

PMOC MONTHLY REPORT

Honolulu High-Capacity Transit Corridor Project

City and County of Honolulu

Honolulu, HI

January 2012 (FINAL)

PMOC Contract Number: DTFT60-09-D-00012

Task Order No. 2: Honolulu High-Capacity Corridor Project

Project No: DC-27-5140

Work Order No. 1

OPs Referenced: OP 1 and 25

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Length of Time Assigned: Five Years (November 18, 2009 through November 17, 2014)

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1.0 EXECUTIVE SUMMARY

1.1 Project Description

- **General Description:** The Project is an approximately-20-mile-long elevated fixed guideway rail system along Oahu's south shore between East Kapolei and Ala Moana Center. This Project is based on the Airport Alignment, which includes 21 stations. The alignment is elevated, except for a 0.6-mile at-grade portion at the Leeward Community College station. The Project is planned to be delivered in four guideway segments.
 - Segment I (West Oahu/Farrington Highway) – East Kapolei to Pearl Highlands (6 miles/7 stations)
 - Segment II (Kamehameha Highway) – Pearl Highlands to Aloha Stadium (4 miles/2 stations)
 - Segment III (Airport) – Aloha Stadium to Middle Street (5 miles/4 stations)
 - Segment IV (City Center) – Middle Street to Ala Moana Center (4 miles/8 stations)
- **Length:** 20 miles
- **No. of Stations:** 21
- **Additional Facilities:** Maintenance and Storage Facility and parking facilities
- **Vehicles:** 80 vehicles
- **Ridership Forecast:** Weekday boardings – 97,500 (2019); 116,300 (2030).

1.2 Project Status

(Note: Status of all contracts is provided in Appendix B.)

- Final Design (FD) – HART received approval to enter FD from the FTA on December 29, 2011. With the FD approval, HART has automatic pre-award authority to incur costs for FD activities, demolition, and other non-construction activities such as procurement of rails, ties, commodities, and other specialized equipment. HART also has pre-award authority to procure vehicles and perform utility relocation since the NEPA process has been completed. The plans and specifications sufficiently characterize elements of the FD, as identified in Appendix C (FD Status by Contract).
- West Oahu /Farrington Highway (WOFH) Design-Build (DB) Contract – The grantee has issued NTPs to Kiewit authorizing mobilization through Final Design. In addition, the contractor has begun utility relocations. To date, the contractor has expended \$120.9 million of the current contract value of \$501,969,230.
- Kamehameha Highway (KH) Guideway DB Contract – The grantee has issued NTPs to Kiewit authorizing mobilization through Final Design. To date, the contractor has expended \$45.8 million of the current contract value of \$372,150,000.
- Maintenance and Storage (MSF) DB Contract – The grantee has issued NTPs to Kiewit/Kobayashi Joint Venture authorizing mobilization through Final Design. To date, the contractor has expended \$7.0 million of the current contract value of \$195,258,000.
- Vehicles/Core Systems Design-Build-Operate-Maintain (DBOM) Contract (CSC) – The grantee has issued one NTP to Ansaldo Honolulu Joint Venture (AHJV) authorizing

mobilization through Final Design. To date, the contractor has expended \$0 of the current contract value of \$574,000,000.

- Station Design –
 - Farrington Station Group Design Contract – HDR/HPE, Inc. was awarded a contract on April 15, 2010. Advanced PE began in February 2011. The designer is revising the station design package to incorporate value engineering changes to reduce the estimated cost of the stations.
 - Kamehameha Station Group Design Contract – The Request for Qualifications (RFQ) to begin advanced PE was issued in June 2011. NTP is anticipated to be issued in March 2012.
 - West Oahu Station Group – The grantee selected URS Corporation on March 21, 2011 and negotiations are currently underway. NTP #1 is anticipated to be issued in March 2012.
- Airport Guideway Segment Design Contract – HART issued a contract award letter to AECOM on December 27, 2011. HART issued NTP #1a on January 5, 2012.
- Professional Real Estate Services Consultant – RFP Part 1 was issued on April 1, 2011, and RFP Part 2 was issued on September 8, 2011. The grantee anticipates issuing an NTP in January 2012.
- Owner Controlled Insurance Program (OCIP) Consultant – The grantee has decided not to use OCIP for WOFH, MSF and KH DB Contracts. However, OCIP will be included on the remaining contracts, and RFP Part 1 will be released on December 16, 2011. The grantee anticipates issuing an NTP in February 2012.
- Programmatic Agreement (PA) Project Manager – The grantee issued RFP Part I on June 30, 2011 for a PA Project Manager Consultant, or Kako’o. The grantee anticipates issuing an NTP in January 2012.
- Executive Search Consultant – HART issued an NTP to Krauthamer & Associates on November 28, 2011. The projected contract completion date is February 21, 2012 to recommend a permanent HART Executive Director/CEO to the HART Board.
- Government Liaison Consultant. – HART is going through the local approval process to solicit a consultant to assist with Government Relations
- On-call Hazardous Material. – HART is going through the local approval process to solicit a consultant to assist with testing and removal of material found during the Archaeological Inventory Survey work required in the Programmatic Agreement.
- HDOT State Safety and Security Oversight Consultant – Initially, HART was assisting HDOT to solicit a consultant to develop System Safety and Security Program Standards (SSSPS). However, a conference call was held with FTA on January 3, 2012, and it was determined that the Memorandum of Agreement (MOA) must be revised due to a potential conflict of interest. In order to remove the potential conflict of interest, the FTA recommended that HART provide the technical funding directly to HDOT who in turn will contract directly with the SOA consultant. HDOT and HART must revise the MOA to remove the potential conflict of interest. The revised MOA is to be executed no later than the first quarter of 2012.
- Moving Services – HART is going through the local approval process to solicit a consultant to assist Moving Services for business that must be relocated per the RAMP. HART anticipates issuing an RFP in February 2012.

- The grantee has submitted Letter of No Prejudice (LONP) 2 requesting authorization to begin limited construction activities for the WOFH DB Contract, KH DB Contract, MSF DB Contract, and Farrington Station Group Construction Contract. The amount of the LONP 2 request is \$206,500,000. This request is under review by the FTA and PMOC.

1.3 Technical Capacity and Capability

The table in Section 2.3 presents the status of key required management deliverables.

1.4 Schedule

- **Preliminary Engineering (PE):** FTA approved entrance into PE on October 16, 2009
- **Record of Decision (ROD):** Publication of the Final Environmental Impact Statement (FEIS) occurred on June 25, 2010. The comment period closed August 26, 2010. The grantee submitted its disposition of all comments to the FTA on October 4, 2010. ROD was issued on January 18, 2011.
- **Final Design (FD):** FTA approved entrance into FD on December 29, 2012.
- **Grantee Target Start of Revenue Operations for Full Alignment:** August 2019 (per MPS with Data Date of November 25, 2011)
- **FFGA Revenue Service Date (RSD):** January 2020 (PMOC recommendation per OP 40)

1.5 Cost Data

The grantee's submitted an initial Base Cost Estimate (BCE) dated March 25, 2011. The initial estimate was \$5.213 billion in Year-of-Expenditure (YOE) dollars, including \$865.58 million in allocated and unallocated contingency and \$230 million in financing costs. However, in September 2011, the grantee proposed eight (8) Cost Reduction Measures that resulted in the current Base Cost Estimate of \$5.126 billion in Year-of-Expenditure (YOE) dollars, including \$797.69 million in total contingency (or 19.5% of the BCE) and \$246.98 million in financing costs.

The current Project Budget is as follows:

Base Cost Estimate	\$4,066 billion
Total Contingency	\$0.798 billion (19.5% of Base Cost Estimate)
Finance Charges	\$0.247 billion
Total Project Cost	\$5.126 billion

Total Expenditures to Date \$0.311 billion (November 2011) (excludes pre-PE costs)

1.6 Issues or Concerns

The following key issues or concerns have been identified:

- The grantee must execute a license agreement with the Department of Hawaiian Homelands (DHHL) to construct the MSF on the Navy Drum Site. The PMOC has recommended that the License Agreement be provided to the FTA and PMOC for review prior to execution. A Request for Right of Entry (ROE) for construction was approved by the DHHL Board. The ROE allows access to Navy Drum Site for construction until the property acquisition occurs or the License Agreement is finalized.
- An interim HDOT State Oversight Agency (SOA) Project Manager has been working part-time since April 2011. HDOT anticipates hiring a full-time SOA Project Manager by summer 2012. FTA had identified that this position be filled by February 2012 in the Final Design approval letter. Given the status of this Project, it is critical that the permanent lead be identified as soon as possible.
- The FTA has determined that the Project Management Support Consultant (PMC) contract was not solicited with the required Federal clauses based on the Fiscal Year 2010 Procurement System Review Final Report prepared for the FTA. The FTA has notified the grantee that it must proceed with timely re-procurement of the PMC contract, which includes Federal clauses. The grantee issued an RFP on August 2, 2011 and anticipates issuing NTP to the selected PMC on January 27, 2012. The terms of the NTP will be determined during negotiations with the selected firm.
- The WOFH DB Contractor intends to utilize an existing facility (GPRM Prestress) for pre-casting and prestressing of the concrete guideway segments. This facility was identified in the ROD. The contractor is negotiating with the owner and the current lease-holder to obtain use of the property. However, if the GPRM facility is not secured, another facility will be required. Any impacts to the budget and/or schedule cannot be assessed until a decision is made on the site to be used for pre-casting activities. If another site is selected, the grantee is aware that it must coordinate with FTA to determine the extent of any environmental documentation that may be required. The WOFH DB Contractor must resolve the pre-cast yard issue by the first quarter of 2012, so that its June 2012 pre-casting and prestressing of concrete guideway segments will not be impacted.
- Real Estate Acquisition and Relocation activities are becoming critical to the Project. The grantee does not have sufficient Technical Capacity and Capability to ensure that such activities are completed in a timely manner and in full compliance with the Uniform Act. The grantee must complete procurement of a qualified Real Estate Consultant as soon as possible. This procurement should not extend past the first quarter of 2012.
- HART's Safety and Security Manager (SSM) submitted his resignation and will leave the project in January 2012. HART hired a replacement in January 2012, allowing a one-month overlap between the outgoing and incoming manager. The new SSM has been involved previously with the startup of a State Oversight Agency for a New Starts Project.

