

PMOC MONTHLY REPORT

Honolulu Rail Transit Project

City and County of Honolulu
Honolulu Authority for Rapid Transportation (HART)
Honolulu, HI

July 2012 (FINAL)

PMOC Contract Number: DTFT60-09-D-00012

Task Order No. 2: Honolulu Rail Transit Project

Project No: DC-27-5140

Work Order No. 1

OPs Referenced: OP 1 and 25

Jacobs Engineering Group, Inc., 501 North Broadway, St. Louis, MO63102

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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 – 99,800 (2019); 114,300 (2030).

1.2 Project Status

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

- Final Design (FD) – Honolulu Authority for Rapid Transportation (HART) received approval to enter FD from the FTA on December 29, 2011. The plans and specifications sufficiently characterize elements of the FD, as identified in Appendix C (FD Status by Contract).
- Letter of No Prejudice (LONP) – FTA approved HART's request for LONP #2 on February 6, 2012 to incur costs of \$184.7 million for limited construction activities associated with West Oahu /Farrington Highway (WOFH) Design-Build Contract, the Kamehameha Highway (KH) Guideway DB Contract, the Maintenance and Storage (MSF) DB Contract, and the Farrington Station Group Construction Contract. FTA approved HART's request for LONP #2A on May 17, 2012 for \$21.8 million to begin activities associated with the precast yard. These activities were excluded under the LONP #2 authority.
- West Oahu /Farrington Highway (WOFH) Design-Build (DB) Contract – The grantee issued NTP 4A on February 6, 2012 and NTP 4B on May 17, 2012 to Kiewit, authorizing limited construction activities and activities associated with the precast yard under LONP #2 and LONP #2A authority. The contractor has begun installation of the guideway piers. To date, the contractor has expended \$133.5 million of the current contract value of \$501,969,230.

- Kamehameha Highway (KH) Guideway DB Contract – The grantee issued NTP 3A on February 7, 2012 and NTP 3B on May 22, 2012 to Kiewit, authorizing limited construction activities and activities associated with the precast yard under the LONP #2 and LONP #2A authority. To date, the contractor has expended \$61.5 million of the current contract value of \$372,150,000.
- Maintenance and Storage (MSF) DB Contract – The grantee issued NTP 3 on February 7, 2012 to Kiewit/Kobayashi Joint Venture, authorizing limited construction activities under the LONP #2 authority. To date, the contractor has expended \$19.4 million of the current contract value of \$195,258,000.
- Vehicles/Core Systems Design-Build-Operate-Maintain (DBOM) Contract (CSC) – The grantee issued NTP #1 on January 13, 2012 to Ansaldo Honolulu Joint Venture (AHJV), authorizing mobilization through Final Design. To date, the contractor has expended \$13.7 million of the current contract value of \$574,000,000.
- Station Design –
 - Farrington Station Group Design Contract – To date, HDR/HPE, Inc. has expended \$3.5 million of the current contract value of \$5,800,000.
 - Kamehameha Station Group Design Contract – The Request for Qualifications (RFQ) to begin advanced PE was issued in June 2011. NTP was anticipated to be issued in June 2012 to HDR. However, since HDR purchased InfraConsult, HART’s PMC for this project, in June 2012, HDR has withdrawn from consideration for the contract. HART is in the process of negotiating with the consultant that is the next lowest responsive bidder. NTP is anticipated in August 2012.
 - West Oahu Station Group – The grantee selected URS Corporation on March 21, 2011. NTP 1A was issued to URS on June 15, 2012. NTP 1B is anticipated on July 15, 2012 to advance design. The current contract value is \$5.5 million.
- Airport Guideway Segment Design Contract – HART issued NTP 1A to AECOM on January 5, 2012 for a design workshop and to develop a schedule of milestones and activities. HART issued NTP 1A on January 5, 2012 and NTP 1B on February 22, 2012 to advance design. NTP # 2 is anticipated on July 26, 2012. To date, the design consultant has expended \$5.2 million of the current contract value of \$38,800,000.
- Owner Controlled Insurance Program (OCIP) Consultant – The grantee selected Marsh USA, Inc. on May 10, 2012 and issued NTP 1 on June 5, 2012. The current contract value is \$1,025,000.
- LEED Commissioning Services for MSF – The grantee selected Enovity, Inc. on October 6, 2011 and issued NTP 1 on October 7, 2011.
- HDOT Traffic Management Coordination Consultant – The grantee selected CX Transportation on June 5, 2012 and issued NTP 1 on June 12, 2012.
- HDOT Design Coordination Consultant KHG Section – The grantee selected AECOM on June 5, 2012. NTP 1 is anticipated on July 1, 2012.
- HDOT Design Coordination Consultant Airport Section – The grantee selected SSFM International on June 8, 2012 and issued NTP 1 on June 12, 2012.
- HART suspended construction work in April 2012 on KHG to complete studies to identify previously unidentified Traditional Cultural Properties (TCPs). HART will need SHPD concurrence (30 days) and consulting party and Native Hawaiian Organization (NHO) input. Work on KHG could be suspended through July 2012.

- HART suspended work in April 2012 on the Airport section to complete studies to identify previously unidentified Traditional Cultural Properties (TCPs). HART will need SHPD concurrence (30 days) and consulting party and NHO input. Work on the Airport section could be suspended through July 2012.

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):** ROD was issued on January 18, 2011.
- **Final Design (FD):** FTA approved entrance into FD on December 29, 2011.
- **Grantee Target Start of Revenue Operations for Full Alignment:** March 2019
- **Recommended FFGA Revenue Service Date (RSD):** January 31, 2020 (PMOC recommendation per OP 40)

1.5 Cost Data

The grantee's Base Cost Estimate (BCE) dated March 19, 2012 is \$5.122 billion in Year-of-Expenditure (YOE) dollars, including \$644 million in allocated and unallocated contingency (or 15.0% of the BCE) and \$173 million in financing costs. Of the \$644 million in total contingency, \$101 million is unallocated.

The current Project Budget is as follows:

Base Cost Estimate	\$4.305 billion
Total Contingency	\$0.644 billion (15.0% of Base Cost Estimate)
Finance Charges	\$0.173 billion
Total Project Cost	\$5.122 billion

Total Expenditures to Date \$0.428 billion (through May 2012)

The grantee is currently updating the cost estimate to support its pending FFGA application.

