
  - KIWC continued maintenance activities along Farrington Highway as part of the Joint Use and Occupancy agreement with HDOT.
  - Work is proceeding on potholing for utilities in Farrington Highway.
  - Continue removal of stockpiled rebar (for columns and shafts) from Pasha Storage site and take to Precast Yard or ASW for cage assembly.
  - Drilled shaft, column and transition zone installations are ongoing, in Work Area 1B.
  - Wet utility installation ongoing in Work Area 2 – Phases 1A and 1B.
  - Stage 1 Intelligent Transportation Systems (ITS) work is ongoing.
  - Precast Yard set-up is ongoing.
  - Work commenced on HECO conflict relocations @ 1-508-E1, 4-689-M1 & 4-693-E1. Awaiting HECO Hold-Offs to complete.
  - A total of 420 contract submittals have been received (2 currently under review).
  - KIWC has completed 68 of 127 or 54% of the anticipated final design submittals.
  - HART has received 229 Requests for Information (RFIs) from the contractor (3 voided and none are open).
  - HART working with KIWC in the development of issues list and the determination of critical claims that require immediate resolution.

Assemble Segment Forms – Precast Yard.

Drill for CMP Casing for Drilled Shaft 61 (WA 1B).

Install CMP Casing for Drilled Shaft 61 (WA 1B).

- **Look Ahead**
  - Construction Readiness.
  - Site assessment and completion of demolition plan at the "Banana Patch" and TMK 9-4-048-046 and 9-4-048-047 properties.
  - Continue interface and final design activities.
  - Stage 1 Intelligent Transportation System (ITS) work to be completed.
  - Resolution of delay claims.
  - HECO and HDOT Coordination.

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

DB Contractor: Kiewit/Kobayashi Joint Venture (KKJV)

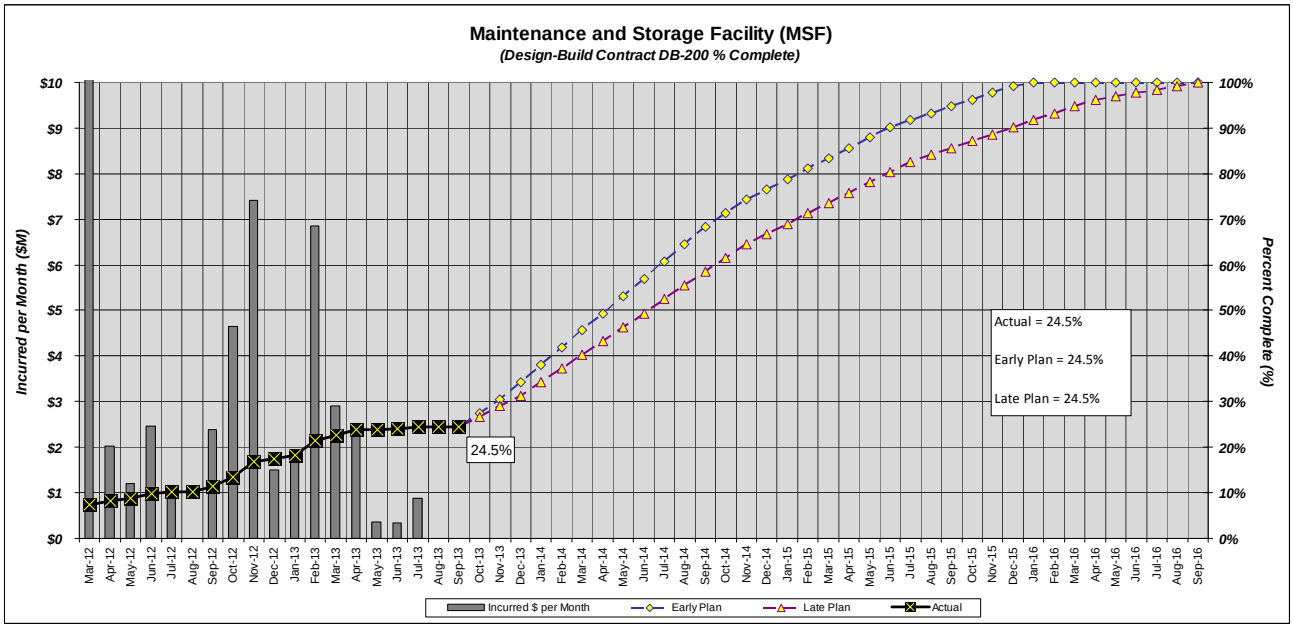
Committed:[1]	$221,180,398		Actual DBE Participation:	$23,740
Authorized:[2]	$154,211,132	(69.8%)	DBE % Attained:	0.012%
Incurred to date:	$54,082,554		Substantial Completion:	December 2015

[1] Commitment as of September 27 = Contract value (not including contingency) + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of September 27 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of September 27 is 25.1%, versus the early plan of 54.9% and the late plan of 53.3%, as shown in Figure 24 below. No incurred cost for September. Design is 98% complete, based on Schedule of Milestones completion. KKJV has submitted a revised schedule based on the restart of construction in September 2013 and the progress curve has been updated accordingly.

Figure 24. Maintenance and Storage Facility (MSF) Construction



- **Activities this month**
  - KKJV continued monitoring Best Management Practice (BMP) measures for permit compliance.
  - KKJV continued to cut and fill native topsoil for mass grading operations throughout the site.
  - KKJV continued to cut and grade detention basin.
  - KKJV continued to excavate trenches for storm and sewer lines.
  - KKJV continued to install storm and sewer pipes with their respective manholes.
  - KKJV installed settlement monitoring devices.
  - A shipment of concrete crossties and contact rail arrived.
  - Continued working with the Core Systems Contractor to resolve design interface issues.
  - HART working with KKJV in the development of issues list and the determination of critical claims that require immediate resolution.
  - HART working with KKJV and HNTB on the design for the yard reconfiguration work.
  - Commencement of workshops with the CSC contract on changes to the yard reconfiguration work.
  - A total of 165 total contract submittals have been received (5 under review).
  - KKJV has completed 7 of 9 or 77% of the anticipated final design submittals.

- HART has received 151 Requests for Information (RFIs) from the contractor (1 open).

Excavating for storm drain lines.

Placing storm drain lines.

Installing storm drain manhole.

Installing storm drain manhole.

Excavating and grading detention basin.

Excavating and grading detention basin.

Installing sewer lines.

Compacting around newly placed sewer line manhole.

Installing settlement gauge.

Grading newly placed topsoil.

- **Look Ahead**
  - Continue mass grading and installation of sewer and storm drain utilities.
  - Continue interface and final design activities.

Contract DB-320: Kamehameha Highway Guideway (KHG)

DB Contractor: Kiewit Infrastructure West Company (KIWC)

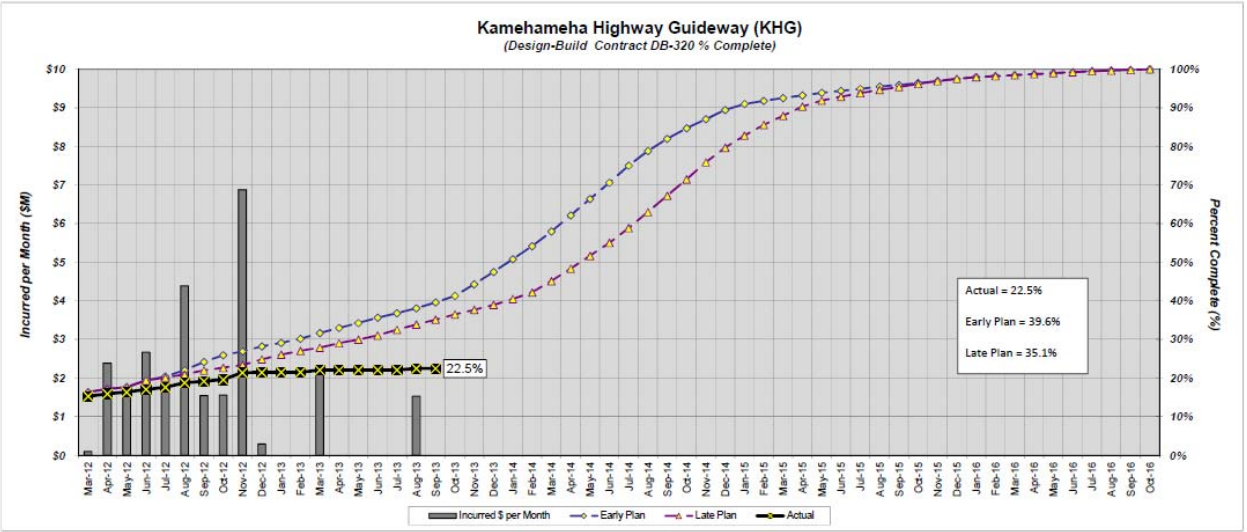
Committed:[1]	$378,860,981		Actual DBE Participation:	$297,630
Authorized:[2]	$168,877,062	(44.6%)	DBE % Attained:	0.08%
Incurred to date:	$84,597,001		Substantial Completion:	September 2016

[1] Commitment as of September 27 = Contract value (not including contingency) + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of September 27 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of September 27 is 22.5%, versus an early plan of 39.6% and a late plan of 35.1%, as shown in Figure 25 below. Design is 94% complete, based on Schedule of Milestones completion. KIWC has been requested to submit a revised schedule based on the restart of construction on September 16, 2013.

Figure 25. Kamehameha Highway Guideway (KHG) Construction



- **Activities this month**
  - KIWC continued to maintain the project site including laydown yards.
  - Interim Milestone Schedule dates in SP 4.1 were given to Kiewit to incorporate in their schedule.
  - HDOT issues continue to be discussed to determine resolution at the executive level.
  - HART working with KIWC to resolve critical claims that require immediate resolution.
  - A total of 171 contract submittals have been received (5 under review).
  - KIWC has completed 10 (24%) of 41 final design submittals.
  - HART has received 82 Requests for Information (RFIs) from the contractor (1 open).
  - KIWC began excavating Test Shaft T-13, but encountered issues and chose to abandon the hole.

Kiewit installing tremie pipes to prepare for concrete pour at Test Shaft 13 near Aloha Stadium.

Kiewit removed another 20 ft. section of temporary casing at Test Shaft 13 near Aloha Stadium. The top of the rebar cage appeared at 10 ft. above the ground surface.

- **Look Ahead**
  - Continue interface and design activities.
  - Redo Test Shaft T-13.
  - Start excavation, pour and load test for Test Shafts T-10, T-11, and T-12.

