

November 2013

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



MONTHLY PROGRESS REPORT



HONOLULU AUTHORITY for RAPID TRANSPORTATION

Contents

Table of Figures	3
1 EXECUTIVE SUMMARY.....	4
1.1 Key Activities This Month.....	4
1.2 Key Current Issues.....	4
1.3 Project Scope Status Overview	5
1.4 Project Schedule Status Overview	5
1.5 Project Progress Overview	5
1.6 Financial Status Overview	8
1.7 HART Board of Directors Meetings and Events in November	9
2 PROJECT BUDGET AND SCHEDULE	10
2.1 Project Budget.....	10
2.2 Project Revenue and Costs	10
2.3 Project Schedule	20
2.4 Contingency Management.....	22
3 CONTRACT STATUS.....	26
3.1 Procurement Status	26
3.2 Design-Build (DB) Contract Status	29
3.3 Design-Build-Operate-Maintain (DBOM) Contract Status	36
3.4 Final Design (FD) Contract Status.....	38
3.5 Manufacture-Install-Maintain (MIM) Contract Status.....	45
3.6 Utility Agreements	45
3.7 Permits	49
3.8 Hawaii Department of Transportation (HDOT) Agreements	49
3.9 Other Design Activities.....	49
3.10 Interface.....	50
4 GROUP REPORTS	51
4.1 Safety and Security	51
4.2 Quality Management	52
4.3 Disadvantaged Business Enterprise (DBE)	55
4.4 Right-of-Way	58
4.5 Planning and Environment.....	61
4.6 Risk Management	62
4.7 Community Outreach.....	68
5 STAFFING	71
6 APPENDICES	73
Appendix A. Project Organization Chart.....	73
Appendix B. Project Alignment.....	74

Table of Figures

Figure 1. Overall Project Progress (% Complete).....	6
Figure 2. Construction Progress (% Complete).....	6
Figure 3. Design Progress (% Complete).....	7
Figure 4. Utilities Progress (% Complete).....	7
Figure 5. Total Authorized for Expenditure (AFE) Increase.....	8
Figure 6. Drawdown by Fiscal Year.....	9
Figure 7. Project Funding Sources (YOE \$M).....	11
Figure 8. Planned vs. Received Project Funding.....	11
Figure 9. Project Revenue versus Incurred Costs.....	12
Figure 10. Cash Balance Summary.....	12
Figure 11. Project Costs by Contract.....	13
Figure 12. Project Costs by SCC – Summary.....	16
Figure 13. Project Costs by SCC – Level 2.....	17
Figure 14. H RTP Master Project Schedule (MPS) Summary.....	21
Figure 15. Project Contingency Budget.....	23
Figure 16. Draft Cost Contingency Drawdown Chart.....	25
Figure 17. Procurement: Design-Build (DB), Design-Build-Operate-Maintain (DBOM) and Manufacture-Install-Maintain (MIM) Contracts.....	26
Figure 18. Procurement: Final Design (FD) Contracts.....	26
Figure 19. Procurement: Design-Bid-Build (DBB) Contracts.....	27
Figure 20. Procurement: Construction Engineering and Inspection Services (CE&I) Contracts.....	27
Figure 21. Procurement: Project Management and Specialty Consultant Services Contracts.....	28
Figure 22. Procurement: HDOT Consultant Services and Other Contracts.....	28
Figure 23. West O’ahu/Farrington Highway Guideway (WOFH) Construction.....	29
Figure 24. Maintenance and Storage Facility (MSF) Construction.....	31
Figure 25. Kamehameha Highway Guideway (KHG) Construction.....	34
Figure 26. Core Systems Contract (CSC).....	36
Figure 27. West O’ahu Station Group (WOSG) Final Design.....	38
Figure 28. Farrington Highway Station Group (FHSG) Final Design.....	39
Figure 29. Kamehameha Highway Station Group (KHSG) Final Design.....	40
Figure 30. Airport Guideway and Utilities Final Design.....	41
Figure 31. Airport Station Group (ASG) Final Design.....	42
Figure 32. City Center Guideway and Utilities Final Design.....	43
Figure 33. Dillingham Kaka’ako Station Group (DKSG) Final Design.....	44
Figure 34. Elevators & Escalators Install/Maintain.....	45
Figure 35. Utility Agreements Status Matrix (by section).....	48
Figure 36. Construction Safety Monitoring - Safety and Security Issues.....	51
Figure 37. Open Nonconformance (NCR) Log Summary.....	53
Figure 38. Right-of-Way Status.....	59
Figure 39. Relocation Status.....	59
Figure 40. Third-Party Agreement Status.....	60
Figure 41. Risk Matrix.....	63
Figure 42. Top 10 Project Risks in October.....	63
Figure 43. Risks Removed from Top 10.....	63
Figure 44. Risks Added in October.....	64
Figure 45. Risks Deleted in October.....	64
Figure 46. Risks by Contract Package.....	68
Figure 47. Comparison of Risk Ratings.....	68
Figure 48. HART’s Station Design Community Meeting Series.....	69
Figure 49. TOD Symposium.....	69
Figure 50. Staffing Activities.....	71
Figure 51. HART Staffing Projection in the Current Staffing Plan.....	71
Figure 52. Project Staffing (Actual vs. Planned).....	72

1 EXECUTIVE SUMMARY.

1.1 Key Activities This Month

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

Hundreds of Jobs Generated by Rail

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

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

TOD Plans Unveiled

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

1.2 Key Current Issues

Archaeological Inventory Survey (AIS) Reports and Review

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

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

State Lawsuit

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

Federal Lawsuit

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

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

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

1.3 Project Scope Status Overview

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

1.4 Project Schedule Status Overview

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

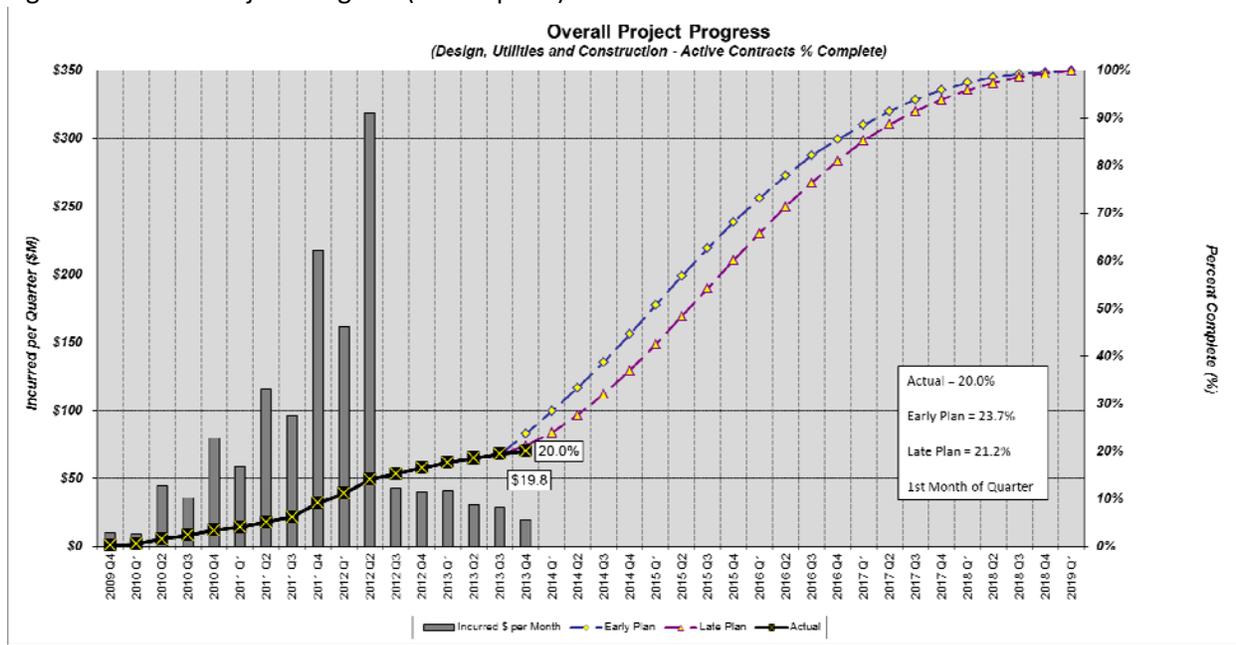
HART continues to closely monitor and manage the MPS and all key milestones. In an effort to mitigate the AIS delay, several contract packages are being combined to maximize economies of scale and reduce interface needs between design and construction contractors to achieve both cost and schedule benefits.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

1.5 Project Progress Overview

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

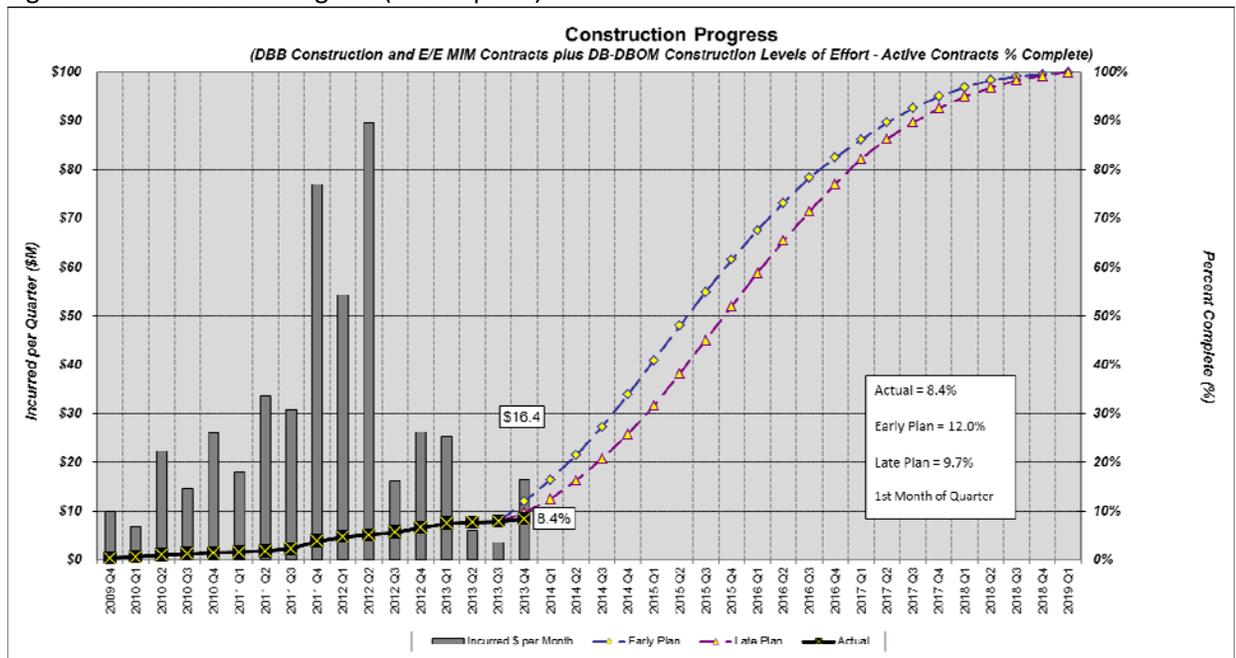
At present “overall” project progress is based on the weighted value progress of the individual construction and design contracts (Design-Build [DB], Design-Bid-Build [DBB], Design-Build-Operate-Maintain [DBOM], Elevator/Escalator Manufacture-Install-Test-Maintain [MIM], Final Design [FD] and DB-DBOM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

Figure 1. Overall Project Progress (% Complete)



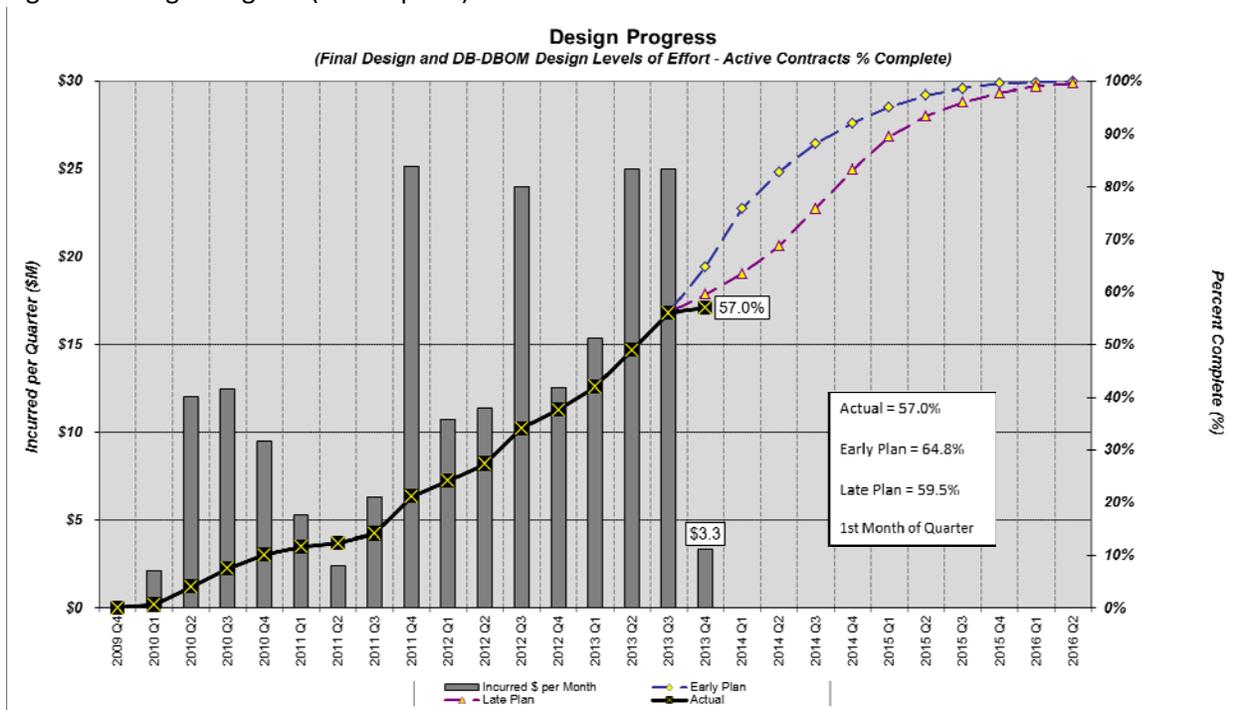
Overall construction progress as of October 25, 2013 is 8.4%, versus the early plan of 12% and the late plan of 9.7%, as shown in Figure 2 below. Overall construction progress is based on the weighted average progress of the individual DBB and E/E MIM construction contracts and the DB-DBOM construction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