1.6 Issues or Concerns

The following key issues or concerns have been identified:

- The PMOC has concerns with the adequacy of the grantee's ability to forecast costs for the existing Design-Build (DB) contracts. The grantee's current Estimate at Completion (EAC) does not accurately provide an assessment of the contract costs. The PMOC provided some recommendations in February 2012, and a detailed workshop was held on March 6, 2012 to review the grantee's process for developing the EAC. HART provided improved EAC assessment of the contract costs to the PMOC. The PMOC emphasizes

that it is critical that this issue be quickly corrected to demonstrate that the grantee has the Technical Capacity and Capability going forward. The PMOC initiated a separate breakout session with HART in June 2012 and will hold regularly scheduled breakout sessions every month to review forecast costs, EAC, MPS, risk management and cost containment measures.

- HART issued NTP 2 on January 10, 2011 (prior to LONP #2) for the Maintenance and Storage (MSF) DB Contract. This NTP, which was issued without prior review by either the FTA or PMOC, includes authorization for procurement of numerous materials. The PMOC recommended that HART formally contact FTA requesting guidance on what items can be considered long-lead items. HART contacted FTA on February 14, 2012. FTA responded on February 16, 2012 indicating that it concurred that the items identified can be considered as long-lead items under Final Design pre-award authority. However, the NTP issued to the contractor authorizes procurement for the entire length of the alignment while full quantities of these long-lead items are not required at this early stage of the project. In addition, many of the items listed require approval of either the Final Design drawings or the submitted shop drawings. The FTA noted that it is critical that HART manage the procurement of these items to ensure any costs incurred will remain eligible for federal funding if an FFGA is awarded for the project, and that HART coordinate with the PMOC closely to ensure that only approved items are procured under this pre-award authority. This coordination will also ensure procurement of only those quantities of the long-lead items that are necessary to reduce schedule impacts to the project.
- 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 the end of 2012. Given the status of this Project, it is critical that the permanent SOA Project Manager be identified as soon as possible.
- WOFH DB Contractor intends to utilize another facility in lieu of GPRM Prestress for pre-casting and prestressing of the concrete guideway segments. The alternative site is an approximately 29-acre property within West Kalaeloa Business Park (100-acre site), which is within the larger Campbell Industrial Park. The GPRM Prestress site, which was identified in the ROD, has subsequently been eliminated from consideration. The contractor is negotiating with the owner of the West Kalaeloa Business Park to obtain use of the property. FTA approved HART's request for LONP #2A on May 17, 2012 for \$21.8 million to begin activities associated with the precast yard. However, the pre-cast yard mobilization may not be completed until January 2013 for pre-casting and prestressing of concrete guideway segments due to permit issues. Kiewit's approved

baseline schedule anticipated a start date of June 2012 for pre-casting and prestressing of concrete guideway segments. HART requested an updated schedule from Kiewit to evaluate if there will be any impacts related to schedule or cost. An updated schedule is anticipated in August 2012.

- HDR's acquisition of InfraConsult LLC has created conflict of interest (COI) issues for HART. HDR is currently under contract to complete design of Farrington Highway Stations Group (FHSG). It is anticipated that bid-ready documents will be completed in February 2013. HART is preparing a plan on how to mitigate this conflict, which includes several critical aspects of the project (quality, safety/security, project controls).

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.

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 and GEC as early as possible. This transition is necessary 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 and GEC. The grantee recently submitted a Staffing and Succession Plan Revision 5 dated May 25, 2012 to support the basis for the base soft cost reductions that were incorporated into the Capital Cost Estimate. The grantee reduced the PMC and GEC contract duration for some key staff positions to transfer to HART, but the Staffing and Succession Plan did not include some key positions that are needed by HART to complete the project by the Revenue Service Date.

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. The transition from PMC staff to full-time grantee staff must be closely monitored by the PMOC after receipt of an FFGA.

The grantee must successfully demonstrate the ability to issue comprehensive and timely Monthly Reports in accordance to federal requirements. The PMOC will validate this requirement by receiving and reviewing several months of status reports when they are consistently submitted by the grantee.

It is the PMOC's professional opinion that the grantee has demonstrated its Technical Capacity and Capability to execute the project during the construction phase.

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

System Safety and Security

- Revision 3.0A of the Safety and Security Management Plan (SSMP) was submitted to the PMOC for review on February 29, 2012. The PMOC review found that SSMP Revision 3.0A, dated February 29, 2011 contains all sections specified in FTA Circular 5800.1, and is compliant or acceptable for an FFGA 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.

- The PMOC completed an SSMP Adherence Review of HART on May 3, 2012.
- 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 compliant or acceptable for an FFGA award of the Project.
 - There are currently two vacant Construction Safety and Security Compliance Officer (SSCO) positions that report to the GEC CSSM, only one of which is planned for filling by the GEC in the near future. The second SSCO position provides a good opportunity to hire a HART safety professional to be trained and mentored by the GEC CSSM in construction safety and security oversight and management.
 - There is also a current vacancy for a System Security Specialist (SSS) that reports to the GEC System Safety and Security Manager (SSSM), which is not programmed for filling in the near future. The SSS position provides a good opportunity to hire a HART security professional to be trained and mentored by the SSSM and the existing well-seasoned GEC senior security specialist in security oversight and management.
 - The SSMP currently identifies the Chief Safety and Security Officer (CSSO) as a “technical resource” to the Change Control Board (CCB); the CSSO must be a full member of the CCB.
 - The PMOC observed that some plans and procedures reviewed were not up-to-date and others were filed as red-lined versions for extend periods while waiting for finalization.
 - The PMOC noted some confusion as to the role of GEC personnel in the HART integrated safety and security organization. While GEC personnel coordinate with and provide information to and receive information from HART they are not integrated into the HART organization. They work solely for the GEC Project Manager under terms of their contract with HART. A clearer delineation of GEC project roles is needed.
 - There are no full-time security professionals in the combined HART/PMC organization. Although there is one GEC security professional assigned to the project, his assignment is on a part-time basis and the possibility exists that his availability may not be guaranteed over the life of the project. It should also be noted that, although there have been no conflicts with the GEC over his activities, as a GEC employee, he reports to a separate chain of command.
 - The Core Systems Contractor (CSC) has not yet provided a safety and security professional on-site in Honolulu, and communication with off-site personnel is proving difficult due to the time difference between locations.
 - The Safety and Security Certification Manager (SSCM) position that reports to the CSSO remains vacant, with certification efforts expected to increase in the near future.
 - Hazard Analyses (HA) and Threat and Vulnerability Analyses (TVA) have not kept pace with design efforts. While it is encouraging that two targeted TVAs began during the Adherence Review, HART must pay attention to the ongoing need for HAs and TVAs to parallel the design and construction progress.

