PMOC MONTHLY REPORT

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

November 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
Tim Mantych, P.E., (314) 335-4454, tim.mantych@jacobs.com
Length of Time Assigned: Five Years (November 18, 2009 through November 17, 2014)

TABLE OF CONTENTS

TABLE OF CONTENTS ..... **i**
LIST OF APPENDICES ..... **i**

1.0 EXECUTIVE SUMMARY **2**
1.1 Project Description 2
1.2 Project Status 2
1.3 Technical Capacity and Capability 3
1.4 Schedule 3
1.5 Cost Data 4
1.6 Issues or Concerns 4

2.0 BODY OF REPORT **6**
2.1 Grantee's Capabilities and Approach 6
2.1.1 Technical Capacity and Capability (TCC) 6
2.1.2 Project Controls for Scope, Quality, Schedule, Cost, Risk, and Safety 6
2.1.3 Compliance with Applicable Statutes, Regulations, Guidance and FTA Agreements 9
2.2 Project Scope 9
2.2.1 Status of Design/Construction Documents 10
2.2.2 Status of Third-Party Agreements 11
2.2.3 Delivery Method 13
2.2.4 Vehicle Status 14
2.3 Project Management Plan and Sub-Plans 14
2.4 Project Schedule Status 15
2.5 Project Cost Status 16
2.5.1 Standard Cost Category (SCC) 16
2.5.2 Funding Sources 16
2.6 Project Risk 17
2.7 Action Items 19

APPENDICES **22**

LIST OF APPENDICES

Appendix A: Acronym List
Appendix B: Contract Status
Appendix C: FD Status by Contract
Appendix D: Bidding Schedule
Appendix E: Final Design Approval Letter Requirements
Appendix F: Project Overview and Map (Transmitted as a separate file)
Appendix G: Safety and Security Checklist (Transmitted as a separate file)

1.0 EXECUTIVE SUMMARY

1.1 Project Description

- **General Description:** The Project is a 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 (7 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 (2020); 114,300 (2030)

1.2 Project Status

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

- On November 1, 2012, the U. S. District Court for the District of Hawaii issued a ruling in Honolulutraffic.com v. Federal Transit Administration. The Court ordered further environmental analysis. A court hearing is scheduled for December 12, 2012 to discuss whether certain project activities should be stopped while such further analysis is conducted.
- HART issued a suspension of construction work on August 24, 2012 for all ground-disturbing activities after a ruling by the Hawaii Supreme Court requiring the grantee to complete the Archaeological Inventory Survey (AIS) (see discussion under Section 1.6). AIS completion could delay construction for 9 to 12 months. HART has implemented an expedited AIS schedule, completing 40 of 47 trenches in the Airport segment and 216 of 233 trenches in the City Center segment as of November 20, 2012. HART has begun preparation of the AIS Report and anticipates completion of the report in early 2013. Construction is not expected to resume until summer 2012.
- West Oahu /Farrington Highway (WOFH) Design-Build (DB) Contract – The contractor had begun relocation of utilities and installation of approximately 45 guideway piers prior to the suspension of construction activities. To date, the contractor has expended $155.9 million of the current contract value of $515,451,270.
- Kamehameha Highway (KH) Guideway DB Contract – The contractor had begun relocation of utilities and drilled shaft testing prior to the suspension of construction

activities. To date, the contractor has expended $72.1 million of the current contract value of $372,150,000.

- Maintenance and Storage (MSF) DB Contract – The contractor had begun clearing and grubbing activities prior to the suspension of construction activities. To date, the contractor has expended $25.1 million of the current contract value of $195,258,000.
- Vehicles/Core Systems Design-Build-Operate-Maintain (DBOM) Contract (CSC) – The contractor continues to work on definitive design activities. To date, the contractor has expended $17.9 million of the current contract value of $573,782,793.
- Station Design –
    - Farrington Station Group Design Contract – To date, HDR/HPE, Inc. has expended $4.9 million of the current contract value of $8,008,045.HART and HDR/HPE are currently negotiating a no-cost schedule extension until April 2013.
    - Kamehameha Station Group Design Contract – NTP was anticipated to be issued in June 2012 to HDR. However, since HDR subsequently purchased InfraConsult, HART's PMC for this project, 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 now anticipated in late November 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 was issued on September 6, 2012 to advance design. The current contract value is $7.8 million.
- Airport Guideway and Utilities Design Contract – To date, the design consultant has expended $10.9 million of the current contract value of $38,840,960. HART will combine the Airport Guideway and City Center Guideway design into a single guideway construction contract.
- City Center Guideway and Utilities Design Contract – HART issued NTP 1A to AECOM on July 31, 2012 for a design workshop and to develop a schedule of milestones and activities. The current contract value is $43,948,220. HART will combine the Airport Guideway and City Center Guideway design into a single guideway construction contract.
- Final Design (FD) – Statuses of the individual plans and specifications are identified in Appendix C (FD Status by Contract).