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

Contract DBOM-920: Core Systems Contract (CSC)

DBOM Contractor: Ansaldo Honolulu Joint Venture (AHJV)

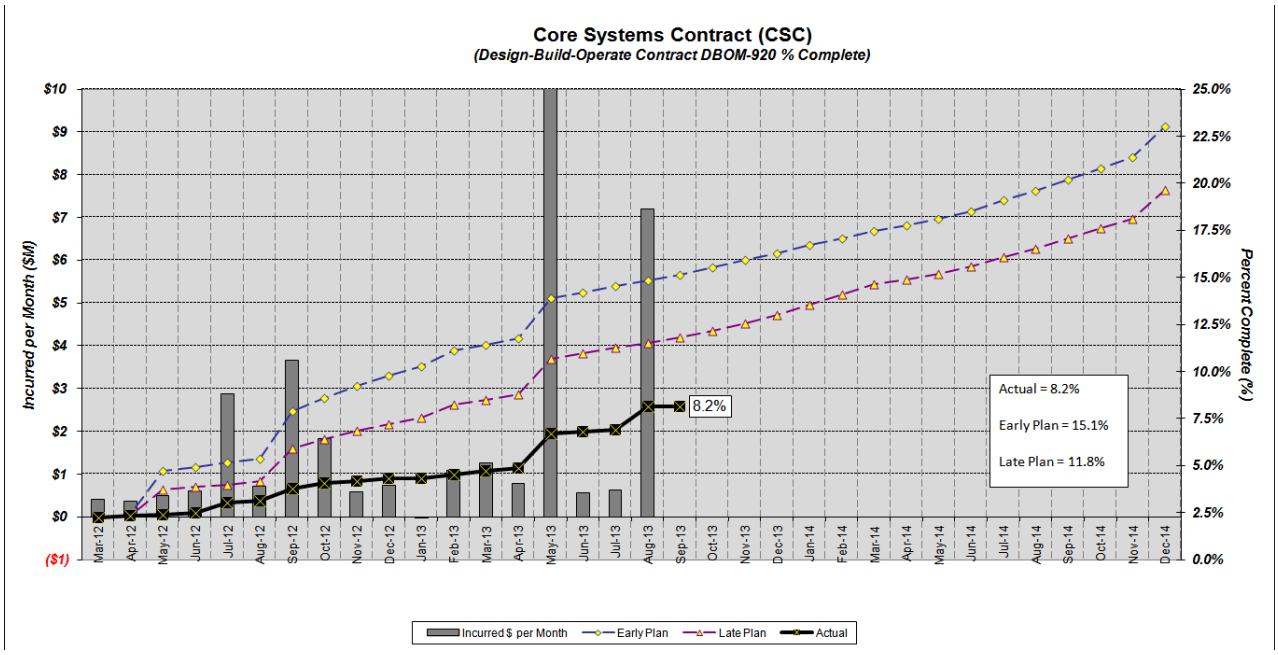
Committed:[1]	$575,825,289		Actual DBE Participation:	$105,179
Authorized:[2]	$487,305,938	(84.6%)	DBE % Attained:	0.024%
Incurred to date:	$45,894,864		Start-up Completion:	March 2019

[1] Commitment as of September 27 = Contract value (excluding contingency and $823.6 M O&M budget) + executed Change Orders. [2] Total Authorized for Expenditure (AFE) as of September 27 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of September 27 is 8.2%, versus the early plan of 15.1% and the late plan of 11.8%, as shown in Figure 26 below. In September there was a $0.8M adjustment to the contract. Design is 27% complete. Financial progress is lagging actual design progress because milestones associated with design package documentation are incomplete and payment is not allowed. AHJV has been requested to submit a revised schedule with interface milestones based on the restart of construction for fixed facility contractors in September 2013.

Figure 26. Core Systems Contract (CSC)



- **Activities this month**
  - AHJV continues to participate in Interface meetings, to issue/respond to Requests for Interface Data (RFIDs) and to coordinate fixed facility contractor interfaces. HART's interface partnering meetings continue jointly with AHJV and Kiewit to help expedite closure of interface issues. Final interfaces for the WOFH guideway are now being confirmed and accepted by AHJV.
  - HART continued follow up with AHJV to resolve design submittals review comments.
  - Interim Design submittals continue particularly for Traction Electrification System, Train Control, Communications, and Maintenance of Way (MOW) Vehicles.
  - HART executed the change order to implement station platform safety gates.
  - Completed documentation analyzing four-car train operations and further reviewed four-car trains cost proposals.

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

3.4 Final Design (FD) Contract Status

3.4.1 Station DBB Contracts Status (Executed and In Negotiation)

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

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

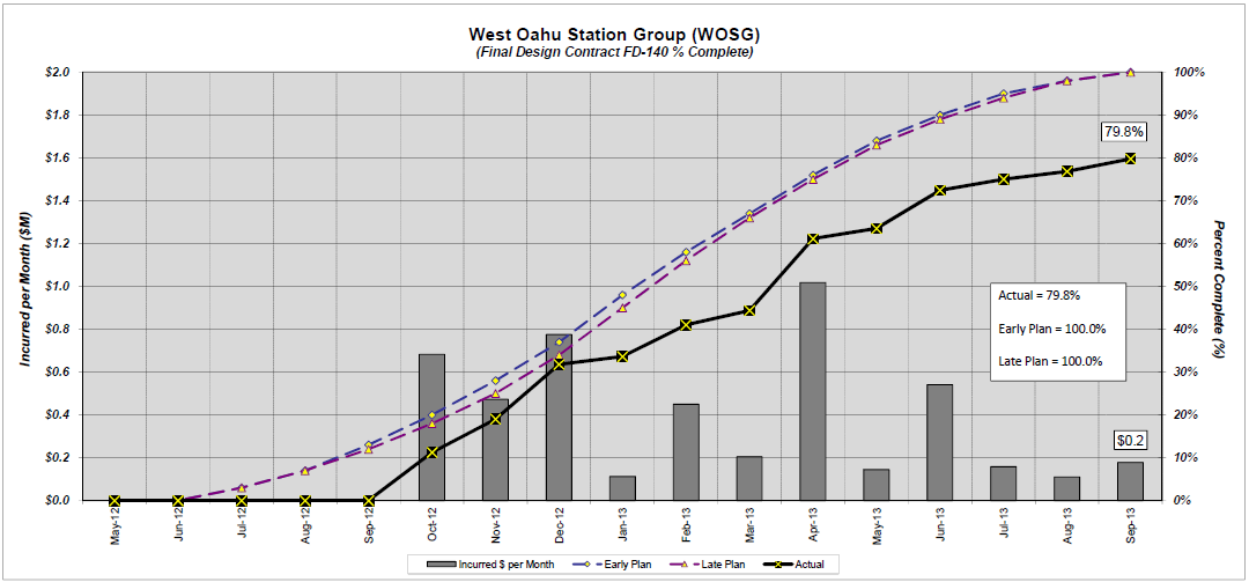
Committed:[1]	$7,789,000		Actual DBE Participation:	$0
Authorized:[2]	$5,575,579	(71.6%)	DBE % Attained:	0%
Incurred to date:	$4,845,187		Construction Docs Bid-Ready:	December 2013

[1] Total Commitment as of September 27 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of September 27 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of September 27 is 79.8%, versus the early and late plan of 100%, as shown in Figure 27 below. In September, $0.2M was incurred. Design is 70% complete.

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



- **Activities this month**
  - Continued final design development.
  - Continued to hold weekly progress and interface meetings.
  - Continued development of standard platform canopy design.
  - Provided interface loads to Guideway Designer.
  - Continued negotiation on interim park-n-ride, 46 KV relocation and Ho'opili Station Design changes.

- **Look Ahead**
  - Finalize request for change on interim park-n-ride design, 46KV relocation and Ho'opili Station design.

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

Contractor: HDR Engineering, Inc., Final Design Consultant (Engineer of Record)

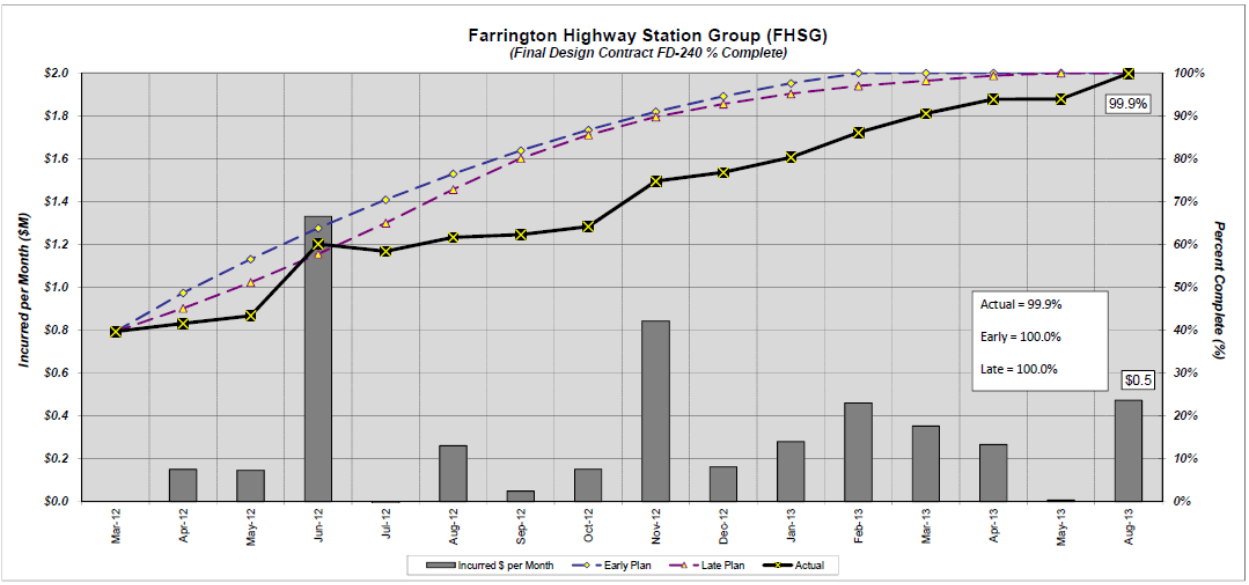
Committed:[1]	$8,408,045		Actual DBE Participation:	$254,809
Authorized:[2]	$8,111,060	(96.5%)	DBE % Attained:	4.63%
Incurred to date:	$8,344,602		Construction Documents Bid-Ready:	December 2013

[1] Commitment as of September 27 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of September 27 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of September 27 is 99.9%, versus the early and late plan of 100%, as shown in Figure 28 below. $0M was incurred for the period. Design is 99% complete.

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



- **Activities this month**
  - Finalized design contract with HDR.
  - Selected URS to finish remaining design elements, prebid assistance, and engineering support during construction.
  - Held workshop to kickoff contract.

- **Look Ahead**
  - Finish final design.
  - Start coordination to combine design packages into one construction contract.

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

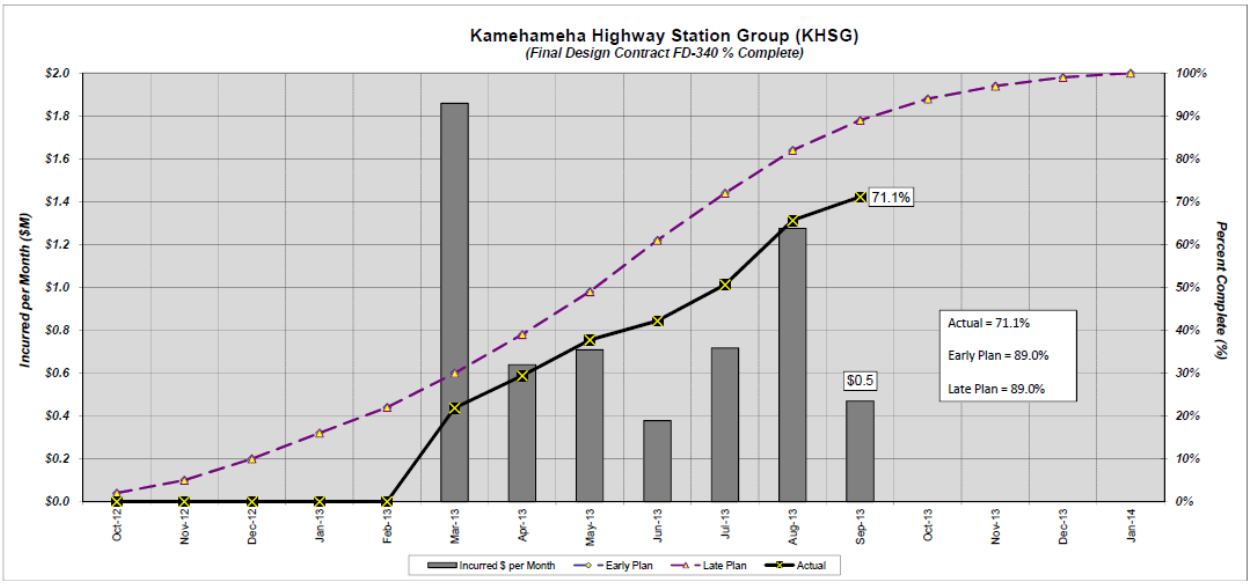
Contractor: Anil Verma Associates, Inc., Final Design Consultant (Engineer of Record)

Committed:[1]	$8,702,592		Actual DBE Participation:	$1,991,252
Authorized:[2]	$7,797,781	(89.6%)	DBE % Attained:	22.88%
Incurred to date:	$6,044,105		Construction Documents Bid-Ready:	December 2013

[1] Commitment as of September 27 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of September 27 = NTP dollar values + executed Change Orders.