Figure 2. Construction Progress (% Complete)



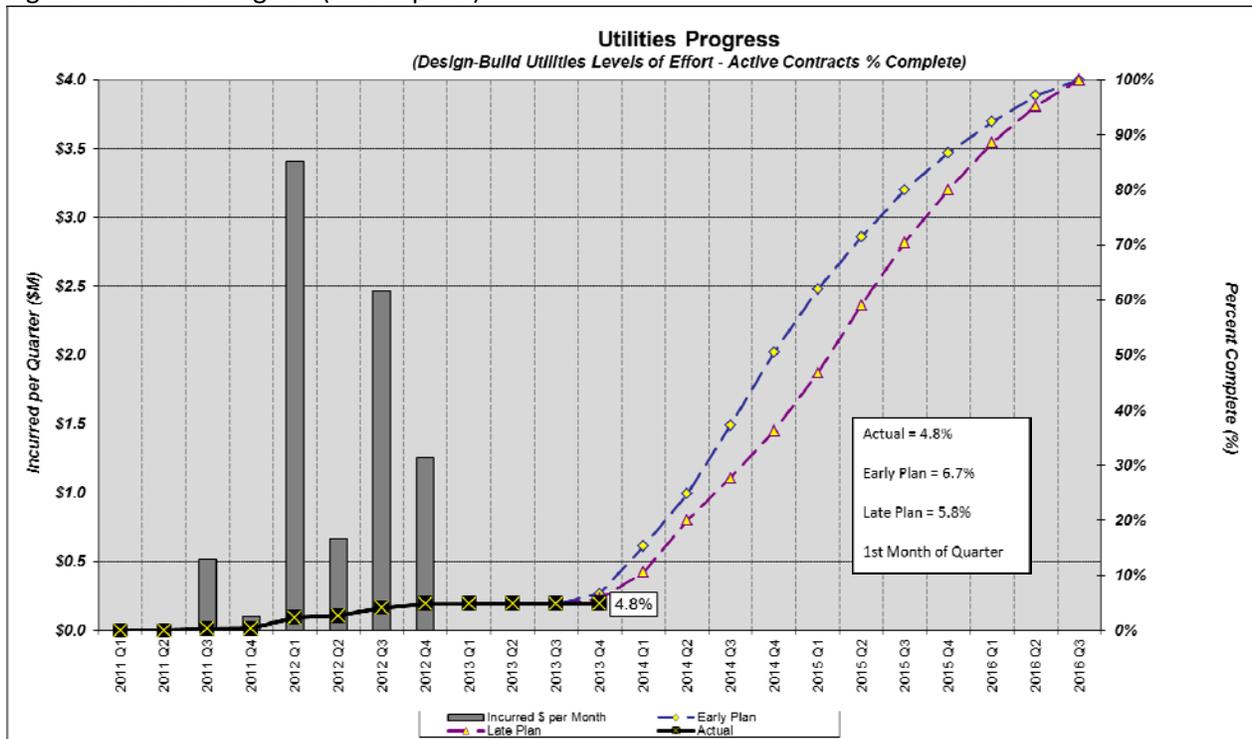
Overall design progress through October 25, 2013 is 57.0%, versus the early plan of 64.8% and the late plan of 59.5%, as shown in Figure 3 on the next page. Overall design progress is based on the weighted average progress of the individual FD contracts and the design levels of effort of the DB and DBOM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

Figure 3. Design Progress (% Complete)



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

Figure 4. Utilities Progress (% Complete)



1.6 Financial Status Overview

1.6.1 Project Budget

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

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

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

Figure 5. Total Authorized for Expenditure (AFE) Increase

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

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

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

1.6.2 Project Funding

There were no New Starts drawdowns received in October.

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

1.6.3 Full Funding Grant Agreement (FFGA) Status

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

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

Figure 6. Drawdown by Fiscal Year

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

1.7 HART Board of Directors Meetings and Events in November

HART Government Affairs/Audit/Legal Matters Committee Meeting

Thursday, Nov. 21, 2013, 8:30 a.m., Mission Memorial Annex Conference Room, 550 S. King St., Honolulu
Open to the Public.

HART Transit-Oriented Development Committee Meeting

Thursday, Nov. 21, 2013, 9:00 a.m., Mission Memorial Annex Conference Room, 550 S. King St., Honolulu
Open to the Public.

HART Board of Directors Meeting

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

HART Finance Committee Meeting

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

2 PROJECT BUDGET AND SCHEDULE

2.1 Project Budget

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

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

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

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

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

2.2 Project Revenue and Costs

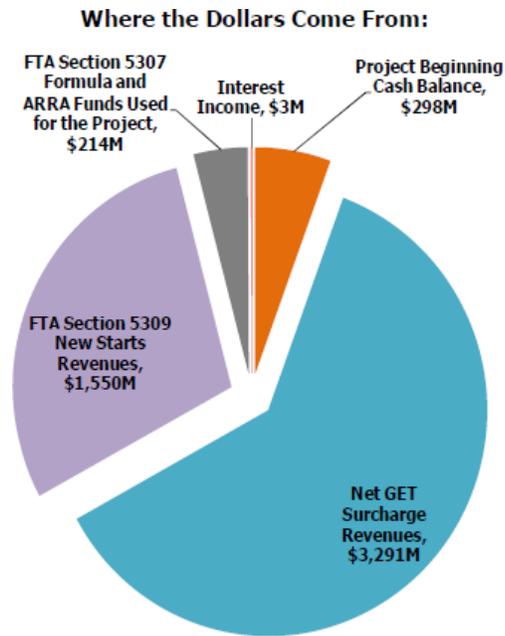
Total cash received to date since the start of Preliminary Engineering is \$1,249M.

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

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

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

Figure 7. Project Funding Sources (YOE \$M)



Source: FFGA Financial Plan, p. 2-1

Figure 8. Planned vs. Received Project Funding

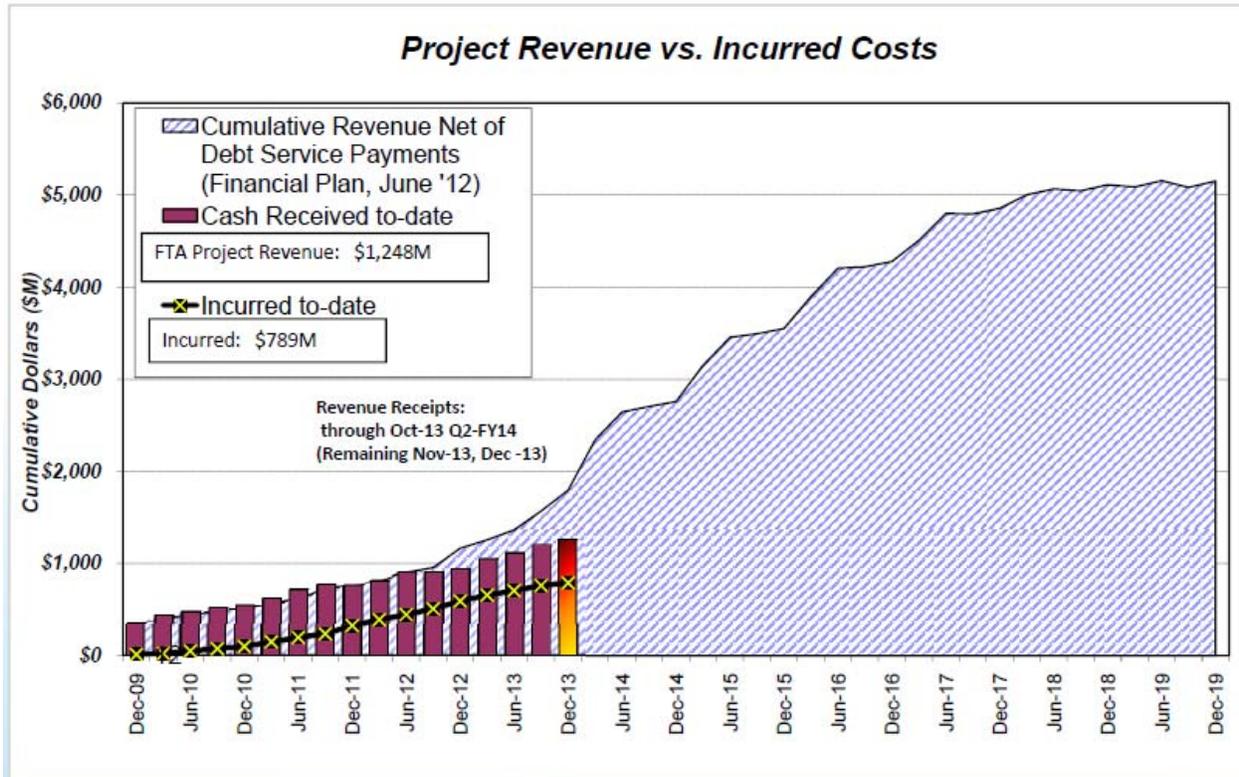
Funding Source	Pre-FFGA Project ¹	FFGA Project Period		Total Project
	<u>2007 - 2009</u> Actuals Received	Planned ² (\$YOE M)	<u>2009 - Present</u> Actuals Received	<u>2007 - Present</u> Actuals Received
	[A]		[B]	[C] = A + B
Beginning Project Cash Balance ³	0	298	298	298
Interest Income on Cash Balance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

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

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

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

Figure 9. Project Revenue versus Incurred Costs



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

Figure 10. Cash Balance Summary

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

Figure 11. Project Costs by Contract



HART
HONOLULU AUTHORITY FOR RAPID TRANSPORTATION

Costs Reported as of Month Ending: October 2013

Project Monthly Cost Report by Contract - One Line Summary

Page: 1 of 3

CPP No	Title	A		B		C=A+B		D	E	F
		Original	COMMITTED Changes	Current *	AFE **	INURRED To Date	PERCENT %			
ART	Project Wide ART	0	0	0	0	0	0	0	0	0%
CCH-100	heactive Hart/City CCH	15,348,443	0	15,348,443	0	14,925,228	0	14,925,228	97%	
CCH-101	HART/ City Dept of BFS	105,092	0	105,092	0	0	0	0	0%	
CCH-102	HART/ City DDC Land Division	256,201	0	256,201	0	173,182	0	173,182	68%	
CCH-107	HART/ City Corporation Counsel (CO R)	1,906,320	0	1,906,320	0	13,906	0	13,906	1%	
CCH-108	Board of Water Supply (BWS)	928,325	0	928,325	0	928,325	0	928,325	100%	
DB-120	West Daru/Farrington Hwy Guideway	482,924,000	69,397,464	552,321,464	330,555,530	183,427,474	0	183,427,474	35%	
DB-200	Maintenance & Storage Facility DB	195,248,000	25,922,398	221,180,398	154,211,32	54,582,635	0	54,582,635	25%	
DB-320	Kamehameha Hwy Guideway DB	372,150,000	6,710,981	378,860,981	168,877,062	85,764,186	0	85,764,186	23%	
DBB-185	WOFHVHSG Construction	0	0	0	0	0	0	0	0%	
DBB-275	Pearl Highlands Pkg. Str. Constr. OLD	0	0	0	0	0	0	0	0%	
DBB-470	Airport Station Group Constr.	0	0	0	0	0	0	0	0%	
DBB-505	Airport Section Utilities Constr.	0	0	0	0	0	0	0	0%	
DBB-510	City Center Section Utilities Constr.	0	0	0	0	0	0	0	0%	
DBB-520	Airport-City Center Guideway Constr.	0	0	0	0	0	0	0	0%	
DBB-580	Dillingham/Kaka'ako S G Construction	0	0	0	0	0	0	0	0%	
DBB-600	UHWO PnR/Hooplii Stn Finishes Constr.	0	0	0	0	0	0	0	0%	
DBO M-920	Core Systems Design Build O/M	573,782,793	29,167,330	602,950,143	514,430,792	47,535,609	0	47,535,609	8%	
FD-140	West Daru Station Group Final Design	7,789,000	-0	7,789,000	5,575,579	5,125,258	0	5,125,258	66%	
FD-240	Farrington Highway Stations Group 2	9,300,696	2,907,349	12,208,045	9,867,090	8,478,450	0	8,478,450	69%	
FD-245	Pearl Highlands Pkg. Str. FD OLD	0	0	0	0	0	0	0	0%	
FD-340	Kamehameha Hwy Station Group H2R2 FD	8,702,592	0	8,702,592	7,797,781	6,294,534	0	6,294,534	72%	
FD-430	Airport Sect. Guideway/Utilities FD	38,840,960	739,114	39,580,074	37,932,060	26,870,128	0	26,870,128	68%	
FD-440	Airport Station Group FD	10,177,365	0	10,177,365	9,128,022	6,598,970	0	6,598,970	65%	
FD-530	City Center Guideway/Utilities FD	45,948,220	532,800	46,481,020	35,162,448	13,571,146	0	13,571,146	31%	
FD-550	Dillingham and Kaka'ako S G FD	18,321,918	0	18,321,918	5,899,146	0	0	0	0%	
FD-600	UHWO Pkg-Hooplii Station Finishes FD	0	0	0	0	0	0	0	0%	
HRT-200	HART Labor	19,251,942	0	19,251,942	0	16,167,253	0	16,167,253	84%	
HRT-201	HART ODC	11,958,053	0	11,958,053	0	13,506,965	0	13,506,965	113%	
M-930	Elevators & Escalators Install/Maint	50,982,714	0	50,982,714	5,442,108	0	0	0	0%	

