

## **PMOC MONTHLY REPORT**

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

June 2013 (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

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

## TABLE OF CONTENTS

<b>TABLE OF CONTENTS</b> .....	<b>i</b>
<b>LIST OF APPENDICES</b> .....	<b>i</b>
<b>1.0 EXECUTIVE SUMMARY</b> .....	<b>2</b>
1.1 Project Description.....	2
1.2 Project Status .....	2
1.3 PMOC Issues or Concerns .....	4
1.4 Core Accountability Items .....	6
<b>2.0 BODY OF REPORT</b> .....	<b>8</b>
2.1 Grantee’s Capabilities and Approach .....	8
2.1.1 Technical Capacity and Capability (TCC).....	8
2.1.2 Project Controls for Scope, Quality, Schedule, Cost, Risk, and Safety.....	8
2.1.3 Compliance with Applicable Statutes, Regulations, Guidance and FTA Agreements .....	10
2.2 Project Scope .....	10
2.2.1 Status of Design/Construction Documents .....	11
2.2.2 Status of Third-Party Agreements .....	11
2.2.3 Delivery Method .....	13
2.2.4 Core Systems and Vehicle Status .....	13
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 Contingency .....	19
2.5.3 Funding Sources.....	19
2.6 Project Risk.....	19
2.7 Action Items.....	21
<b>APPENDICES</b> .....	<b>23</b>

## LIST OF APPENDICES

- Appendix A: Acronym List
- Appendix B: Contract Status
- Appendix C: Bidding Schedule
- Appendix D: Final Design Approval Letter Requirements
- Appendix E: Core Accountability Items
- 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.)*

- Construction and Environmental Work – HART issued a suspension of construction work on August 24, 2012 for all ground-disturbing activities after a ruling by the Hawaii State Supreme Court requiring completion of the Archaeological Inventory Survey (AIS). Final Design work is still proceeding on all contracts that have been awarded to date. HART continues to analyze cost and schedule ramifications. Their analysis indicates the delay will cost between \$7 and \$10 million per month. Delay is anticipated to extend nine to twelve months, but may be longer depending on the length of SHPD review and satisfaction of permitting requirements. FTA and HART have developed a proposed schedule for completion of the additional environmental evaluation required by the federal court ruling. HART has indicated it would like to complete that work within the construction suspension period related to the state court case. However, that schedule is ambitious given the amount of work and reviews that must be completed. As a result of an injunction, HART cannot acquire real estate or perform any construction in the City Center Segment, which may have an effect on overall project schedule.
- The following table presents the status of the current design and construction contracts:

<b>Contract</b>	<b>Contractor</b>	<b>Contract Value</b>	<b>Expended</b>	<b>Status</b>
West Oahu /Farrington Highway (WOFH) Design-Build (DB) Contract	Kiewit	\$537.7M	\$176.5M	Construction suspended; design activities ongoing
Kamehameha Highway (KH) Guideway DB Contract	Kiewit	\$376.3M	\$82.8M	Construction suspended; design activities ongoing
Maintenance and Storage (MSF) DB Contract	Kiewit/Kobayashi Joint Venture	\$215.3M	\$52.5M	Construction suspended; design activities ongoing
Core Systems Contract	Ansaldo Honolulu Joint Venture (AHJV)	\$573.8M	\$27.8M	Definitive design activities ongoing.
Airport Guideway and Utilities Design	AECOM	\$39.1M	\$18.0M	Interim design activities ongoing
City Center Guideway and Utilities Design	AECOM	\$43.9M	\$7.3M	PE activities ongoing
Farrington Station Group Design	HDR/HPE, Inc.	\$8.0M	\$7.5M	HDR submitted final plans; contract closeout anticipated in June 2013.
West Oahu Station Group	URS	\$7.8M	\$3.7M	PE activities ongoing
Kamehameha Station Group Design	Anil Verma Associates, Inc.	\$8.5M	\$2.5M	Initial design workshops ongoing
Airport Station Group Design	AECOM	\$10.1M	\$2.7M	PE activities ongoing
Elevators and Escalators	TBD	TBD	\$0M	Procurement is ongoing. RFP Part 2 was issued in December 2012. Protest was received on June 18, 2013 and is under reviews by HART.