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	**$0.508 billion (through September 2012)**

1.6 Issues or Concerns

The following key issues or concerns have been identified:

On November 1, 2012, the U. S. District Court for the District of Hawaii issued a ruling in Honolulutraffic.com v. Federal Transit Administration. The Court ordered further environmental analysis. A court hearing is scheduled for December 12, 2012 to discuss whether certain project activities should be stopped while such further analysis is conducted.

It is unclear at this time what impact this lawsuit will have on the Project schedule and cost. More information will be available after the December 12, 2012 court hearing.

- On August 24, 2012, the Hawaii Supreme Court issued a ruling in Kaleikini v. City and County of Honolulu, finding that the City and County of Honolulu (City) violated a State of Hawaii (State) historic preservation law (Hawaii Revised Statute (HRS) Chapter 6E) by approving the Project, and allowing construction to proceed, before completing an Archaeological Inventory Survey (AIS) for the entire Project. The ruling reversed a previous Circuit Court decision that had upheld the granting of City and State permits based on the phased completion of the AIS rather than on the completion of the AIS for the entire alignment. Currently, HART is working to complete the AIS for the entire 20-mile alignment.

  HART issued a partial suspension of construction work on August 24, 2012 for all ground-disturbing activities after the ruling by the Hawaii Supreme Court. On September 7, 2012, HART provided letters to its contractors clarifying that no construction activity would continue until future written notice is provided by HART. However, Final Design work is still proceeding on all contracts that have been awarded to date.

As a result of the State Supreme Court's ruling, it is anticipated that there will be significant impacts to both the project schedule and project budget. The grantee's preliminary analysis indicates that the cost impact for the three design-build contracts could range between $64 and $95 million. The preliminary schedule analysis by the grantee indicates that there could be a nine to twelve-month impact on the interim opening but possibly no impact to the full Revenue Service Date. HART's cost impact assessment and Mitigation Strategies are under review by the PMOC. However, the PMOC is awaiting additional information on soft costs prior to completing this review.

- The PMOC had expressed some concern with the adequacy of the grantee's ability to forecast costs for the existing Design-Build (DB) contracts. The grantee's Estimate at Completion (EAC) did not accurately provide an assessment of the contract costs. However, HART has provided significantly improved EAC assessments of the contract costs to the PMOC. In addition, HART and the PMOC have held monthly breakout sessions to review the status of the forecast costs, schedule management, risk management, and cost containment measures. These breakout sessions have resulted in increased confidence by the PMOC of the grantee's ability to manage budget and schedule of the project.

- The grantee must execute a license agreement with the Department of Hawaiian Homelands (DHHL) for 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.

- HDR's acquisition of InfraConsult LLC (HART's Program Management Consultant) has created conflict of interest issues for HART since HDR is currently under contract to complete design of FHSG. HART submitted a White Paper on Organizational Conflict of Interest to FTA that discussed measures to mitigate this conflict, which includes several critical aspects of the project (quality, safety/security, and 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 had expressed 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. It was recommended that the grantee adhere to the staffing plan to address the transition of staff during the Final Design and construction phases for positions currently occupied by PMC and GEC staff to grantee staff.

The grantee 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 grantee has, however, taken appropriate measures to help ensure that an adequate transition occurs. Most recently, the Executive Director has begun a detailed review of the organization of the agency and has proposed significant restructuring. These proposed changes are appropriate and should result in more effective management of the project.

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 grantee previously had not issued comprehensive Monthly Reports on a timely basis in accordance with federal requirements. However, the grantee has submitted appropriate Monthly Reports for the past several months that meet the federal requirements and provide adequate information on the status of the project.

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

<u>System Safety and Security</u>

- Revision 3.0 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, 2012, contains all sections specified in FTA Circular 5800.1, and is compliant or acceptable for an FFGA either included or implied.

- 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 with requirements for an FFGA.
    - The SSMP Adherence Review proceeded smoothly in large part due to the cooperation of the interviewees and all HART staff involved in supporting the review.
    - For the most part, HART, PMC, and GEC personnel displayed a good understanding of the SSMP and their safety and security roles described in it. The actual performance of these activities aligned well with their SSMP descriptions.
    - There are currently two vacant Construction Safety and Security Compliance Officer (CSSCO) positions that report to the GEC Construction Safety and Security Manager (CSSM), only one of which is planned for filling by the GEC in the near future. The second CSSCO 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. The PMOC believes that the timetable for some of the staffing recommendations identified in the OP 22 report may be affected by the current suspension of construction activities.
    - There is also a current vacancy for a System Security Specialist (SSS) that reports to the GEC System Safety and Security Manager (SSSM) that 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 PMOC believes that the timetable for some of the staffing recommendations identified in the OP 22 report may be affected by the current suspension of construction activities.
    - The PMOC observed that some plans and procedures reviewed were not up-to-date and others were filed as red-lined versions for extended periods while waiting for finalization. The PMOC will include review of all documents submitted in red-lined versions to assure they are in final format, including that recommended changes have been accepted or a rationale for non-acceptance provided, and that all are properly named, labeled, dated, and signed.
    - The PMOC noted during interviews that there was some confusion as to the role of GEC personnel in the HART integrated safety and security organization. While GEC personnel coordinate with, 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 organization. Although there is one GEC security professional assigned to the project, his assignment is on a part-time basis. Since GEC personnel report to a separate chain of command, the possibility exists that his availability may not be guaranteed over the life of the project.
    - The 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.
- 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.