* Current Committed = Original Contract + CCO/Amendment

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

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Costs Reported as of Month Ending: October 2013
Project Monthly Cost Report by Contract - One Line Summary

Page: 2 of 3

CPP No	Title	A		B	C=A+B		D	E	F
		Original	COMMITTED Changes		Current *	AFF **			
MM-280	WOFH/KHS G CE&I	0	0	0	0	0	0	0	0%
MM-385	Pearl Highlands Garage and Ramps CEI	0	0	0	0	0	0	0	0%
MM-500	Airport-City Center Utilities CEI	0	0	0	0	0	0	0	0%
MM-525	Airport-City Center Guideway CEI	0	0	0	0	0	0	0	0%
MM-580	Airport/Dillingham/Kaka'ako SG CE&I	0	0	0	0	0	0	0	0%
MM-600	UHWD Pkgs-Hoopili Stn Finishes CEI	0	0	0	0	0	0	0	0%
MM-900	Program Mgt Support Conslt (PM SC-1)	36,727,162	0	36,727,162	20,774,000	20,774,593	20,774,593	57%	
MM-901	Program Mgt Support Conslt (PM SC-2)	33,376,897	0	33,376,897	11,240,730	14,583,766	14,583,766	44%	
MM-905	MM-905 Gen Engrg Conslt EIS/PE	0	78,564,942	78,564,942	78,564,942	74,193,919	74,193,919	94%	
MM-910	MM-910 Gen Engrg Conslt FD-Construct	150,000,000	0	150,000,000	150,000,000	127,887,120	127,887,120	85%	
MM-915	HDOT Traffic Mgmt. Conslt.	1,600,000	-600,000	1,000,000	800,000	523,251	523,251	52%	
MM-920	HDOT Coordination Conslt WOFH	3,000,000	7,500,000	10,500,000	7,000,000	4,870,944	4,870,944	46%	
MM-921	HDOT Coordination Conslt KHG	10,000,000	-1,400,000	8,600,000	4,000,000	588,746	588,746	7%	
MM-922	HDOT Coord. Conslt. Airport	12,000,000	-5,600,000	6,400,000	3,000,000	1,058,943	1,058,943	17%	
MM-923	HDOT Coordination Conslt City Center	0	0	0	0	0	0	0%	
MM-925	HDOT Labor - Highway Group	550,000	0	550,000	550,000	268,827	268,827	49%	
MM-926	HDOT Labor - Airport Group	0	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	142,024	8%	
MM-935	Real Estate Consultant	3,000,000	0	3,000,000	2,370,772	312,133	312,133	10%	
MM-940	Kakio Consultant	1,000,000	0	1,000,000	540,516	264,374	264,374	26%	
MM-945	On-Call Contractor	0	0	0	0	0	0	0%	
MM-946	On-Call Hazmat Removal Contractor	3,000,000	0	3,000,000	1,600,019	538,346	538,346	18%	
MM-950	OCIP Consultant	1,250,000	0	1,250,000	437,500	521,563	521,563	42%	
MM-951	Owner-Controlled Insurance Program	0	0	0	0	0	0	0%	
MM-975	LEED Commissioning Services for MSF	278,630	0	278,630	278,630	58,660	58,660	21%	
OTHER	Protect Wildlife	0	0	0	0	0	0	0%	
PA-101	Programmatic Agreement Humanities	0	0	0	0	0	0	0%	
PA-102	Programmatic Agreement HPC	400,000	0	400,000	200,000	42,247	42,247	11%	
PA-103	Programmatic Agreement HPC Park Impr	0	0	0	0	0	0	0%	
ROW	Real Estate / Right-of-Way	49,019,536	0	49,019,536	0	45,392,277	45,392,277	93%	

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* 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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Costs Reported as of Month Ending: October 2013

Project Monthly Cost Report by Contract - One Line Summary

Page: 3 of 3

CPP No	Title	A	B	C=A+B	D	E	F
		Original	COMMITTED Changes	Current *	AFE **	INCURRED To Date	PERCENT %
UTIL	Utilities by Utility Companies	27,632,988	450,000	28,102,988	5,279,000	3,253,758	12%
Total Project:		2,196,060,846	214,875,640	2,410,936,386	1,571,823,211	789,038,337	

* Current Committed = Original Contract + CCO /Amendment

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

Figure 12. Project Costs by SCC – Summary



HART
HONOLULU AUTHORITY FOR RAPID TRANSPORTATION

Costs Reported as of Month Ending: October 2013

Project Monthly Cost Report by SCC Summary

Page: 1 of 1

SCC	Title	A		B		C=A+B		D	E	F	G	H=C-G	I
		Baseline	Transfers	BUDGET	Current	COMMITTED	AFE	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	0	28,542,146	0
20	Stations, Stops, Terminals, Interlock	421,804,740	(25,138,472)	396,666,268	50,982,714	0	0	396,666,268	0	0	0	396,666,268	0
30	Support Facilities, Yards, Shops, Pk	32,535,015	10,312,330	102,847,345	102,847,345	6,503,891	3,100,808	102,847,345	0	5,490,378	0	5,490,378	0
40	Sitework & Special Conditions	983,178,121	(26,306,090)	956,870,031	546,134,708	82,354,272	2,791,656	956,870,031	0	246,419,339	0	246,419,339	0
50	Systems	221,284,301	22,246,822	249,531,123	228,370,910	22,988,690	2,150,000	249,531,123	0	0	0	249,531,123	0
60	ROW, Land, Existing Improvement	197,397,947	277,800	197,675,747	52,297,336	1,188,572	0	197,675,747	0	45,982,209	0	45,982,209	0
70	Vehicles	186,828,020	4,713,997	191,542,017	191,543,017	1,514,720	0	191,543,017	0	212,900	0	212,900	0
80	Professional Services	1,087,830,119	(15,557,196)	1,072,272,923	711,860,827	102,494,608	(19,724,125)	1,072,272,923	0	462,392,364	0	462,392,364	0
Subtotal:		4,305,074,410	(8,875,639)	4,296,198,771	2,405,033,736	228,270,881	(8,322,661)	4,296,198,771	0	789,039,337	0	789,039,337	0
2. NTP													
NTP	Authorized For Expenditure	0	0	0	0	0	0	0	1,344,755,893	0	0	0	0
Subtotal:		0	0	0	0	0	0	0	1,344,755,893	0	0	0	0
3. Contingency													
CHTR	Contingency	541,689,348	22,177,316	563,866,664	5,902,650	(1,209,633)	155,080,621	563,866,664	0	0	0	563,866,664	0
PRJ	Contingency	101,871,170	(13,301,657)	88,569,513	0	0	0	88,569,513	0	0	0	88,569,513	0
Subtotal:		643,560,518	8,875,659	652,436,172	5,902,650	(1,209,633)	155,080,621	652,436,172	0	0	0	652,436,172	0
4. Finance Charges - Eligible													
OTH	Finance Charges	173,058,243	0	173,058,243	0	0	0	173,058,243	0	0	0	173,058,243	0
Subtotal:		173,058,243	0	173,058,243	0	0	0	173,058,243	0	0	0	173,058,243	0
FTA TOTAL PROJECT COSTS 5,121,693,166													
		0	5,121,693,166	2,410,936,386	1,571,823,211	146,757,960	5,121,693,166	0	789,039,337	0	0	789,039,337	0
4. Finance Charges - Ineligible Costs													
FMC	Finance Charges	42,000,000	0	42,000,000	0	0	0	42,000,000	0	0	0	42,000,000	0
Subtotal:		42,000,000	0	42,000,000	0	0	0	42,000,000	0	0	0	42,000,000	0
INELIGIBLE COSTS													
		42,000,000	0	42,000,000	0	0	0	42,000,000	0	0	0	42,000,000	0
Total Project:		5,163,693,166	0	5,163,693,166	2,410,936,386	1,571,823,211	146,757,960	5,163,693,166	0	789,039,337	0	789,039,337	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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Figure 13. Project Costs by SCC – Level 2



Costs Reported as of Month Ending: October 2013
Project Monthly Cost Report SCC Level 2

SCC	Title	A		B		C=A+B		D	E	F	G	H=C-G	I
		Baseline	Budget Transfers	Current	Current	COMMITTED	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	520,896,879	3,359,000	1,134,792,296	0	28,542,146	0	0	0	0
10.04	Guideway: Aerial Structure	1,022,380,671	17,183,225	1,039,563,896	435,276,279	3,359,000	1,039,563,896	0	8,015,046	0	0	0	0
10.08	Guideway: Retained Cut or Fill	7,492,944	(1,056,688)	6,436,256	0	0	6,436,256	0	0	0	0	0	0
10.09	Track: Direct Fixation	79,347,205	3,515,585	82,862,790	75,055,594	0	82,862,790	0	20,527,100	0	0	0	0
10.11	Track: Ballasted	3,293,724	(393,848)	2,897,875	2,897,875	0	2,897,875	0	0	0	0	0	0
10.12	Track: Special (Switches, turnouts)	1,700,603	1,530,876	3,231,479	1,530,876	0	3,231,479	0	0	0	0	0	0
20	Stations, Stops, Terminals, Info rmox	421,804,740	(25,138,472)	396,666,268	50,982,714	0	396,666,268	0	0	0	0	0	0
20.01	At-grade station, stop, shelter, ...	6,111,332	0	6,111,332	0	0	6,111,332	0	0	0	0	0	0
20.02	Aerial Station, stop, shelter, mail	294,563,457	(21,400,000)	273,163,457	0	0	273,163,457	0	0	0	0	0	0
20.06	Automobile parking multi-story str	66,408,765	0	66,408,765	0	0	66,408,765	0	0	0	0	0	0
20.07	Elevators, Escalators	54,721,186	(3,738,472)	50,982,714	50,982,714	0	50,982,714	0	0	0	0	0	0
30	Support Facilities: Yards, Shops, A...	92,535,015	10,312,330	102,847,345	102,847,345	3,100,808	102,847,345	0	5,490,378	0	0	0	0
30.02	Light Maintenance Facility	7,591,888	(5,095)	7,586,793	7,586,793	0	7,586,793	0	175,000	0	0	0	0
30.03	Heavy Maintenance Facility	38,099,138	(228,453)	37,870,685	37,870,685	15,655	37,870,685	0	2,657,874	0	0	0	0
30.04	Storage or Maintenance of Way Buil	7,797,460	(61,550)	7,735,910	7,735,910	0	7,735,910	0	123,806	0	0	0	0
30.05	Yard and Yard Track	39,046,529	10,605,428	49,651,957	49,651,957	1,600,808	49,651,957	0	2,533,898	0	0	0	0
40	Site work & Special Conditions	983,178,121	(26,308,930)	956,870,031	546,134,708	2,791,656	956,870,031	0	246,419,339	0	0	0	0
40.01	Demolition, Clearing, Earthwork	29,980,158	(2,308,147)	27,672,011	8,022,358	2,045,233	27,672,011	0	241,537	0	0	0	0
40.02	Site Utilities, Utility Relocation	299,449,756	4,444,187	303,893,943	100,876,394	824,826	303,893,943	0	9,346,181	0	0	0	0
40.03	Haz. mat'l, contain'd soil removal	9,199,237	(5,421,634)	3,777,603	3,016,085	(381,304)	3,777,603	0	554,431	0	0	0	0
40.04	Environmental Mitigation	26,979,122	4,976,801	31,955,923	16,546,497	0	31,955,923	0	3,430,633	0	0	0	0
40.05	Site structures: retaining walls, ...	7,998,960	1,062,414	9,061,374	8,902,848	1,322,708	9,061,374	0	575,338	0	0	0	0
40.06	Pedestrian/bike access/landscaping	41,073,887	798,143	41,872,040	5,049,834	0	41,872,040	0	1,254,888	0	0	0	0
40.07	Auto, bus, van accessways	181,979,367	(11,590,007)	170,389,360	35,486,916	2,638,419	170,389,360	0	1,254,888	0	0	0	0
40.08	Temporary Facilities/Indirect Cost	386,517,624	(18,280,847)	368,236,777	368,236,777	76,072,001	368,236,777	0	231,016,331	0	0	0	0
50	Systems	221,284,301	22,246,822	243,531,123	228,370,910	2,150,000	243,531,123	0	0	0	0	0	0
50.01	Train control and signals	81,982,556	23,236,140	105,218,696	105,218,696	22,816,050	105,218,696	0	0	0	0	0	0
50.02	Traffic signals and crossing prot.	10,458,226	(206,890)	10,251,336	0	0	10,251,336	0	0	0	0	0	0
50.03	Traction power supply: substation	29,500,926	1,526,385	31,027,311	31,027,311	59,020	31,027,311	0	0	0	0	0	0
50.04	Traction power distribution: cat	32,878,150	(2,881,277)	29,996,873	25,087,996	1,721,574	29,996,873	0	0	0	0	0	0
50.05	Communications	53,691,399	673,678	54,365,077	54,365,077	113,620	54,365,077	0	428,426	0	0	0	0

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



Costs Reported as of Month Ending: October 2013
Project Monthly Cost Report SCC Level 2