2.0 BODY OF REPORT

2.1 Grantee's Capabilities and Approach

2.1.1 Technical Capacity and Capability (TCC)

The PMOC has assessed the grantee's Technical Capacity and Capability to successfully implement, manage, and complete a major Federal-assisted capital project as well as its ability to recognize and manage project risk factors and implement mitigation measures. In doing so, the PMOC has identified a significant number of issues that the grantee should address during Final Design, such as filling staffing needs, clarifying the QA/QC process and document control procedures, addressing real estate and relocation needs, modifying management deliverables, and implementing necessary changes to reflect the institution of HART as a Project-controlling agency.

The PMOC has some concern that the grantee may continue experiencing difficulty attracting and retaining the experienced staff needed for long-term Project assignment and permanent grantee employment (post-Project), given Hawaii's geographic isolation, salary limits, and high cost of living relative to the mainland. The grantee should adhere to the staffing plan to address the transition of staff during the Final Design and construction phases for positions currently occupied by PMC staff to grantee staff.

The grantee must strive to transition the key management positions currently occupied by the PMC as early as possible. The grantee should focus on transitioning the key positions of Chief Project Officer, Project Controls Manager, and Contracts Administrator, in order for the grantee to have more ownership and maintain stronger continuing control of the project without having to rely too heavily on the PMC.

The PMOC will continue monitoring the grantee's project management process to ensure that it is effectively managing the Project and continuing fiscal responsibility and accountability for all decisions affecting project design, cost, and schedule, until all key management positions transition to full-time grantee staff. The transition from PMC staff to full-time grantee staff will be closely monitored by the PMOC throughout the Final Design phase of the project.

With the exception of real estate activities, it is the PMOC's professional opinion that the grantee has demonstrated its TCC to execute the project during the Final Design phase. Nevertheless, the PMOC meets monthly with the grantee's Administrator of Controls and Administration to discuss any immediate TCC issues and provide recommendations.

2.1.2 Transit Authority

During the November 2010 election, an amendment to the Revised Charter of the City and County of Honolulu 1972 (as amended) was approved by voters to allow for the creation of a public transit authority. The new authority is responsible for the planning, construction, operation, maintenance, and expansion of the grantee's fixed guideway mass transit system. This authority, which is named the Honolulu Authority for Rapid Transportation (HART),

Revision 4 of the Project Management Plan (PMP), which was submitted for review in April 2011, supports the grantee's request to enter Final Design but only addresses the new transit authority in general terms. The grantee will require additional time to fully vet the impacts of a new authority on its staff and management approach. The grantee plans to issue a PMP revision to address the impacts of HART after receiving authority to enter into the Final Design Phase by the FTA.

2.1.3 Project Controls for Scope, Quality, Schedule, Cost, Risk and Safety

System Safety and Security

- HART's Safety and Security Manager (SSM) submitted his resignation and will leave the project in January 2012. HART hired a replacement in January 2012, allowing a one-month overlap between the outgoing and incoming manager. The new SSM has been involved previously with the startup of a State Oversight Agency for a New Starts Project.
- The State of Hawaii has established Executive Order No. 10-05, effective April 6, 2010, designating HDOT as the State Oversight Agency.
- Revision 2.0 of the Safety and Security Management Plan (SSMP) was submitted to the PMOC for review on June 1, 2011. The PMOC review found that SSMP Revision 2.0, dated June 1, 2011 contains all sections specified in FTA Circular 5800.1, with the minimum content required for Final Design entry either included or implied. The PMOC review also found, however, a need for revision in some plan sections and appendices for both minor (correction of typographical errors and omissions) and major reasons. One such major concern is whether the staffing plan provides sufficient safety and security technical capacity to cover all activities likely during Final Design, during which phase the Design-Build contractors are likely to begin construction, albeit limited, under Letters of No Prejudice. As a result of its findings, the PMOC has reached the following conclusions:
 - The content of all plan sections and support appendices of the SSMP is at least marginally compliant with requirements for the Final Design entry stage of the Project.
 - The content of certain sections of the SSMP need revision to better clarify intent, correct typographical errors or omissions, and to address specific issues identified in the PMOC OP 22 deliverable comments.
 - Revision must be made to SSMP Section 2.4 and Appendix A prior to submission of an FFGA application.
- The PMOC intends to hold a safety and security workshop that would include representatives from FTA Region IX, FTA Headquarters, and HDOT. The tentative timeframe for the workshop is 2012.

- The System Safety and Security Program Standards (SSSPS) are an important part of HDOT's comprehensive safety and security assessment. Each of the rail fixed guideway systems covered under this program (currently the Honolulu High Capacity Transit Corridor Project) is required to develop a System Safety Program Plan and System Security Program Plan that formalizes the safety and security duties and responsibilities of the transit organization and ensures a process for identifying and correcting safety and security hazards. The grantee will be assisting the SOA with procuring a consultant to develop the SSSPS.
- An interim HDOT State Oversight Agency (SOA) Project Manager has been working part-time since April 2011. HDOT anticipates hiring a full-time SOA Project Manager by summer 2012. FTA had identified that this position be filled by February 2012 in the Final Design approval letter. Given the status of this Project, it is critical that a permanent lead be identified as soon as possible.
- A revised program schedule and a safety and security roadmap was provided to the PMOC on October 11, 2011. The PMOC provided comments to the FTA. HDOT is in the process of updating the roadmap based on a conference call that was held on January 3, 2012. FTA, HDOT and HART will have monthly roadmap calls starting in February 2012. HDOT provided a letter to FTA on January 3, 2011 identifying a funding source to fund the SOA once the Project is in operations.
- The grantee and HDOT executed the Memorandum of Agreement (MOA) on December 23, 2011. However, the MOA must be revised due to a potential conflict of interest. In order to remove the potential conflict of interest, the FTA recommended that HART provide the technical funding directly to HDOT who in turn will contract directly with the SOA consultant. HDOT and HART must revise the MOA to remove the potential conflict of interest. The revised MOA is to be executed no later than the first quarter of 2012.

Quality

- GEC II Contract – HART approved the GEC Quality Assurance Plan (QAP) on October 28, 2011. HART performed a QA Audit of GEC from November 30, 2011 to December 2, 2011 which is closed. GEC prepared a Quality Audit schedule for 2012 in collaboration with HART.
- West Oahu/Farrington Highway DB Contract – To date, Kiewit has issued 28 Non-Compliance Reports (NCR) and all NCR's are closed. HART performed a QA audit of Kiewit from October 5-6, 2011 and HNTB/Figg from October 10-13, 2011, which is closed.
- Kamehameha Highway DB Contract – To date, Kiewit has issued one Non- Compliance Report (NCR).
- Maintenance and Storage Facility DB Contract – HART-GEC scheduled a Process Audit (DQAP) of Kiewit/Kobayashi on January 19, 2012.
- Farrington Station Group Design Contract – A HART QA Audit of HDR was performed in New York on November 9, 2011. The QA audit resulted in one positive finding, three

NCR's, five observations, and seven suggestions. HART requested a bi-weekly Quality Task Force (QTF) meeting to start in 2012.

- The PMOC performed a compliance review of the project's PMP and QMP process from October 11-13, 2011. HART is in compliance with the project's PMP and QMP.

2.1.4 Compliance with Applicable Statutes, Regulations, Guidance and FTA Agreements

National Environmental Policy Act (NEPA)

- The ROD was issued on January 18, 2011.
- A lawsuit was filed in federal court against the Project in May 2011. The lawsuit is asking for a declaratory judgment saying that the rail approvals have been "legally inadequate," an injunction to withdraw approvals for the project, and a requirement for a new public review process including and a Draft Environmental Impact Statement.

Letters of No Prejudice (LONP)

- In a December 1, 2009 letter to the grantee, the FTA clarified its policies and procedures related to LONPs. The letter states, "After completion of NEPA, FTA will consider LONPs for activities not covered by automatic pre-award authority on a case by case basis. Absent of pre-award authority or an LONP, no project cost can be incurred and be eligible for reimbursement or as local matching for any portion of the entire 20 mile alignment."
- The FTA issued an LONP on May 24, 2011 to allow for final design activities to proceed for the WOFH DB Contract. The amount authorized by the LONP was \$4.7 million. This LONP will allow for Kiewit to submit Final Design drawings to the City's Department of Permit and Planning for permit approval.
- The grantee has submitted Letter of No Prejudice (LONP) 2 requesting authorization to begin limited construction activities for the WOFH DB Contract, KH DB Contract, MSF DB Contract, and Farrington Station Group Construction Contract. The amount of the LONP 2 request is \$206,500,000. This request is under review by the FTA and PMOC.

2.2 Project Scope

The Project is a 20-mile fixed guideway rail system along Oahu's south shore between East Kapolei and Ala Moana Center. This Project is based on the Airport Alignment, which currently includes 21 stations. The alignment is elevated, except for a 0.6-mile at-grade portion at the Leeward Community College Station. The Project is planned to be delivered in four guideway segments.

- Segment I (West Oahu/Farrington Highway) – East Kapolei to Pearl Highlands (6 miles/7 stations)
- Segment II (Kamehameha Highway) – Pearl Highlands to Aloha Stadium (4 miles/2 stations)
- Segment III (Airport) – Aloha Stadium to Middle Street (5 miles/4 stations)
- Segment IV (City Center) – Middle Street to Ala Moana Center (4 miles/8 stations)

The alignment will average a total of 97,500 weekday boardings at the Revenue Service Date in the year 2019 and 116,300 weekday boardings in the year 2030. It will provide two significant areas with potential for Transit Oriented Development, one near the Airport and one in the surrounding industrial areas. The initial fleet will include 80 “light metro” rail vehicles based on the Ansaldo Honolulu Joint Venture CSC proposal.