- The HART Quality Assurance Manager (QAM) does not include auditing of the safety and security department's adherence to the SSMP and associated plans and procedures requirements in his audit program.
- 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 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 the end of 2012. Given the status of this Project, it is critical that a permanent lead be identified as soon as possible.

Quality

- HART is following their audit schedule identified in the Quality Management Plan.
- West Oahu/Farrington Highway DB Contract – To date, Kiewit has issued 41 NCR's and 5 NCRs are open.
- Kamehameha Highway DB Contract – To date, Kiewit has issued 4 NCRs and all NCRs are closed.
- Maintenance and Storage Facility DB Contract – To date, no NCRs have been issued.
- Farrington Station Group Design Contract – To date, HART has issued 4 NCRs and all NCRs are closed.
- Core Systems Contract – HART performed quality audits of the CSC in June 2012 with no negative findings identified.
- Airport Guideway Design Contract – To date, no NCRs have been issued.
- The PMOC is of the opinion that HART is in compliance with the project's PMP and QMP with regard to quality.

2.1.3 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 a Draft Environmental Impact Statement.
- Attachment A to ROD, dated January 2011, listed 197 mitigations to which the Project is committed. These mitigations deal with subjects such as real estate acquisitions,

easements, relocations, landscaping, design details, protection of historic and environmental sensitive resources, noise abatement, lighting, safety, security, public health, and the treatment of Hawaiian iwi. The grantee is committed to implementing all mitigation measures specified by the ROD and all terms of the Project's Programmatic Agreement (PA), also instituted in January 2011. The grantee has hired a Kako'o Consultant to ensure compliance with the PA. While the actual implementation of many of the detailed mitigations will not occur until Final Design and construction, the grantee has included requirements for their design in RFPs already issued. Thus, the grantee has contractual assurances that the ROD's requirements will be met.

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 #1 on May 24, 2011 to allow for final design activities to proceed for the WOFH DB Contract. The amount authorized by LONP #1 was \$4.7 million. LONP #1 allowed for Kiewit to submit Final Design drawings to the City's Department of Permit and Planning for permit approval.
- The FTA issued LONP #2 on February 6, 2012 to begin limited construction activities for the West Oahu/Farrington Highway (WOFH) Design-Build Contract, the Kamehameha Highway (KH) Guideway DB Contract, the Maintenance and Storage (MSF) DB Contract, and the Farrington Station Group Construction Contract. LONP #2 allows HART to incur costs of \$184.7 million for limited construction activities associated with these four contracts. This LONP approval precludes activities associated with the precast yard, which were estimated at \$21.8 million.
- The FTA issued LONP #2A on May 17, 2012 to commence activities associated with the precast yard. LONP #2A allows HART to incur costs of \$21.8 million for limited construction activities associated with the precast yard for the WOFH and KHG Guideway segments.

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 99,800 weekday boardings at the Revenue Service Date in the year 2019 and 114,300 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.

2.2.1 Status of Design/Construction Documents

The scope as contained in the Project’s Final Environmental Impact Statement (FEIS) and Record of Decision (ROD) is reflected in the current engineering plans, specifications, estimates, and the Project Management Plan (PMP).

The drawings for the four line segments present right-of-way plans, drainage plans and details, demolition plans, guideway plans and profiles, typical cross sections, utility plans, roadway plans, signing and striping plans, maintenance of traffic plans, traffic signal plans, street lighting plans, structural drawings, landscaping plans, station drawings, and contact rail installation plans. The West Oahu/Farrington Highway (WOFH), Kamehameha Highway (KHG), and MSF DB contracts have progressed beyond the others as they near completion of Final Design.

The current design meets the transit capacity and operational objectives established in the FEIS, although details are subject to modification following the November 28, 2011 execution of the Core Systems DBOM Contract (CSC). The only item that changed since the ROD was issued is the total number of vehicles. At the time of the ROD, it was expected that the number of vehicles would be 76, but the BAFO by the selected CSC includes 80 vehicles. That is not a change in project scope; however, as the CSC bidders were allowed flexibility in order to meet the ridership projections defined in the CSC Request for Proposals (RFP) document and amendments.

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 screen gates, implementing accepted VE alternatives), implementing third-party agreements, and resolving the precast facility location issue. However, all of these issues are being resolved during Final Design.

Through 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.

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

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	Target Date	Segment/Contract	Status
University of Hawaii Master Agreement	Pending	June 2012	WOFH, KHG, City Center	UH and HART are in discussions on how to proceed. Seeking consent to construct prior to resolution of agreement.
Leeward Community College Sub-agreement	Pending	June 2012	WOFH	UH reviewing and will finalize after master agreement is in place. Property appraisal is underway