Actual progress as of September 27 is 71.1%, versus the early and late plan of 89%, as shown in Figure 29 below. In September, $0.5M was incurred. Design is 50% complete.

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



- **Activities this month**
  - Issued NTP 3- Final Design.
  - Started final design development.
  - Continued to hold weekly progress and interface meetings.
  - Coordinated meetings with stakeholders: Navy, Aloha Stadium and HDOT.
- **Look Ahead**
  - Finalize change request for geotechnical boring depth and Shear Wave test at Pearl Highlands.

Contract FD-430 Airport Section Guideway and Utilities Final Design

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

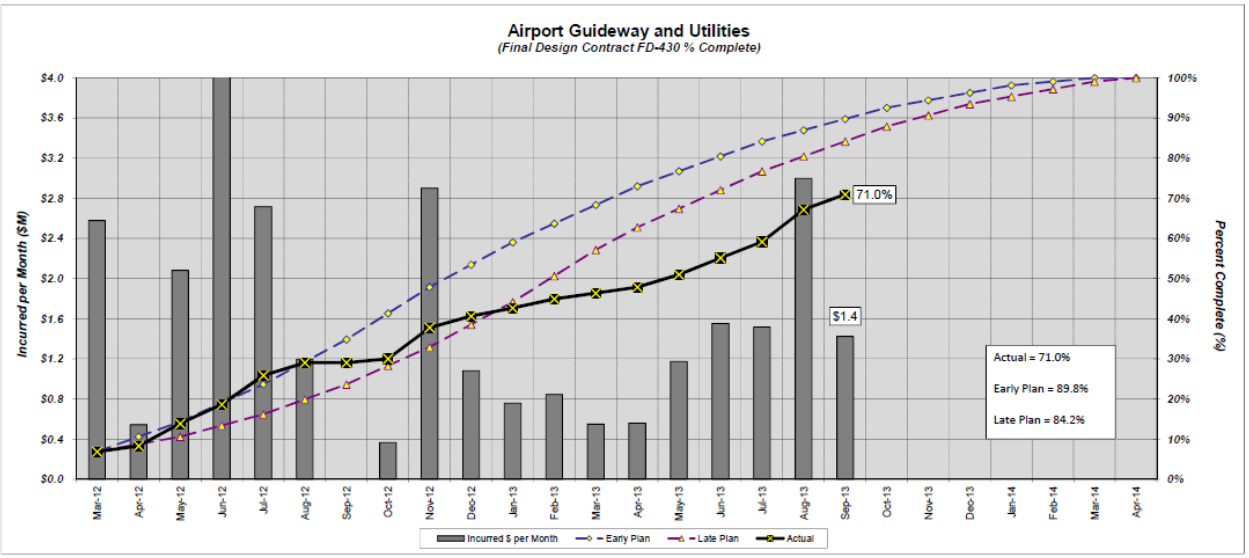
Committed:[1]	$39,580,074		Actual DBE Participation:	$139,998
Authorized:[2]	$32,099,844	(81.1%)	DBE % Attained:	0.36%
Incurred to date:	$26,627,835		Construction Documents Bid-Ready:	
			Utilities	October 2013
			Guideway	April 2014

[1] Commitment as of September 27 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of September 27 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of September 27 was 71.0%, versus the early plan of 89.8% and the late plan of 84.2%, as shown in Figure 30 below. In September, $1.4M was incurred. Design is 65% complete.

Figure 30. Airport Guideway and Utilities Final Design



- **Activities this month**
  - Issued NTP 3 – Final Design.
  - Started final design development.
  - Continued coordination with HDOT (Highway and Airport Divisions), utility companies, Navy and other stakeholders.
  - Continued weekly progress/design and interface meetings.
  - Continued geotechnical investigation.
  - Reviewing combined Airport and City Center construction cost estimate.

- **Look Ahead**
  - Continue final design.
  - Continue geotechnical testing and pot holing.

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

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

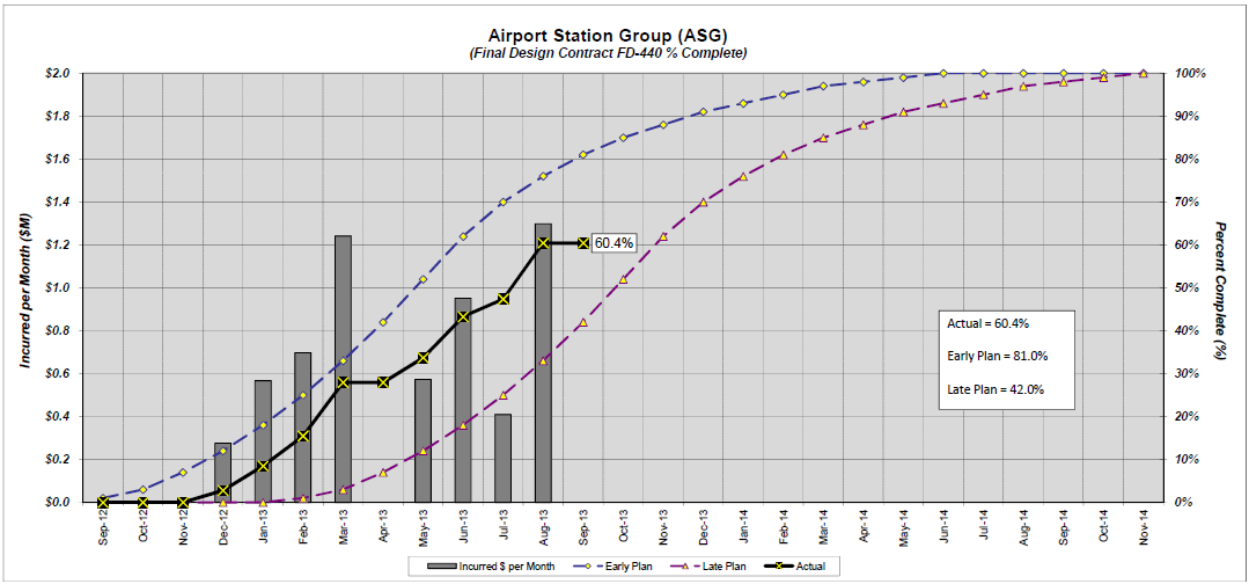
Committed:[1]	$10,177,365		Actual DBE Participation:	$215,936
Authorized:[2]	$6,504,666	(63.9%)	DBE % Attained:	2.12%
Incurred to date:	$6,012,619		Construction Documents Bid-Ready:	January 2014

[1] Commitment as of September 27 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of September 27 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of September 27 is 60.4%, versus the early plan of 81% and the late plan of 42%, as shown in Figure 31 below. In September, $0M was incurred. Design is 50% complete.

Figure 31. Airport Station Group (ASG) Final Design



- **Activities this month**
  - Issued NTP 3 – Final Design.
  - Started final design development.
  - Continued weekly progress/design and interface meetings.
  - Coordinated design of visual barrier at Pearl Harbor Naval Station.
  - Reviewing interim design construction cost estimate.
- **Look Ahead**
  - Continue Coordination meetings with stakeholders: HDOT, Navy, and others.

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

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

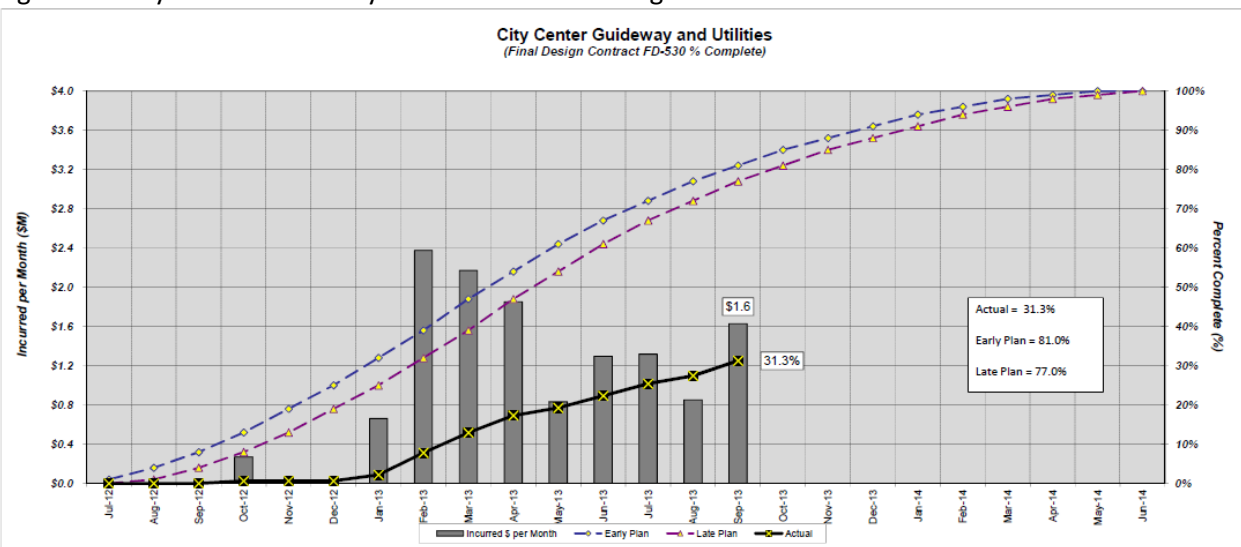
Committed:[1]	$43,948,220		Actual DBE Participation:	$134,082
Authorized:[2]	$34,629,648	(78.8%)	DBE % Attained:	0.31%
Incurred:	$13,244,859		Construction Documents Bid-Ready:	
			Utilities	August 2013
			Guideway	April 2014

[1] Commitment as of September 27 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of September 27 = NTP dollar values + executed Change Orders.

- **Contract Status**

Actual progress as of September 27 is 31.3%, versus the early plan of 81% and the late plan of 77%, as shown in Figure 32 below. In September, $1.6M was incurred. Design is 35% complete.

Figure 32. City Center Guideway and Utilities Final Design



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

- **Look Ahead**
  - Continue interim design development.
  - Finalize HECO sag calculation and thermal resistivity tests amendment.