2.2.1 Status of Design/Construction Documents

The scope as contained in the Project’s FEIS and ROD is reflected in the PE plans, specifications, estimates, and the PMP.

Through PE plans and performance specifications, the grantee has provided enough project information to fully illustrate the scope, capacity, level of service, functionality, and expected reliability of the completed project. The plans and specifications sufficiently characterize elements of the design and exceed the requirements of a PE design.

The project scope review has noted numerous challenges to the Project, including managing coordination issues between the grantee and its many contractors, controlling costs, making key decisions (Ala Moana Station layout, platform edge screens, implementing accepted VE alternatives), implementing third-party agreements, and resolving the precast facility location issue. However, all of these issues can be resolved during Final Design.

The grantee has undertaken the following activities related to Value Engineering (VE):

- VE Workshop for Stations – Workshop was held the week of April 19-23, 2010. The PMOC staff attended as observers. The objective of the VE workshop was to provide VE for six stations along the alignment – West Loch, Pearl Highlands, Aloha Stadium, Kalihi, Downtown, and Ala Moana Stations, representing elevated stations with and without concourses, direct access stations, and unique stations. As part of VE, the team was expected to consider not just ways of cutting costs, but also ways to reduce project risks, enhance operations, and bring to light any improvement opportunities that may exist.
- VE Workshop for Airport and City Center Guideway and Utility Relocation packages – Workshop was held April 11-15, 2011. The PMOC staff attended as observers. Approximately \$200 million in potential VE savings were identified. The PMOC has reviewed the final VE report to ensure that the purpose and objectives were met, the findings were adequately summarized, and an action plan was developed.
- The final VE Report for Stations and the Alternative Technical Concepts (ATC) Report from the DB proposals were provided to the PMOC in October 2010. This included a list of the VE recommendations that the grantee intends to implement. The PMOC has reviewed the final VE report to ensure that the purpose and objectives were met, the findings were adequately summarized, and an action plan was developed.
- The table below presents the summary of VE results provided by the grantee.

Source	No. of Proposals Received	Estimated Value (M)	No. of Proposals Accepted	Estimated Value (M)
VE Workshop for Stations	30	\$318.5	26	\$104.1
ATC Proposals – WOFH DB Contract	29	\$85.4	13	\$60.5
ATC Proposals – KH DB Contract	16	\$29.0	7	\$18.3
ATC Proposals – MSF DB Contract	11	\$16.1	5	\$2.7
ATC Proposals – CSC	41	\$35.6	15	\$15.5
VE Workshop for Airport & City Ctr.	27	\$225.6	13	\$109.2
TOTAL	154	\$710.2	79	\$310.3

*Total includes “conditionally accepted” proposals

To date, the only VE proposals that have been implemented are associated with the Alternative Technical Concepts associated with the DB contracts. The PMOC will monitor that all VE recommendations are reviewed by the grantee and that those that are accepted are implemented accordingly.

2.2.2 Status of Third-Party Agreements

The following table provides the status of Third Party Agreements for the project:

Agreement	Completion Date	Segment/ Contract	Status
University of Hawaii Master Agreement	Pending	I, II, IV	UH Reviewing
Leeward Community College Sub-agreement	Pending	I	UH Reviewing, will finalize after master agreement is executed
Department of Education Master Agreement and Consent to Construct	08-Feb-11	I	Executed
DR Horton Agreement	Pending	I	Consent to Construct is under final review by DR Horton
Department of Hawaiian Home Lands (DHHL) Master Agreement	10-Mar-10	I and MSF	Executed
DHHL Consent to Construct	01-Dec-11	I and MSF	Consent is in place until license agreement is executed.
DHHL License Agreement	Pending	I and MSF	DHHL reviewing
Department of Land and Natural Resources (DLNR) Executive Order	Pending	I	DLNR review and awaiting legal description
Easement in Navy Property	Pending	I and MSF	Navy is processing easement request
HDOT Master Agreement for WOFH	31-Oct-10	I	Executed
HDOT Use and Occupancy/WOFH	Pending	I	Responding to comments from FHWA. It is anticipated that agreement will be finalized in January 2012.
HDOT Master Agreement for KHG	Pending	II	Under review by HDOT. Anticipate agreement to be in place in March/April 2012.
HDOT Use and Occupancy KHG	Pending	II	Will be completed after Master Agreement
Department of Accounting and General Services(DAGS)/Aloha Stadium	Pending	II	Under review by DAGS
Navy/General Services Administration(GSA)	Pending	III	Provided Navy with metes and bounds for Pearl Harbor Station and will be forwarding property requirements for Airport Guideway.
Post Office/GSA Administration	Pending	III	Pending Design
HDOT Master Agreement Airport	Pending	III	Discussions will be initiated after completion of KHG agreement.
Federal Court House/GSA	Pending	IV	Pending Design
Honolulu Community College Use & Occupancy	Pending	IV	Pending
Hawaii Community Development Agreement (HCDA)	Pending	IV	Pending Design
DAGS	Pending	IV	Pending Design
HDOT Master Agreement City Center	Pending	IV	Pending

2.2.3 Delivery Method

In accordance with the Contract Packaging Plan developed by the grantee, construction of the project guideway is to be implemented in four segments. The method of delivery for the four guideway segments is as follows:

- Segment I – East Kapolei to Pearl Highlands – DB
- Segment II – Pearl Highlands to Aloha Stadium – DB

- Segment III – Aloha Stadium to Middle Street Station – DBB
- Segment IV – Middle Street Station to Ala Moana Center – DBB

The DB approach is being planned to advance the project schedule in order to minimize escalation costs and start construction of the initial portion of the project while the remainder of the project proceeds through the DBB process. Work on these early contracts (Segments I & II, MSF and CSC) is planned to be initiated ahead of the FFGA utilizing excise tax funding. However, as noted above, any design activities beyond PE or construction activities not covered by automatic pre-award authority would require an LONP, which would be considered on a case-by-case basis.

The PMOC has reviewed the grantee’s contracting plan for project delivery and procurement and evaluated the soundness and adequacy of the its approach to bidding and awarding of contracts, procurement of materials, equipment and vehicles, and the construction administration and construction management of the Project. The selected project delivery methods and contract packaging strategies are reasonable and are reflected in project schedules and cost estimates.

2.2.4 Vehicle Status

Ansaldo Honolulu Joint Venture proposes an automated light metro car, similar to railcars currently in operation in Copenhagen, but not in the United States. Vehicles are anticipated to be run in two-railcar (consists) trains. Following is a summary of the anticipated vehicle characteristics:

- “Light Metro” (identified as Heavy Rail in SCC estimate)
- Approximate number of vehicles: 80
- Standard gauge, steel wheel on steel rail
- Fully automated, manual operation possible (hostler panel)
- Nominal vehicle dimensions:
 - Length: 64 feet
 - Width: 10 feet
 - Height: Up to 13.3 feet
 - Floor Height: 3.77 feet above top of rail (at entry)
- Nominal Passenger Capacity: 190 per vehicle (AW2 load)
- Electric traction via third rail, nominal 750V direct current (DC) supply, all axles powered
- Semi-permanently coupled, bi-directional trainsets
- Wide gangways between cars
- 2 to 3 double passenger plug doors per side (per car)
- Manual crew doors with steps
- Dynamic / regenerative braking
- Alternating current (AC) propulsion
- 30+ year design life

Vehicle procurement is included in the CSC, the status of which is discussed in Appendix B.

2.3 Project Management Plan and Sub-Plans

The following table presents the status of each of the grantee's management deliverables.

Sub-Plan	Revision No.	Date	Notes
Project Management Plan (PMP)	4	Mar-11	Acceptable for Final Design
Quality Management Plan (QMP)	0	01-Jan-11	Acceptable for Final Design
Real Estate Acquisition and Management Plan (RAMP)	4	21-Dec-10	Accepted by FTA on 08-Feb-11
Bus Fleet Management Plan (BFMP)	2	Jun-10	Acceptable for Final Design
Rail Fleet Management Plan (RFMP)	0	06-Apr-11	Acceptable for Final Design
Safety and Security Management Plan (SSMP)	2	01-Jun-11	Acceptable for Final Design
Safety and Security Certification Plan (SSCP)	1	01-Jun-11	Acceptable for Final Design
Configuration Management Plan (CMP)	0	23-Dec-10	Acceptable for Final Design
Staffing Plan	3	11-Mar-11	Acceptable for Final Design
Risk and Contingency Management Plan		27-Sep-11	Acceptable for Final Design
Operating Plan		06-Apr-11	Acceptable for Final Design
Force Account Plan	0	21-Jan-11	Acceptable for Final Design
Mitigation Monitoring Program	0	18-Feb-11	Acceptable for Final Design
Interface Management Plan	0	29-Mar-11	Acceptable for Final Design
Contract Packaging Plan	2	09-Mar-11	Acceptable for Final Design
Claims Avoidance Plan	0	06-Apr-11	Acceptable for Final Design
Construction Management Plan	0	12-Apr-11	Acceptable for Final Design
Contract Resident Engineer Manuals (DB & DBOM)		28-Sep-11	Acceptable for Final Design
Contract Resident Engineer Manuals (DBB)		Pending	Grantee submittal pending
Project Procedures		04-Apr-11	Acceptable for Final Design

2.4 Project Schedule Status

The PMOC conducted an OP34 Schedule Review in July 2011 in support of the project sponsor's request to enter the Final Design phase. The schedule file transmitted to the PMOC July 11, 2011 was also used to conduct an OP 40 Risk Analysis. As an outcome of both reports and as conditionally stipulated in the PMOC's OP 51 report, the PMOC identified a significant number of recommendations and opportunities to strengthen the integrity of the project sponsor's Project Controls organization, procedures, plans, technical schedule input, and technical capacity and capability. The PMOC expects the grantee to incorporate these recommendations during the Final Design phase and prior to submission of refreshed cost estimate and schedule documents in support of a FFGA Application.