Agreement	Completion Date	Target Date	Segment/Contract	Status
UHWO Sub-agreement	Pending	Nov 2012	WOFH	Will initiate after master agreement is in place and station design requirements identified. Property appraisal is underway.
Department of Education Master Agreement and Consent to Construct	Feb 8, 2012	Feb 8, 2012	WOFH	Executed
DR Horton Agreement	Feb 15, 2012	Mar 2012	WOFH	Executed
DHHL Master Agreement	Mar 10, 2010	Mar 10, 2010	WOFH and MSF	Executed
DHHL Consent to Construct	Dec 1, 2011	Dec 1, 2011	WOFH and MSF	Consent to construct is in place until license agreement and/or property transfer occurs
DHHL License or Property Transfer	Pending	Dec 2012	WOFH and MSF	DHHL reviewing license and discussions continuing with City on property transfer
HDOT Master Agreement for WOFH	Oct 31, 2011	Oct 31, 2011	WOFH	Executed
HDOT Use and Occupancy Sub-agreement for WOFH	Apr 10, 2012	Apr 2012	WOFH	Outstanding issues have been resolved. Awaiting H-DOT signatures.
UH Urban Garden Sub-agreement	Pending	Jul 2012	KHG	Awaiting completion of UH Master Agreement. Property appraisal is underway
HDOT Master Agreement for KHG	Pending	Jul 2012	KHG	HART has received comments and is resolving issues.
HDOT Use and Occupancy Sub-agreement for KHG	Pending	Aug 2012	KHG	Will complete after KHG Master Agreement is completed
Aloha Stadium/ Department of Accounting and General Services (DAGS)	Pending	Aug 2012	KHG	Draft agreement under review and negotiations are continuing. Have agreement for partial temporary use. Anticipate agreement July 2012
Navy/General Services Administration (GSA)	Pending	N/A	Airport	Navy will provide consents to enter until all required easements are in place. Progressing fee taking of Pearl Harbor Station site
Post Office/GSA Administration	Pending	Nov 2013	Airport	Initiated request to secure an easement for Post Office property
FAA Master Agreement	Pending	Jul 2013	Airport	As design progresses a determination will be made if an agreement is required
HDOT Master Agreement for Airport	Pending	Apr 2013	Airport	Pending
HDOT Use and Occupancy Sub-agreement for Airport	Pending	Oct 2013	Airport	Will complete after Airport Master Agreement is completed

Agreement	Completion Date	Target Date	Segment/Contract	Status
HDOT Master Agreement for City Center	Pending	Dec 2013	City Center	Pending
HDOT Use and Occupancy Sub-agreement for City Center	Pending	Jul 2014	City Center	Will complete after City Center Master Agreement is completed
Honolulu Community College Sub-agreement	Pending	May 2014	City Center	Awaiting completion of UH Master Agreement and requirements for the station and guideway identified. Property appraisal is underway
Federal Court House/GSA	Pending	Oct 2014	City Center	HART is reviewing the GSA draft agreement. Conducting monthly meetings with parties
Hawaii 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

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

In a recently-announced change, HART has combined Segments III and IV into a single guideway construction contract. The Contract Packaging Plan has been updated to reflect this change.

The DB approach was used 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) has been initiated ahead of the FFGA utilizing excise tax funding, with construction activities not covered by automatic pre-award authority being covered by LONPs, which are 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)
- 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 in preparation of an application for an FFGA.

Management Deliverable	Current Revision No.	Date of Current Revision	DRAFT Submission	FINAL Submission	Further Revision Required	Status
Project Management Plan (PMP)	4.1	Feb-12	Feb-12	(May-12)	No	No further comments
Quality Management Plan (QMP)	1	15-Feb-12	15-Feb-12	(May-12)	No	No further comments
Real Estate Acquisition and Management Plan (RAMP)	5	31-Jan-12	31-Jan-12	(May-12)	No	No further comments
Bus Fleet Management Plan (BFMP)	3	Mar-12	(Mar-12)	(May-12)	No	No further comments
Rail Fleet Management Plan (RFMP)	0.1	Mar-12	(Mar-12)	(May-12)	No	No further comments
Safety and Security Management Plan (SSMP)	3.0A	28-Feb-12	(28-Feb-12)	(May-12)	No	No further comments
Safety and Security Certification Plan (SSCP)	2.0A	01-Mar-12	(01-Mar-12)	(May-12)	No	No further comments
Configuration Management Plan (CMP)	0.2	07-Feb-12	07-Feb-12	(May-12)	No	No further comments
Staffing and Succession Plan	4	09-Feb-12	09-Feb-12	(May-12)	No	No further comments
Risk and Contingency Management Plan	1.0A	May-12	(29-Jun-12)	(Jul-12)	Yes	Under review by PMOC
Operating Plan	0.1	Mar-12	(Mar-12)	(May-12)	No	No further comments
Force Account Plan	0.3	05-Jan-12	05-Jan-12	(May-12)	No	No further comments
Mitigation Monitoring Program	0	15-Mar-12	(15-Mar-12)	(May-12)	No	No further comments
Interface Management Plan	0.1	17-Jan-12	(17-Jan-12)	(May-12)	No	No further comments
Contract Packaging Plan	2	19-Mar-12	(19-Mar-12)	(May-12)	No	No further comments
Claims Avoidance Plan	0.1	24-Jan-12	24-Jan-12	(May-12)	No	No further comments
Construction Management Plan	0.1	03-Feb-12	03-Feb-12	(May-12)	No	No further comments
Contract Resident Engineer Manual (DB & DBOM)	0.1	Feb-12	(Feb-12)	(May-12)	No	No further comments
Contract Resident Engineer Manual (DBB)	A	15-Mar-12	(15-Mar-12)	(May-12)	No	No further comments
Project Procedures		Mar-12	(Mar-12)	(May-12)	No	No further comments

Note: Anticipated dates are in parentheses

2.4 Project Schedule Status

The grantee's Master Project Schedule (MPS), Data Date of March 30, 2012, identifies the target date for the start of full revenue operations as March 2019 and a proposed FFGA project completion date of October 2012. This date is reasonable given the current status of the Project, although the PMOC recommends that the FFGA RSD be no earlier than the 1st quarter of 2020. 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 30-Mar-12)	
FTA Award Full Funding Grant Agreement	11-Sep-10	07-Oct-12	(757)
WOFH/KH Revenue Service	14-Sep-16	27-Jun-16	79
Airport/City Center Revenue Service (RSD)	31-Mar-19	10-Mar-19	21

The PMOC completed the OP34 – Schedule Review in July 2012 in support of the project sponsor's request for an FFGA. The schedule file transmitted to the PMOC July 2012 was also used to conduct an OP 40 Risk Analysis. As an outcome of both reports, 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.