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

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

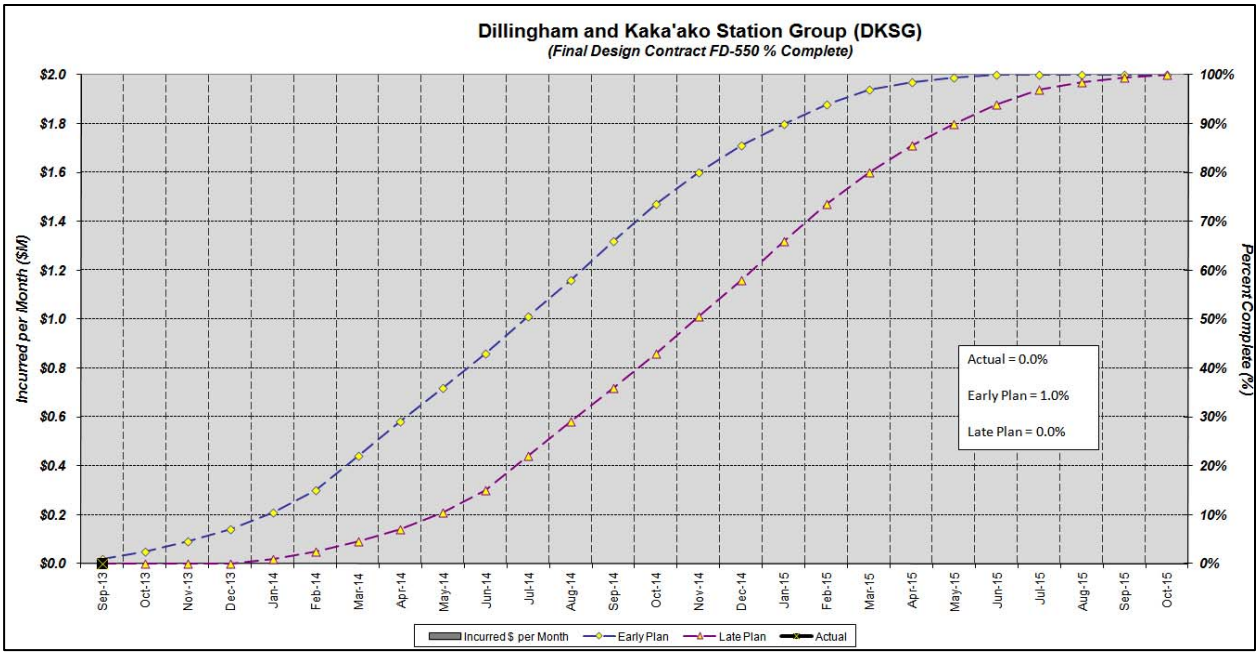
Committed:[1]	$18,321,918		Actual DBE Participation:	$0
Authorized:[2]	$1,305,204	(7.1%)	DBE % Attained:	0%
Incurred to date:	$0			

[1] Commitment as of September 27 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of September 27 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of September 27 is 0%, versus the early plan of 1% and late plan of 0%, as shown in Figure 33 below. Nothing was incurred for the period. Design is 5% complete.

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



- **Activities this month**
  - Issued NTP 1a – All plans, schedule of milestone and design schedule, design workshop.
  - All submittals related to NTP 1a have been submitted for review.
  - Issued NTP 1b – Update of preliminary plans.
  - Held design workshop.
  - Completed verification construction cost estimate.

- **Look Ahead**
  - Continue update of preliminary design development.

3.5 Manufacture-Install-Maintain (MIM) Contract Status

Contract MI-930: Elevators & Escalators Install/Maintain

Contractor: Schindler Elevator Corporation

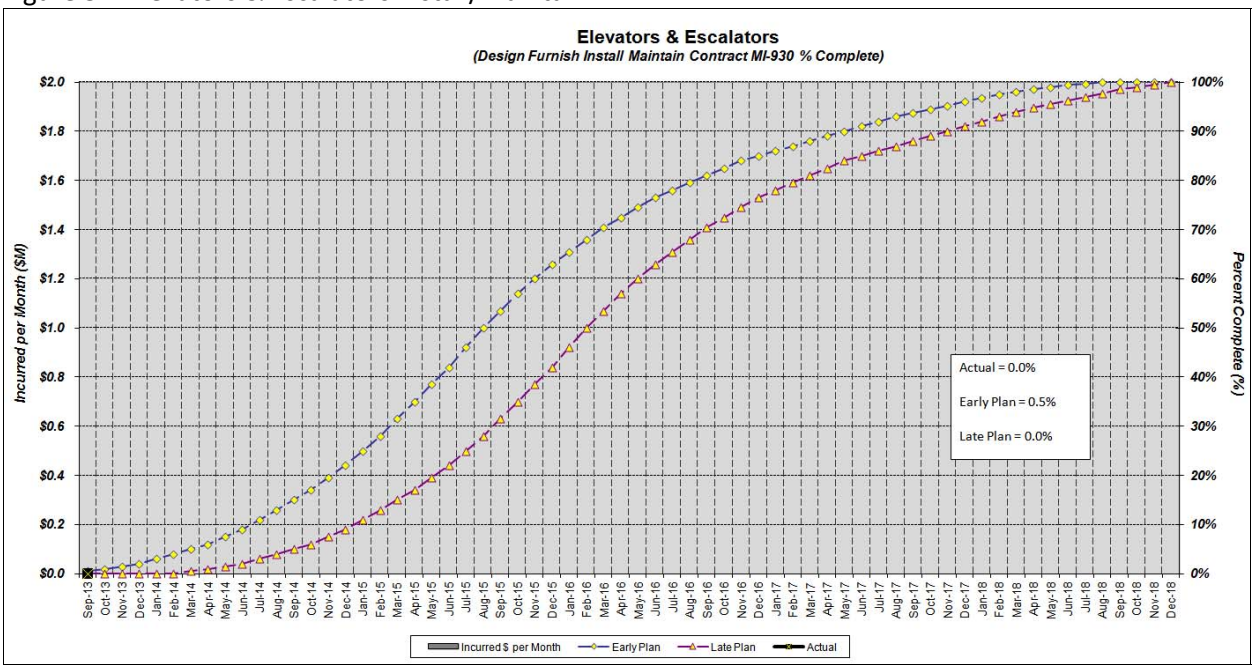
Committed:[1]	$50,982,714		Actual DBE Participation:	$0
Authorized:[2]	$5,442,108	(10.7%)	DBE % Attained:	0%
Incurred to date:	$0		Substantial Completion:	May 2018

[1] Commitment as of September 27 = Contract value (not including contingency) with Design Allowance + executed Change Orders.
[2] Total Authorized for Expenditure (AFE) as of September 27 = NTP dollar values + executed Change Orders.

- **Contract Progress**

Actual progress as of September 27 is 0%, versus the early plan of 0.5% and late plan of 0%, as shown in Figure 34 below. Nothing was incurred for the period. Design is 0.5% complete.

Figure 34. Elevators & Escalators Install/Maintain



- **Activities this month**
  - Received Schedule of Milestone's for Review.
  - Initial CMS training completed.
  - Initial design started for the West Loch and Waipahu Transit Center Stations.
- **Look Ahead**
  - Initial kickoff meeting with design teams.
  - Initiate interface meetings between design teams and Core Systems Contractor.

3.6 Utility Agreements

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

        - AT&T has provided a list of materials they will use in their work. HART has reviewed the list and determined which items are considered components. AT&T is verifying that the components are made in the USA.
        - Hawaiian Telcom continues to assess the origin of the material on hand that Wavecom had purchased for the Project prior to Wavecom's acquisition by Hawaiian Telcom.
        - HART reviews HECO material purchase orders as needed to verify materials that must be made in the USA.
    - WOFH Section:
        - Draft Amendments with Buy America Requirements are under Procurement review for Oceanic Time Warner Cable (OTWC).
        - The Hawaiian Telcom (HTI) Utility Construction Agreement (UCA) has not yet been executed. HTI is reviewing HART's comments to the draft UCA.
        - Sandwich Isle Communications (SIC) UCA has not been executed. Currently, a UCA is not needed as there are no conflicts, however SIC has requested an agreement in the event a conflict arises. A draft construction agreement was submitted to SIC.
        - HART and HECO to enter into a Pre-Construction Agreement in which HECO will conduct the relocation work, or hire subcontractors to perform the relocation work. HART will perform the first three conflicts by its design builder, HECO will perform the remaining.
    - KHG Section:
        - There are no outstanding Engineering Service Agreements (ESAs) for the KHG section.
        - Draft UCAs have been sent to OTWC and HTI for review and comment.
        - The Tesoro UCA was executed on 9/12/13.
        - Amendment No. 2 for the HECO UFRCRA, which includes Buy America Language, has been executed.
        - Possibility of construction work for AT&T Corporate and AT&T Government Solutions within the KHG Segment is under review. These utilities have been provided the language for an Agreement to review in case one is necessary.
        - HawaiiGas is reviewing HART's comments to the UCA.
        - No UCA's for Chevron and SIC will be needed.
    - Airport and City Center Sections:
        - tw telecom, Tesoro, HawaiiGas, HTI, and OTWC for the Airport and City Center Section have been executed. The remaining ESAs that need to be executed are AT&T Corporate, AT&T Government Solutions, and SIC.
        - AT&T Corporate has reviewed HART's redline of the agreement. HART and AT&T Corporate have come to agreement on contract language. AT&T Corporate is routing the final for signature.
        - The Airport Bridging Agreement Amendment No. 3 with HECO has been executed; this will increase the fee an additional $300,000 to cover field investigation work and ongoing coordination.
        - Discussion with HECO on Airport and City Center UFRCRA has been elevated to HART and HECO management to determine HECO's ability to meet HART's design schedule.
        - No UCA's for Chevron and Tesoro will be needed for the Airport and City Center sections.

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

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

Figure 35. Utility Agreements Status Matrix (by section)

Utility Agreements Status Matrix								
Utility Owner	***Status***	**WOFH**		**KHG**		**Airport**		**City Center**
		ESA	**UCA**	**ESA**	**UCA**	**UCA**	**COMBINED ESA**	**UCA**
AT&T	*Executed*	May 11, 2011	Dec 20, 2011	May 18, 2012	Submitted draft to AT&T		AT&T Corp routing Agreement for signature	
	NTP	May 12, 2011	Dec 21, 2011					
Chevron	*Executed*	Dec 4, 2009		Nov 4, 2011				
	NTP	Dec 22, 2009		Nov 15, 2011				
Hawaiian Telcom	*Executed*	May 20, 2010	HTI reviewing new draft	May 10, 2012	Pending negotiation of WOFH Template		HTI agreement executed 9/27/13	
	NTP	June 14, 2010						
HECO	*Executed*	By Agreement with PB	Apr 20, 2012	July 12, 2012		Draft transmitted to utility	Airport Bridging Agreement Executed 2/19/13 (amendment executed extending agreement to 10/31/13) City Center Bridging Agreement Executed 3/4/13 (amendment executed extending agreement to 10/31/13)	
	NTP							
Oceanic Time Warner	*Executed*	Dec 8, 2009	Dec 21, 2011	Jan 9, 2012	Revised draft to Oceanic		Executed 4/4/2013	
	NTP	Dec 22, 2009						
Pacific Lightnet/ Wavecom	*Executed*	Apr 28, 2010	Mar 12, 2012	Feb 15, 2012				
	NTP	Apr 29, 2010	Mar 13, 2012	Feb 16, 2012				
Sandwich Isle Communications	*Executed*	May 20, 2010	Submitted draft to SIC	Apr 20, 2012	Submitted draft to SIC		Submitted draft to SIC	
	NTP	Jun 8, 2010						
HawaiiGas	*Executed*	Dec 18, 2009	Jun 30, 2011	Jun 1, 2012	Comments received from HawaiiGas		HawaiiGas agreement executed 9/27/13	
	NTP	Dec 22, 2009	Jul 12, 2011					
tw telecom	*Executed*	Dec 2, 2009		Feb 14, 2012	No Scope – Oceanic to relocate for tw telecom for KHG		Executed 10/11/12	
	NTP	Dec 22, 2009		Feb 16, 2012				
Tesoro	*Executed*			Feb 15, 2012	Agreement executed 9/12/13		Agreement executed 9/3/13	
	NTP			Feb 16, 2012				