- PMOC Safety and Security Quarterly Meeting was held with HART on September 11, 2012 to review Design Conformance Checklists, Certification Elements List (CEL), Certification Items List (CIL), Safety and Security Committee Meeting Minutes, Construction Safety and Security, Safety and Security Staffing, Safety and Security Audits, and other safety and security related items.

- HDOT awarded a consultant contract to Dovetail, Inc. in July 2012 and provided an advanced NTP on July 31, 2012 to develop the System Safety and Security Program Standards (SSSPS), which will become an important part of HDOT's comprehensive safety and security assessment. That program will formalize the safety and security duties and responsibilities of the transit organization and ensure a process for identifying and correcting safety and security hazards.

- 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. HDOT is in the process of revising the job posting to eliminate the Professional Engineer license requirement to broaden the pool of applicants. Given the status of this Project, it is critical that a permanent lead be identified as soon as possible.

<u>Quality</u>

- HART is following its audit schedule identified in the Quality Management Plan.
- HART – To date, no NCRs have been issued.
- GEC II – To date, one NCR has been issued and is closed.
- West Oahu/Farrington Highway DB Contract – To date 59 NCRs have been issued with nine NCRs open.
- Kamehameha Highway DB Contract – To date 5 NCRs have been issued and all are closed.
- Maintenance and Storage Facility DB Contract – To date, one NCR has been issued and is closed.
- Core Systems Contract – HART performed a quality audit of the CSC from September 13-20, 2012. HART issued three NCRs, two Observations, and 14 Suggestions.
- Farrington Station Group Design Contract – To date, four NCRs have been issued and all are closed.
- West Oahu Station Group Design Contract – HART approved URS QAP Revision 0 in October 2012.
- 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 environmentally-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)

- FTA has approved three LONPs to date
    - LONP 1 – Approved on May 24, 2011 to incur costs of $4.7 million for final design activities associated with the WOFH DB Contract.
    - LONP 2 – Approved 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. This LONP approval precludes activities associated with the precast yard, which were estimated at $21.8 million.
    - LONP 2A - Approved on May 17, 2012 for $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 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 (7 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 2020 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 pending detailed Final Design of under the Core Systems DBOM Contract (CSC).

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 continues to monitor the project to confirm 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	Segment/ Contract	Target Date	Completion Date	Status
University of Hawaii Master Agreement	WOFH, KHG, City Center	Nov 2012	Pending	Tentative agreement is in place on path forward to secure access to the property
Leeward Community College Sub-agreement	WOFH	Nov 2012	Pending	Property appraisal complete.
UHWO Sub-agreement	WOFH	Nov 2012	Pending	Property appraisal complete.
DLNR Agreement	WOFH	Nov 2012	Pending	DNLR is finalizing staff summary to go to Land Board in November.
Department of Education Master Agreement and Consent to Construct	WOFH	-	Feb 8, 2011	Executed
DR Horton Consent to Construct	WOFH	-	Mar 7, 2012	Executed

Agreement	Segment/ Contract	Target Date	Completion Date	Status
DR Horton Master Agreement	WOFH		Pending	HART has permission to construct along WOFH Segment. Master Agreement will be required to address a permanent easement or dedication to the City and County of Honolulu
DHHL Master Agreement	WOFH and MSF	-	Mar 10, 2010	Executed
DHHL Consent to Construct	WOFH and MSF	-	Dec 1, 2011	Executed
DHHL License or Property Transfer	WOFH and MSF	Dec 2012	Pending	DHHL reviewing license and discussions continuing with City on property transfer.
HDOT Master Agreement for WOFH	WOFH	-	Oct 31, 2011	Executed
HDOT Use and Occupancy Sub-agreement for WOFH	WOFH	-	April 5, 2012	Executed
UH Urban Garden Sub-agreement	KHG	Nov 2012	Pending	Property appraisal complete.
HDOT Master Agreement for KHG	KHG	Nov 2012	Pending	HART has received comments and is resolving issues.
HDOT Use and Occupancy Sub-agreement for KHG	KHG	Nov 2012	Pending	Will complete after KHG Master Agreement is completed
Aloha Stadium/ Department of Accounting and General Services (DAGS)	KHG	Nov 2012	Pending	Finalized agreement. Aloha Stadium Board review and approval pending.
Navy/General Services Administration (GSA)	Airport	N/A	Pending	Navy will provide consents to enter until all required easements are in place. Progressing fee taking of Pearl Harbor Station site.
US Post Office Honolulu Processing and Distribution Center	Airport	Nov 2013	Pending	Initiated request to secure an easement for Post Office Property.
FAA Master Agreement	Airport	Jul 2013	Pending	As design progress a determination will be made if an agreement is required.
HDOT Master Agreement for Airport	Airport	Apr 2013	Pending	Pending completion of KHG Master Agreement
HDOT Joint Use and Occupancy Sub-agreement for Airport	Airport	May 2013	Pending	Will complete after Airport Master Agreement is completed
HDOT Master Agreement for City Center	City Center	Jun 2013	Pending	Pending completion of KHG Master Agreement
HDOT Joint Use and Occupancy Sub-agreement for City Center	City Center	Jul 2014	Pending	Pending completion of City Center Master Agreement
Honolulu Community College Sub-agreement	City Center	May 2014	Pending	Property appraisal completed.