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

Period: August – October 2012		
Activity	Responsibility	Date
Quarterly Progress Meeting	FTA, HART, PMC, GEC and PMOC	August 01, 2012
Monthly Progress Meeting	FTA, HART, PMC, GEC and PMOC	September 13, 2012
Monthly Progress Meeting	FTA, HART, PMC, GEC and PMOC	October 03, 2012

2.5 Project Cost Status

The grantee's Base Cost Estimate (BCE) dated March 19, 2012 is \$5.122 billion in Year-of-Expenditure (YOE) dollars, including \$644 million in allocated and unallocated contingency (or 15.0% of the BCE) and \$173 million in financing costs. Of the \$644 million in total contingency, \$101 million is unallocated. The current Project Budget is as follows:

Source	Amount
Base Cost Estimate	\$4,305 billion
Total Contingency	\$0.644 billion
Finance Charges	\$0.173 billion
Total Project Cost	\$5.122 billion

Total Expenditures to Date \$0.428 billion (through May 2012)

2.5.1 Standard Cost Category (SCC)

The most recent SCC Workbook is submitted as a separate electronic file. The SCC Workbook reflects the project budget identified in the grantee's request for an FFGA.

2.5.2 Funding Sources

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

Source	Amount
General Excise Tax (GET)	\$3.358 billion
Section 5309	\$1.550 billion
Section 5307	\$0.210 billion
ARRA	\$0.004 billion
Total	\$5.122 billion

The GET surcharge receipts received to date are approximately \$845.4 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.*”¹ 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 and One Risk Refresh workshop 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:

¹ FTA Oversight Procedure 40 – Risk and Contingency Review, Rev. 2, May 2010, Section 3.0 Objectives.

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.
- A Risk Refresh Workshop was performed the week on April 11, 2012 to address the Preliminary PMOC findings from a scope, schedule and cost review; Risk Register and Action Items; and Path Forward.
- The PMOC is preparing an OP 40 – Risk and Contingency Review report based on the grantee's latest scope, schedule, and cost documentation.

2.7 Action Items

Item No.	Item	Responsible Party	Date Identified	Date Due	Date Completed	Status
1	Provide CSC Organization Chart, Project Working Plan	HART	Feb-12	Feb-12		Open
2	Provide the GEC Organization Chart	HART	Feb-12	Feb-12		Open
3	Provide CSC issues list meeting minutes	HART	May-12	May-12		Open
4	Provide GEC 1 and PMSC II completion dates and final contract amounts	HART	May-12	May-12		Open
5	Provide list of elevated Interface Change	HART	Jul-12	Aug-12		Open
6	Schedule conference call to discuss review of RCMP	PMOC	Jul-12	Jul-12		Open
7	Update Revenue vs. Expenditure Curve (S-Curve) based on latest cost estimate and MPS	HART	Jul-12	Aug-12		Open
8	Add status of Transition Plan to Monthly Report and Monthly Progress Meeting presentation	HART	Jul-12	Aug-12		Open
9	Develop Buy America Program Plan	HART	Jul-12	Aug-12		Open
10	Provide PMOC with contract schedules for CSC (baseline), WOFH DB (re-baseline), KHG DB (baseline), and MSF (baseline),	HART	Jul-12	Aug-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
CSSO	▪ Chief Safety and Security Officer
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
EAC	▪ Estimate at Completion
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 status of various ongoing contracts associated with this Project.

Contract No.	MM-901	
Contract Description:	Program Management Support Consultant (PMSC-2)	
Status:	Grantee executed a contract with InfraConsult LLC to provide PMC services. NTP was issued February 23, 2012.	
Cost:	Original Contract Value	\$33,000,000
	Approved Change Orders	\$0
	Current Contract Value	\$33,000,000
	Expended to Date	\$ 2,000,000
	% Expended	5.7%
	DBE Participation	0%
Schedule:	Contract duration is approximately 36 months from NTP.	
Issues or Concerns:	It must be noted that previous 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 notified the grantee that it must proceed with timely re-procurement of the PMC contract, which includes Federal clauses.	

Contract No.	MM-910	
Contract Description:	General Engineering Consultant (GEC II) Contract	
Status:	Grantee executed 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.	
Cost:	Original Contract Value	\$300,000,000 ((\$150 million base amount plus \$150 million allowance amount)
	Approved Change Orders	\$0
	Current Contract Value	\$300,000,000
	Expended to Date	\$42,300,000
	% Expended	14.1%
	DBE Participation	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.	

Contract No.	DB-120	
Contract Description:	West Oahu/Farrington Highway (WOFH) DB Contract	
Status:	Kiewit was awarded a contract on November 18, 2009. The following NTPs have been issued: <ul style="list-style-type: none"> 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. 	

	<ul style="list-style-type: none"> • 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. • NTP 4A – Issued February 6, 2012, authorizing construction activities, excluding activities associated with the precast yard under the LONP #2 authority. The contractor began installation of the guideway piers in May 2012. • NTP 4B – Issued May 17, 2012, authorizing limited construction activities associated with the precast yard. 												
Cost:	<table border="1"> <tr> <td>Original Contract Value</td> <td>\$482,924,000</td> </tr> <tr> <td>Approved Change Orders</td> <td>\$19,045,230</td> </tr> <tr> <td>Current Contract Value</td> <td>\$501,969,230</td> </tr> <tr> <td>Expended to Date</td> <td>\$133,500,000</td> </tr> <tr> <td>% Expended</td> <td>26.6%</td> </tr> <tr> <td>DBE Participation</td> <td>0.70%</td> </tr> </table>	Original Contract Value	\$482,924,000	Approved Change Orders	\$19,045,230	Current Contract Value	\$501,969,230	Expended to Date	\$133,500,000	% Expended	26.6%	DBE Participation	0.70%
Original Contract Value	\$482,924,000												
Approved Change Orders	\$19,045,230												
Current Contract Value	\$501,969,230												
Expended to Date	\$133,500,000												
% Expended	26.6%												
DBE Participation	0.70%												
Schedule:	<ul style="list-style-type: none"> • Original contract duration was approximately 43 months from NTP. Grantee has approved the baseline schedule submittal. The contractor is preparing a schedule analysis for NTP delays. • Completion is anticipated in January 2015. 												
Issues or Concerns:	<ul style="list-style-type: none"> • 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. • Contractor has not submitted a revised baseline schedule. 												

Contract No.	DB-320
Contract Description:	Kamehameha Highway Guideway DB Contract
Status:	<p>Kiewit was awarded a contract on June 30, 2011. Following NTPs have been issued:</p> <ul style="list-style-type: none"> • NTP 1 – Issued July 12, 2011, authorizing \$102 million to perform PE including interim/definitive design submittals and coordinating with other contracts. • NTP 1(Rev 2) - 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.