To date, the PMOC is receiving sporadic project control and schedule update reports. The PMOC issued a Memorandum dated January 20, 2012 to the project sponsor to express its concerns and reiterate certain corrective actions and measures the project sponsor should take in order to successfully demonstrate continued technical capacity and capability necessary to submit an FFGA application.

The grantee's Master Project Schedule (MPS) (Data Date of November 25, 2011) identifies the target date for the start of full revenue operations as December 2018 and a proposed FFGA project completion date of August 2019. This date is reasonable given the current status of the

Project. However, the PMOC recommends that the FFGA RSD be no earlier than January 2020, per the latest July 2011 OP 40 review. The table below provides a comparison of key milestone dates at the start of PE and in the current MPS.

Milestone Description	Finish Date		Variance (Days)
	PE Entry Baseline	MPS (Data Date 25-Nov-11)	
FTA Award Full Funding Grant Agreement	11-Sep-10	16-Aug-12	-705
WOFH/KH Revenue Service	14-Sep-16	28-Dec-15	261
Airport Segment Revenue Service	31-Oct-17	24-Aug-17	68
City Center Revenue Service	31-Mar-19	3-Dec-18	118

The following is a 90-day look ahead for important activities associated with the Project:

Period: February 2012 – April 2012		
Activity	Responsibility	Date
Monthly Progress Meeting	HART, PMC, GEC and PMOC	February 7, 2012
Core Systems Design Workshop	HART, PMC, GEC and PMOC	February 8, 2012
Monthly Progress Meeting	HART, PMC, GEC and PMOC	March 7, 2012
Safety and Security Workshop	HDOT, HART, PMC, GEC and PMOC	TBD
Monthly Progress Meeting	HART, PMC, GEC and PMOC	April 4, 2012

2.5 Project Cost Status

The grantee's submitted an initial Base Cost Estimate (BCE) dated March 25, 2011. The initial estimate was \$5.213 billion in Year-of-Expenditure (YOE) dollars, including \$865.58 million in allocated and unallocated contingency and \$230 million in financing costs. However, in September 2011, the grantee proposed eight (8) Cost Reduction Measures that resulted in the current Base Cost Estimate of \$5.126 billion in Year-of-Expenditure (YOE) dollars, including \$797.69 million in total contingency (or 19.5% of the BCE) and \$246.98 million in financing costs.

The current Project Budget is as follows:-

Source	Amount
Base Cost Estimate	\$4,066 billion
Total Contingency	\$0.798 billion
Finance Charges	\$0.247 billion
Total Project Cost	\$5.126 billion

Total Expenditures to Date \$0.311 billion (November 2011) (excludes pre-PE costs)

2.5.1 Standard Cost Category (SCC)

The most recent SCC Workbook is submitted as a separate electronic file. The values identified in the SCC workbook incorporate the grantee’s proposed Cost Reduction Measures as well as the PMOC’s Recommended Adjustments that were identified during the OP 33 review.

2.5.2 Funding Sources

The following are the project capital revenue (funding) sources:

Source	Amount
General Excise Tax (GET)	\$3.328 billion
Section 5309	\$1.550 billion
Section 5307	\$0.244 billion
ARRA	\$0.004 billion
Total	\$5.126 billion

The GET surcharge receipts received to date are approximately \$746 million.

2.6 Project Risk

The PMOC performed “*an evaluation of the reliability of the grantee’s project scope, cost estimate, and schedule, with special focus on the elements of uncertainty associated with the effectiveness and efficiency of the grantee’s project implementation and within the context of the surrounding project conditions.*” Through the process of risk and contingency review, the PMOC attempts to aid the grantee in its efforts to better define the project’s risks and to provide avenues for recovery should those risks become reality.

The PMOC has provided recommendations for adjustments to scope, cost, and project delivery options and risk mitigation options and alternatives, particularly in regard to contingencies, in order to respond to established project risks.

Three Risk Assessment workshops have been held:

- Risk Workshop 1, held April 5-8, 2011 in Honolulu, addressed the following: Preliminary PMOC findings from a scope, schedule and cost review; Risk Register and Action Items; and Path Forward.
- Risk Workshop 2, held April 27, 2011 in San Francisco, addressed the following: Quantitative risk assessment process; Summary of key PMOC findings for the cost and schedule risk analyses; Risk Mitigation; and Path Forward. To condition the cost estimate for the cost risk analysis, the PMOC identified approximately \$52 million (Year of Expenditure) in net adjustments to the Base Cost Estimate (BCE). To condition the Master Project Schedule (MPS) for the schedule risk analysis, the PMOC identified numerous adjustments that were incorporated into an Adjusted Project Schedule (APS).
- Risk Workshop 3, held August 2, 2011, addressed the Draft Risk and Contingency Management Plan (RCMP).
- A meeting was held December 8, 2011 to address the reevaluation of the grantee’s

Secondary Mitigation Measures to ensure that Secondary Mitigation Capacity is not reduced with the adoption of the proposed Cost Reduction Measures.

2.7 Action Items

Item No.	Item	Responsible Party	Date Identified	Date Due	Date Completed	Status
1	Provide DHHL Agreement/ November ROE Agreement	HART	Aug-11	Dec-11	12-1-12	Closed
2	Provide HDOT letter for SOA source of funds	HART/SOA	Sep-11	Dec-11	3-1-12	Closed
3	Include DBE goal in monthly presentation	HART	Oct-11	Dec-11		Open
4	Inform FTA Region 9 counsel of proposed construction start date when available	HART	Nov-11	Dec-11		Open
5	Provide Buy America Audit detailed information	HART	Dec-11	Dec-11		Open
6	Provide CMS access to PMOC subconsultant for State Oversight Agency information	HART	Dec-11	Dec-11		Open
7	Provide copy of Contractor Risk Meeting Agenda	HART	Dec-11	Dec-11		Open
8	Provide resume for new HART Safety and Security Manager	HART	Dec-11	Dec-11	22-12-11	Closed
9	Develop graph for FD to FFGA percent complete	HART	Dec-11	Jan-12		Open
10	Provide copy of Moving Services RFP to PMOC	HART	Jan-12			Open
11	Revise WOFH and KHG ROW Summary to separate WOFH and KHG Station ROW Summary	HART	Jan-12			Open

APPENDICES

Appendix A: Acronym List

ATC	▪ Alternative Technical Concept
BAFO	▪ Best and Final Offers
BFMP	▪ Bus Fleet Management Plan
CMP	▪ Construction Management Plan
CSC	▪ Core Systems Contract
DB	▪ Design-Build
DBB	▪ Design-Bid-Build
DBOM	▪ Design-Build-Operate-Maintain
DCCA	▪ Department of Commerce and Consumer Affairs
DHHL	▪ Department of Hawaiian Homelands
DOE	▪ Department of Education
FD	▪ Final Design
FEIS	▪ Final Environmental Impact Statement
FFGA	▪ Full Funding Grant Agreement
FHWA	▪ Federal Highway Administration
FTA	▪ Federal Transit Administration
FY	▪ Fiscal Year
GEC	▪ General Engineering Consultant
GET	▪ General Excise Tax
GSA	▪ General Services Administration
HART	▪ Honolulu Authority for Rapid Transportation
HDOT	▪ Hawaii Department of Transportation
KH	▪ Kamehameha Highway
LCC	▪ Leeward Community College
LEED	▪ Leadership in Energy and Environmental Design (LEED)
LONP	▪ Letter of No Prejudice
MOA	▪ Memorandum of Agreement
MOT	▪ Maintenance of Traffic
MPS	▪ Master Project Schedule
MSF	▪ Maintenance and Storage Facility
NCR	▪ Non-Compliance Report
NEPA	▪ National Environmental Policy Act
NTP	▪ Notice to Proceed
OCIP	▪ Owner Controlled Insurance Program
PA	▪ Programmatic Agreement
PE	▪ Preliminary Engineering
PMC	▪ Project Management Consultant
PMOC	▪ Project Management Oversight Contractor
PMP	▪ Project Management Plan
QAM	▪ Quality Assurance Manager
QAP	▪ Quality Assurance Plan
QMP	▪ Quality Management Plan
RAMP	▪ Real Estate Acquisition and Management Plan
RCMP	▪ Risk and Contingency Management Plan
RFMP	▪ Rail Fleet Management Plan
RFP	▪ Request for Proposals
RFQ	▪ Request for Qualifications
ROD	▪ Record of Decision
ROE	▪ Right of Entry
RSD	▪ Revenue Service Date
SCC	▪ Standard Cost Category

SM	▪ Schedule of Milestone
SOA	▪ State Oversight Agency
SSCP	▪ Safety and Security Certification Plan
SSMP	▪ Safety and Security Management Plan
SSPP	▪ System Safety Program Plan
SSSPS	▪ System Safety and Security Program Standards
TCC	▪ Technical Capacity and Capability
VE	▪ Value Engineering
WOFH	▪ West Oahu/Farrington Highway
YOE	▪ Year of Expenditure

Appendix B: Contract Status

The following sections provide the scope and status of the various contracts identified for this Project.

Project Management Consultant (PMC) Contract.

- Scope – The consultant will serve as a program manager in providing oversight of the PE, Final Design, and construction activities for all DB and DBB contracts.
- Status – InfraConsult LLC was awarded a contract on November 19, 2009 to provide Project Management Support Services.
- Cost
 - Original Contract Value – \$36,700,000
 - Current Contract Value – \$36,700,000
 - Expended to Date – \$17,100,000
 - % Expended – 47%
 - Approved Change Orders – \$0
- Schedule – The contract duration is approximately 60 months from NTP.
- Issues or Concerns
 - It must be noted that the PMC contract was not solicited with the required Federal clauses based on the Fiscal Year 2010 Procurement System Review Final Report prepared for the FTA. The FTA has notified the grantee that it must proceed with timely re-procurement of the PMC contract, which includes Federal clauses. The grantee issued an RFP on August 2, 2011 and anticipates issuing NTP to the selected PMC by January 2012. The terms of the NTP will be determined during negotiations with the selected firm.