Legend: = Action this month; = Not applicable

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

3.7 Permits

- **Activities this month**
  - Received approval from the Hawai'i Department of Health (HDOH) for the Airport Section Utility Relocation National Pollutant Discharge Elimination System (NPDES) permit on October 1, 2013.
  - Received approval from the HDOH for the City Center Preconstruction Noise and Noise Variance permit on October 2, 2013.
  - Submitted the Kamehameha Highway Guideway MS4 permit application to Hawai'i Department of Transportation (HDOT) on October 3, 2013.
  - HART received comments from HDOH on the Clean Water Act Section 401 permit application for work at Waiawa Stream Tributary and Waiawa Stream on September 27, 2013.
  - A visual assessment was conducted on Oct. 17, 18, and 21 at Waiawa Stream Tributary and Waiawa Stream by HART and GEC to assist in the composition of a final draft compensatory mitigation plan for the Waiawa Section 404 permit.
  - The revised Endangered Species Act Section 7 Marine Species Determination Memorandum for the HRTP In-Water Construction Activities was sent to the FTA on October 22, 2013. This memo was requested by FTA in order for them to make an "effects" determination on the recommended ESA species listed by National Marine Fisheries Service.
- **Look Ahead**
  - Upcoming significant permit activity:
    - The Coastal Zone Management (CZM) Consistency application for work at Waiawa Stream Tributary and Waiawa Stream will be submitted to Department of Business, Economic Development and Tourism (DBEDT) once completeness notifications have been received for the Section 401 from HDOH.
    - The City Center Section 10/404 Army Corps of Engineers application submission for in-water geotechnical work can be submitted once the official FTA "effects" determination transmittal for project-wide in-water geotechnical activities is received.
    - Airport Utility Relocation Community Noise Permit and Community Noise Variance application submissions to HDOH.

3.8 Hawaii Department of Transportation (HDOT) Agreements

- **Activities this month**
  - Alignment-wide, the HDOT Traffic Management Consultant (contract MM-915) continues to review traffic signals, ITS and construction Maintenance of Traffic (MOT) for HDOT.
  - The HDOT Design Coordination Consultant for the WOFH section (contract MM-920), AECOM Technical Services, Inc. (AECOM), continues to review design submittals for HDOT.
  - AECOM, the HDOT Design Consultant for the KHG section (contract MM-921), continues to review design submittals for HDOT.
  - SSFM, the HDOT Design Coordination Consultant for the Airport and City Center Guideway sections (contract MM-922), is reviewing guideway design submittals for HDOT.
  - HDOT executed the Master Agreement for KHG, Airport, and City Center on October 11, 2013.
  - HDOT executed the Joint Use and Occupancy for Kamehameha Highway Guideway segment on October 11, 2013.
  - HDOT executed the Airport Special Provisions of the Master Agreement on October 11, 2013.
  - Kiewit has assumed maintenance control of Kamehameha Highway as part of the Master Agreement.
- **Look Ahead**
  - Airport Joint Use and Occupancy expected to be executed mid-2014.
  - City Center Joint Use and Occupancy expected to be executed early 2015.

3.9 Other Design Activities

- **Activities this month**
  - Develop new architectural directive and standard drawings.
  - Waiawa Stream bank protection design.
  - Kaloʻi channel bank stabilization alternative study.
  - Prepare community meeting presentations.
- **Look Ahead**
  - Prepare design deviation and baseline change procedure.
  - Baseline new architectural directive and standard drawings.

3.10 Interface

- **Activities this month**
  - Held Interface Partnering meetings.
  - Continued interfacing with adjoining contractors as surrogate designer on Dillingham-Kakaʻako Station Group (D-KSG) and Elevators and Escalators (EE) in their absence.
  - A total of 977 Requests for Interface Data (RFIDs) have been submitted (662 closed)
  - A total of 46 Interface Issues have been elevated (4 new, 1 open, 5 closed, 2 on hold and 34 OSR).
  - Facilitated 37 interface definition meetings with various contractors.
- **Look Ahead**
  - Fully implement CMS tracking tool for HART Interface Issues.
  - Hold Interface Kick-off meetings for Elevator/ Escalator, and hand off interfacing to Schindler.
  - Continue Interface Partnering meeting with WOFH, KHG, MSF and CSC contractors.
  - Continue assisting Project Managers (PMs) and Deputy Project Managers (DPMs) for other FFCs (fixed facility contractors) in their effort to enable early decisions prior to construction start.
  - Continue monitoring contractor RFIDs and Interface Control Documents (ICDs) pertaining to the Final Design Baseline (Revision 0).
  - Continue with assessment process of elevated issues for path forward to construction.
  - Support interface efforts during construction**.**

4 GROUP REPORTS

4.1 Safety and Security

- **Activities this month**
  - The Project had two Utility Service Strikes, two equipment damage incidents, one unauthorized entry, and one security issue in October. See Figure 36 below for a summary of issues to date.
  - HART reviewed AHJV submittals for compliance and technical specifications.
  - HART staff continues to meet with HDOT bi-weekly to address FTA and HDOT issues.
  - Working with Information Technology to address ergonomic desk issues for employees.
  - Finalize HART review of the updated Navy and courthouse Threat and Vulnerability Analysis (TVA's).
  - Continued to hold Sensitive Security Information (SSI) Implementation working group meeting.
  - Participated in the monthly Joint Traffic Management System (JTMS) steering committee meeting.
  - Participated in the weekly HART Core Systems staff meeting.
  - Continued work in evaluating submittals.
  - Participated in bi-weekly Project Interface meeting.
  - Participated in bi-weekly Safety and Security Certification Working Group (SSCWG) meeting.
  - Submitted the HART Badge Program to Executive Director to be reviewed and signed.
  - SSI Program to be presented to HART Staff, as needed.
  - Safety and Security had one attendee attend the Hawaiʻi Emergency Preparedness and Homeland Security Workshop at the Hawaiʻi Convention Center, October 21 – 23.
  - Conducted one Significant Incident Review Panel (SIRP) to review a utility strike from September.

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

Figure 33. Construction Safety Monitoring - Safety and Security Issues

Period/Date	Type of Incident*	Contract	No. & Type of Event	Comments	Type of Injury**
2011		----	**1 in 2011**		
2012		----	**22 in 2012**		
2013 Q1		----	0 in 2013 Q1		
2013 Q2			10 in 2013 Q2	April (1), May (2), June (7)	
2013 Q3			9 in 2013 Q3	July (1), August (4), September (4)	
October 2	Significant	West Oʻahu / Farrington Contracts	1 Utility Service Strike	An abandoned utility was struck while using the excavator bucket. The line was patched and buried.	

October 3	Minor	Kamehameha Contracts	1 Equipment Damage	A scuff of paint to equipment.	
October 10	Minor	West O'ahu / Farrington Contracts	1 Equipment Damage	Crane scrapped the underside of the counter weight on a pole.	
October 11	Major	West O'ahu / Farrington Contracts	1 Unauthorized Entry	2 unauthorized males on dirt bikes were asked to leave.	
October 27	Major	West O'ahu/ Farrington Contracts	1 Utility Service Strike	A 2" waterline was struck and filled a trench with water.	
October 30	Major	West O'ahu/ Farrington Contracts	1 Security Issue	Unauthorized entry to the MSF site.	
2013			**25 to date in 2013**		

* As determined by HART's Construction Safety and Security Plan.

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

4.2 Quality Management

- **Activities this month**
  - HART-GEC Quality Assurance (QA) staff holds a weekly meeting to discuss overall Project QA/Quality Control (QC) issues with consultants, contractors, subs and internal staff.
  - Continued training and mentoring HART employees to ensure project participants are familiar with the latest approved plans and procedures, and have acquired the required certifications.
  - Continued training and mentoring 2-Management Systems Lead Auditors (1- Safety and Security staff and 1-Planning and Environmental staff).
  - Continued updating and implementing the 1) Combined QA and Safety & Security (SS) Audits, 2) Environmental Compliance Audits, and 3) Buy America Compliance Audits Schedules for 2013. All audits meet the requirements of ASQ/ANSI/ISO 19011-2011 Guidelines for Auditing Management Systems.
  - Continued updating 23 Project Baseline Plans and 41 Procedures due to new policies, re-organization, process improvement and lessons learned from the internal audits. Updates to the 23 Baseline Plans and Procedures have been prioritized for completion.
  - Conducted bi-weekly Quality Task Force (QTF) meetings with 12-contractors and consultants' QA teams to discuss the status of: design activities; procurement activities; packaging, shipping, storage and preservation; Non Conformance Report (NCRs) and quality compliance, various process improvements and Buy America compliance.
  - Met with Project Manager assigned to the Elevator and Escalator Contract to discuss QA requirements. HART QA Department will perform in-house QA oversight and monitoring of the contract.
  - GEC II - Parsons Brinckerhoff, Inc. (PB):
    - PB Quality Manager is leaving project by October 31, 2013.
    - Assisted HART QA in monitoring, auditing, surveillance and oversight of eleven (11) contractors and consultants.
  - West O'ahu/Farrington Highway Guideway (WOFH) – Kiewit Infrastructure West Co. (KIWC):
    - Closeout of seven (7) open NCRs reported by KIWC.
    - Reviewed and approved latest update on the Inspection and Test Plans (ITP).

- Continued Participation in Pre-activities meetings in preparation for construction scheduled activities.
- Performed 1st Buy America compliance audit on October 16, 2013. (No Noncompliance found during the audit).
- Visited the Material Test Laboratory including calibration of testing and measuring tools and equipment at the concrete casting yard in Kapolei, HI.

- Maintenance and Storage Facility (MSF) – Kiewit Kobayashi Joint Venture (KKJV):
  - Participated in Pre-activities meetings in preparation for construction scheduled activities.
  - Continue resolving Buy America compliance traceability of 1,208 pieces of 85 lbs Contact Rails with KKJV stored at the Barbers Point Bonded Storage facility.
  - Performed joint inspection of Owner Purchased Materials and Equipment at the Barbers Point Bonded Storage facility.
- Kamehameha Highway Guideway (KHG) – KIWC:
  - QA/QC activities are the same as the WOFH contract.
- Core Systems Contract (CSC) – Ansaldo Honolulu Joint Venture (AHJV):
  - Attended and participated in the coordination meetings of HART CS Group and AHJV (ASTS/AB).
  - Reviewing Alcatel Lucent and John Controls revised Supplemental Quality Plans [SQP(s)] and Moren Track Machineries Inc. (MTM) new SQP for the Maintenance of Way equipment. This equipment is considered rolling stocks.
  - Met with Ansaldo Breda (AB) QA Manager on October 3, 2013 to discuss HART-approved AB Quality Management System (QMS) implementation, Training and readiness review.
  - AB confirmed that the track frames will be manufactured at the Finemeccanica Plant located in West Plains, MO in lieu of Italy. This move will be a positive result on the Buy America compliance requirements.
- Farrington Highway Stations Group (FHSG) I – HDR Engineering, Inc. (HDR):
  - Performed Close-out Audit of HDR on September 27, 2013 to verify their compliance with the contract requirements and specifications. The audit report was submitted to HART Procurement and Contracts Administrator on October 16, 2013. This item will be closed on the next month's report.
- Farrington Highway Stations Group (FHSG) II – URS Corp. (URS):
  - Reviewing the URS QAP and implementing procedures for the new contract.
- Airport Guideway and Utilities (Airport) – AECOM Technical Services, Inc. (AECOM):
  - Monitoring AECOM QA activities.
  - Issuing Combined QA and SS Audit Report for the audit held in September 2013.
- City Center Guideway and Utilities (City Center) – AECOM:
  - Monitoring AECOM QA activities.
  - Issuing Combined QA and SS Audit Report for the audit held in September 2013.
- West O'ahu Stations Group (WOSG) – URS Corp. (URS):
  - Monitoring URS QA activities.
  - Issuing Environmental Compliance Audit Report held on September 17, 2013.
- Airport Station Group – AECOM:
  - Monitoring AECOM QA activities.
  - Issuing Combined QA and SS Audit Report for the audit held in September 2013.
- Kamehameha Highway Stations Group (KHSG) – Anil Verma Associates, Inc. (AVA):
  - Issuing Combined QA and Safety and Security Audit Report for the audit held in September 2013.
  - Performed Environmental compliance Audit of AVA on October 9, 2013.
  - Reviewing AVA revised QAP (Revision 2).
  - Monitoring AVA QA Activities.