	<ul style="list-style-type: none"> • NTP 3A – Issued February 7, 2012 authorizing construction activities, excluding activities associated with the precast yard under the LONP #2 authority. • NTP 3B – Issued on May 22, 2012 authorizing limited construction activities associated with the precast yard. 	
Cost:	Original Contract Value	\$372,150,000
	Approved Change Orders	\$0
	Current Contract Value	\$372,150,000
	Expended to Date	\$61,500,000
	% Expended	16.5%
	DBE Participation	0.27%
Schedule:	<ul style="list-style-type: none"> • Contract duration is approximately 48 months from NTP. • Completion is anticipated in July 2015. 	
Issues or Concerns:	<ul style="list-style-type: none"> • HART suspended work in April 2012 on KHG to complete studies to identify previously unidentified Traditional Cultural Properties (TCPs). HART will need SHPD concurrence (30 days) and consulting party and NHO input. Work on KHG could be suspended until July 2012. 	

Contract No.	DB-200	
Contract Description:	Maintenance and Storage Facility DB Contract	
Status:	<p>Kiewit/Kobayashi Joint Venture was awarded a contract on June 30, 2011. Following NTPs have been issued:</p> <ul style="list-style-type: none"> • 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). • NTP 3 – Issued February 7, 2012 authorizing construction activities under the LONP #2 authority. 	
Cost:	Original Contract Value	\$195,258,000
	Approved Change Orders	\$0
	Current Contract Value	\$195,258,000
	Expended to Date	\$19,400,000
	% Expended	9.9%
	DBE Participation	0%
Schedule:	<ul style="list-style-type: none"> • Contract duration is approximately 36 months from NTP. • Completion is anticipated in December 2014. 	
Issues or Concerns:	<ul style="list-style-type: none"> • 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. • It is anticipated there may be additional costs due to material cost escalation since there was a delay in execution of the 	

	<p>contract.</p> <ul style="list-style-type: none"> • HART issued NTP 2 on January 10, 2011 (prior to LONP #2) for the Maintenance and Storage (MSF) DB Contract. This NTP, which was issued without prior review by either the FTA or PMOC, includes authorization for procurement of numerous materials. The PMOC recommended that HART formally contact FTA requesting guidance on what items can be considered long-lead items. HART contacted FTA on February 14, 2012. FTA responded on February 16, 2012 indicating that it concurred that the items identified can be considered as long-lead items under Final Design pre-award authority. However, the NTP issued to the contractor authorizes procurement for the entire length of the alignment while full quantities of these long-lead items are not required at this early stage of the project. In addition, many of the items listed require approval of either the Final Design drawings or the submitted shop drawings. The FTA noted that it is critical that HART manage the procurement of these items to ensure any costs incurred will remain eligible for federal funding if an FFGA is awarded for the project, and that HART coordinate with the PMOC closely to ensure that only approved items are procured under this pre-award authority. This coordination will also ensure procurement of only those quantities of the long-lead items that are necessary to reduce schedule impacts to the project. • Contractor has not submitted a revised baseline schedule.
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Contract No.	DBOM-920	
Contract Description:	Core Systems Contract (CSC)	
Status:	<p>Ansaldo Honolulu Joint Venture was awarded a contract on November 28, 2011. The following NTPs have been issued:</p> <ul style="list-style-type: none"> • 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 includes work required to advance all Core Systems to final design. 	
Cost:	Original Contract Value	\$574,000,000
	Approved Change Orders	\$0
	Current Contract Value	\$574,000,000
	Expended to Date	\$13,700,000
	% Expended	2.4%
	DBE Participation	\$0
Schedule:	<ul style="list-style-type: none"> • Contract duration is approximately 88 months from NTP. • Completion is anticipated in April 2019. 	
Issues or Concerns:	<ul style="list-style-type: none"> • 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. HART provided responses to PMOC comments in March 2012, and the PMOC has no further issues. • Contractor has not submitted a final baseline schedule. 	

Contract No.	FD-430	
Contract Description:	Airport Section Guideway and Utilities Final Design	
Status:	<p>AECOM was awarded a contract on December 15, 2011. The following NTPs have been issued:</p> <ul style="list-style-type: none"> • NTP 1A – Issued on January 5, 2012 for a design workshop and to develop a schedule of milestones and activities. 	

	<ul style="list-style-type: none"> NTP 1B – Issued on February 22, 2012 to advance design. 	
Cost:	Original Contract Value	\$38,840,960
	Approved Change Orders	\$0
	Current Contract Value	\$38,840,960
	Expended to Date	\$5,200,000
	% Expended	14.0%
	DBE Participation	0.67%
Schedule:	<ul style="list-style-type: none"> Contract duration is approximately 61 months from NTP 1A. Completion is anticipated in January 2017. 	
Issues or Concerns:	<ul style="list-style-type: none"> The design contract value exceeded the original 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. 	

Contract No.	FD-240	
Contract Description:	Farrington Highway Station Group Final Design	
Status:	HDR/HPE, Inc. was awarded a contract on April 15, 2010. The following NTP's have been issued: <ul style="list-style-type: none"> NTP 1A – Issued on January 14, 2011, authorizing \$5.5 million to begin advanced PE for three stations. 	
Cost:	Original Contract Value	\$5,500,000
	Approved Change Orders	\$300,000
	Current Contract Value	\$5,800,000
	Expended to Date	\$3,500,000
	% Expended	59.5%
	DBE Participation	2.62%
Schedule:	<ul style="list-style-type: none"> Contract duration is approximately 55 months from NTP 1A. Completion is anticipated in July 2015. 	
Issues or Concerns:	<ul style="list-style-type: none"> During a workshop in February 2012, HART and the GEC presented the status of station design modifications initiated for the Farrington Highway Stations Group (FHSG) in December 2011 in response to cost estimates trending beyond the budget as identified during Preliminary Engineering. Initial cost reduction measures for the FHSG (West Loch, Waipahu Transit Center and Leeward Community College stations) were developed further by HDR and were applied conceptually to all other stations for the purpose of determining feasibility of cost reduction for each station. HDR's acquisition of InfraConsult LLC has created conflict of interest (COI) issues for HART. HDR is currently under contract to complete design of Farrington Highway Stations Group (FHSG). It is anticipated that bid-ready documents will be completed in February 2013. HART is preparing a plan on how to mitigate this conflict, which includes several critical aspects of the project (quality, safety/security, project controls). 	