General Engineering Consultant (GEC II) Contract

- Scope – The consultant will provide services related to elevated guideway engineering, systems engineering, rail station design, construction management oversight, procurement, contract administration, configuration control, claims support, scheduling, project financing and environmental planning.
- Status – The grantee executed the GEC II contract with Parsons Brinkerhoff on June 30, 2011. The contract amount is \$300 million (\$150 million base amount plus \$150 million allowance amount). It is anticipated that the \$150 million allowance for additional work will be used after the initial three-year term of the contract. However, it is possible with a contract amendment to expend a portion of the allowance amount any time during the term of the contract. Notice to Proceed (NTP) #1 was issued on August 2, 2011. It should be noted that the cost for the first year of the contract is still being negotiated. The results of these negotiations should not increase the value of the \$300 million total contract amount.

- Cost
 - Original Contract Value – \$300,000,000
 - Current Contract Value – \$150,000,000
 - Expended to Date – \$10,900,000
 - % Expended – 7%
 - Approved Change Orders – \$0
- Schedule – The contract duration is approximately 36 months from NTP with an option for an additional 36 months.
- Issues or Concerns
 - None identified at this time.

West Oahu/Farrington Highway (WOFH) DB Contract

- Scope – This contract includes the design and construction of a portion of the guideway alignment from the initial station at East Kapolei and continuing approximately 6.8 miles to a point just east of the planned Pearl Highlands station. Part of the alignment runs along the east side of North South Road. This portion of the guideway, which also includes alignment in the median of Farrington Highway, is being identified as the West Oahu/Farrington Highway Design-Build Contract. The guideway is comprised mostly of a two-track aerial structure with a 0.3-mile portion of twin single-track guideways and a 0.3-mile section of guideway at grade.

As the alignment approaches Leeward Community College (LCC), the guideway alignment traverses from the median of Farrington Highway to the makai side of the highway where it transitions to an at-grade section. Once at grade, the entrances to the Maintenance and Storage Facility (MSF) are encountered. The Guideway crosses Ala Ike Road at two locations, with the roadway passing under the guideway alignment in box-culverts. At the LCC Station, a below-grade station plaza area is planned, allowing passengers to walk under the eastbound guideway to access the center platform.

- Status – Kiewit was awarded a contract on November 18, 2009. The following NTPs have been issued:
 - NTP #1 – Issued December 1, 2009, authorizing \$27 million to complete elements of PE whose principal purpose is refinement and validation of information supporting the NEPA process.
 - NTP #1A – Issued March 11, 2010, authorizing \$25.8 million for PE activities to be completed.
 - NTP #1B - Issued March 23, 2010, authorizing \$21.2 million for interim design activities.
 - NTP #1C – Issued June 7, 2010, authorizing \$3.5 million for test and demonstration drilled shafts to complete the deep foundations interim design.
 - NTP #1D – Issued January 6, 2011, authorizing \$8.7 for continued administrative costs through June 2011 including project management, quality management, safety plan administration, coordination with local agencies, design management, and public information.

- NTP #2 – Issued March 3, 2011, authorizing \$62 million for work activities related to the relocation of utilities, in accordance with the grantee’s pre-award authority associated with the FTA’s issuance of a ROD.
- NTP #3 – Issued June 2011, authorizing \$4.7 million for Final Design activities to allow contractor to submit drawings to the City’s Department of Permit and Planning for permit approval.
- Schedule – The original contract duration was approximately 43 months from NTP. The grantee has approved the baseline schedule submittal. The contractor is preparing a schedule analysis for NTP delays.
- Cost
 - Original Contract Value – \$482,924,000
 - Current Contract Value – \$501,969,230
 - DBE Participation to Date–0.622%
 - Expended to Date – \$120,900,000
 - % Expended – 24.0%
 - Approved Change Orders – \$19,045,230
- Issues or Concerns
 - The executed agreement called for issuance of all four NTPs within 120 calendar days of December 1, 2009. Since that requirement was not met, the grantee has been coordinating with Kiewit to determine the extent of any impact to the approved baseline schedule.
 - The WOFH DB Contractor intends to utilize an existing facility (GPRM Prestress) for pre-casting and prestressing of the concrete guideway segments. This facility was identified in the ROD. The contractor is negotiating with the owner and the current lease-holder to obtain use of the property. However, if the GPRM facility is not secured, another facility will be required. Any impacts to the budget and/or schedule cannot be assessed until a decision is made on the site to be used for pre-casting activities. If another site is selected, the grantee is aware that it must coordinate with FTA to determine the extent of any environmental documentation that may be required. The WOFH DB Contractor needs to resolve the pre-cast yard issue by the first quarter of 2012 so that its June 2012 pre-casting and prestressing of concrete guideway segments will not be impacted.

Kamehameha Highway Guideway DB Contract

- Scope – The contractor will design and construct a portion of the guideway alignment from the initial station at East Pearl Highlands to a point just east of the planned Aloha Stadium Station, a distance of approximately 3.9 miles. This portion of the guideway is being identified as the Kamehameha Highway Design-Build Contract. The guideway is comprised of a two-track aerial structure.
- Status – Kiewit was awarded a contract on June 30, 2011. Following NTPs have been issued:

- NTP #1 – Issued July 12, 2011, authorizing \$102 million to perform PE including interim/definitive design submittals and coordinating with other contracts.
- NTP #1(Rev2) - Issued December 23, 2011 for approximately \$107 million (net increase of \$5 million) to allow for a three month extension of monthly management activities.
- NTP #2 - Issued January 10, 2012 for approximately \$22 million and authorizes FD work activities. The grantee anticipates issuing multiple NTPs for limited construction activities associated with LONP #2 and full construction activities once it receives the appropriate authorizations from FTA.
- Cost
 - Original Contract Value – \$372,150,000
 - Current Contract Value – \$372,150,000
 - DBE Participation to Date - .03%
 - Expended to Date – \$45,800,000
 - % Expended – 12%
 - Approved Change Orders – \$0
- Schedule – The contract duration is approximately 48 months from NTP.
- Issues or Concerns
 - None identified at this time.

Maintenance and Storage Facility DB Contract

- Scope – The contractor will design and construct the MSF to accommodate 80 revenue vehicles. The maximum capacity of the site is 100 revenue vehicles. The Shop Facility will include administrative and operational offices for the agency and an Operations Control Center. The MSF will be designed and commissioned to achieve Leadership in Energy and Environmental Design (LEED) Green Building Rating System Silver Certification, and will operate in accordance with FTA Sustainable Maintenance and Operational Standards. The scope of the contract includes the procurement of all rail materials.
- Status – Kiewit/Kobayashi Joint Venture was awarded a contract on June 30, 2011. Following NTPs have been issued:
 - NTP #1 – Issued July 25, 2011, authorizing \$16.8 million to perform PE, associated site investigations and coordinating with other contractors.
 - NTP #2 - Issued January 10, 2012 for approximately \$66 million and authorizes FD work activities and procurement of long lead items (rail). The grantee anticipates issuing multiple Notices to Proceed (NTP) for limited construction activities associated with LONP #2 and full construction activities once it receives the appropriate authorizations from the Federal Transit Administration (FTA).
- Cost
 - Original Contract Value – \$195,258,000
 - Current Contract Value – \$195,258,000

- DBE Participation to Date - 0%
 - Expended to Date – \$7,000,000
 - % Expended – 4%
 - Approved Change Orders – \$0
- Schedule – The contract duration is approximately 36 months from NTP.
 - Issues or Concerns
 - The Memorandum of Agreement (MOA) has been executed with the DHHL for the Navy Drum Site. However, the grantee must sign a License Agreement with the DHHL prior to any construction beginning. A Right of Entry (ROE) for construction was approved by the DHHL Board. The ROE allows access to Navy Drum Site for construction until the property acquisition occurs or the License Agreement is finalized.
 - The grantee anticipates that Kiewit/Kobayashi will submit a change order for material cost escalation since there has been a delay in execution of the contract.
 - Since HART has automatic pre-award authority to incur costs for FD activities. HART inquired about rebar procurement since rebar was a long lead item in Honolulu. The PMOC suggested HART contact FTA and obtain approval for rebar procurement since rebar typically is not a long lead item for the mainland.

Vehicle/Core Systems DBOM Contract (CSC)

- Scope – Design-Build-Operate-Maintain (DBOM) contract will include:
 - Design and manufacture of vehicles
 - Design, manufacture, and installation of systems components including train control communications, traction power, Central Control and fare collection equipment
 - Operations and Maintenance.

The Operations and Maintenance contract will extend 5 years beyond the full build revenue date (2019), with an additional 5-year option. The Operations and Maintenance contractor will be responsible for Intermediate Operating Section Openings.

- Status – Ansaldo Honolulu Joint Venture was awarded a contract on November 28, 2011. The following NTPs have been issued:
 - NTP #1 – Issued on January 13, 2012, authorizing \$20,285,221 million to support the design efforts of fixed facilities by providing interface management and coordination. In addition, NTP #1 will include work required to advance all Core Systems to final design.
- Cost
 - Original Contract Value – \$574,000,000
 - Current Contract Value – \$574,000,000
 - DBE Participation to Date - 0%
 - Expended to Date – \$0
 - % Expended – 0%
 - Approved Change Orders – \$0

- Issues or Concerns
 - The PMOC has identified numerous issues and questions related to the systems design that require grantee clarification. These items were identified during a review of the selected CSC proposal and will need to be resolved during Final Design. A future workshop will be held to discuss these issues. However, a follow-up workshop cannot be held until all protests associated with the CSC DBOM are resolved.