SCC	Title	A		B		C=A+B		D	E	F	G	H=C-G	I
		Baseline	Transfers	Budget	Transfers	Current	Current						
1. Subtotal 10 - 80 SCC Costs													
50	Systems	221,284,301		22,246,822		243,531,123		228,370,910		2,150,000		243,531,123	0
50.06	Fare collection system and equipment	8,159,277		58,822		8,218,099		8,218,099		0		8,218,099	0
50.07	Central Control	3,613,827		(160,036)		3,453,791		3,453,791		0		3,453,791	0
60	ROW, Land, Existing Improvement	197,397,947		277,800		197,675,747		52,297,336		880,772		197,675,747	0
60.01	Purchase or lease of real estate	179,360,664		0		179,360,664		46,401,859		880,772		179,360,664	0
60.02	Relocation of existing households	18,037,283		277,800		18,315,083		5,895,477		1,158,372		18,315,083	0
70	Vehicles	166,829,020		4,713,997		171,543,017		191,543,017		0		191,543,017	0
70.01	Light Rail	166,721,386		5,915,687		172,637,073		172,637,073		1,514,720		172,637,073	0
70.06	Non-revenue vehicles	14,346,923		(1,320,375)		13,026,548		13,026,548		0		13,026,548	0
70.07	Spare parts	5,760,711		118,685		5,879,396		5,879,396		0		5,879,396	0
80	Professional Services	1,087,890,119		(15,557,196)		1,072,332,923		711,860,827		(19,724,125)		1,072,332,923	0
80.01	Preliminary Engineering	94,055,262		24,203,496		118,258,758		109,197,560		29,327,112		118,258,758	0
80.02	Final Design	228,321,632		(83,594,835)		144,726,797		178,878,907		17,471,297		144,726,797	0
80.03	Project Management Design & Cons	363,849,768		(3,142,881)		360,706,887		293,566,204		72,090,271		360,706,887	0
80.04	Constr. Adm'n. & Management	199,656,728		(1,576,800)		198,079,928		35,665,055		9,814,197		198,079,928	0
80.05	Professional Liability & other ins	46,549,724		(7,510,408)		39,039,316		2,174,657		10,091,497		39,039,316	0
80.06	Legal, Permits Review Fees et...	67,641,005		32,777		67,673,782		33,741,059		9,907,416		67,673,782	0
80.07	Surveys, Testing, Investigation, I	21,759,396		7,223,668		28,983,064		20,790,316		9,493,799		28,983,064	0
80.08	Start up	65,996,664		(1,192,593)		64,804,071		47,907,069		9,390,997		64,804,071	0
NT	Authorized For Expenditure	0		0		0		0		0		0	0
NT	Notice To Proceed	0		0		0		0		1,344,755,883		0	0
Subtotal:		4,305,074,410		(8,875,658)		4,296,198,751		2,405,033,736		(1,573,026,744)		4,296,198,751	0
2. Contingency													
CNTR	Contingency	541,689,343		22,177,316		563,866,659		5,902,650		155,080,621		563,866,659	0
90.02	Allocated Contract Contingency	540,101,323		(18,534,065)		521,567,258		0		125,133,466		521,567,258	0
90.03	Allowances	1,588,014		3,214,841		4,802,855		5,902,650		(1,203,593)		4,802,855	0
90.07	Known Change Contingency	0		37,496,561		37,496,561		0		28,447,166		37,496,561	0
PRJ	Contingency	101,871,170		(13,301,657)		88,569,513		0		0		88,569,513	0
90.01	Unallocated Project Contingency	101,871,170		(13,301,657)		88,569,513		0		0		88,569,513	0
Subtotal:		643,560,513		8,875,659		652,436,172		5,902,650		(1,203,593)		652,436,172	0

* Current Committed = Original Contract + CCO/Amendment
 ** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)
 *** Changes Identified= Pending + Probable + Potential Changes
 **** Est. At Completion = Original Contract + CCO/Amendments + Changes Identified

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Costs Reported as of Month Ending: October 2013
Project Monthly Cost Report SCC Level 2

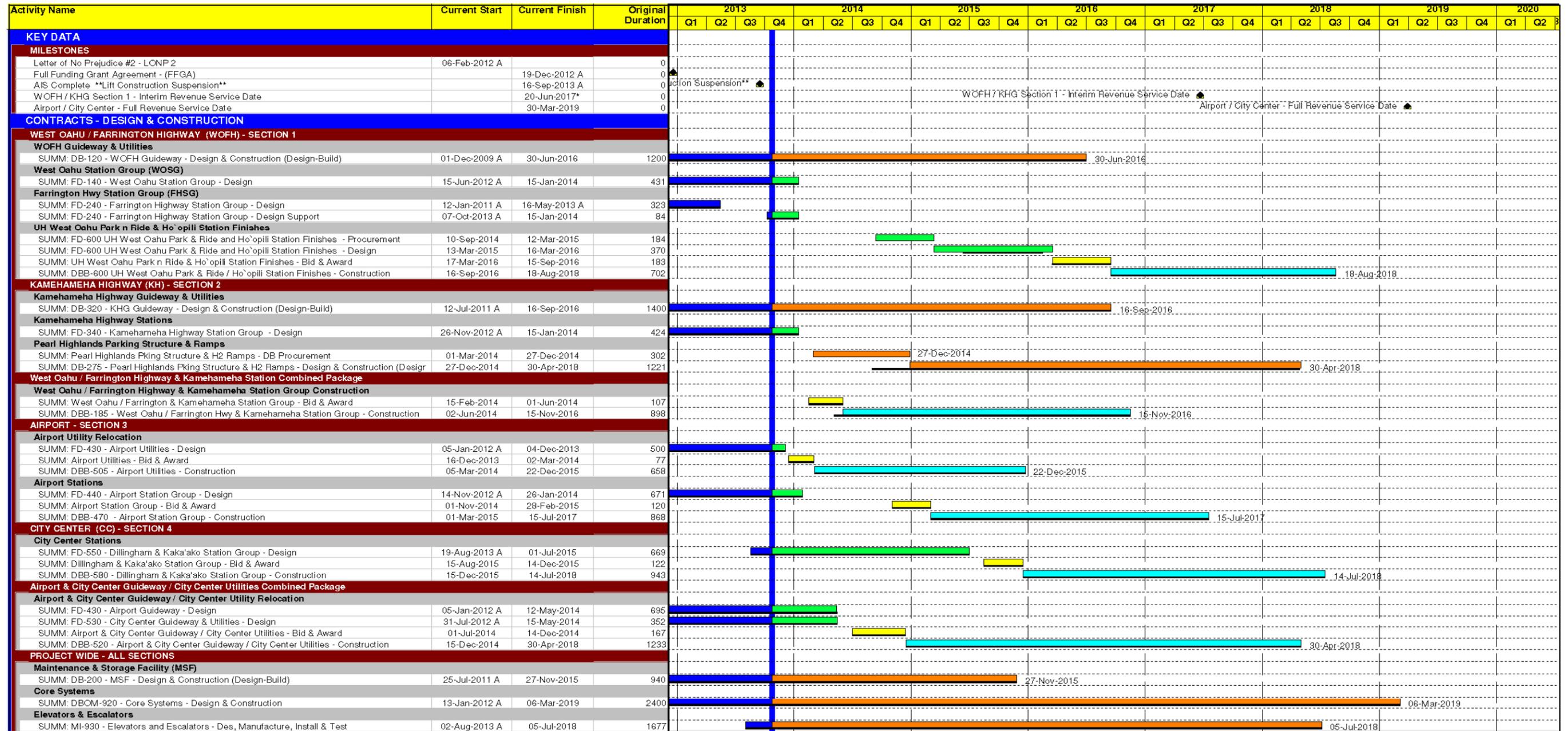
SCC	Title	A		B		C=A+B		D		E		F		G		H=C-G		I	
		Baseline	Transfers	BUDGET	Transfers	Current	COMMITTED	Current *	AFE **	AFE **	Changes ID'd***	ESTIMATE AT COMPLETION	Est. At Completion***	Variance	Incurred To Date				
3. Finance Charges - Eligible																			
OTH	Finance Charges	173,058,243	0	173,058,243	0	173,058,243	0	173,058,243	0	0	0	173,058,243	0	0	0	0	0	0	0
100.1	Finance Charges: Project-Eligible	173,058,243	0	173,058,243	0	173,058,243	0	173,058,243	0	0	0	173,058,243	0	0	0	0	0	0	0
	Subtotal:	173,058,243	0	173,058,243	0	173,058,243	0	173,058,243	0	0	0	173,058,243	0	0	0	0	0	0	0
FTA TOTAL PROJECT COSTS		5,424,693,166	0	5,424,693,166	2,440,936,386	2,440,936,386	1,574,823,211	1,574,823,211	146,757,960	146,757,960	5,163,693,166	0	789,039,337	0	0	0	0	0	0
4. Finance Charges -Ineligible Costs																			
FINC	Finance Charges	42,000,000	0	42,000,000	0	42,000,000	0	42,000,000	0	0	0	42,000,000	0	0	0	0	0	0	0
100.2	FTA Non-Eligible Costs	42,000,000	0	42,000,000	0	42,000,000	0	42,000,000	0	0	0	42,000,000	0	0	0	0	0	0	0
	Subtotal:	42,000,000	0	42,000,000	0	42,000,000	0	42,000,000	0	0	0	42,000,000	0	0	0	0	0	0	0
INELIGIBLE COSTS		42,000,000	0	42,000,000	0	42,000,000	0	42,000,000	0	0	0	42,000,000	0	0	0	0	0	0	0
Total Project:		5,466,693,166	0	5,466,693,166	2,440,936,386	2,440,936,386	1,574,823,211	1,574,823,211	146,757,960	146,757,960	5,163,693,166	0	789,039,337	0	0	0	0	0	0

* Current Committed = Original Contract + CCO/Amendment
 ** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)
 *** Changes Identified= Pending + Probable + Potential Changes
 **** Est. At Completion = Original Contract + CCO/Amendments + Changes Identified

2.3 Project Schedule

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

Figure 14. H RTP Master Project Schedule (MPS) Summary





HONOLULU AUTHORITY FOR RAPID TRANSPORTATION

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

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

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

Pg 1 of 1

MPS Summary
Design & Construction Contracts

2.4 Contingency Management

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

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

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

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

FFGA Project Contingency Current Budget

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

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

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

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

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

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

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

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

Figure 15. Project Contingency Budget

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

Changes Identified and Project Performance

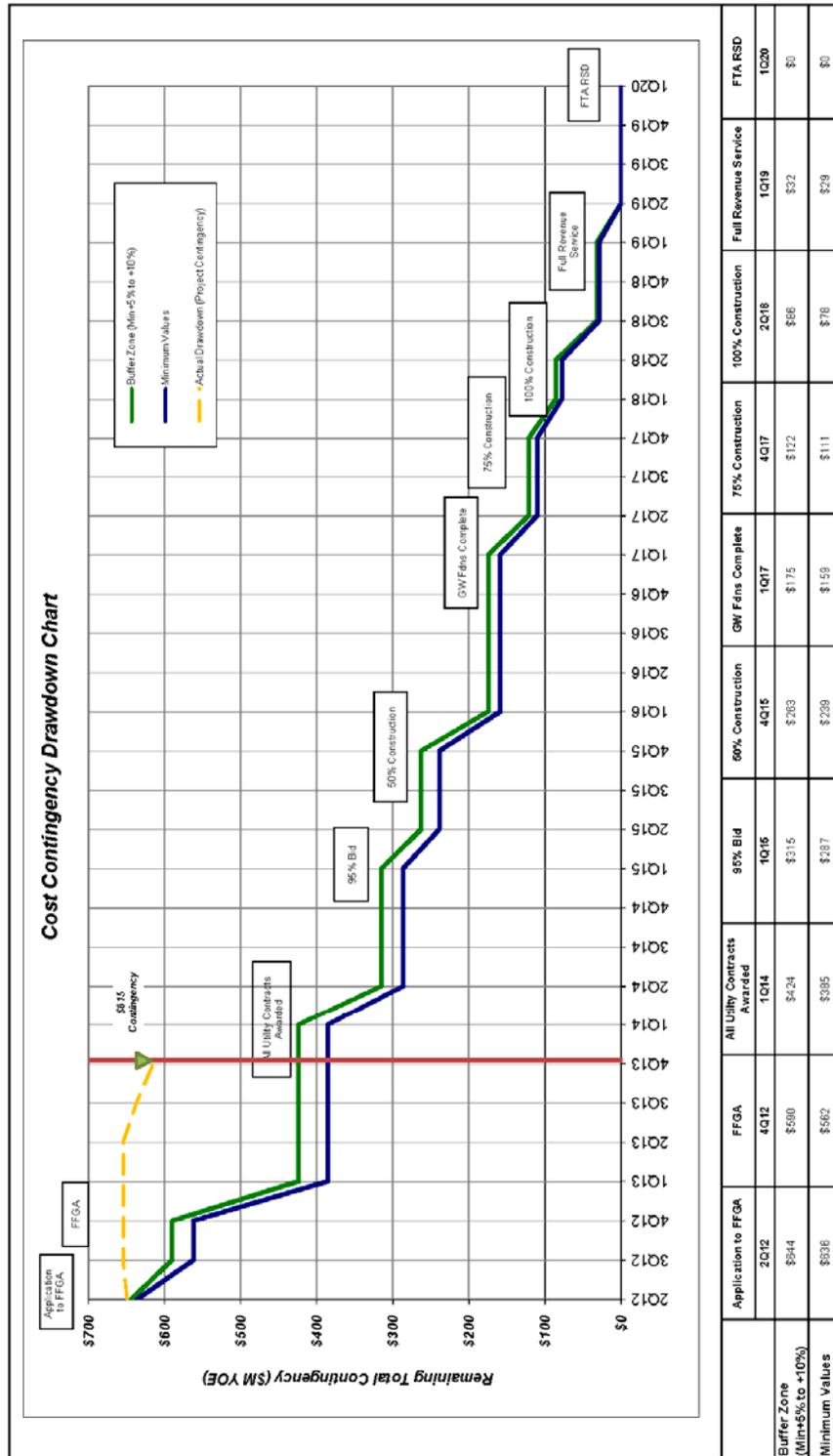
HART and the PMOC continue to hold a monthly breakout session to review changes being considered for each contract. Changes are tracked by four categories which are determined by how well defined a change is and are summarized as Changes Identified in Project Cost reports. HART continually manages the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