Agreement	Segment/ Contract	Target Date	Completion Date	Status
Federal Court House/GSA	City Center	Oct 2014	Pending	HART is reviewing GSA draft agreement and conducts monthly meetings with parties
Hawaii Community Development Agreement (HCDA)	City Center	Oct 2014	Pending	Awaiting final design requirements for guideway
DAGS	City Center	Oct 2014	Pending	Awaiting final design requirements for guideway
Kamehameha Schools/Stanford Carr Development	City Center		Pending	Property required for Civic Center Station is owned by Kamehameha Schools and is to be developed by Stanford Carr Development. Agreement may be required with both parties
The Howard Hughes Corporation	City Center		Pending	Agreement likely needed for the guideway and Kaka'ako Station located on property to be redeveloped near Ward Avenue
General Growth Properties	City Center		Pending	Agreement likely needed for guideway and Ala Moana Station located on property adjacent to Ala Moana Mall

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

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.

The grantee has begun a review of the Contract Packaging Plan to determine if there would be any cost or schedule benefits in implementing minor changes in the later contract packages in the Airport and City Center segments.

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
- 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.

Sub-Plan	Revision No.	Date	Notes
Quality Management Plan (QMP)	1	15-Feb-12	Acceptable for FFGA
Real Estate Acquisition and Management Plan (RAMP)	5	01-Jun-12	Acceptable for FFGA
Bus Fleet Management Plan (BFMP)	3	Mar-12	Acceptable for FFGA
Rail Fleet Management Plan (RFMP)	0.1	Mar-12	Acceptable for FFGA
Safety and Security Management Plan (SSMP)	3A	29-Feb-12	Acceptable for FFGA
Safety and Security Certification Plan (SSCP)	2A	01-Mar-12	Acceptable for FFGA
Configuration Management Plan	0.2	07-Feb-12	Acceptable for FFGA
Staffing and Succession Plan	5	25-May-12	Acceptable for FFGA
Risk and Contingency Management Plan (RCMP)	0	29-Jun-12	Acceptable for FFGA/Revision pending update of Secondary Mitigation Measures
Operating Plan	0.2	29-Jun-12	Acceptable for FFGA
Force Account Plan	0.3	05-Jan-12	Acceptable for FFGA
Mitigation Monitoring Program	0	15-Mar-12	Acceptable for FFGA
Interface Management Plan	0.1	17-Jan-12	Acceptable for FFGA
Contract Packaging Plan	3.0	30-Mar-12	Acceptable for FFGA
Claims Avoidance Plan	0.1	24-Jan-12	Acceptable for FFGA
Construction Management Plan (CMP)	0.1	03-Feb-12	Acceptable for FFGA
Contract Resident Engineer Manuals (DB & DBOM)	0.1	Feb-12	Acceptable for FFGA
Contract Resident Engineer Manuals (DBB)	A	15-Mar-12	Acceptable for FFGA
Project Procedures			Acceptable for FFGA

2.4 Project Schedule Status

The grantee's Master Project Schedule (MPS), Data Date of July 27, 2012, identifies the target date for the start of full revenue operations as March 2019. This date is reasonable given the current status of the Project, although the PMOC recommends that the FFGA RSD be no earlier than January 31, 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 27-Jul-12)	
FTA Award Full Funding Grant Agreement	11-Sep-10	12-Nov-12	(793)
WOFH/KH Revenue Service	14-Sep-16	15-Jun-16	91
Airport/City Center Revenue Service (RSD)	31-Mar-19	15-Mar-19	16

It should be noted that the above milestone dates do not reflect the recent suspension of ground disturbing activities that occurred in August 2012. HART is reviewing the MPS with regard to the suspension of activities to determine impact. The grantee's preliminary schedule analysis indicates that there could be a nine to twelve-month impact on the interim opening but possibly no impact to the full Revenue Service Date. The PMOC is awaiting an updated MPS that reflects the schedule impact.

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 schedule update reports. The grantee has agreed to implement new procedures to ensure the PMOC receives MPS updates.

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

Period: December 2012 – February 2013		
Activity	**Responsibility**	**Date**
Quarterly Safety and Security Meeting	FTA, HART, PMC, and PMOC	December 11, 2012
Monthly Progress Meeting	FTA, HART, PMC, GEC and PMOC	December 12, 2012
Monthly Progress Meeting	FTA, HART, PMC, GEC and PMOC	January 14, 2013
Monthly Progress Meeting	FTA, HART, PMC, GEC and PMOC	February 13, 2013

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 – $0.508 billion (through September 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 $907 million.

2.6 Project Risk

Per FTA Oversight Procedure 40, 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 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: 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 of 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 has submitted an OP 40 – Risk and Contingency Review report based on the grantee's latest scope, schedule, and cost documentation.