Contract No.	MM-935	
Contract Description:	Real Estate Services Consultant	
Status:	The grantee issued NTP on March 14, 2012 to Paragon Partners, LTD.	
Cost:	Original Contract Value	\$2,800,000
	Approved Change Orders	\$0
	Current Contract Value	\$2,800,000
	Expended to Date	\$0
	% Expended	0%
	DBE Participation	0%
Schedule:	Completion is anticipated in March 2017.	
Issues or Concerns:	None at this time	

Contract No.	MM-950	
Contract Description:	Owner Controlled Insurance Program (OCIP) Consultant	
Status:	The grantee has decided not to use OCIP for WOFH, MSF and KH DB Contracts. However, OCIP will be included on the remaining contracts. The grantee selected Marsh as its consultant and issued NTP on March 30, 2012.	
Cost:	Original Contract Value	\$1,025,000
	Approved Change Orders	\$0
	Current Contract Value	\$1,025,000
	Expended to Date	\$0
	% Expended	0%
	DBE Participation	0%
Schedule:	Completion is anticipated in December 2019.	
Issues or Concerns:	None at this time	

Contract No.	MM-940	
Contract Description:	Programmatic Agreement (PA) Project Manager	
Status:	The grantee issued an NTP on March 30, 2012 to Pacific Legacy Inc. The consultant will report to the State Historic Preservation Division and the consulting parties listed in the PA.	
Cost:	Original Contract Value	\$950,000
	Approved Change Orders	\$0
	Current Contract Value	\$950,000
	Expended to Date	\$0
	% Expended	0%
	DBE Participation	0%
Schedule:	Completion is anticipated in February 2017.	
Issues or Concerns:	None at this time.	

Appendix C: Final Design Status by Contract

Contract	Segment	FD 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 #1, NTP #4A was issued for limited construction activities on February 6, 2012 under LONP #2 and LONP #2A was issued for the precast yard on May 17, 2012. Final design is 95% complete and utilities are 13% 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 Final design is 70% complete and geotechnical investigation is 15% complete. NTP #2 was issued on January 10, 2012 and authorizes FD; NTP #3A was issued for limited construction activities under LONP #2 and LONP #2A was issued on May 22, 2012 for the precast yard. Final design is 87% complete.
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. HART issued NTP #1a on January 5, 2012 for a design workshop and to develop a schedule of milestones. HART issued NTP #1b on February 22, 2012 to advance design.
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 Design Submittals. Final design is 35% complete 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). NTP #3 was issued on February 7, 2012 for limited construction activities under LONP #2. Final design is 95% complete.
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 May 2012 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.
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.

Contract	Segment	FD Status
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.
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. NTP 1 also includes 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 '11	Mar 15 '11	Feb 10 '12	Jan 31 '15
		Actual	Nov 01 '09	Dec 01 '09	Mar 03 '11	May 24 '11	Feb 06 '12	
DB-200	Maintenance & Storage Facility (MSF) <i>[Kiewit/Kobayashi Joint Venture (KKJV)]</i>	Forecast	Jun 30 '11	Jul 25 '11	Jan 10 '12	Feb 10 '12	-----	Dec 01 '14
		Actual	Jun 30 '11	Jul 25 '11	Jan 10 '12	Feb 07 '12	-----	
DB-320	Kamehameha Guideway (KHG) <i>[Kiewit Infrastructure West Company (KIWC)]</i>	Forecast	Jun 30 '11	Jul 12 '11	Jan 16 '12	Feb 10 '12	-----	Jul 01 '15
		Actual	Jun 30 '11	Jul 12 '11	Jan 10 '12	Feb 07 '12	-----	
DBOM-920	Core Systems Contract <i>[Ansaldo Honolulu JV]</i>	Forecast	Nov 23 '11	Dec 14 '11	May 01 '12	Apr 15 '13	-----	Apr 01 '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	May 29 '12	Jan 08 '12	Oct 30 '15
		Actual	Jan 14 '10	Jun 14 '12	Jun 15 '12	
FD-240	Farrington Highway Stations FD <i>[HDR, Inc.]</i>	Forecast	Sep 02 '10	Apr 15 '10	Jan 14 '11	May 30 '15
		Actual	Sep 02 '10	Apr 15 '10	Jan 14 '11	
FD-340	Kamehameha Highway Stations Group FD	Forecast	Jun 28 '11	Apr 28 '12	May 12 '12	Dec 31 '15
		Actual	Jun 28 '11			
FD-430	Airport Segment Utilities Relocation & Guideway FD	Forecast	Jan 26 '11	Dec 15 '11	Jan 05 '12	Jan 29 '17
		Actual	Jan 26 '11	Dec 15 '11	Jan 05 '12	
FD-530	City Center Utilities Relocation, Guideway & Ala Moana Station FD	Forecast	Dec 09 '11	Aug 19 '12	Sep 02 '12	Mar 31 '18
		Actual				

Consultant Agreements

Contract #	Contract Name	Schedule Reference	Advertise RFQ	Finalize Contract	Issue NTP	Contract Completion
MM-900	Program Management Support Consultant [InfraConsult LLC]	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	Feb 23 '12	Feb 23 '12	Feb 23 '15
MM-905	General Engineering Consultant - I (EIS/Preliminary Engrg) [PB Americas]	Forecast	Aug 03 '11			
		Actual	Jun 01 '07		Oct 25 '09	Feb 25 '12
MM-910	General Engineering Consultant - II (Final Design & Construction) [PB Americas]	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	Jun 01 '12	Jul 01 '12	Jul 01 '17
		Actual	Jun 05 '12	Jul 12 '12	
MM-920	HDOT Design Coordination Consultant –West Oahu/Farrington Highway Guideway Section	Forecast	Jun 07 '11	Jul 08 '11	Jun 15 '18
		Actual	Jun 07 '11	Jun 08 '11	
MM-921	HDOT Design Coordination Consultant –Kamehameha Highway Guideway Section	Forecast	Jun 05 '12	Jul 01 '12	Jul 15 '15
		Actual	Jun 07 '11		
MM-922	HDOT Design Coordination Consultant –Airport Guideway Section	Forecast	Jan 16 '14	Jan 30 '14	Jun 15 '18
		Actual	Jun 08 '12	Jun 12 '12	
MM-930	HDOT State Oversight Agency (SOA) Consultant	Forecast	Feb 29 '12	Feb 29 '12	Mar 03 '15
MM-935	Real Estate Consultant	Forecast		Mar 15 '12	Mar 15 '17
		Actual	Jan 13 '12	Mar 15 '12	Mar 15 '17
MM-940	Kako'o Consultant	Forecast			
		Actual	Mar 15 '12	Mar 15 '12	Feb 14 '17