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

Known Changes Contingency

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

Figure 16. Draft Cost Contingency Drawdown Chart



3 CONTRACT STATUS

3.1 Procurement Status

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

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

Figure 18. Procurement: Final Design (FD) Contracts

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

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

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

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

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

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

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

Figure 22. Procurement: HDOT Consultant Services and Other Contracts

Procurement Tracking Report						
Contract No.	Contract Name	Contractor Name	Dates	Issue RFQ	Issue NTP	Contract Completion
Hawaii Department of Transportation (HDOT) Consultant Services Contracts						
MM-915	HDOT Traffic Management Coordination Consultant	ICX Transportation Group	Current Forecast Actual	Aug 15 '11	Jun 12 '12	Jul 01 '17
MM-920	HDOT Design Coordination Consultant - West Oahu/Farrington Highway Guideway Section	AECOM Tech Svcs, Inc.	Current Forecast Actual		Jun 08 '11	Jun 15 '18
MM-921	HDOT Design Coordination Consultant - Kamehameha Highway Guideway Section	AECOM Tech Svcs, Inc.	Current Forecast Actual		Jun 29 '12	Jul 15 '15
MM-922	HDOT Design Coordination Consultant - Airport and City Center Guideway Sections	SSF 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	\$552,321,464	Actual DBE Participation:	\$2,329,922
Authorized: ²	\$330,555,530	(59.8%)	DBE % Attained: 0.48%
Incurring to date:	\$193,427,474	Substantial Completion:	February 2016

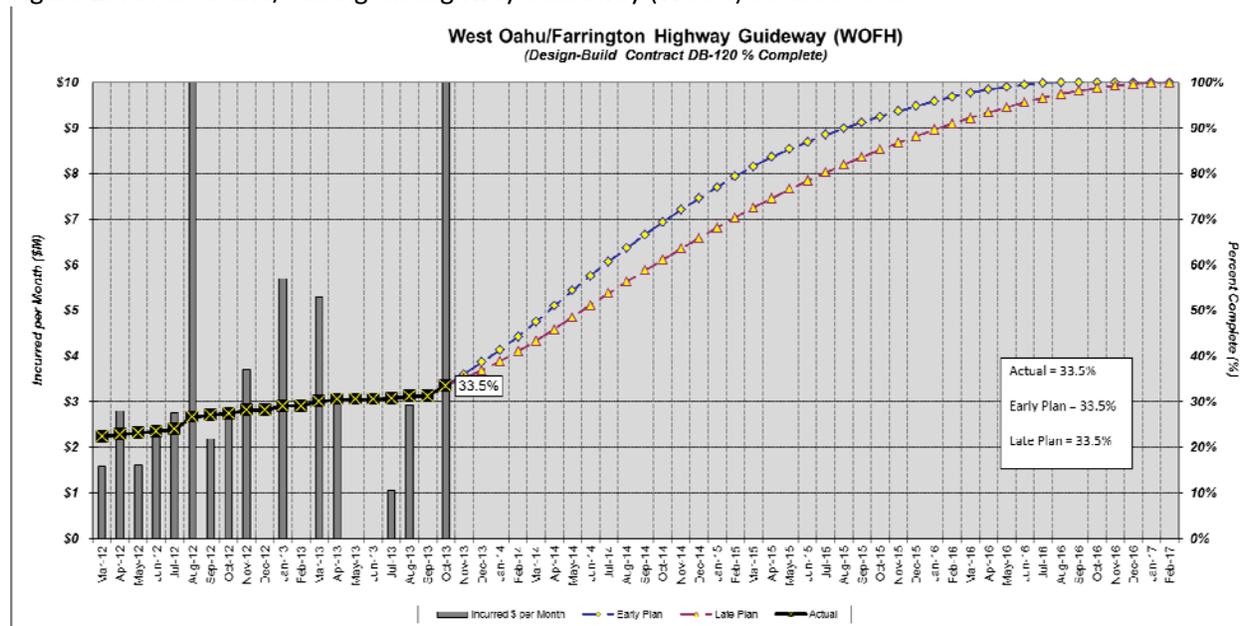
¹ Commitment as of October 25 = Contract value (not including contingency) + executed Change Orders.

² Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

- Contract Progress**

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

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



- Activities this month**

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

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



Install capital rebar at Pier 94.



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



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

- **Look Ahead**

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

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

DB Contractor: Kiewit/Kobayashi Joint Venture (KKJV)

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

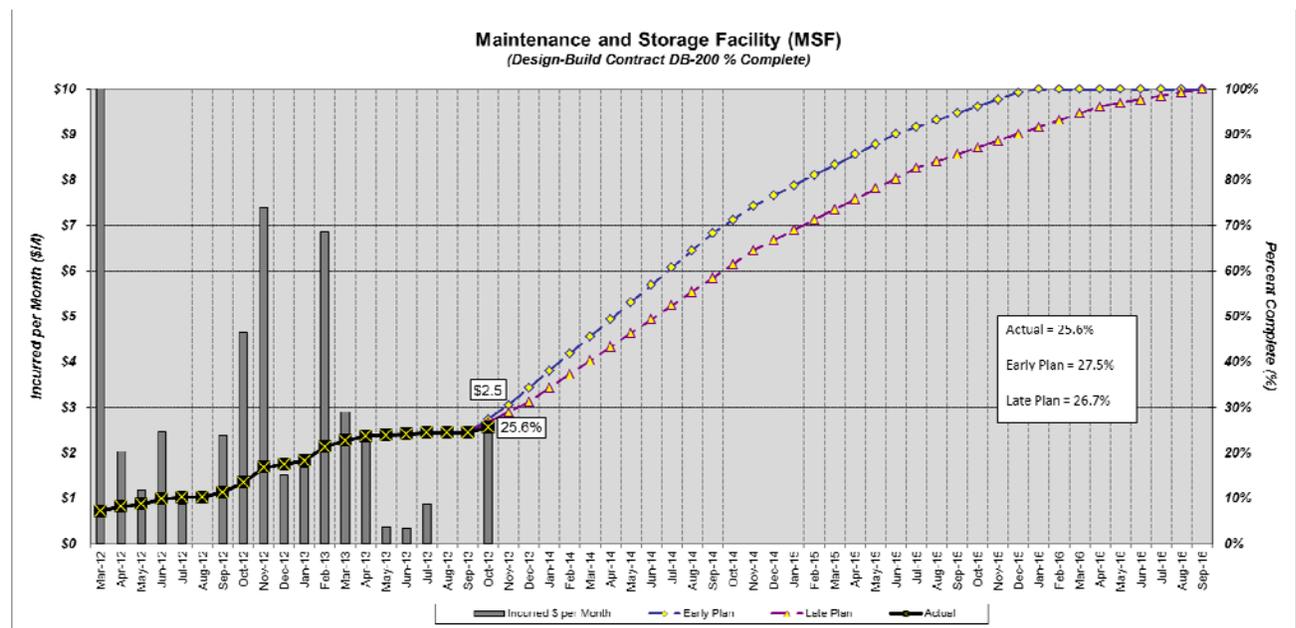
¹ Commitment as of October 25 = Contract value (not including contingency) + executed Change Orders.

² Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

• **Contract Progress**

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

Figure 24. Maintenance and Storage Facility (MSF) Construction



• **Activities this month**

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



Installing storm drain lines



Installing sheeting boxes for storm drain lines installation



Installing storm drain lines



Backfilling storm drain lines



Clearing and grubbing



Clearing and grubbing



Excavating and grading the detention basin



Excavating and grading the detention basin

- **Look Ahead**

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

Contract DB-320: Kamehameha Highway Guideway (KHG)			
DB Contractor: Kiewit Infrastructure West Company (KIWC)			
Committed: ¹	\$378,860,981	Actual DBE Participation:	\$297,630
Authorized: ²	\$168,877,062 (44.6%)	DBE % Attained:	0.08%
Incurred to date:	\$85,764,186	Substantial Completion:	September 2016

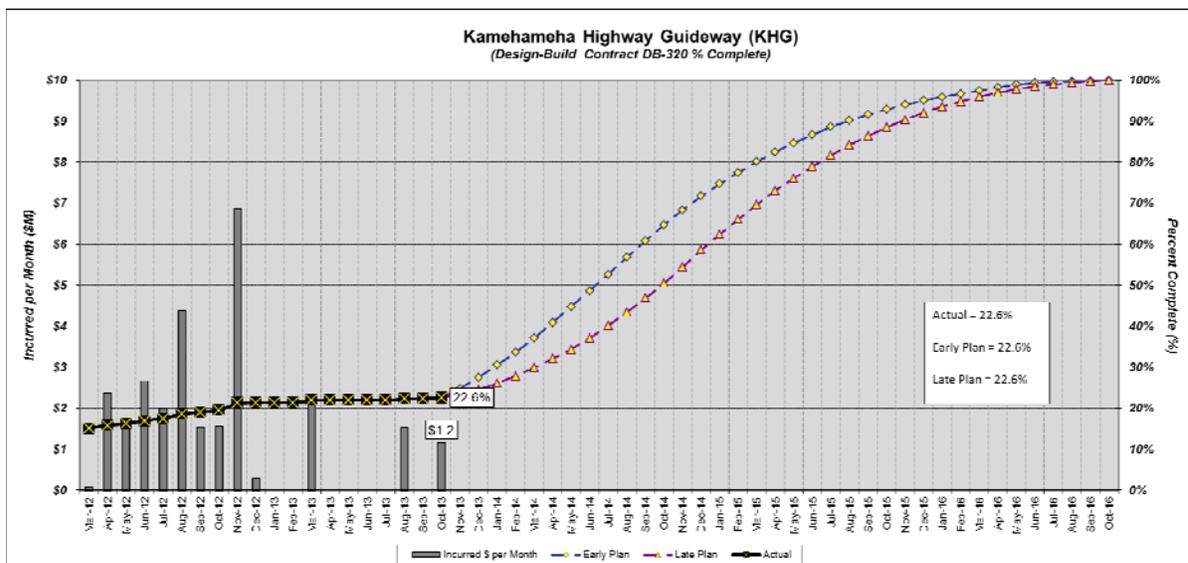
¹ Commitment as of October 25 = Contract value (not including contingency) + executed Change Orders.

² Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

• **Contract Progress**

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

Figure 25. Kamehameha Highway Guideway (KHG) Construction



• **Activities this month**

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



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



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

- **Look Ahead**

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

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

Contract DBOM-920: Core Systems Contract (CSC)

DBOM Contractor: Ansaldo Honolulu Joint Venture (AHJV)

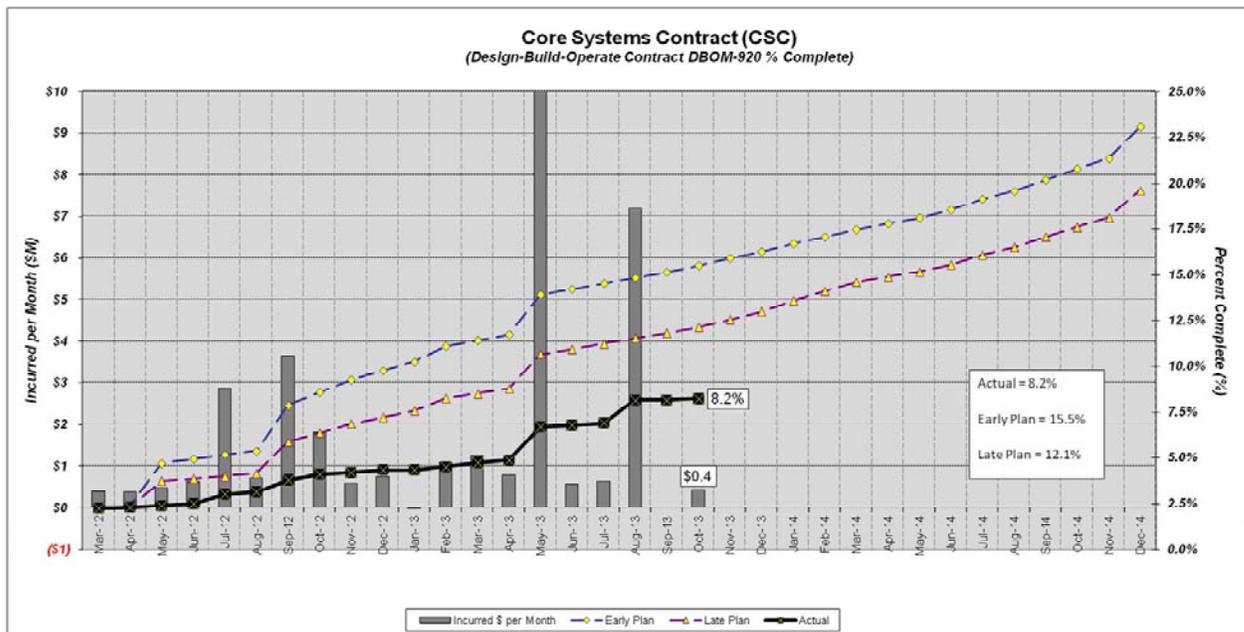
Committed: ¹	\$602,950,143	Actual DBE Participation:	\$105,179
Authorized: ²	\$514,430,792 (85.3%)	DBE % Attained:	0.024%
Incurred to date:	\$47,535,609	Start-up Completion:	March 2019

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

- Contract Progress**

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

Figure 26. Core Systems Contract (CSC)



- Activities this month**

- o 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.
- o AHJV continues to participate in MSF Workshop meetings to expedite completion of yard reconfiguration.
- o HART continued follow up with AHJV to resolve design submittals review comments.
- o Interim Design submittals continue particularly for Passenger Vehicles, Traction Electrification System, Train Control, Communications, and Maintenance of Way (MOW) Vehicles.
- o Completed review of four-car train operations with PMOC and requested acceptance by FTA to move forward.