Upon submittal of the updated cost estimate by the grantee in spring 2012 to support the FFGA application, it was observed that significant contingency reduction occurred, to a point where contingency was below accepted control levels. The grantee had identified a total of $644 million in contingency in the cost estimate used for the Risk Refresh Workshop in April 2012. This was $222 million less than the amount of contingency of $866 million identified during the prior review to support the request to enter into Final Design.

Subsequent to that April 2012 Risk Refresh Workshop, the grantee has implemented efforts to recover contingency levels through cost reduction measures, value engineering, and revised project delivery strategies. In addition, strong controls have been put in place to avoid future rapid contingency loss. HART and the PMOC have held monthly breakout sessions to review the status of the forecast costs, schedule management, risk management, and cost containment measures. These breakout sessions have resulted in increased confidence by the PMOC of the grantee's ability to manage budget and schedule of the project.

The PMOC had also recommended that the grantee develop more detail for the Secondary Mitigation items and attempt to identify secondary mitigation measures that approach a total value of $149 million. The grantee has undertaken an exercise to both develop more detail for their proposed Secondary Mitigation items and identify additional viable items. This information is under review by the PMOC.

2.7 Action Items

Item No.	Item	Responsible Party	Date Identified	Date Due	Date Completed	Status
1	Provide GEC 1 and PMSC II completion dates and final contract amounts	HART	May-12	Dec-12		Open – expect contract closing date of December 2012
2	Update Revenue vs. Expenditure Curve (S-Curve) based on cost estimate and MPS	HART	Jul-12	Aug-12	Sep-12	Open – Under review by PMOC
3	Develop Buy America Program Plan	HART	Jul-12	Dec-12		In Progress – Comments provided to HART; HART revising Plan. HART to send as a courtesy to FTA when complete
4	Provide PMOC with contract schedules for CSC (baseline), WOFH DB (re-baseline), KHG DB (baselines), and MSF (baseline)	HART	Jul-12	Dec-12		Open– HART will provide copy of CSC schedule. Other contract schedules affected by AIS impact. Need to discuss with PMOC reasonable due date given suspension status.
5	Review MSF storage track capacity and operational efficiency.	PMOC	Aug-12	Nov-12		PMOC performed technical review. Job Memorandum under review by FTA.
6	Schedule a meeting with HDOT to discuss KHG agreements	HART	Aug-12	Nov-12		Open - This meeting is still being scheduled with attorneys. Plan to schedule in December.
7	Amend previous agreements to include Buy America provisions for utility companies	HART	Aug-12	Dec-12		In Progress – discussions with utility vendors is underway
8	Hire Safety and Security Certification Manager prior to FFGA	HART	Aug-12	Dec-12		In Progress – recruiting has begun
9	Provide real estate tracking report	PMOC	Aug-12	Nov-12		Open
10	Provide PMOC with updated compendium of design criteria and Design Bid Build (DBB) Standard Special Provisions and Division 1 Specifications	HART	Sep-12	Dec-12		Open – item is under HART review.
11	Provide details on status of design submittals for DB contracts	HART	Oct-12	Nov-12		Closed – HART included these details within the Monthly Report
12	Schedule a Roadmap break-out session for next PMOC meeting	HART	Oct-12	Dec-12		Open
13	Core Systems Safety officer on site	HART	Oct-12	Jan-13		Open
14	PMOC to provide comments on the FHSG design package	PMOC	Oct-12	Oct-12	10/31/12	Closed
15	PMOC to provide HART with a Safety & Security Roadmap template	PMOC	Oct-12	Dec-12		Open

16	Update the construction safety reporting in the Monthly Report and presentation to include more detailed break-down (i.e., context of hours)	HART	Oct-12	Nov-12		Open – HART to include in Monthly report
17	Provide the PMOC with CSC meeting minutes notice from CMS	HART	Oct-12	Oct-12		Closed
18	Conduct quality audit on Safety (HART and PB)	HART	Oct-12	PB-Dec12 HART Feb13		Open
19	Summary of IFD's within the Core Systems presentation	HART	Oct-12	Nov-12		Open
20	Provide PMOC access to ISMS	HART	Oct-12	Oct-12	10/11/12	Closed
21	Provide PMOC with the Ansaldo Honolulu JV org chart	HART	Oct-12	Nov-12		Open
22	Provide PMOC with AIS burn rate	HART	Nov-12	Nov-12		Open
23	HART to schedule a conference call with PMOC for approach to suspension of work change order	HART	Nov-12	Nov-12		Open
24	HART to perform independent estimate review on AIS cost/schedule delays	HART	Nov-12	Dec-12		Open
1	HART to enact and include cost reduction measures for GEC, PMC and CE&I contracts (FFGA cost reduction measures)	HART	Aug-12	Dec-12		Open
2	HART to provide approved baseline schedules for CSC Contract	HART	Aug-12	Nov-12		Open – HART on target to provide to PMOC in early December
3	PMOC to develop tiered list of items needed prior to and after FFGA.	PMOC	Aug-12	Nov-12		Open – Submitted to FTA
4	HART to update secondary mitigations prior to FFGA.	HART	Aug-12	Oct-12		Open – On going efforts to refine and finalize the list
5	PMOC to review and comment on the Secondary Mitigation Measures presented during break-out session	PMOC	Oct-12	Oct-12		Open
6	HART to define priorities on the Secondary Mitigation Measures list	HART	Oct-12	Oct-12		Open – In Progress
7	PMOC to review and comment on the AIS mitigation list	PMOC	Oct-12	Nov-12		Open
8	HART to establish a "PMOC dashboard" for the MPS on CMS	HART	Oct-12	Oct-12		Closed – CMS staff provided PMOC several "CMS Tips" for access of the MPS