HART has established design review milestones according to the following stages of design development:

- (1) Definitive Design (or Preliminary Engineering) – Intended to verify that the concepts proposed meet HART Concept Documents (or provide substantiated reason for change), and to verify that design complies with the Contract requirements.
- (2) Interim Designs – Intended to resolve conflicts and unresolved comments from the Definitive Design and prior to Final Design. Workshops, meetings and “over-the-shoulder” reviews facilitate interim design reviews by HART.
- (3) Pre-Final Design (90% design)
- (4) Final Design (100% design)

The following table provides a summary of Design Percent Complete on all contracts provided for the project:

Item	Contract Number	Final Design Contracts	Contractor/ Consultant	Percent Complete
1	DB-120	West Oahu Farrington Highway Guideway Project (WOFH)	Kiewit	96%
2	DB-320	Kamehameha Highway Guideway Project (KHG)	Kiewit	94%
3	DB-200	Maintenance and Storage Facility (MSF)	Kiewit/Kobayashi JV	98%
4	DBOM-920	Core Systems Contract (CSC)	Ansaldo Honolulu JV	20%
5	FD-430	Airport Segment Guideway and Utilities Final Design	AECOM	50%
6	FD-530	City Center Segment and Utilities Final Design	AECOM	30%
7	FD-140	West Oahu Station Group (WOSG)	URS	65%
8	FD-240	Farrington Highway Station Group (FHSG)	HDR	99%
9	FD-340	Kamehameha Highway Station Group (KHSG)	Anil Verma	35%
10	FD-245	Pearl Highlands Parking Structure/Bus Transit Center	Pending	10%
11	FD-440	Airport Station Group Design	AECOM	35%
12	FD-540	Dillingham Station Group Design	To Be Determined	10%
13	FD-545	Kaka'ako Station Group Design	To Be Determined	10%
14	FD-600	UH West Oahu Park and Ride/Ho'opili Station Design	To Be Determined	10%
15	MI-930	Elevators and Escalators	To Be Determined	10%

The Total Design Percent Complete is approximately 45%. Preliminary Engineering was completed by the GEC. Final Design work and engineering activities are still proceeding on all other contracts that have been awarded to date.

### 1.3 PMOC Issues or Concerns

The following key issues or concerns have been identified:

- 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 developed a detailed methodology for forecasting use of contingency. The PMOC has noted that there is still a discrepancy in how HART will handle potential future changes without enough information to prepare detailed cost estimates. HART will hold an internal workshop to develop an approach and will present their revised methodology to PMOC in July 2013. It is expected that the revised analysis will include low and high ranges for all potential identified changes. HART will also attach a date of expected expenditure for each change. This data will be plotted on the contingency drawdown curve to show the best and worst cases.

The PMOC does have some concern with the adequacy of the remaining contingency given the anticipated costs due to the project delays. The PMOC will continue to monitor the forecast drawdown of contingency to determine whether recommendations for primary or secondary mitigations should be implemented.

- 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. It is anticipated that the license agreement may be finalized in July 2013.

- An interim HDOT State Oversight Agency (SOA) Project Manager has been working part-time since April 2011. Given the status of this Project, it is critical that the permanent SOA Project Manager be identified as soon as possible. HDOT revised the job posting to eliminate the Professional Engineer license requirement to broaden the pool of applicants and the job posting is open until filled. However, as of June 2013 HDOT may interview two potential applicants who are interested in the position.
- 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). There will no longer be a conflict of interest issue after April 30, 2013 when HDR anticipates completing Final Design and issuing a bid-ready submittal for construction to HART. HART proposes selecting another design consultant to perform construction administration for FHSG. HDR has submitted final plans, which are under review by HART. It is anticipated that closeout of their contract will occur in June 2013.
- The PMOC had recommended that HART engage a consultant to perform independent cost estimates for the remaining contract packages, including any repackaging efforts. HART has enlisted a subconsultant under the Program Management Consultant contract to provide these services.
- HART anticipates re-baselining their budget and Master Project Schedule (MPS) in October 2013, once they have certainty that construction activities will be resuming.