- **Look Ahead**

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

3.4 Final Design (FD) Contract Status

3.4.1 Station DBB Contracts Status (Executed and In Negotiation)

Contract FD-140: West O‘ahu Station Group Construction (WOSG) Final Design			
Contractor: URS, Final Design Consultant (Engineer of Record)			
Committed: ¹	\$7,789,000		Actual DBE Participation: \$0
Authorized: ²	\$5,575,579	(71.6%)	DBE % Attained: 0%
Incurred to date:	\$5,125,258		Construction Docs Bid-Ready: December 2013

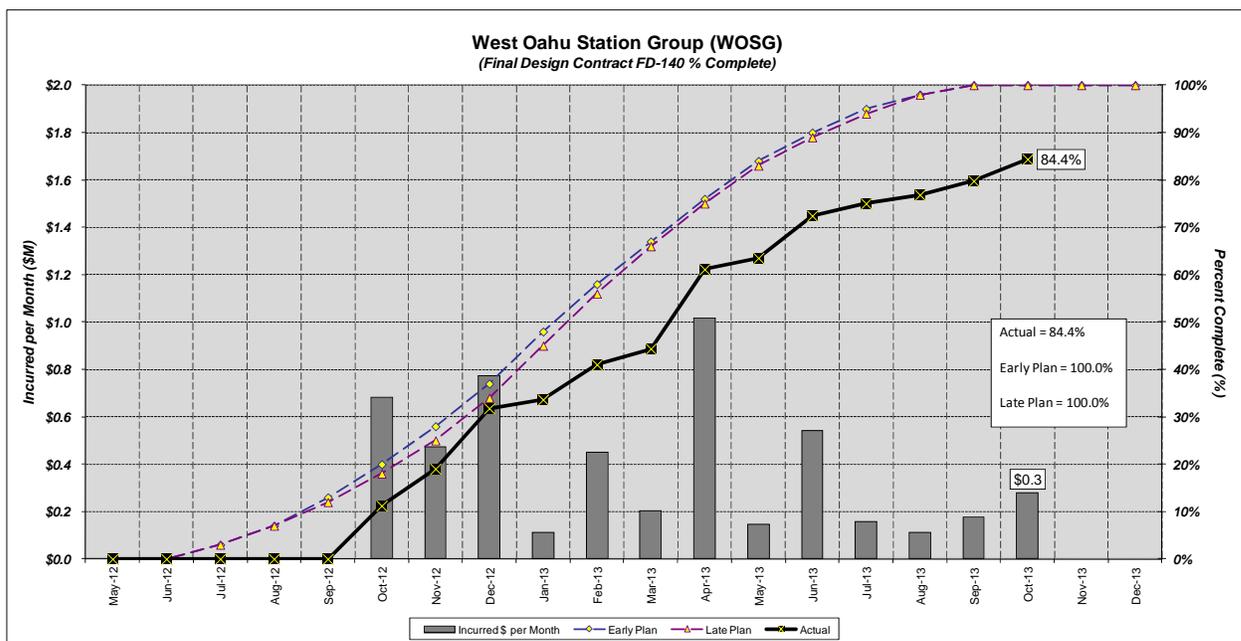
¹ Total Commitment as of October 25 = Contract value (not including contingency) with Design Allowance + executed Change Orders.

² Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

- Contract Progress**

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

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



- Activities this month**

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

- Look Ahead**

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

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

HDR Engineering, Inc.

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

URS Corporation

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

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

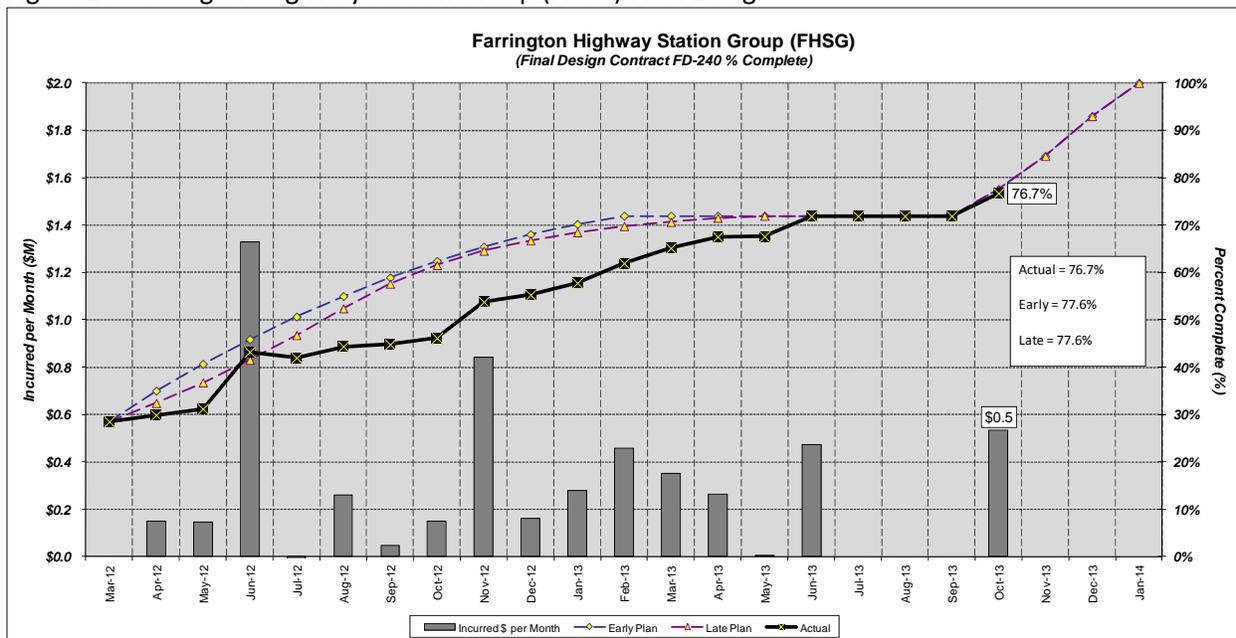
¹ Commitment as of October 25 = Contract value (not including contingency) with Design Allowance + executed Change Orders.

² Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

• **Contract Progress**

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

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



• **Activities this month**

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

• **Look Ahead**

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

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

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

Committed:¹ \$8,702,592

Actual DBE Participation: \$2,421,359

Authorized:² \$7,797,781 (89.6%)

DBE % Attained: 27.82%

Incurred to

Construction Documents Bid-Ready: December 2013

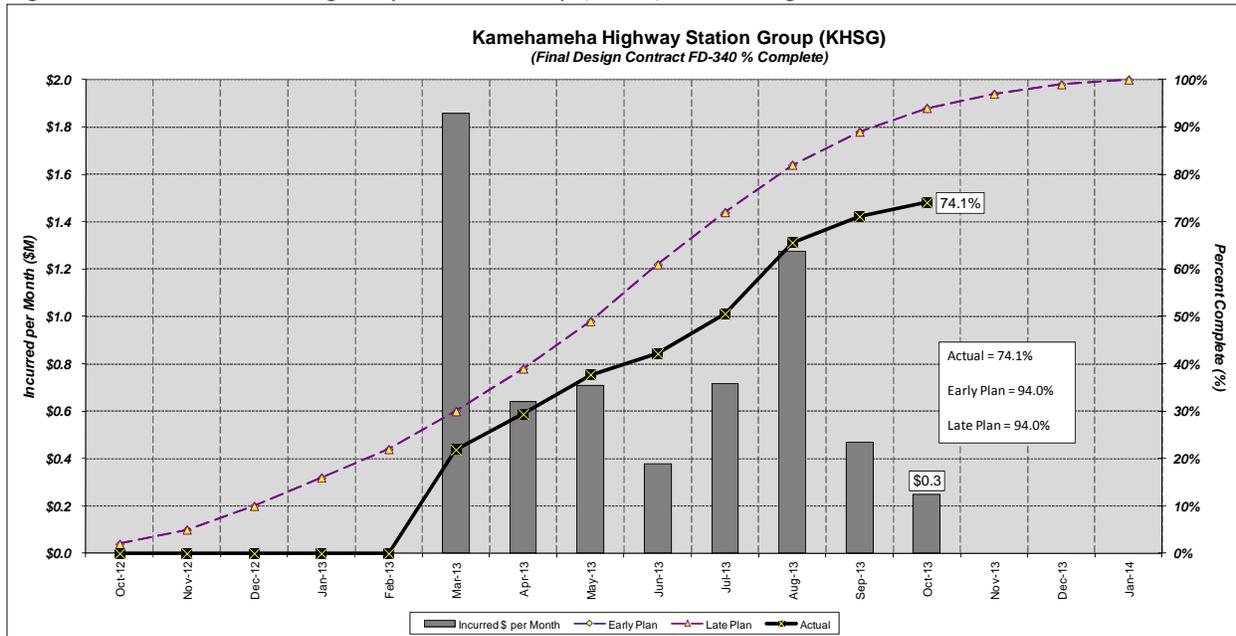
date: \$6,294,534

¹ Commitment as of October 25 = Contract value (not including contingency) with Design Allowance + executed Change Orders.

² Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

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

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



• **Activities this month**

- Draft final design package submitted for review.
- Continued to hold weekly progress and interface meetings.
- Coordinated meetings with stakeholders: U.S. Navy, Aloha Stadium and HDOT.
- Coordinating with URS to combine west station packages.

• **Look Ahead**

- Finalize remaining request for changes.
- Resolve Aloha Stadium parking lot coordination and finalize design.
- Resolve sign bridge conflict and finalize design.
- Coordinate with GEC to include Waiawa Stream Bank Protection design.

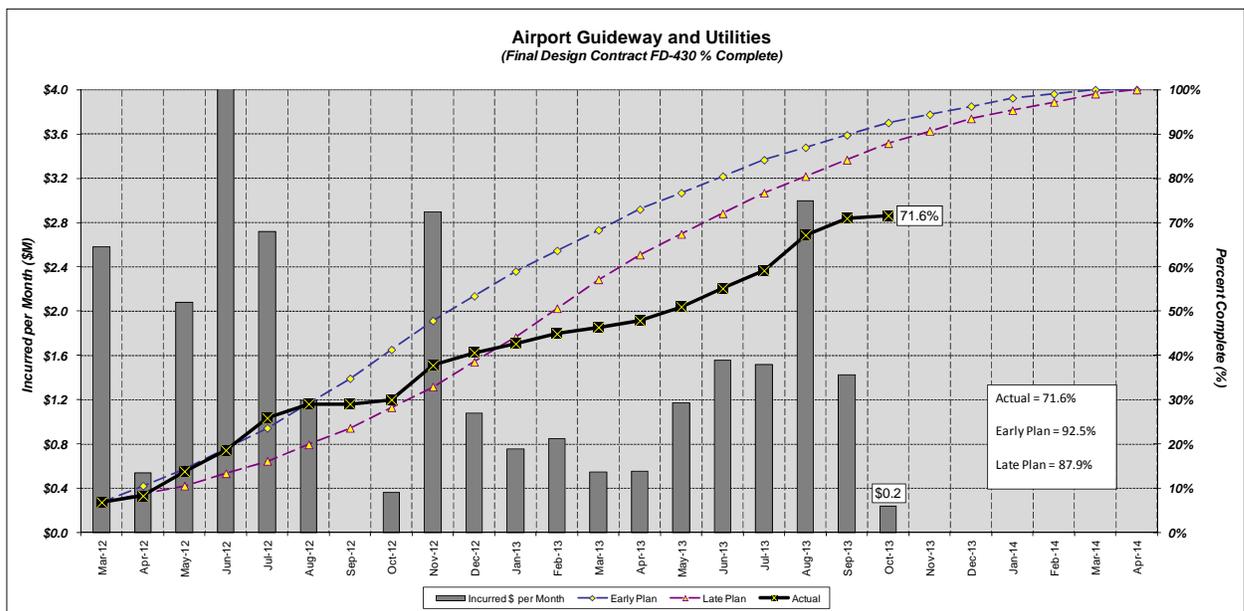
Contract FD-430 Airport Section Guideway and Utilities Final Design			
Contractor: AECOM Technical Services, Inc., Final Design Consultant (Engineer of Record)			
Committed: ¹	\$39,580,074	Actual DBE Participation:	\$145,701
Authorized: ²	\$37,992,060	(96.0%)	DBE % Attained: 0.38%
Incurred to date:	\$26,870,128	Construction Documents Bid-Ready:	Utilities October 2013 Guideway April 2014

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

Contract Progress

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

Figure 30. Airport Guideway and Utilities Final Design



Activities this month

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

Look Ahead

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

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

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

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

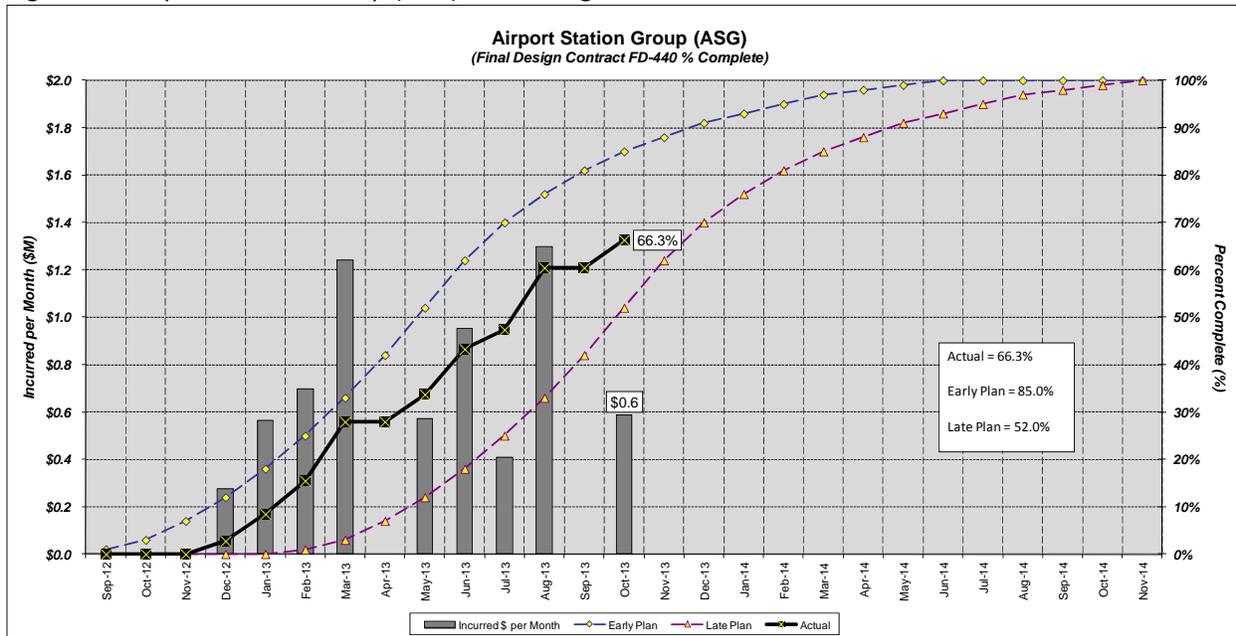
¹ Commitment as of October 25 = Contract value (not including contingency) with Design Allowance + executed Change Orders.

² Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

• **Contract Progress**

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

Figure 31. Airport Station Group (ASG) Final Design



• **Activities this month**

- Continued final design development.
- Prepare for community meeting.
- Continued weekly progress/design and interface meetings.
- Reconcile engineer’s estimate with construction budget.

• **Look Ahead**

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

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

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

Committed:¹ \$44,481,020

Actual DBE Participation: \$139,883

Authorized:² \$35,162,448 (79.1%)

DBE % Attained: 0.32%

Incurred: \$13,571,146

Construction Documents Bid-Ready:

Utilities August 2013
Guideway April 2014

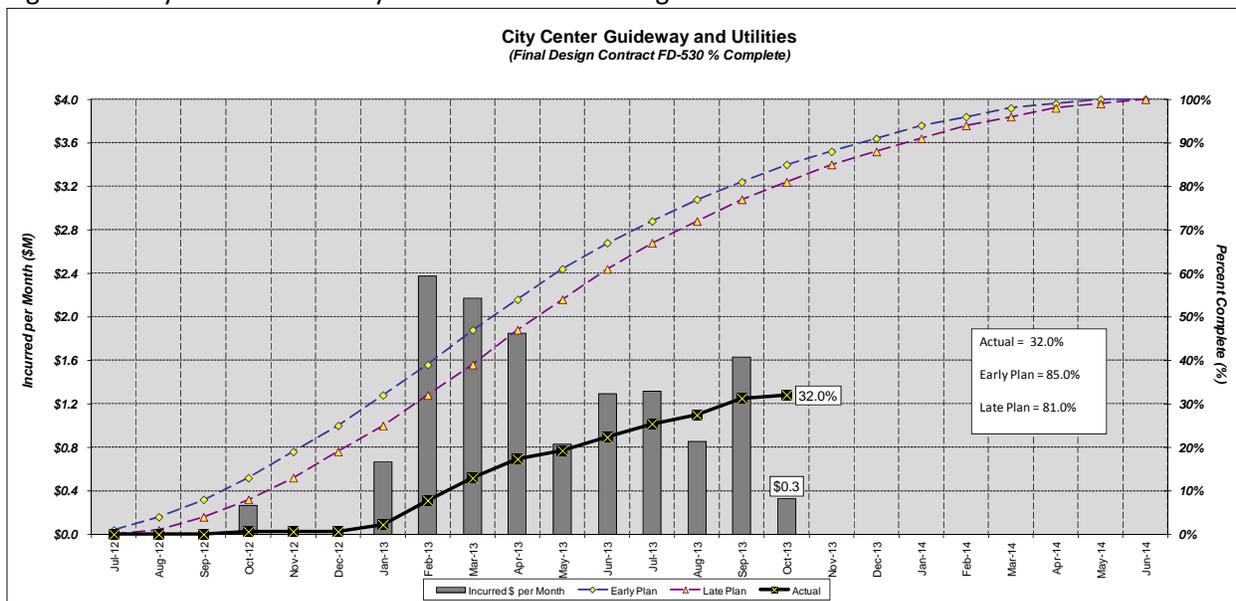
¹ Commitment as of October 25 = Contract value (not including contingency) with Design Allowance + executed Change Orders.

² Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

• **Contract Status**

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

Figure 32. City Center Guideway and Utilities Final Design



• **Activities**

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

• **Look Ahead**

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

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

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

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

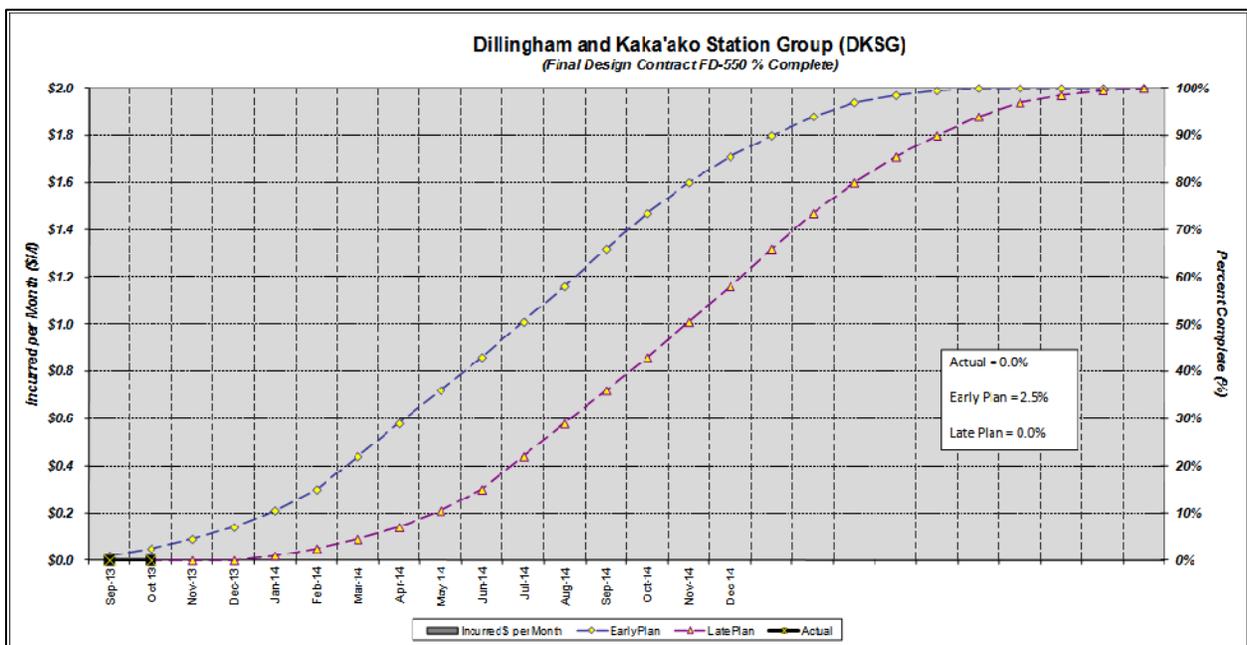
¹ Commitment as of October 25 = Contract value (not including contingency) with Design Allowance + executed Change Orders.

² Total Authorized for Expenditure (AFE) as of October 25 = NTP dollar values + executed Change Orders.

• **Contract Progress**

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

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



• **Activities this month**

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

• **Look Ahead**

- Continue updating preliminary design development.

3.5 Manufacture-Install-Maintain (MIM) Contract Status

Contract MI-930: Elevators & Escalators Install/Maintain

Contractor: Schindler Elevator Corporation

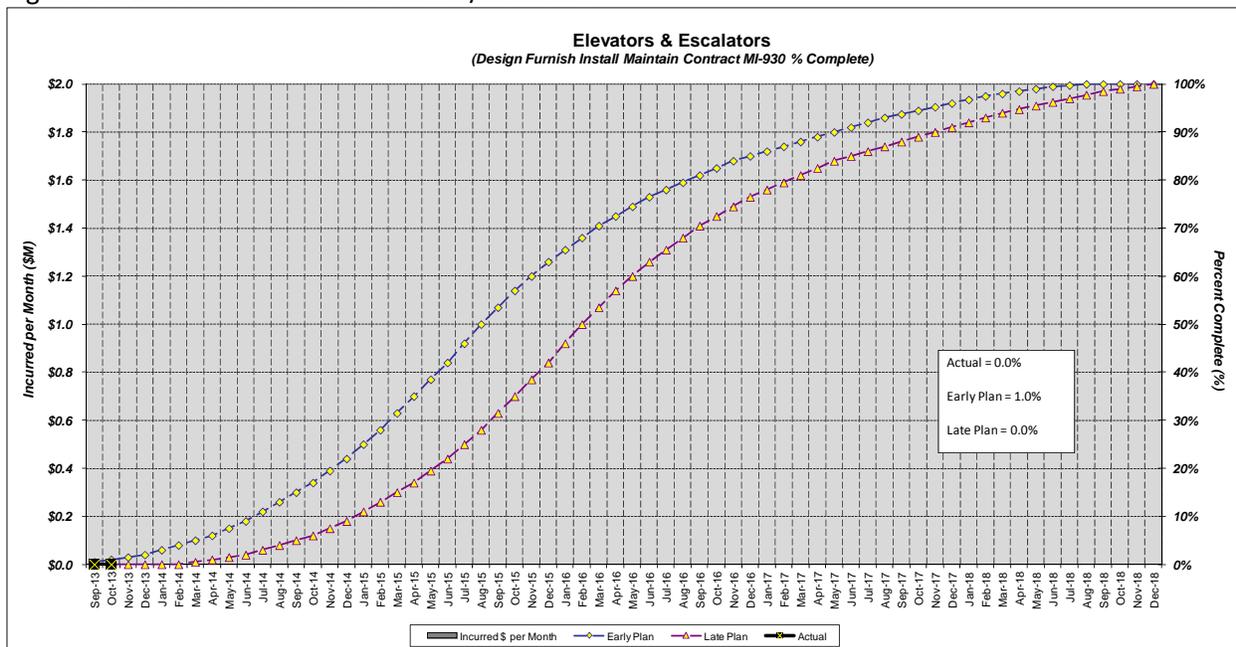
Committed: ¹	\$50,982,714	Actual DBE Participation:	\$0
Authorized: ²	\$5,442,108 (10.7%)	DBE % Attained:	0%
Incurred to date:	\$0	Substantial Completion:	May 2018

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

• **Contract Progress**

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

Figure 34. Elevators & Escalators Install/Maintain



• **Activities this month**

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

• **Look Ahead**

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

3.6 Utility Agreements

• **Activities this month**

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

- AT&T has provided a list of materials they will use in their work. HART has reviewed the list and determined which items are considered components. AT&T is verifying that the components are made in the USA.
- Hawaiian Telcom continues to assess the origin of the material on hand that Wavecom had purchased for the Project prior to Wavecom's acquisition by Hawaiian Telcom.
- HART reviews HECO material purchase orders as needed to verify materials that must be made in the USA.
- WOFH Section:
 - Draft Amendments with Buy America Requirements have been sent for review to Oceanic Time Warner Cable (OTWC).
 - The Hawaiian Telcom (HTI) Utility Construction Agreement (UCA) has not yet been executed. HTI is reviewing HART's comments to the draft UCA.
 - Sandwich Isle Communications (SIC) UCA has not been executed. Currently, a UCA is not needed as there are no conflicts, however SIC has requested an agreement in the event a conflict arises. A draft construction agreement was submitted to SIC.
 - HART and HECO have executed a Pre-Construction Agreement in advance to entering into a Construction Services Agreement. HART will perform the first three conflicts by its design builder, HECO will perform the remaining.
 - HECO Design (11/19/13) and Construction Services Agreement was executed.
- 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 UFRCA, which includes Buy America Language, has been executed.
 - HART and HECO have executed a Pre-Construction Agreement (expires 11/29/13). HECO will conduct the relocation work, or hire subcontractors to perform the relocation work.
 - HECO Design (11/19/13) and Construction Services Agreement was executed.
 - Possibility of construction work for AT&T Corporate and AT&T Government Solutions within the KHG Segment is under review. These utilities have been provided the language for an Agreement to review in case one is necessary.
 - HawaiiGas is reviewing HART's comments to the UCA.
 - No UCA's for Chevron and SIC will be needed.
- Airport and City Center Sections:
 - tw telecom, Tesoro, HawaiiGas, HTI, and OTWC for the Airport and City Center Section have been executed. The remaining ESAs that need to be executed are AT&T Corporate, AT&T Government Solutions, and SIC.
 - AT&T Corporate has reviewed HART's redline of the agreement. HART and AT&T Corporate have come to agreement on contract language. AT&T Corporate is routing the final for signature.
 - AT&T Government Solutions ESA has been finalized and has been sent for signature.
 - The HECO Airport Bridging Agreement has been extended to 11/29/13.
 - The HECO City Center Bridging Agreement Amendments No. 3 and No. 4 with HECO have been executed; Amendment No. 3 has extended the Agreement to 11/29/13, and Amendment No. 4 will increase the fee an additional \$540,000 to cover field investigation work and ongoing coordination.
 - HECO has executed a separate design agreement for Airport and City Center.
 - HART and HECO are finalizing the Construction Services Agreements for the Airport and City Center Guideway Segments.
 - No UCA's for Chevron and Tesoro will be needed for the Airport and City Center sections.