9	HART to provide schedule detail on the AIS	HART	Oct-12	Nov-12		Open - Under PMOC review
10	PMOC will review VE items	PMOC	Oct-12	Nov-12		Open
11	HART to provide the procurement list to PMOC	HART	Oct-12	Oct-12		Closed

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
SHPD	▪ State Historic Preservation Division
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:	None	

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: • 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. • 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:	Original Contract Value	$482,924,000
	Approved Change Orders	$32,527,270
	Current Contract Value	$515,451,270
	Expended to Date	$155,906,922
	% Expended	30.2%
	DBE Participation	1.23%
Schedule:	• 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:	• 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 must submit a revised baseline schedule. • No construction activity will continue until future written notice is provided by HART due to AIS.	

Contract No.	**DB-320**
Contract Description:	**Kamehameha Highway Guideway DB Contract**
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(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. • 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	$72,106,575
	% Expended	19.4%
	DBE Participation	0.35%
Schedule:	• Contract duration is approximately 48 months from NTP. • Completion is anticipated in July 2015.	
Issues or Concerns:	• No construction activity will continue until future written notice is provided by HART due to AIS.	

Contract No.	**DB-200**	
Contract Description:	**Maintenance and Storage Facility DB Contract**	
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). • 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	$25,139,821
	% Expended	12.9%
	DBE Participation	0.14%
Schedule:	• Contract duration is approximately 36 months from NTP. • Completion is anticipated in December 2014.	
Issues or Concerns:	• The grantee must execute a license agreement with DHHL. 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. • HART issued NTP 2 on January 10, 2011 (prior to LONP 2). 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. • No construction activity will continue until future written notice is provided by HART due to AIS.

Contract No.	**DBOM-920**	
Contract Description:	**Core Systems Contract (CSC)**	
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 includes work required to advance all Core Systems to final design.	
Cost:	Original Contract Value	$573,782,793
	Approved Change Orders	$0
	Current Contract Value	$573,782,793
	Expended to Date	$17,588,803
	% Expended	3.8%
	DBE Participation	$0
Schedule:	• Contract duration is approximately 88 months from NTP. • Completion is anticipated in April 2019.	
Issues or Concerns:	• Grantee has provided approval with comments of the baseline schedule.	

Contract No.	**FD-430**	
Contract Description:	**Airport Section Guideway and Utilities Final Design**	
Status:	AECOM was awarded a contract on December 15, 2011. The following NTPs have been issued: • NTP 1A – Issued on January 5, 2012 for a design workshop and to develop a schedule of milestones and activities. • 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	$10,906,397
	% Expended	28.1%
	DBE Participation	0.76%
Schedule:	• Contract duration is approximately 61 months from NTP 1A.	

	• Completion is anticipated in January 2017.
Issues or Concerns:	• 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-530**	
Contract Description:	**City Center Section Guideway and Utilities Final Design**	
Status:	AECOM was awarded a contract on July 30, 2012. The following NTPs have been issued: • NTP 1A – Issued on July 31, 2012 for a design workshop and to develop a schedule of milestones and activities. • NTP 1B – Issued on October 25, 2012 for preliminary engineering revisions.	
Cost:	Original Contract Value	$43,948,220
	Approved Change Orders	$0
	Current Contract Value	$537,870
	Expended to Date	$0.00
	% Expended	0%
	DBE Participation	0%
Schedule:	• Contract duration is approximately 61 months from NTP 1A. • Completion is anticipated in January 2017.	
Issues or Concerns:	• This contract is to be combined into the Airport and City Center Guideway Construction Contract (DBB-520)	

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: • 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	$2,508,045
	Current Contract Value	$8,008,045
	Expended to Date	$4,953,260
	% Expended	61.9%
	DBE Participation	2.68%
Schedule:	• Contract duration is approximately 55 months from NTP 1A. • Completion is anticipated in July 2015.	
Issues or Concerns:	• 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 (HART's Program Management Consultant) has created conflict of interest issues for HART since HDR is currently under contract to complete design of FHSG. HART submitted a White Paper on Organizational Conflict of Interest to FTA that discussed measures 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: 7 miles	GEC I prepared contract documents for DB procurement, including 30% plans. Advanced PE was continued by Kiewit under NTPs 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 28% 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 90% 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. NTP 2 was issued on July 23, 2012. HART will combine the Airport Guideway and City Center Guideway design into a single guideway construction contract. HART will also separate the utilities design into a single construction contract.
City Center Guideway & Utilities DBB Contracts	Segment IV – Middle Street to Ala Moana Center Length: 5 miles	GEC I prepared 30% plans for segment. NTP 1A was issued to AECOM on July 31, 2012 to submit a draft Baseline Schedule and a Schedule of Milestones (SM). HART will combine the Airport Guideway and City Center Guideway design into a single guideway construction contract. HART will also separate the utilities design from the City Center Guideway into a single construction contract.
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 90% complete.
WOFH Station Group (3) DBB Contract	Segment I	GEC I prepared 20% plans for segment. NTP 1a was issued to URS Corporation on June 15, 2012 for a design workshop and to develop a schedule of milestones. NTP 1B was issued on September 6, 2012.
Farrington Station Group (3) DBB Contract	Segment I	GEC I prepared 20% plans for segment. NTP 1a was issued to HDR/HPE, Inc. on March 15, 2011. HART anticipates Interim Design to be completed in November 2012 and FD to be completed in December 2012.