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.	Jun-12	Closed
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.	Jun-12	Closed
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.	Jul-12	Open – Pending execution of MOU
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	May-12	Closed
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	Closed

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	Closed
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	Closed
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>	Jun-12	Closed
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.	Dec-12	Open – Jadine Urasaki named as Interim Project Manager
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.	Feb-12	Closed
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.	Aug-12	Open – Under review

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.	Jul-12	Closed

Appendix F: Project Overview and Map

Date: July 2012
Project Name: Honolulu Rail Transit 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

Ridership 99,800 weekday boardings in 2019; 114,300 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
06/12 Request for FFGA	03/19 Estimated RSD at Request for FFGA

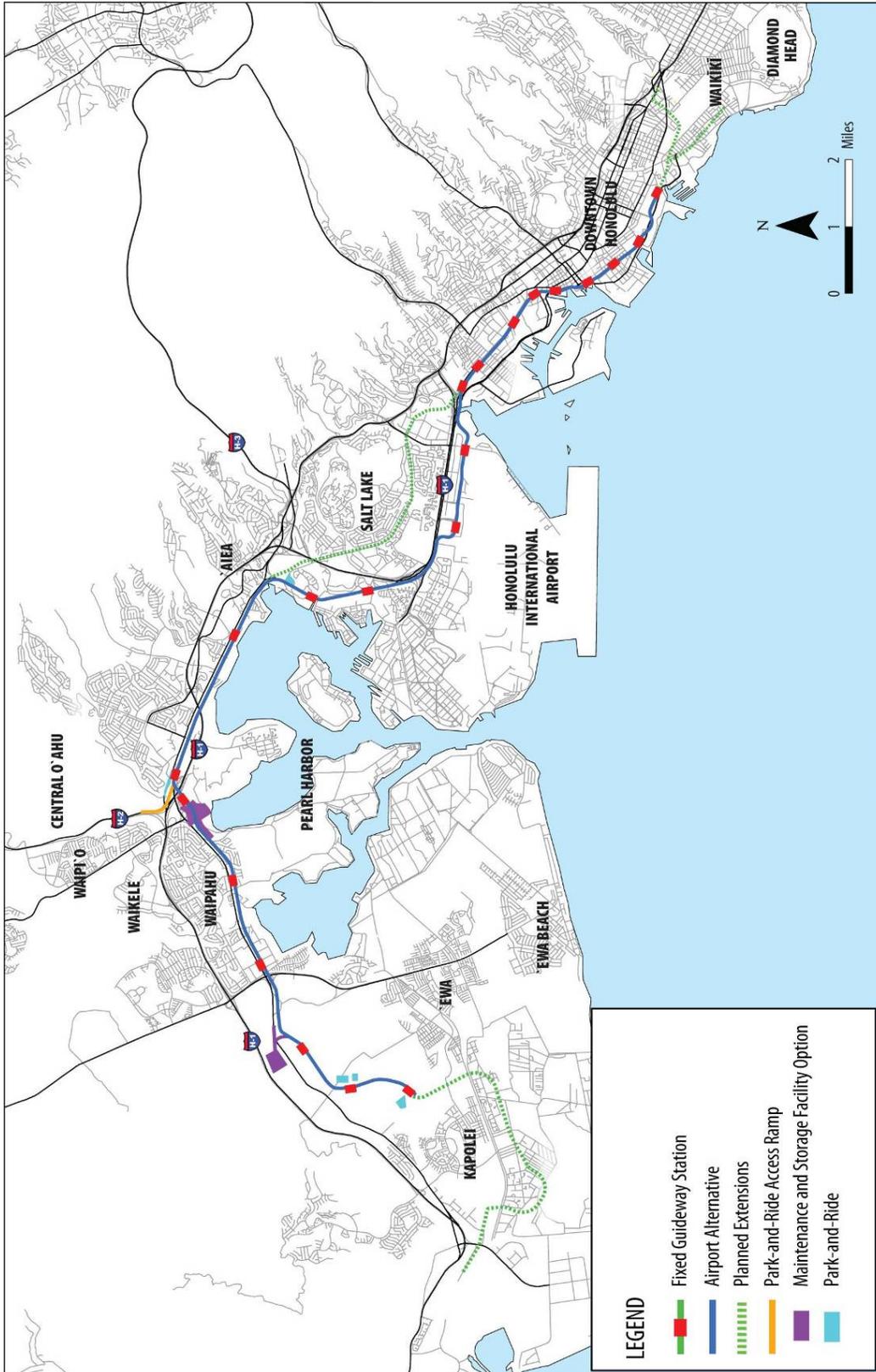
PMOC recommended FFGA RSD 01/20 per OP 40

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
\$5.122 B Total Project Cost (\$YOE) at request for an FFGA

\$428M Amount of Expenditures at date of this report
8.4% 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 Rail Transit Project		
Project mode (Rail, Bus, BRT, Multimode)	Rail		
Project phase (Preliminary Engineering, Final Design, Construction, or Start-up)	FD		
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	3.0A	Pending	Update for FFGA application under review
Safety and Security Certification Plan	2.0A	Pending	Update for FFGA application under review
System Safety Program Plan			Submittal date Mar-13
System Security Plan or Security and Emergency Preparedness Plan (SSEPP)			Submittal date Jul-13
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 2013
Has the oversight agency reviewed and approved the grantee's Security Plan or SEPP as per Part 659.21?	N		Submission/Approval in 2013
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	