Airport Guideway & Utility Relocation

- Scope – The project delivery method for the guideway and utility relocations will be DBB. The grantee anticipates awarding separate construction contracts for the utility relocation and guideway. This segment extends from Aloha Stadium Station to Middle Street Station.
- Status – AECOM was awarded a contract on December 15, 2011. The following NTPs have been issued:
 - NTP #1A – Issued on January 5, 2012 with a total contract budget of \$38,840,960 million including a \$1,588,014 million not to be exceeded amount without a contract amendment. AECOM to submit a draft Baseline Schedule and a Schedule of Milestones (SM) within 22 days after receipt of NTP #1A.
- Cost
 - Original Contract Value – \$38,840,960
 - Current Contract Value – \$38,840,960
 - DBE Participation to Date - 0%
 - Expended to Date – \$0
 - % Expended – 0%
 - Approved Change Orders – \$0
- Schedule – The contract duration is approximately 507 calendar days from NTP #1A.
- Issues or Concerns
 - The design contract value has exceeded the budget for this contract. The PMOC assessed the cause of the cost increases with HART in a separate break out session on December 7, 2011. HART is proposing additional value engineering design changes to reduce airport guideway costs to previous FD estimate. HART will also incorporate these value engineering design changes to the City Center Guideway design contract.

City Center Guideway & Utility Relocation

- Scope – The project delivery method for the guideway and utility relocations will be DBB. The grantee anticipates awarding separate construction contracts for the utility relocation and guideway. This segment extends from Middle Street Station to Ala Moana Center Station. The guideway contract will likely now include the Ala Moana Center Station.

- Status – The grantee has completed PE of this segment. The grantee will not proceed with procurement of design services until after the procurement of design services for the Airport Guideway is complete.
- Issues or Concerns
 - None identified at this time.

Station Packages

- Scope – All stations will be implemented using DBB. The grantee has developed station group packages for design, and it intends to issue construction contracts based on those station packages. Following are the packages that the grantee is currently considering:
 - West Oahu Station Group (3 stations): East Kapolei, UH-West Oahu, and Hoopili.
 - Farrington Station Group (3 stations): West Loch, Waipahu Transit Center, and Leeward Community College.
 - Kamehameha Station Group (3 stations): Pearl Highlands, Pearlridge, and Aloha Stadium.
 - Airport Station Group (4 stations): Pearl Harbor Navy Base, Honolulu International Airport, Lagoon Drive, and Middle Street Transit Center.
 - Dillingham Station Group (2 stations): Kalihi and Kapalama.
 - City Center Group (3 stations): Iwilei, Chinatown and Downtown.
 - Kaka’ako Station Group (2 stations): Civic Center and Kaka’ako, plus station finishes on the Ala Moana Station
 - Pearl Highlands Station Parking Garage and H2 Ramps
- Status
 - Farrington Station Group Design Contract – HDR/HPE, Inc. was awarded a contract on April 15, 2010. The following NTP’s have been issued:
 - NTP #1a – Issued on January 14, 2011, authorizing \$5.5 million to begin advanced PE for three stations.
 - Kamehameha Station Group Design Contract – The Request for Qualifications (RFQ) to begin advanced PE was issued in June 2011. NTP is anticipated to be issued in March 2012.
 - West Oahu Station Group – The grantee selected URS Corporation on March 21, 2011 and negotiations are currently underway. NTP #1 is anticipated to be issued in January 2012 to allow for development of management plans and beginning of Advanced PE. The grantee is still negotiating the full scope, schedule, and cost associated with NTP #1. NTP is anticipated to be issued in March 2012.
- Cost - Farrington Station Group Design
 - Original Contract Value – \$5,500,000
 - Current Contract Value – \$5,500,000
 - DBE Participation to Date – 3.1%
 - Expended to Date – \$2,700,000
 - % Expended – 48%
 - Approved Change Orders – \$0

- Issues or Concerns
 - The cost estimate for the Farrington Station Group has increased compared to the previous estimate. The PMOC assessed the cost increase with HART in a separate break out session on December 7, 2011. HART is proposing additional value engineering design changes to reduce the station footprint, simplify pedestrian bridge trusses, delete glass enclosures and glass canopies, reduce platform canopy, and simplify platform canopy structural supports to reduce station costs to previous FD estimate. HART will also incorporate these value engineering design changes to the other station packages.

Elevators and Escalators

- Scope – The grantee originally intended to issue a contract to furnish, install, test, and commission all elevator and escalator equipment. However, the grantee now anticipates using a DB approach and may include Platform Edge Screens with this procurement.
- Status – The grantee anticipates beginning procurement for this contract in late 2011.
- Issues or Concerns
 - None identified at this time.

Professional Real Estate Services Consultant

RFP Part 1 was issued on April 1, 2011, and RFP Part 2 was issued on September 8, 2011. The grantee anticipates issuing an NTP in January 2012.

Owner Controlled Insurance Program (OCIP) Consultant

The grantee has decided not to use OCIP for WOFH, MSF and KH DB Contracts. However, OCIP will be included on the remaining contracts, and RFP Part 1 will be released on December 16, 2011. The grantee anticipates issuing an NTP in February 2012.

Programmatic Agreement (PA) Project Manager

The grantee issued RFP Part I on June 30, 2011 for a PA Project Manager Consultant, or Kako’o. The grantee anticipates issuing an NTP in January 2012. The consultant will report to State Historic Preservation Division and the consulting parties listed in the PA.

Executive Search Consultant

RFQ responses were received in September 2011 for a consultant to assist HART with identifying candidates for the Executive Director position. HART awarded a contract to Krauthamer & Associates on October 17, 2011. The grantee issued an NTP on November 28, 2011, and the projected contract completion date is February 21, 2012 to recommend a permanent HART Executive Director/CEO to the HART Board.

Government Liaison Consultant

HART is going through the local approval process to solicit a consultant to assist with Government Relations. A Government Liaison Consultant was originally included in the PMC contract. However, HART removed the Government Liaison Consultant scope from the current PMC re-procurement.

On-call Hazardous Material

HART is going through the local approval process to solicit a consultant to assist with testing and removal of material found during the Archaeological Inventory Survey work required in the Programmatic Agreement. An On-call Consultant was originally included in the GEC II scope of work. However, HART removed the On-call Consultant scope from the GEC II contract. HART will be selecting a consultant from a qualified list.

Appendix C: FD Status by Contract

Contract	Segment	PE Status
West Oahu Farrington Highway Guideway DB Contract	Segment I – East Kapolei to Pearl Highlands Length: 6 miles	GEC I prepared contract documents for DB procurement, including 30% plans. Advanced PE was continued by Kiewit under NTP #1, 1A, 1B, 1C, and 1D. NTP #2 issued on March 3, 2011 for work activities related to the relocation of utilities. NTP #3 issued in June 2011 for Final Design under LONP. Final design is 91% complete and geotechnical investigations are 88% complete.
Kamehameha Highway Guideway DB Contract	Segment II – Pearl Highlands to Aloha Stadium Length: 4 miles	GEC I prepared contract documents for DB procurement, including 30% plans. NTP #1 issued to Kiewit on July 12, 2011 allowing mobilization, insurance, development of management plans and procedures, and Definitive Design and Interim. Preliminary design is 43% complete and geotechnical investigation is 15% complete. NTP #2 was issued on January 10, 2012 and authorizes FD work activities.
Airport Guideway Contract and Utilities Relocation DBB Contract	Segment III – Aloha Stadium to Middle Street Length: 5 miles	GEC I prepared 30% plans for segment. NTP #1A was issued to AECOM on January 5, 2012 to submit a draft Baseline Schedule and a Schedule of Milestones (SM) within 22 days after receipt of NTP #1A.
City Center Guideway & Utilities DBB Contracts	Segment IV – Middle Street to Ala Moana Center Length: 5 miles	GEC I prepared 30% plans for segment. Advanced PE will be performed with grantee's selection of design consultant after completion of procurement for Airport Guideway design services.
Maintenance & Storage Facility DB Contract	Segment I	GEC I prepared contract documents for DB procurement, including 30% plans. NTP #1 issued to Kiewit/Kobayashi July 25, 2011 allowing mobilization, insurance, development of management plans and procedures, and Definitive Design and Interim. Preliminary design is 8% and geotechnical investigations are completed. NTP #2 was issued on January 10, 2012 and authorizes FD work activities and procurement of long lead items (rail).
WOFH Station Group (3) DBB Contract	Segment I	GEC I prepared 20% plans for segment. It is anticipated that NTP will be issued to URS Corporation in November 2011 to begin Advanced PE.
Farrington Station Group (3) DBB Contract	Segment I	GEC I prepared 20% plans for segment. NTP was issued to HDR/HPE, Inc was issued on March 15, 2011 to begin advanced PE. Advanced PE is ongoing.
Kamehameha Station Group (3)	Segment II	GEC I prepared 20% plans for segment. RFQ to begin advanced PE is expected to be released in August 2011.
Airport Station Group (4)	Segment III	GEC I prepared 20% plans for segment.
Dillingham Station Group (2)	Segment IV	GEC I prepared 20% plans for segment.
City Center Station Group (3)	Segment IV	GEC I prepared 20% plans for segment.
Kaka'ako Station Group (3)	Segment IV	GEC I prepared 20% plans for segment.

Contract	Segment	PE Status
Pearl Highland H2 Ramps and Multiple Parking Structure	Segment I	GEC I prepared 20% plans for segment. Grantee is repackaging to include the Pearl Highland Station in the KH Station Group and to separate the H2 Ramps and Multiple Parking Structure into a separate contract.
Core Systems Contract DBOM Contract	Segment 1-IV	GEC I prepared contract documents for DBOM procurement, including 15-20% plans. Contractor will advance the conceptual drawings and performance specifications in the RFP Part 2 contract documents to the Definitive and Interim Design levels during the early portion of contract. NTP #1 was issued to Ansaldo Honolulu Joint Venture on January 13, 2012 to support the design efforts of fixed facilities by providing interface management and coordination. In addition, NTP #1 will include work required to advance all Core Systems to final design.