Contract	Segment	FD Status
Kamehameha Station Group (3)	Segment II	GEC I prepared 20% plans for segment. NTP 1A was issued on November 20, 2012.
Airport Station Group (4)	Segment III	GEC I prepared 20% plans for segment. NTP 1A was issued on November 14, 2012.
Dillingham Station Group (2)	Segment IV	GEC I prepared 20% plans for segment. HART will combine with Kaka'ako Station Group.
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 potion 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. Final design is 25% complete.

Appendix D: Procurement Schedule

Contract No.	Segment	Type Svc	Description	Advertise	NTP	Bid Ready Documents	Contract Complete
Active							
FD-340	KHG	Design	Kamehameha Station Group (includes H2/R2 Ramp)	6/28/2011	10/12/2012	11/15/2013	8/29/2015
FD-440	Airport	Design	Airport Station Group	3/30/2012	10/11/2012	8/15/2014	7/29/2017
MM-180	WOFH	CE&I	West Oahu and Farrington Highway Station Groups	7/15/2012	12/17/2012	2/15/2013	10/30/2015
MI-930	All	DFIM	Elevators & Escalators	8/17/2012	2/11/2013	N/A	7/17
MM-500	Airport	CE&I	Airport and City Center Utilities CE&I	9/12/2012	3/20/2013	5/22/2013	10/30/2015
Future							
FD-540	City Cen	Design	Dillingham Station Group	10/17/2012	7/15/2013	2/15/2015	7/31/2018
FD-545	City Cen	Design	Kaka'ako Station Group	10/17/2012	7/15/2013	6/15/2015	9/14/2018
MM-380	KHG	CE&I	Kamehameha Station Group (includes H2/R2 Ramp)	2/13/2013	9/16/2013	11/15/2013	11/29/2015
DBB-270	WOFH	Construction	Farrington Highway Station Group Construction	3/17/2013	6/29/2013	N/A	4/15/2015
	Airport	Construction	Airport Section Utilities	5/22/2013	8/1/2013	N/A	12/15/2014
FD-245	KHG	Design	Pearl Highlands Parking Structure/Bus Transit Center	6/30/2013	2/16/2014	10/1/2015	4/29/2018
DBB-505	WOFH	Construction	West Oahu Station Group Construction	9/10/2013	12/22/2013	N/A	10/30/2015
DBB-370	KHG	Construction	Kamehameha Station Group (includes H2/R2 Ramp)	11/15/2013	3/31/2014	N/A	7/15/2015
MM-525	Airport	CE&I	Airport and City Center Guideway CE&I	11/15/2013	6/16/2014	8/15/2014	6/29/2017
MM-485	Airport	CE&I	Airport Station Group	11/15/2013	5/16/2014	8/15/2014	6/29/2017
DBB-510	City Cen	Construction	City Center Section Utilities	11/17/2013	1/18/2014	9/15/2015	9/15/2015
DBB-520	Airport	Construction	Airport and City Center Guide Guideway Construction	4/1/2014	8/14/2014	N/A	7/1/2012
MM-585	City Cen	CE&I	Dillingham and Kako'ako Station Groups CE&I	5/23/2014	12/17/2014	2/15/2015	7/30/2018
FD-600	WOFH	Design	UH West Oahu Park-and-Ride and Ho'opili Station Finishes	9/10/2014	5/12/2015	7/4/2016	9/14/2018
MM-385	KHG	CE&I	Pearl Highlands Parking Structure/Bus Transit Center	1/5/2015	8/3/2015	10/1/2015	4/29/2018
DBB-470	Airport	Construction	Airport Station Group	1/5/2015	4/19/2015	N/A	6/29/2017
DBB-570	City Cen	Construction	Dillingham Station Group	2/15/2015	11/25/2015	N/A	11/15/2017
DBB-575	City Cen	Construction	Kaka'ako Station Group	6/15/2015	4/19/2016	N/A	7/30/2018
	City Cen	Construction	Downtown Station	6/15/2015	4/19/2016	N/A	12/15/2017
DBB-275	KHG	Construction	Pearl Highlands Parking Structure/Bus Transit	10/1/2015	2/11/2016	N/A	3/15/2018