## 1.4 Core Accountability Items

Core Accountability Items			
Project Status: FFGA		Original at FFGA:	Current Estimate:
<b>Cost</b>	Cost Estimate	\$5,122,000,000	\$5,122,000,000
<b>Contingency</b>	Unallocated Contingency	\$101,900,000	\$101,900,000
	Total Contingency (Allocated plus Unallocated)	\$643,600,000	\$430,000,000
<b>Schedule</b>	Revenue Service Date	1/31/2020	1/31/2020
<b>Total Project Percent Complete</b>	Based on Expenditures	15.8%	
	Based on Earned Value	12.9% (April 2013)*	
Major Issues	Status	Comments/Planned Action	
Technical Capacity and Capability (TCC) Issues	PMOC had recommended that HART engage a consultant to perform independent cost estimates for the remaining contract packages, including any repackaging efforts.	HART has enlisted a subconsultant under the Program Management Consultant contract to provide these services.	
Potential Cost & Schedule Delays	HART continues to analyze the cost and schedule ramifications resulting from the Hawaii Supreme Court Archeological Inventory Survey (AIS) ruling. The analysis indicates that the delay will cost between \$7 and \$10M per month, and it is anticipated to be a nine to twelve month period. Delay may be longer depending on the length of SHPD review and satisfaction of permitting requirements.	<p>HART and PMOC held a workshop on April 11, 2013 to discuss potential impacts to the schedule. Activities related to the Federal and State lawsuits have been added to the schedule. MPS assumes construction will resume in September 2013. HART is analyzing delays to determine their effect on key milestones.</p> <p>It is the PMOC's professional opinion that HART may need to identify measures to mitigate a delay to the FFGA RSD if suspension of construction extends significantly beyond December 2013.</p> <p>The PMOC does have some concern with the adequacy of the remaining contingency given the anticipated costs due to the project delays. The PMOC will continue to monitor the forecast drawdown of contingency to determine whether recommendations for primary or secondary mitigations should be implemented.</p>	

Major Issues	Status	Comments/Planned Action
Remaining Construction Contracts	HART is in the process of revising the Contract Packaging Plan. Several contract packages are being combined to maximize economies of scale and reduce interface needs between design and construction contractors to achieve both cost and schedule benefits.	HART/PMOC continue to hold monthly breakout sessions to review changes being considered for each contract. Discussions focus on opportunities to reduce costs and accelerate contract-scheduled activities to attain key milestones earlier than targeted.
General Excise Tax (GET)	GET receipts continue to be an issue.	Representatives from the State Department of Taxation are appeared before the HART Board on May 16, 2013 to answer questions regarding the distribution of GET receipts. In addition, there is movement in the state legislature to call for an audit of the State Department of Taxation with regard to disbursement of the GET revenues. HART has requested monthly updates from the state on the GET revenues.
Post-Rod Changes	HART is considering several proposed design changes that may require additional environmental review. HART plans to submit information on each proposed change for FTA to determine the level of documentation required to assess impacts and subsequent mitigation measures.	The first proposed change involved temporary occupancy and De Minimis impact findings for Neal Blaisdell Park. This proposed change is under review by the FTA. Information on other proposed changes will not be available until July 2013 or later.
Safety and Security Manager for Core Systems Contract	Ansaldo Honolulu Joint Venture (AHJV) must provide a full-time, on site Safety and Security Manager for the CSC.	HART has rejected AHJV's proposed candidate for this position. HART is in discussions with AHJV on how to address the Safety and Security Manager position.
<b>Date of Next Quarterly Meeting:</b>		TBD

\*Percent Complete Based on Earned Value is less than Percent Complete Based on Expenditures primarily due to suspension of construction activities. It is anticipated that this variance can be mitigated once construction activity can resume.