Appendix D: Procurement Schedule

DB/DBOM Procurement

Contract #	Contract Name	Schedule Reference	Part 2 Execute Contract	Issue NTP 1	Issue NTP 2	Issue NTP 3	Issue NTP 4	Contract Completion
DB-120	West Oahu/Farrington Highway Guideway (WOFH) <i>[Kiewit Infrastructure West Company (KIWC)]</i>	Forecast	Nov 01 '09	Dec 01 '09	Dec 08 '10	Mar 15 '11	Dec 01 '11	Oct 03 '14
		Actual	Nov 01 '09	Dec 01 '09	Dec 08 '10	Mar 15 '11		
DB-200	Maintenance & Storage Facility (MSF) <i>[Kiewit/Kobayashi Joint Venture (KKJV)]</i>	Forecast	Jun 30 '11	Jul 25 '11	Nov 15 '11	Dec 01 '11	-----	Feb 17 '15
		Actual	Jun 30 '11	Jul 25 '11			-----	
DB-320	Kamehameha Guideway (KHG) <i>[Kiewit Infrastructure West Company (KIWC)]</i>	Forecast	Jun 30 '11	Jul 12 '11	Nov 15 '11	Dec 01 '11	-----	Feb 21 '15
		Actual	Jun 30 '11	Jul 12 '11			-----	
DBOM-920	Core Systems Contract <i>[Ansaldo Honolulu JV]</i>	Forecast	Nov 23 '11	Dec 14 '11	Jan 30 '12	Jul 18 '12	-----	Feb 27 '19
		Actual	Nov 28 '11	Jan 13 '12			-----	

DBB FD Procurement

Contract #	Contract Name	Schedule Reference	Issue RFQ	Finalize Contract	Issue NTP	Contract Completion
FD-140	West Oahu Stations Group FD	Forecast	Jan 14 '10	Jan 20 '12	Jan 20 '12	Apr 23 '13
		Actual	Jan 14 '10			
FD-240	Farrington Highway Stations FD <i>[HDR, Inc.]</i>	Forecast	Sep 02 '10	Apr 15 '10	Jan 14 '11	Sept 08 '12
		Actual	Sep 02 '10	Apr 15 '10	Jan 14 '11	
FD-340	Kamehameha Highway Stations Group FD	Forecast	Jun 28 '11	Feb 03 '12	Feb 17 '12	July 08 '13
		Actual	Jun 28 '11			
FD-430	Airport Segment Utilities Relocation & Guideway FD	Forecast	Jan 26 '11	Dec 15 '11	Jan 15 '12	Dec 02 '13
		Actual	Jan 26 '11	Dec 15 '11	Jan 5 '12	
FD-530	City Center Utilities Relocation, Guideway & Ala Moana Station FD	Forecast	Dec 09 '11	June 26 '12	July 30 '12	Mar 23 '14
		Actual				

Consultant Agreements

Contract #	Contract Name	Schedule Reference	Advertise RFQ	Finalize Contract	Issue NTP	Contract Completion
MM-900	Program Management Support Consultant <i>[InfraConsult LLC]</i>	Forecast	Jul 15 '09		Nov 19 '09	Feb 28 '12
		Actual	Jul 15 '09		Nov 19 '09	
New Contract # Pending	Program Management Support Consultant	Forecast	Aug 03 '11	Jan 27 '12	Jan 27 '12	Jan 26 '18
MM-905	General Engineering Consultant - I (EIS/Preliminary Engrg) <i>[PB Americas]</i>	Forecast	Aug 03 '11			
		Actual	Jun 01 '07		Oct 25 '09	Feb 28 '12
MM-910	General Engineering Consultant - II (Final Design & Construction) <i>[PB Americas]</i>	Forecast	Jun 01 '07		Oct 25 '09	
		Actual	Sep 03 '09	Jun 30 '11	Aug 02 '11	Aug 01 '14
		Actual	Sep 03 '09	Jun 30 '11	Aug 02 '11	

Consultant Agreements

Contract #	Contract Name	Schedule Reference	Finalize Contract	Issue NTP	Contract Completion
MM-915	HDOT Traffic Management Coordination Consultant	Forecast	<i>Feb 03 '12</i>	<i>Feb 08 '12</i>	<i>Jan 08'16</i>
		Actual			
MM-930	HDOT State Oversight Agency (SOA) Consultant	Forecast	<i>Feb 29 '12</i>	<i>Feb 29 '12</i>	<i>Mar 03 '15</i>
MM-935	Real Estate Consultant	Forecast			
		Actual	<i>Jan 13 '12</i>	<i>Jan 27 '12</i>	<i>Jan 17 '16</i>
MM-940	Kako'o Consultant	Forecast			
		Actual	<i>Jan 20 '12</i>	<i>Jan 20 '12</i>	<i>Mar 03 '19</i>
		Actual			

Appendix E: Final Design Approval Letter Requirements

No.	Item	Completion Date	Comments
Financial Capacity Assessment			
1	The financial plan states that additional revenues may be obtained from an extension of the General Excise Tax or implementation of value capture mechanisms. However, these revenue sources require actions by the State of Hawaii and/or the City that have not been taken and which are beyond HART's ability to control. Prior to the Projects consideration for an FFGA, HART should demonstrate the availability of additional revenue sources that could be tapped should unexpected events such as cost increases or funding shortfalls occur.	Mar-12	Open
2	HART made assumptions in three areas that require further justification or amendment: (1) the containment of bus and HandiVan operating expenses; (2) the increasing share of the City's annual budget required to fund the transit system; and (3) the diversion of Section 5307 funds from preventive maintenance to the Project. Prior to the Projects consideration for an FFGA, HART should either provide further documentation justifying the reasonableness of these assumptions or consider revising these assumptions to more closely follow historical patterns.	Mar-12	Open
Project Scope, Cost, Schedule, Risk and Technical Capacity			
3	At present HART is the project sponsor for the Project and the City is the direct recipient of FTA grant funds. It has not yet been decided if the grantee responsibilities will transition from the City to HART. Early in final design, the City and HART will need to notify FTA of a final decision regarding grantee responsibility so that any necessary preparations can be made in advance of the Project's consideration for an FFGA.	Mar-12	Open
4	Project Scope: Resolve the Ala Moana Station design and the location of the pre-cast yard and ensure all contractors meet Buy America and Ship America requirements	Mar-12	Open
5	Project Management Plan (PMP): Update the PMP to address the creation of HART; expand staff as planned, revise the staffing plan, and update the final design organization chart to include the positions identified in the PMOC report; expand the sections on construction management and testing and start up; and update and develop the Design-Bid-Build resident Engineer and Inspection Manual.	Feb-12	Open

No.	Item	Completion Date	Comments
6	Technical Capacity and Capability: Develop a succession plan to ensure knowledge transfer for key management positions considered short term and hire a real estate acquisition consultant knowledgeable about requirements of the Uniform Relocation Act and the FTA real estate requirements.	Feb-12	Open
7	Real Estate Acquisition and Management Plan (RAMP): Ensure that all real estate activities comply with the Record of Decision and update the RAMP to reflect the creation of HART.	Feb-12	Open
8	<p>The Project capital cost of \$5,125.96 million assumes \$104 million in cost savings from eight proposed cost reduction measures. FTA has accepted the cost reduction measures for purposes of moving forward with final design approval. However, additional supporting documentation regarding these cost reduction measures will need to be provided to FTA for review and validation. HART should provide the following to FTA:</p> <ol style="list-style-type: none"> 1. Documentation to support the cost and schedule impacts of the cost reduction measures. 2. Information to verify that other aspects of the Project are not degraded as a result of implementing the cost reduction measures, such as safety and security, transit capacity, operations, maintainability, and service to the community. <p>HART must ensure that the project design changes comply with the Americans with Disabilities Act and provide for appropriate emergency evacuation. FTA and HART will work together to determine if any environmental impacts resulting from Project changes related to cost reduction measures need to be addressed.</p>	Mar-12	Open
Safety and Security			
9	The Hawaii Department of Transportation (HDOT) should accelerate the hiring process and select a qualified State Safety Oversight Agency (SSOA) project manager.	Feb-12	Open
10	HDOT and HART should execute a memorandum of agreement, and HDOT should identify staff or select an SSOA consultant to work on SSOA issues.	Mar-12	Open
11	Specifically regarding the safety and security of the proposed cost reduction measures, HART should conduct hazard and threat/vulnerability analyses to ensure that the design criteria, as well as the design, construction, safety and security certification, and start up of the Project, conform to local, state and national codes of standards.	Mar-12	Open

No.	Item	Completion Date	Comments
	Civil Rights		
12	Title VI program must be submitted to FTA at least 30 calendar days prior to June 10, 2013 which is the expiration of the current Title VI approval.	May-13	Open
13	The City will need to perform a Title VI service and fare equity analysis six months prior to revenue operations of the Project.	Jun-14	Open
14	The City must submit the revised DBE program and draft Project goal to the FTA's Office of Civil Rights within 60 days of receipt of the final design letter.	Feb-12	Open

Appendix F: Project Overview and Map (Transmitted as a separate file)

Appendix G: Safety and Security Checklist (Transmitted as a separate file)

Appendix F: Project Overview and Map

Date: January 2012
Project Name: Honolulu High-Capacity Transit Corridor Project
Grantee: City and County of Honolulu
FTA Regional contact: Catherine Luu
FTA HQ contact: Kim Nguyen

SCOPE

Description The proposed Project is an approximately 20-mile rail alignment extending from East Kapolei to Ala Moana Center.

Guideway The majority of the Project is to be built on aerial structure, but the Project also includes a short at-grade section (0.6 miles).