- Dillingham-Kaka'ako Station Group – Perkins+Will (P+W):
  - Reviewing P+W QAP and implementing procedures.

Figure 34. Open Nonconformance (NCR) Log Summary

NCR No.	Issued by	Reference/Activity	Corrective Action	Status
Maintenance and Storage Facility (MSF) DB Contract				
002	KKJV	1208 Sticks - 85# Contact Rails with incomplete documentation	Acquire required documentation including Test reports (Documentation submitted and currently being reviewed by HART)	**Open**
West O'ahu / Farrington Highway Guideway (WOFH) DB Contract				
064	KIWC	Damage to the Existing Drain Line near Waipahu Depot Road	As-built drawings will be reviewed and core locations near the drainage inlets to investigate the extent of the drain line	**Open**

- **Look Ahead**
  - Continue mentoring and training personnel on approved Project Plans and Procedures.
  - Continue qualification and certification of 2-Lead Auditors on Management Systems Audits.
  - Continue QA/QC, Environmental and Buy America Compliance monitoring and oversight of Contracts executed to date.
  - Update and implement the 2013: Combined Management Systems (QA and Safety & Security) Audit Schedule, Environmental Compliance Audit Schedule and Buy America Compliance Schedule.
  - Perform Combined QA and SS Audit of WOFH and KHG (KIWC) on November 13 and 14.
  - Perform Combined QA and SS Audit of MSF (KKJV) on December 2013.
  - Perform Environmental Compliance Audit of MSF (KKJV) on December 2013.
  - Perform Environmental Compliance Audit of AUG/CCUG/ASG (AECOM) on November 6.
  - Perform Buy America Compliance Audit of MSF (KKJV) on December 2013.
  - Follow up on and close corrective and preventative actions on all NCRs and Observations issued.
  - Review and approve Contractor/Consultant QAPs, Inspection and Test Plans (ITPs) and implementing procedures (new and updates).

4.3 Disadvantaged Business Enterprise (DBE)

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

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

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

- **Activities this month**

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

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

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

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

DBE Firm	NAICS Code	Race	Sex	Contract Number	Participation to Date	Total DBE Participation
Bright Light Marketing Group	541613	APA	F	SC-HRT-1200038 FD-430	$139,998.00	
				SC-HRT-1200149 FD-530	$134,082.25	
				SC-HRT-1300022 FD-440	$116,086.00	$390,166.25
Ki Concepts	541320	APA	M	SC-HRT-1200077 MM-922/923	$9,900.00	$9,900.00
Miyabara Associates	541320	APA	M	SC-HRT-1300022 FD-440	$99,850.00	$99,850.00
Anil Verma Associates**	541350	HA	M	SC-HRT-1200111 FD-340	$1,991,252.94	$1,991,252.94
Total						**$15,234,835.33**

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

Race Categories

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

The total dollar participation for all DBEs on all HART contracts from 10/16/09 to 10/31/13 was $15,234,835.33. To determine progress towards the project goal of $229 million DBE participation, the total DBE dollar participation is compared to the amount of FTA Funds used to date and the total Project FTA Funds.

The total FTA fund drawdowns to October 31 was $183,532,736 ($179,532,736 New Starts + $4,000,000 ARRA). To meet the 13% DBE goal on FTA funds received, $23,859,255 in DBE goods and services would have to be utilized. DBE utilization on FTA funds received to date is 8.3% ($15,234,835 divided by $183,532,736) of the total disbursed FTA Funds.

The total Project FTA funds under the FFGA is approximately $1.764 billion. To meet the 13% project DBE goal, $229,307,507 in DBE goods and services would have to be utilized. DBE utilization to date on total FTA funds is approximately 0.86% ($15,234,835 divided by $1,763,903,901) of the total Project FTA funds.

- **Look Ahead**
  - 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.

4.4 Right-of-Way

- **Activities this month**
  - Acquisitions**:**
    - An agreement was reached with the property owners of TMK 9-6-04-006. This agreement is under court review. A consent to enter for construction was granted to HART until the court settlement is finalized.
    - TMK 9-7-022-008 and TMK 9-7-022-021 received consent to enter for construction while the acquisition is finalized.
    - TMK 1-1-16-014, a full acquisition for the Lagoon Station, is in escrow and Environmental Inventory Survey Phase II has been scheduled.
    - Adjustments to alignment and station location within the Airport section have been finalized, and title searches and surveying initiated for TMK 1-1-2-001 (U.S. Postal Service property at the Honolulu International Airport) and TMK1-2-13-20 and TMK1-2-13-21, property associated with the Middle Street Transit Center Station and guideway.
    - Letter of intent issued for TMK 1-2-13-21 and TMK 1-2-13-20.
    - Began the acquisition process for properties along Dillingham as permitted by the federal court order modifying the partial injunction.
  - Relocations:
    - Notice of Eligibility was issued to tenants of TMK 1-1-16-014, a full acquisition for the Lagoon Station.
    - Notices of eligibility for TMK 1-1-16-006 and TMK 1-1-16-005 have been issued.
    - HART will initiate relocation activities for those tenants in the City Center section that were acquired prior to December 27, 2012 as permitted by the federal court order modifying the partial injunction.
  - Budget:
    - $42.3M was spent to acquire 23 properties. The budgeted amount for the 23 parcels was $45.4M, resulting in a budget underrun of $2.9M.
    - $2.6M has been expended to date for relocations.

- **Look Ahead**
  - WOFH Section
    - Complete the acquisition of TMK 9-6-04-006, a full acquisition within the Banana Patch.
  - Kamehameha Section
    - Complete partial acquisitions associated with TMK 9-7-23-008, TMK 9-7-022-008 and TMK 9-7-022-021.
  - Airport Section
    - Complete negotiations for TMK 1-1-16-006 and TMK 1-1-16-005, full acquisitions needed for the guideway.
    - Secure consents to do geotechnical testing and environmental assessments on properties along the proposed guideway and stations.
  - City Center Section
    - All acquisitions and relocations not specified in the federal court order modifying the partial injunction remain on hold until conditions of the federal court order are met.
    - For design support, secure consents to do geotechnical testing and environmental assessments on properties along the proposed guideway and stations.

Figure 38. Right-of-Way Status excluding HDOT Properties*

Section	Original # Parcels in FEIS	Current # Parcels Needed**	Agreements In Process	Appraisals in Process	Offers	Acceptance	Ready for Construction
FULL ACQUISITION							
Total	**40**	**34**	**0**	**1**	**3**	**6**	**19**
WOFH	*14*	*14*	*0*	*0*	*0*	*0*	*14*
KHG	*5*	*3*	*0*	*0*	*0*	*0*	*3*
Airport	*5*	*4*	*0*	*0*	*2*	*2*	*0*
City Center	*16*	*13*	*0*	*1*	*1*	*4*	*2*
PARTIAL ACQUISITION							
Total	**134**	**79**	**3**	**5**	**1**	**1**	**7**
WOFH	15	6	*2*	1	0	0	3
KHG	20	3	*0*	0	*0*	0	*3*
Airport	8	*8*	1	4	0	0	1
City Center	91	62	0	0	1	1	0
EASEMENTS							
Total	**12**	**57**	**19**	**1**	**1**	**0**	**7**
WOFH	6	*8*	2	0	0	0	*4*
KHG	0	5	2	0	0	0	3
Airport	1	*21*	*15*	1	1	0	0
City Center	5	23	0	0	0	0	0
GRAND TOTAL	**186**	**170**	**22**	**7**	**5**	**7**	**33**

FEIS = Final Environmental Impact Statement, June 2010

* HDOT Properties were excluded from this table as they relate to use and occupancy agreements which span areas along the entire guideway and are not managed as individual parcels.

** The variance between the FEIS and current # of parcels needed is due to the FEIS showing all properties that may be impacted by the project. During design development the real estate requirements have been adjusted to accommodate the design refinements. Parcel requirements will be adjusted as design is finalized.

Figure 39. Relocation Status

	Total Relocations	Initiated	90-day Notice	30-day Notice	Relocations Complete
Residential	**27**	**0**	**0**	**0**	**26**
WOFH	*25*	*0*	*0*	*0*	*25*
City Center	*2*	*0*	*0*	*0*	*1*
Business	**66**	**11**	**0**	**0**	**13**
WOFH	*5*	*1*	*0*	*0*	*4*
KHG	*4*	*0*	*0*	*0*	*4*
Airport	*7*	*7*	*0*	*0*	*0*
City Center	*50*	*3*	*0*	*0*	*5*
Not-For-Profit	**1**	**0**	**0**	**0**	**1**
WOFH	*1*	*0*	*0*	*0*	*1*
TOTAL	**94**	**11**	**0**	**0**	**40**

Figure 40. Third-Party Agreement Status

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

4.5 Planning and Environment

- **Activities this month**
  - Programmatic Agreement (PA) [by PA Stipulation number]
    - III. Identification and Protection of Archaeological Sites and Burials - Archaeological Inventory Surveys (AIS). The following plan preparations are in progress for submittal to the State Historic Preservation Division (SHPD):
      - An Archaeological Monitoring Plan is being prepared for Section 3 (Airport).
      - The Data Recovery Plan, Archaeological Monitoring Plan, and Burial Treatment Plan are being prepared for Section 4 (City Center).
      - Coordination with SHPD and the Oʻahu Island Burial Council (OIBC) as well as outreach to descendant families continues on the seven iwi kūpuna (human skeletal remains) discovered previously during the City Center AIS field work. All seven iwi kūpuna continue to be protected in place.
    - IV. Design Standards:
      - Kamehameha Highway Station Group Community Meeting #1 was held on October 8 from 6:30 p.m. to 8:30 p.m. at Pearlridge Elementary School Cafeteria. A pre-meeting with PA Consulting Parties was held on October 3. The pre-meeting also included a focus meeting session on Aloha Stadium Station which is across Kamehameha Highway from the Pearl Harbor National Historic Landmark.
      - A 30-day Consulting Party review of Final Design Phase plans for the Aloha Stadium Station began September 30 and extended through October 30.
    - V. Recordation and Documentation:
      - Historic American Buildings Survey/ Historic American Engineering Record/ Historic American Landscape Survey (HABS/HAER/HALS) documentation [including required photo recordation of adversely affected historic properties activities and submission to the National Park Service (NPS)] is in progress for additional properties. No submissions occurred in October. Internal report preparation is in progress.
    - VI. National Register of Historic Places/Historic Landmark Nominations:
      - Preparation of National Register (NR) nomination forms for adversely affected historic properties is in progress.
      - SHPD submitted Mother Waldron Playground final NR documentation to the NPS (Keeper of the Register) on October 1. This historic site is already on the Hawaiʻi Register of Historic Places.
    - IX. B. Historic Preservation Program:
      - Fung Associates Inc (Historic Architects) and HART continued to work in October to provide support information for the potential restoration work to be funded.
  - Mitigation Monitoring Program (MMP)
    - MMP Reporting:
      - Internal September monthly reports were completed in October. The Quarterly Report for 3rd Quarter 2013 is in preparation for submittal to FTA at the end of October.
  - Planning Activities
    - HART, City Department of Planning and Permitting (DPP) and the City Department of Transportation Services (DTS) held their monthly meeting on October 18 to discuss Infrastructure and Transit-Oriented Development planning around the future transit stations.
    - Monthly HART Sustainability Committee Meetings continue as the team works to identify ways to improve the support of green features project-wide.