Contract No.	Segment	Type Svc	Description	Advertise	NTP	Bid Ready Documents	Contract Complete
			Center				
MM-600	WOFH	CE&I	UH West Oahu Park-and-Ride and Ho'opili Station Finishes	10/21/2015	5/5/2016	7/4/2016	8/15/2018
DBB-600	WOFH	Construction	UH West Oahu Park-and-Ride and Ho'opili Station Finishes	7/4/2016	3/5/2017	N/A	8/15/2018

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	Closed
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	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: 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. 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.	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	Closed (hazard and threat/vulnerability analyses are 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 (Transmitted as a separate file)

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

Appendix F: Project Overview and Map

Date:	November 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

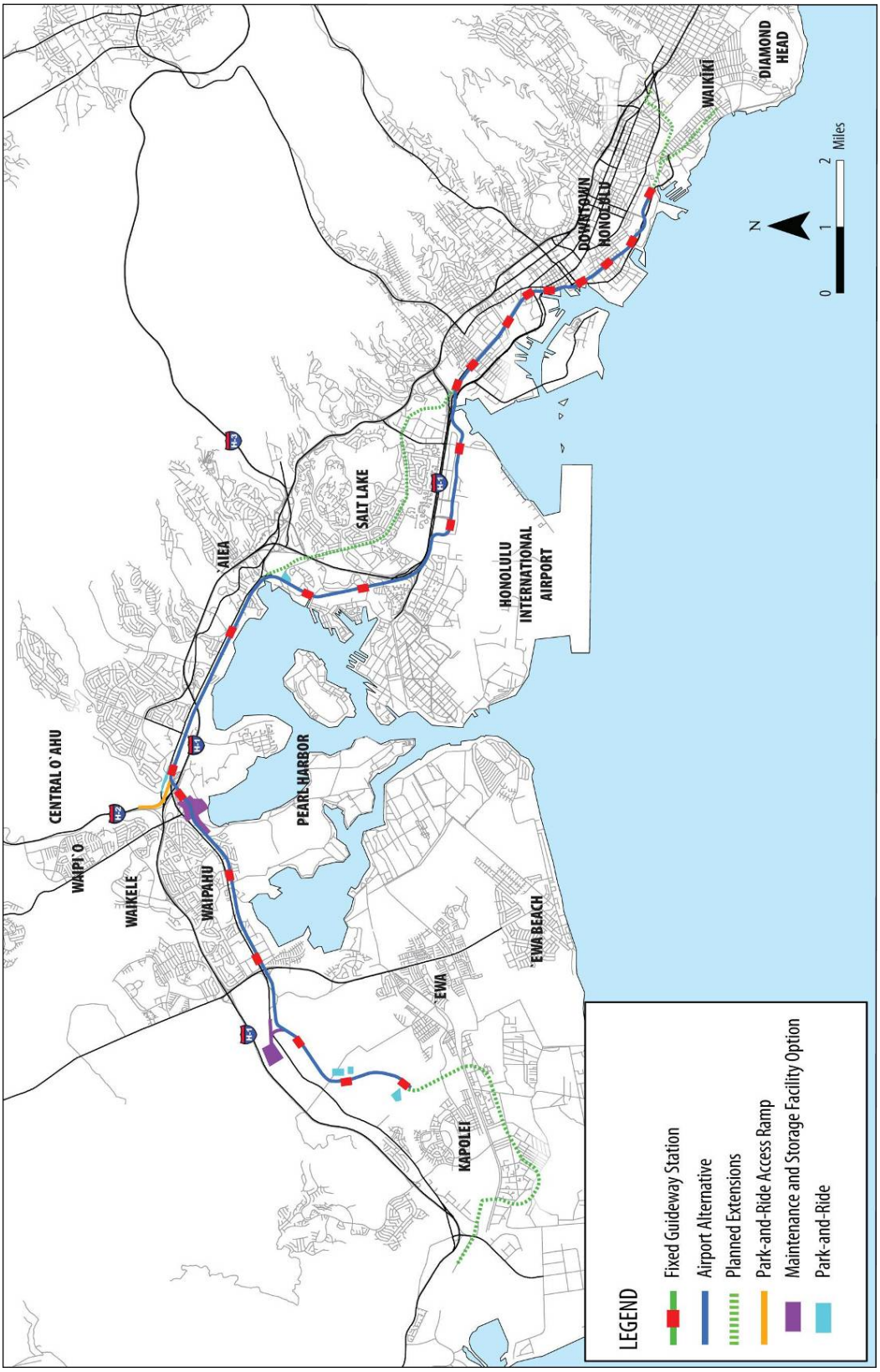
10/09 Approval Entry to PE	03/19 Estimated RSD at Entry to PE
12/11 Approval Entry to FD	03/19 Estimated RSD at Entry to FD
06/12 Request for FFGA	03/19 Estimated RSD at Request for FFGA
PMOC recommended FFGA RSD	01/20 per OP 40

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

$508M Amount of Expenditures at date of this report
9.6% complete (Total Project Expenditures/Total Project Cost)

Honolulu Rail Transit 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	3.0	Y	Complete
Safety and Security Certification Plan	2.0	Y	Complete
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?	Y		
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 evaluated 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: • 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	