- **Look Ahead**

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

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

Figure 35. Utility Agreements Status Matrix (by section)

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

Legend:  = Action this month
 = Not applicable

COR = Corporation Counsel
 ESA = Engineering Services Agreement

UCA = Utility Construction Agreement
 UFR CRA = Combined Engineering and Construction Utility Agreement

3.7 Permits

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

3.8 Hawai'i Department of Transportation (HDOT) Agreements

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

3.9 Other Design Activities

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

- Baseline new standard specifications.
- Coordination with various private developers and third party stakeholders.
- **Look Ahead**
 - Finalize decision on Kalo'i channel alternative.

3.10 Interface

- **Activities this month**
 - Held Interface Partnering meetings.
 - Continued interfacing with adjoining contractors as surrogate designer on Elevators and Escalators (EE) in their absence.
 - A total of 1,042 Requests for Interface Data (RFIDs) have been submitted (720 closed).
 - A total of 46 Interface Issues have been elevated (3 new, 1 open, 6 closed, 2 on hold and 34 OSR).
 - Facilitated 36 interface definition meetings with various contractors.
- **Look Ahead**
 - Fully implement CMS tracking tool for HART Interface Issues.
 - Hold Interface Kick-off meetings for Elevator/ Escalator, and hand off interfacing to Schindler.
 - Continue Interface Partnering meeting with WOFH, KHG, MSF and CSC contractors.
 - Continue assisting Project Managers (PMs) and Deputy Project Managers (DPMs) for other FFCs (fixed facility contractors) in their effort to enable early decisions prior to construction start.
 - Continue monitoring contractor RFIDs and Interface Control Documents (ICDs) pertaining to the Final Design Baseline (Revision 0).
 - Continue with assessment process of elevated issues for path forward to construction.
 - Support interface efforts during construction.

4 GROUP REPORTS

4.1 Safety and Security

- **Activities this month**

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

- **Look Ahead**

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

Figure 36. Construction Safety Monitoring - Safety and Security Issues

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

Nov. 23	Personal Injury	West O’ahu / Farrington Contracts	1 Personal Injury	Employee used the wrong type of grinder disk on a grinder and removed safety guards. The disk exploded due to the speed and cut the employee on both ankles and fractured the left ankle.	OSHA Recordable Injury
2013			27 to date in 2013		
<p>* Type of Incident: Liability, Property, Personal Injury, Motor Vehicle Collision. ** OSHA Recordable Injury: Any work-related injury or illness that results in death, loss of consciousness, lost time from work, work restrictions or medical treatment are OSHA recordable incidents. Injuries and illnesses diagnosed by a licensed physician or health care professional are also OSHA recordable incidents. Any needle prick or puncture wound from a sharp object that could be contaminated with another person’s blood or other infectious material is a recordable incident. Any injury that requires an employee to be medically removed from work duties due to any other OSHA health standard is also recordable.</p>					

4.2 Quality Management

- **Activities this month**

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

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

Figure 37. Open Nonconformance (NCR) Log Summary

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

- **Look Ahead**

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

4.3 Disadvantaged Business Enterprise (DBE)

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

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

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

- **Activities this month**

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

DBE Participation (10/16/09 to 11/30/13)						
DBE Firm	NAICS Code	Race	Sex	Contract Number	Participation to Date	Total DBE Participation
David's Fencing	238990	APA	M	CT-HRT-10H0137 DB-120	\$6,800.00	
				CT-DTS-1100195 DB-320	\$129,816.37	\$136,616.37
Glad's Landscaping	561730	APA	M	CT-HRT-10H0137 DB-120	\$303,790.44	\$303,790.44
Don's Makiki	484110	APA	M	CT-HRT-10H0137 DB-120	\$546,066.68	
				CT-HRT-10H0449 DB-200	\$20,893.85	
				CT-DTS-1100195 DB-320	\$60,714.26	\$627,674.79
Pacific Preferred Contractors Corp.	237310	APA	M	CT-HRT-10H0137 DB-120	\$13,609.95	\$13,609.95
PAC Electric	238210	APA	F	CT-HRT-10H0137 DB-120	\$1,415,788.97	\$1,415,788.97

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

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

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

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

Race Categories

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

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

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

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

- **Look Ahead**

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

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

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

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

4.4 Right-of-Way

- **Activities this month**

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

- **Look Ahead**

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

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

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

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

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

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

Figure 40. Third-Party Agreement Status

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

4.5 Planning and Environment

- **Activities this month**

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

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

- **Look Ahead**

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

4.6 Risk Management

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

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

- **Activities this month**

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

- **Look Ahead**

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

Figure 41. Risk Matrix

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

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

Figure 42. Top 10 Project Risks in October

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

Figure 43. Risks Removed from Top 10

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

Figure 44. Risks Added in October

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

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

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

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

Figure 45. Risks Deleted in October

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

Figure 45a. Risks Deleted in October (continued)

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

Figure 45b. Risks Deleted in October (continued)

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

Figure 45c. Risks Deleted in October (continued)

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

Figure 46. Risks by Contract Package

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

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

Figure 47. Comparison of Risk Ratings

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

4.7 Community Outreach

- **Activities this month**

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

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

Figure 48. HART's Station Design Community Meeting Series

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



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

Figure 49. TOD Symposium

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



- **Construction Outreach**

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

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

- **Community Input**

- HART's public information team responded to more than 70 public inquiries and requests in November that came in via the agency's website, email and 24-hour hotline. Inquiries this month primarily focused on construction activities.
- To date, HART's outreach team has participated in:
 - 1,516 presentations and events
 - 815 Neighborhood Board meetings

- **Look Ahead**

Coming in December:

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

5 STAFFING

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

Figure 50. Staffing Activities

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

*Per qualifications.

Figure 51. HART Staffing Projection in the Current Staffing Plan

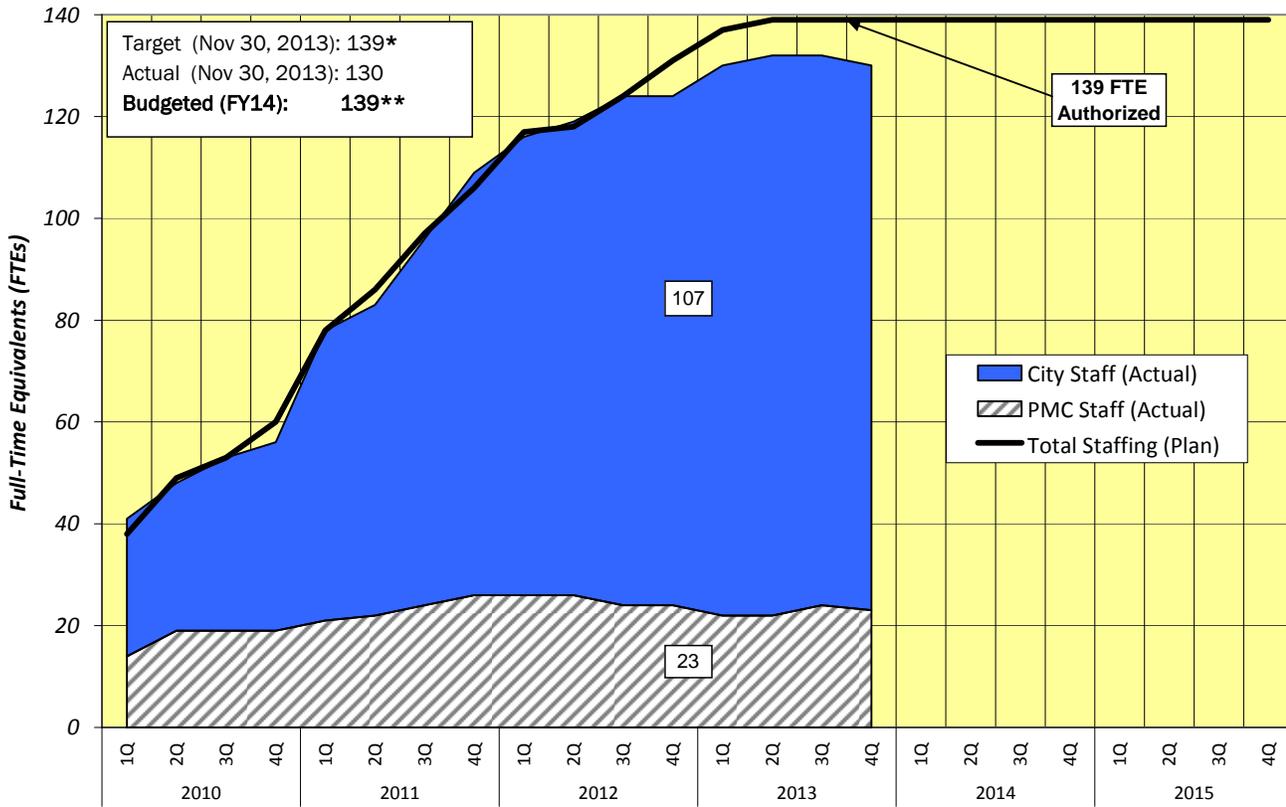
<i>[Also see the Project Staffing (Actual vs. Planned) graph in Figure 52]</i>	as of:	# Employees
Target*	Nov 30	139
Actual*	Nov 30	130
Full-Time Employees budgeted for FY14**	Jul 31	139

*Including PMC staff **Excluding PMC staff.

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

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

Figure 52. Project Staffing (Actual vs. Planned)



* In accordance with Staffing and Succession Plan Rev 5, dated 5-25-12 (Under Revision)

** 139 City positions authorized in FY 2014 HART Operating Budget

6 APPENDICES

Appendix A. Project Organization Chart

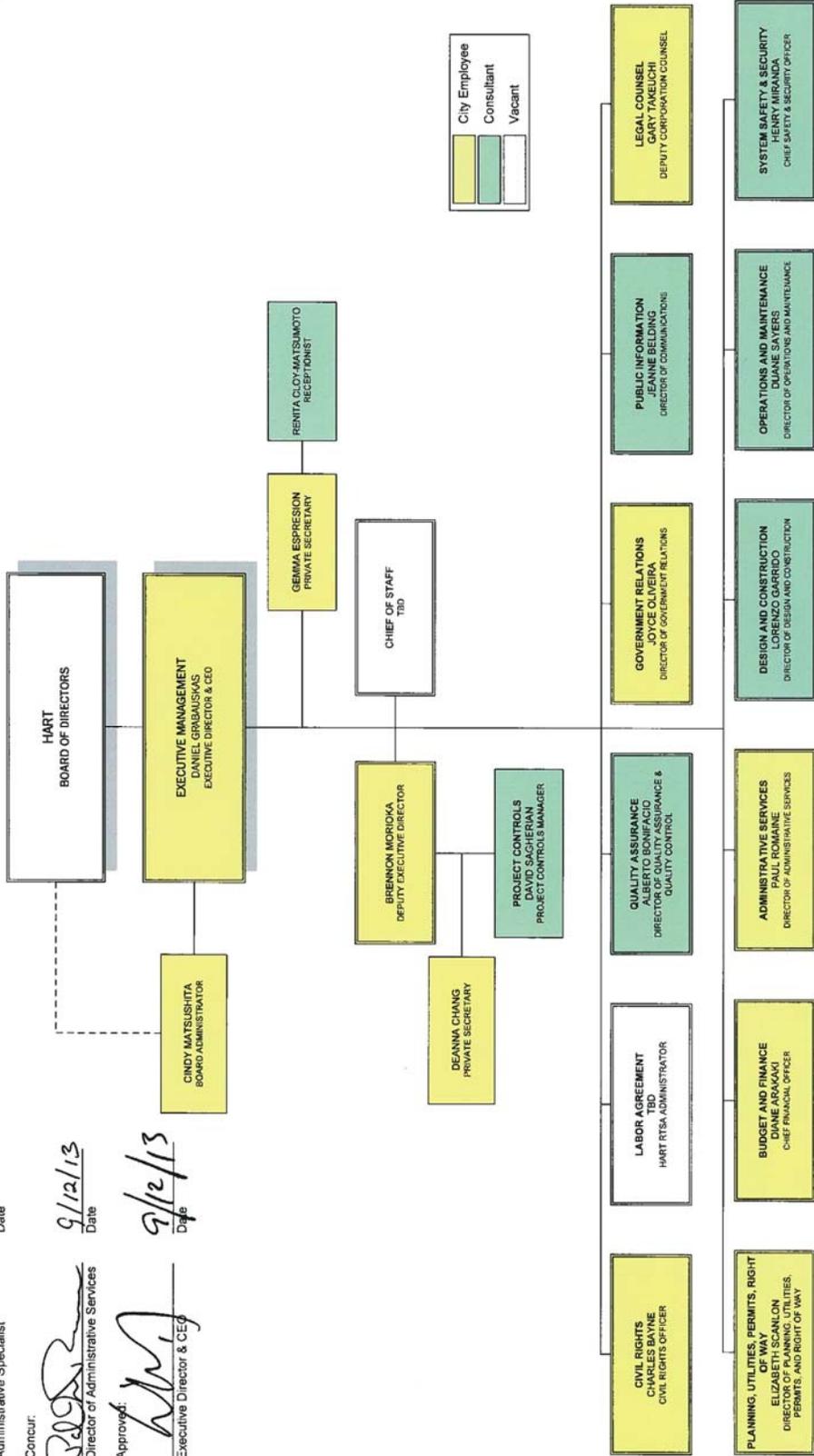
SEPTEMBER 12, 2013

HONOLULU AUTHORITY FOR RAPID TRANSPORTATION (HART)

Prepared by:  Administrative Specialist Date: 9/12/13

Concur:  Director of Administrative Services Date: 9/12/13

Approved:  Executive Director & CEO Date: 9/12/13



City Employee
Consultant
Vacant

Appendix B. Project Alignment