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

4.6 Risk Management

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

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

Activities this month

- The top 10 risks in September are set out in Figure 42 on the next page.
- As shown in Figure 43 on page 67, the Top 10 risks for September changed from those identified in August due to a reduction in the risk rating for risk #28 and the deletion of risk #167. The risks were replaced in the top 10 by risks #58 and #59.
- As shown in Figure 44 on page 67, one new risk was added.
- In September 19 risks were deleted from the Risk Register, as shown in Figure 45 on page 67.
- The total number of risks decreased by 18, from 315 in August to 297 risks in September, as 19 risks were deleted and one risk was added. See Figures 46 and 47 on page 69.
- HART continues to work with the Owner-Controlled Insurance Program (OCIP) Consultant, Marsh USA, Inc., to identify and evaluate the insurable risks for the project and the agency.

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

Figure 41. Risk Matrix

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

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

Figure 42. Top 10 Project Risks in September

Risk ID	Contract Package	Risk Description	Prob	Prob Rating	Cost Impact	Time Impact	Sept. Risk Rating	August Risk Rating
60e	City Center	Given limited geotechnical information available at the current PE level, additional costs may be incurred.	90%	5	5	3	20	20
PMOC26	Project wide	Change in station designs may affect guideway and result in additional construction costs.	90%	5	5	2	17.5	17.5
11	Project Wide	There may be insufficient utility company resources available to meet the design, approvals and/or construction schedule. (May result in additional costs for rework during construction.)	75%	4	5	3	16	16
58	Project Wide	CSC compatability reviews may result in changes to fixed facility design resulting in formal change orders.	90%	5	4	2	15	10
39	Project Wide	Contractors may not achieve contract required delivery dates of design information and construction interfaces to others.	75%	4	5	2	14	14
169	City Center	Environmental documentation required under the Federal court case takes longer than planned, resulting in delays to ROW purchase for City Center.	75%	4	4	3	14	14
63	Project Wide	Costs for utility relocations may increase if utility plans have deviations greater than contract stipulation.	75%	4	5	2	14	14
147	Project Wide	Late turnover of ROW to contractor may affect Project schedule.	75%	4	4	3	14	12
56	Project Wide	HDOT may not grant waiver to leave in place existing utilities to be abandoned that are not impacted by new structures requiring partial or total removal.	75%	4	5	1	12	12
59	Project Wide	Traffic disruptions may result in revised constraints imposed by City or HDOT.	75%	4	4	2	12	12

Risks on the Top 10 list are placed in order based on highest risk rating for the month. The list represents risks that could have a major impact on the Project and require additional focus and mitigation by management.

Figure 43. Risks Removed from Top 10

Risk ID	Contract Package	Risk Description	Prob	Prob Rating	Cost Impact	Time Impact	Sept. Risk Rating	August Risk Rating
28	Project Wide	Permits and approvals by other agencies may not be provided in a timely manner and delay the project.	25%	2	3	2	5	14
167	Project Wide	AIS construction delay is longer than originally anticipated. (After September 2013)						12

Figure 44. Risks Added in September

Risk ID	SCC Code	Contract Package	Risk Description	Cal Prob	Prob Rating	Cost Impact	Time Impact	Risk Rating
184	90.00	Project Wide	Additional costs may be incurred due to escalation during AIS suspension.	75%	4	5	0	10

Risk #184 - All contractors have yet to submit RFCs and this risk covers the potential for additional costs over what has been estimated. Escalation costs have been accounted for in the change logs for WOFH and MSF

Figure 45. Risks Deleted in September

Current Risk ID	SCC Code	Contract Package	Risk Description	September 2013 Comments	Risk Rating	
					Sept. '13	Aug. '13
167	10.04	Project Wide	AIS construction delay is longer than originally anticipated. (September 2013)	Risk has been deleted. Construction restarted on September 16, 2013.		12
151	90.00	Project Wide	Timing of internal Project communication results in delays and additional costs.	Risk has been deleted because Project communication has greatly improved. Joint meetings with various departments have led to enhanced communications and resolutions.		10
175	90.00	CSC	Delays due to AIS result in additional costs for escalation on CSC.	Risk has been deleted because it is now covered in the Project Wide risk #184.		10
67	90.00	WOFH	Delay to issue NTP results in claims for additional costs.	Risk has been deleted because negotiations have been completed. Escalation impact due to NTP and AIS delay is still outstanding but it is covered in change log.		8
164	40.04	Project Wide	Changing requirements by agencies may delay Project and increase costs.	Risk has been deleted. Have agreed that HEER release reporting is needed when VOCs are greater than 1 part per million.		7.5
71	20.02	WOFH	Waipahu Station is located in the floodplain and the design has yet to be approved by DPP, which could result in a delay due to redesign.	Risk has been deleted since it only impacts WOSG which is covered under risk #134.		7.5
28b	40.04	MSF	Permits and approvals by other agencies may not be provided in a timely manner and delay the project.	Risk has been deleted since all permits required to be obtained by HART at this time have been acquired. There may be other permits required in the future but those will be obtained by the contractor.		6
62a	40.02	WOFH	Delay to utility easement agreements may delay access for utility relocations and result in contractor claims.	Risk has been deleted. All easements have been acquired as needed.		6
73	10.04	WOFH	Lateral deflection of shafts at top is an added requirement: specified as not to exceed 1 inch under Service I loading combination.	Risk has been deleted. There has been no notification of issue and design has been progressing.		5

Figure 45a. Risks Deleted in September (continued)

Current Risk ID	SCC Code	Contract Package	Risk Description	September 2013 Comments	Risk Rating	
					Sept. '13	Aug. '13
142	10.04	WOFH	Station pedestrian bridge clearance over HDOT ROW may need to be raised to meet HDOT minimum requirements (17.5') which would result in additional costs due to redesign of either the pedestrian bridge or guideway.	Risk has been deleted as there is no outstanding issue of raising the profile on WOFH. Pedestrian bridge clearance has been coordinated between the guideway and station designs.		4.5
79	10.09	MSF	Delayed NTP of MSF may increase costs associated with rail, building steel fasteners etc.	Risk has been deleted. NTP delay issues have been settled.		4
66	10.04	WOFH	City-supplied materials may not be provided as per contract.	Risk has been deleted. MSF has almost completed procurement and will not impact WOFH.		4
53c	90.00	KHG	Significant design errors identified during construction results in consequential delays to opening.	Risk has been deleted because it is a contractor risk since it is a DB contract and are responsible for their own design.		3.5
53a	90.00	WOFH	Significant design errors identified during construction results in consequential delays to interim opening.	Risk has been deleted because it is a contractor risk since it is a DB contract and are responsible for their own design.		3.5
69	40.04	WOFH	Natural drainage at Ho'opili Station may need to be addressed by project if DR Horton development does not do it, which would result in additional costs to the project.	Risk has been deleted. The Project has made agreements with DR Horton.		2.5
75	20.02	WOFH	Project may be required to build a 1-mile paved street at Ho'opili Station.	Risk has been deleted since only an all weather access road is required which was in the original scope.		2.5
28c	40.04	KHG	Permits and approvals by other agencies may not be provided in a timely manner and delay the project.	Risk has been deleted since all permits required to be obtained by HART have been acquired. There may be other permits required in the future but those will be obtained by the contractor.		2
165b	10.04	KHG	Earth disturbing activities suspended pending approval of Project wide AIS delays design completion and results in additional costs due to escalation.	Risk has been deleted since construction has restarted.		1.5
126	60.01	Right of Way	Acquisition of commercial property at Pearl Highlands Station and Guideway is difficult and may delay schedule and increase costs. (Banana Patch)	Risk has been deleted. Agreement has been reached with the property owner.		1.5

Figure 46. Risks by Contract Package

Contract Packages	August 2013 # of Risks		September 2013 Update				
			Total # of Risks		NewlySub-Divided Risks	New Risks	Deleted Risks
Project Wide	68	*20*	66	*18**	0	1	3
WOFH	42		33		0	0	9
MSF	20		18		0	0	2
KHG	36		33		0	0	3
Core Systems Contract	19		18		0	0	1
Right of Way	10		9		0	0	1
Airport Guideway	48		48		0	0	0
City Center Guideway	55		55		0	0	0
Project Wide Stations	3		3		0	0	0
Farrington Highway Stations	2		2		0	0	0
West Oahu Stations	5		5		0	0	0
Kamehameha Highway Stations	3		3		0	0	0
Airport Section Stations	2		2		0	0	0
City Center Section Stations	2		2		0	0	0
Total	**315**	***267***	**297**	***249****	**0**	**1**	**19**

*48 Project Wide risks were determined to be applicable to various contracts and have been sub-divided into those contracts and evaluated at the contract level. Total number of risks contained in the risk register is 297. There are a total of 249 risks when excluding the duplicated Project Wide risks.

Figure 47. Comparison of Risk Ratings

Contract Package/Section	September 2013 Update # of Risks				August 2013 # of Risks			
	Total	High	Medium	Low	Total	High	Medium	Low
Project Wide	66	15	41	10	68	18	39	11
West Oahu/Farrington Highway	33	8	15	10	42	9	21	12
Maintenance & Storage Facility	18	3	5	10	20	1	8	11
Kamehameha Highway Guideway	33	4	19	10	36	3	21	12
Core Systems Contract	18	4	7	7	19	5	7	7
Right of Way	9	5	2	2	10	4	3	3
Airport Guideway	48	3	33	12	48	3	33	12
City Center Guideway	55	7	36	12	55	7	36	12
Project Wide Stations	3	0	1	2	3	0	1	2
Farrington Highway Stations	2	0	1	1	2	0	1	1
West Oahu Stations	5	1	3	1	5	1	3	1
Kamehameha Highway Stations	3	0	2	1	3	0	2	1
Airport Stations	2	0	1	1	2	0	1	1
City Center Stations	2	0	2	0	2	0	2	0
Total	**297**	**50**	**168**	**79**	**315**	**51**	**178**	**86**

4.7 Community Outreach

- **Activities this month**
  - October was a busy month for HART's public involvement team. Key events included Rotary presentations, the West O'ahu Economic Development Association's annual meeting, and the Hawai'i Chapter of the Women's' Transportation Seminar (WTS) career opportunities event. HART also had an information booth at the Food and New Products show, an event that drew 40,000 attendees. In addition to participating in 25 events, HART's communications team also successfully submitted the winning nomination of U.S. Senator Daniel K. Inouye to receive the American Public Transportation Association's (APTA) Distinguished Service Award. HART CEO Dan Grabauskas, Honolulu Mayor Kirk Caldwell and Senator Inouye's former chief of staff, Jennifer Sabas, received the award on the late senator's behalf at the APTA conference this month. About 2,000 people attended the awards event and APTA noted that the nomination that HART put together was among the best they had seen in years, and that they planned to use HART's entry as a model in future years. The nomination included an extensive essay, a video, a storyboard and compiling letters of recommendation.