Stations 21 stations (20 aerial and 1 at-grade)

Support Facility Maintenance and Storage Facility located near Leeward Community College

Vehicles 80 light metro rail (identified as a “heavy rail” in the SCC workbook)

Ridership 97,500 weekday boardings in 2019; 116,300 weekday boardings in 2030

SCHEDULE

10/09 Approval Entry to PE	03/19 Estimated RSD at Entry to PE
12/11 Approval Entry to FD	03/19 Estimated RSD at Entry to FD

PMOC recommended FFGA RSD 01/20 per OP 40

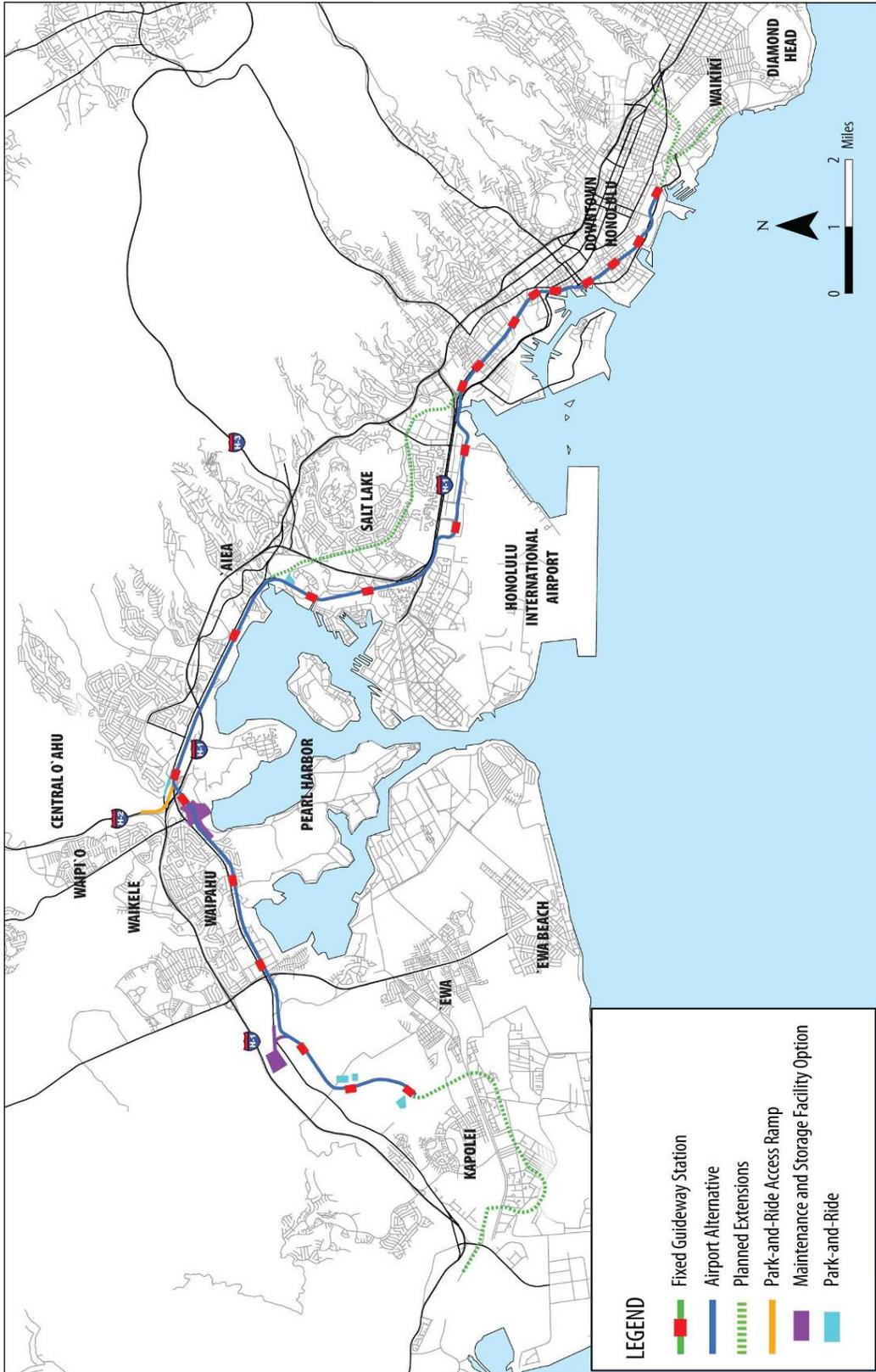
COST

\$5.348 B Total Project Cost (\$YOE) at Approval Entry to PE

\$5.126 B Total Project Cost (\$YOE) at Approval Entry to FD;
includes \$797.69 M in total contingency (or 19.5%) and \$246.98M in financing

\$311M Amount of Expenditures at date of this report
6% complete (Total Project Expenditures/Total Project Cost)

Honolulu High-Capacity Transit Corridor Project Map



Appendix G: Safety and Security Checklist

Project Overview			
Project Name	Honolulu High-Capacity Transit Corridor		
Project mode (Rail, Bus, BRT, Multimode)	Rail		
Project phase (Preliminary Engineering, Design, Construction, or Start-up)	PE		
Project Delivery Method (Design/Build, Design/Build/Operate Maintain, CMGC, etc)	DB, DBB and DBOM		
Project Plans	Version	Review by FTA	Status
Safety and Security Management Plan	2.0	Jun-11	PMOC has recommended acceptance
Safety and Security Certification Plan	1.0	Jun-11	PMOC has recommended acceptance
System Safety Program Plan			Submittal date TBD
System Security Plan or Security and Emergency Preparedness Plan (SSEPP)			Submittal date TBD
Construction Safety and Security Plan	1.0	Jun-11	Submitted in Mar-11
Safety and Security Authority	Y/N		Status
Is the grantee subject to 49 CFR Part 659 state safety oversight requirements?	Y		
Has the state designated an oversight agency as per Part 659.9	Y		Executive Order 10-04 effective April 6, 2010
Has the oversight agency reviewed and approved the grantee's SSPP as per Part 659.17?	N		Submission/Approval in 2014
Has the oversight agency reviewed and approved the grantee's Security Plan or SEPP as per Part 659.21?	N		Submission/Approval in 2014
Did the oversight agency participate in the last Quarterly Program Review Meeting?	N		SOA in formation
Has the grantee submitted its safety certification plan to the oversight agency?	N		SOA in formation
Has the grantee implemented security directives issues by the Department Homeland Security, Transportation Security Administration?	N		None issued to date
SSMP Monitoring			
Is the SSMP project-specific, clearly demonstrating the scope of safety and security activities for this project?	Y		
Grantee reviews the SSMP and related project plans to determine if updates are necessary?	Y		
Does the grantee implement a process through which the Designated Function (DF) for Safety and DF for Security are integrated into the overall project management team? Please specify.	Y		
Does the grantee maintain a regularly scheduled report on the status of safety and security activities?	Y		Reported Monthly
Has the grantee established staffing requirements, procedures and authority for safety and security activities throughout all project phases?	Y		
Does the grantee update the safety and security responsibility matrix/organization chart as necessary?	Y		

Has the grantee allocated sufficient resources to oversee or carry out safety and security activities?	TBD	
Has the grantee developed hazard and vulnerability analysis techniques, including specific types of analysis to be performed during different project phases?	Y	
Does the grantee implement regularly scheduled meetings to track to resolution any identified hazards and/or vulnerabilities?	Y	
Does the grantee monitor the progress of safety and security activities throughout all project phases? Please describe briefly.	Y	
Does the grantee ensure the conduct of preliminary hazard and vulnerability analyses? Please specify analyses conducted.	Y	
Has the grantee ensured the development of safety design criteria?	Y	
Has the grantee ensured the development of security design criteria?	Y	
Has the grantee verified conformance with the safety and security requirements in the design?	N	Will be done during FD/Construction
Has the grantee identified conformance with safety and security requirements in equipment and materials procurement?	N	Will be done during FD/Construction
Has the grantee verified construction specification conformance?	N	Will be done during construction
Has the grantee identified safety and security critical tests to be performed prior to passenger operations?	N	Will be done during Rail Activation phase
Has the grantee verified conformance with safety and security requirements during testing, inspection and start up phases?	N	Will be done during Rail Activation phase
Does the grantee evaluate change orders, design waivers, or test variances for potential hazards and/or vulnerabilities?	N	Will be done during FD/Construction
Has the grantee ensured the performance of safety and security analyses for proposed work-arounds?	N	Will be done during Rail Activation phase
Has the grantee demonstrated through meetings or other methods, the integration of safety and security in the following: <ul style="list-style-type: none"> • Activation Plan and Procedures • Integrated Test Plan and Procedures • Operations and Maintenance Plan • Emergency Operations Plan 	N	Will be done during Rail Activation phase
Has the grantee issued final safety and security certification?	N	Will be done after completion of Rail Activation phase
Has the grantee issued the final safety and security verification report?	N	Will be done during Rail Activation phase
Construction Safety		
Does the grantee have a documented/implementation Contractor Safety Program with which it expects contractors to comply?	Y	CSP development is included in construction contracts
Does the grantee's contractor(s) have a documented company-wide safety and security program plan?	TBD	Is a requirement of CSSP
Does the grantee's contractor(s) have a site-specific safety and security program plan?	TBD	Is a requirement of CSSP

Provide the grantee's OSHA statistics compared to the national average for the same type of work?	TBD	None developed yet
If the comparison is not favorable, what actions are being taken by the grantee to improve its safety record?	TBD	None developed yet
Does the grantee conduct site audits of the contractor's performance versus required safety/security procedures?	Y	Audit required in CSSP
Federal Railroad Administration		
If the shared track: has the grantee submitted its waiver request application to FRA? (Please identify any specific regulations for which waivers are being requested)	NA	
If the shared corridor: has grantee specified specific measures to address shared corridor safety concerns?	NA	
Is the Collision Hazard Analysis underway?	NA	
Other FRA required Hazard Analysis – fencing, etc?	NA	
Does the project have Quiet Zones?	NA	
Does FRA attend Quarterly Review Meetings?	NA	