Figure 48. HART Team at APTA
HART's Executive Director, Honolulu Mayor Kirk Caldwell, and U.S. Senator Daniel K. Inouye's former chief of staff, Jennifer Sabas, accept an award on behalf of Senator Daniel K. Inouye. The APTA award honored the Senator's work in helping to bring the rail project and other key transportation projects to fruition. Hawai'i's team is joined by APTA presenter Chris Boylan (far right).

- **Construction Outreach**
  - With construction well underway in West O'ahu and at the Maintenance and Storage Facility site in Waipahu, keeping businesses, residents and motorists informed about construction-related activities remains a top priority for HART. In addition to partnering with the contractor on monthly community meetings and canvassing efforts, HART's public involvement team participates in weekly Task Force meetings with the contractor's outreach team to discuss construction work and how to lessen its impact on the public. HART's media team produces Weekly Traffic Advisories that are distributed to the media and posted on the HART website each Friday. Major road detours or closures, such as the Old Farrington Highway temporary closure in 'Ewa, are also highlighted in separate news releases. In addition to the media, the advisories are sent to elected officials in the area and to neighborhood boards so that they, too, can keep their constituents informed. The notices are also part of HART's weekly eBlast sent to more than 2,500 connections and are put out via social media on Facebook and Twitter, and shared with our social media partners. The traffic advisories are compiled using the most up-to-date information from Kiewit and AECOM. HART's engineers, working in coordination with the

public involvement team, collaborate with the state Department of Transportation to ensure information is shared and traffic mitigation efforts are seamless to motorists.

- In keeping with HART's commitment to encourage local jobs tied to the project, HART held its first annual Industry Day, a day-long workshop to connect some of the project's prime contractors with smaller contractors interested in working on the rail project. More than 200 people from more than 100 companies attended the event. Exhibitors included Disadvantaged Business Enterprise (DBE) office representatives from HART, the City and County of Honolulu and the state Department of Transportation, as well as contractors such as Kiewit, and the joint venture Skanska/PCL/Hawaiian Dredging.

Figure 49. Industry Day
HART's Industry Day drew more than 200 attendees from more than 100 companies who are interested in partnering with contractors working on the rail transit project.

- **Community Input**
  - HART's public information team responded to more than 30 public inquiries and requests in October that came in via the agency's website, email and 24-hour hotline. Inquiries this month primarily focused on construction activities.
  - To date, HART's outreach team has participated in:
    - 1,498 presentations and events
    - 805 Neighborhood Board meetings

- **Look Ahead**
  Coming in November:
  - HART partners with its construction contractors to sponsor monthly business and residential community meetings along the alignment in key construction areas.
  - The next station design community meeting will be held in November, focusing on the Pearl Harbor, Lagoon Drive and Middle Street Transit Center stations.

5 STAFFING

HART staffing activities in October are summarized in Figure 50 below. HART staffing projections are shown in Figure 51 below and Figure 52 on the next page. For organizational structure detail, see the latest HART Project Organization Chart in Appendix A on page 74.

Figure 50. Staffing Activities

Title	Group	New/Existing HART position (City or PMSC)	Position Status	Start Month
Engineering and Construction				
Change Order Specialist (2)	Engineering and Construction	Existing (City)	Filled (1)/ Interviewing	Oct
Budget and Finance				
Procurement and Specifications Clerk	Procurement and Contracts	Existing (City)	Filled	Oct
Transit Grants Planner*	Grants/Financial	Existing (City)	Recruiting	
Transit Contracts Manager* (3)	Procurement and Contracts	Existing (City)	Filled (1)/ Interviewing	Oct
Planning, Utilities, Permits & Right of Way				
Planner VI* (Land Use/Sustainability)	Planning	Existing (City)	Recruiting	
Planner V* (Cultural Resources)	Planning	New (City)	Interviewing	
Project Controls				
Estimator	Project Controls	New (City)	Recruiting	

*Per qualifications.

Figure 51. HART Staffing Projection in the Current Staffing Plan

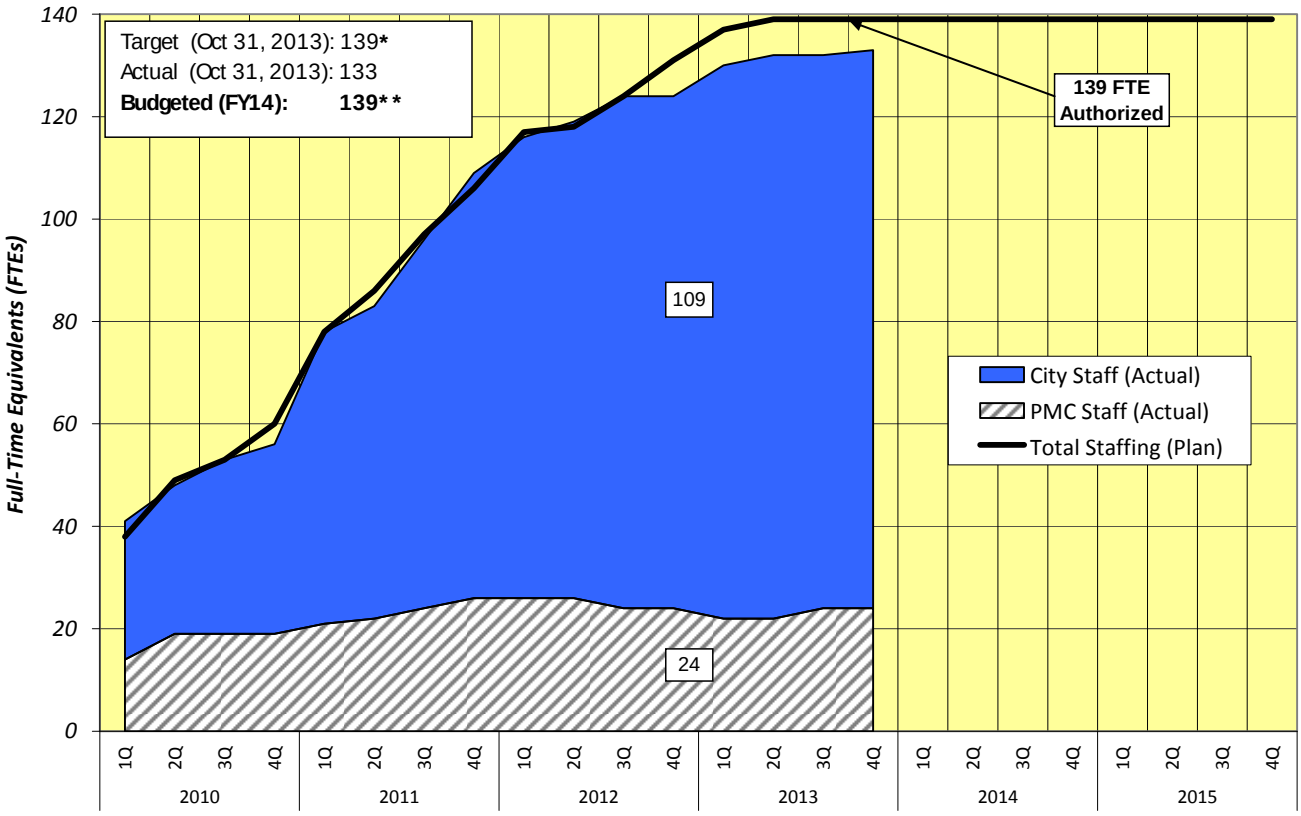
[Also see the Project Staffing (Actual vs. Planned) graph in Figure 52]	as of:	# Employees
Target*	Oct 31	139
Actual*	Oct 31	133
Full-Time Employees budgeted for FY14**	Jul 31	139

**Including PMSC staff **Excluding PMSC staff.*

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

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

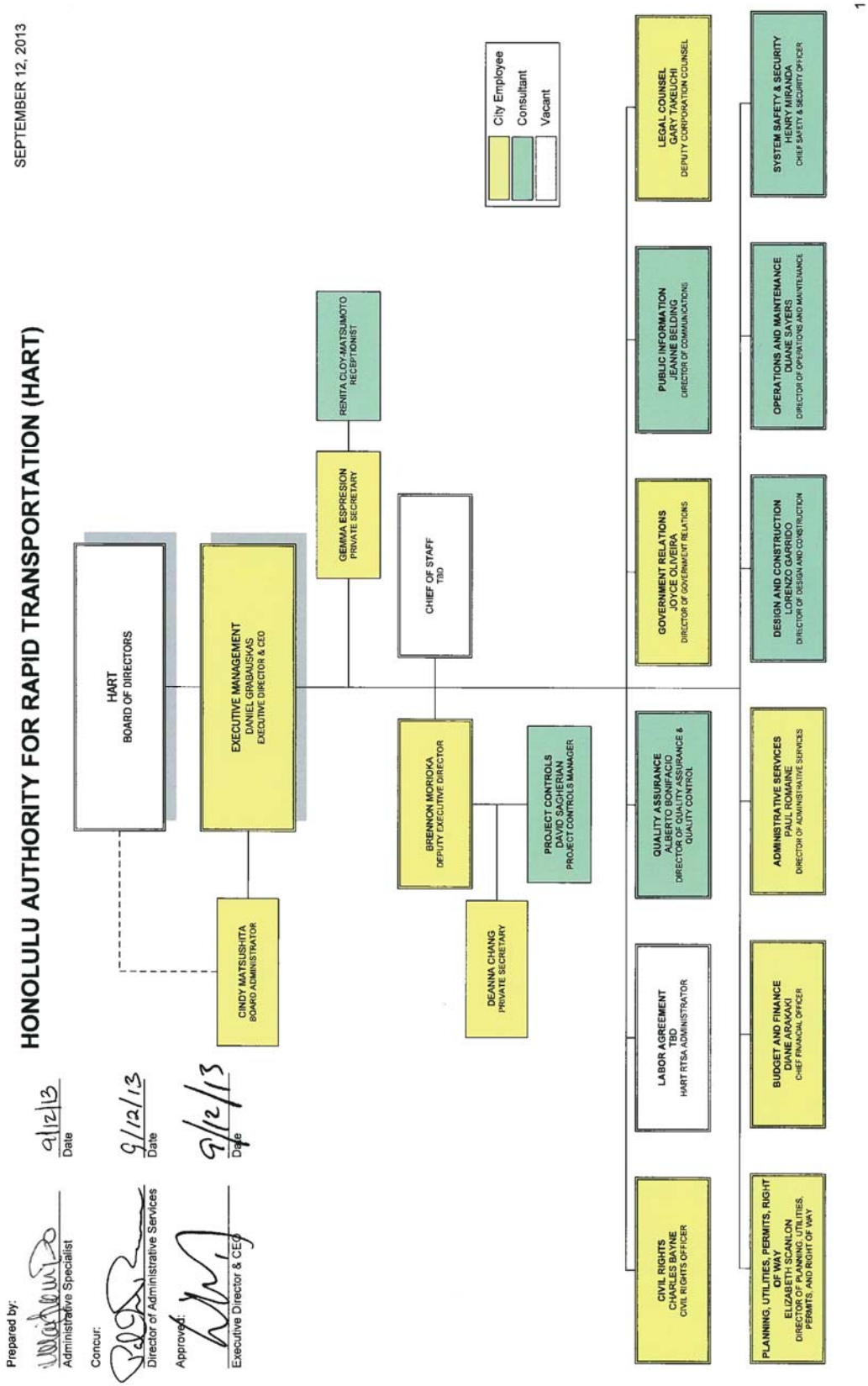
Figure 52. Project Staffing (Actual vs. Planned)



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

6 APPENDICES

Appendix A. Project Organization Chart



Appendix B. Project Alignment