## **2.0 BODY OF REPORT**

### **2.1 Grantee's Capabilities and Approach**

#### **2.1.1 Technical Capacity and Capability (TCC)**

HART has gone through considerable organizational changes since the FFGA was executed in December 2012. Project staff has begun reviewing their numerous plans and procedures to determine whether updates are required to reflect these changes. The PMOC met with HART to discuss the timing of each plan that will require updating as a result of the organization and procedural changes that have occurred.

Following are some key positions that are vacant and must be filled by HART or through their PMC:

- Independent cost estimator – Pending; will be filled through PMC
- Safety and Security Certification Manager – Recruiting in progress
- Configuration Manager – Newly identified position; HART will begin recruiting

HART intends to issue a Request for Proposals for a new General Engineering Consultant (GEC) contract in late July 2013. The scope of work for the new GEC would be modified significantly from that for the current GEC contract and would be developed to fit within the project budget more effectively.

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

##### Project Controls for Scope

- As a result of project delays, HART is in the process of revising the Contract Packaging Plan (CPP). Several contract packages are being combined to maximize economies of scale and reduce interface needs between design and construction contractors to achieve both cost and schedule benefits.
- Despite the AIS delay, HART is implementing measures to maintain the March 30, 2019 full revenue service date (RSD), 10 months ahead of the January 31, 2020 FFGA target. This RSD is the milestone date reflected in the FFGA Master Project Schedule (MPS) and is consistent with all FFGA request submittals. The latest update of the MPS does not indicate any delays to the Interim Opening or RSD at this time if construction were to resume in September 2013. HART is to analyze what-if scenarios to assess impacts to the Interim Opening and RSD if the suspension of construction extends beyond September 2013. It is the PMOC's professional opinion that any delays that extend beyond December 2013 may have an impact on the RSD.

##### 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.
- **Full Funding Grant Agreement (FFGA):** Executed on December 19, 2012.

- **Grantee Target Start of Revenue Operations for Full Alignment:** March 2019
- **FFGA Revenue Service Date (RSD):** January 31, 2020

### Cost

- HART and the PMOC continue to hold a monthly breakout session to review changes being considered for each contract. Breakout session discussions focus on opportunities to reduce costs and accelerate contract-scheduled activities to attain key milestones earlier than targeted.

### Quality

Following is a summary of HART Quality Management staff activities:

- Reviewed QAP for KHSB and Hazardous Materials contracts
- Reviewed Integrated Test Plan (ITP) for WOFH, KHG, and MSF
- Performed First Article of Inspection for Concrete Ties at LB Foster (CXT), Spokane,
- Quality Audit (QA) for MSF on May 8-9, 2013. No issues were identified.
- Completed the following audits:
  - Combined Quality and Safety & Security Audit of URS in May 2013 – No Non-conformance Reports were issued as a result of the audit.
- HART intends to perform an Interim Buy America Audit of the rail vehicles by the end of the year, after AHJV has secured purchase orders with the majority of their suppliers. The PMOC informed HART that Virginkar and Associates, a subconsultant to the PMOC, is available if needed to assist them with the planning of the review given their experience in performing similar audits.

### System Safety and Security

- The PMOC is planning a Safety and Security Management Plan (SSMP) Adherence Review in September 2013. HART is in the process of updating several of their procedures and management plans including the SSMP and SSCP. These updates are necessary due to the organizational changes enacted by the Executive Director and the contract packaging changes that are being planned. It is anticipated that HART will submit the revised updates to the SSMP and SSCP in July 2013. The PMOC will evaluate and report on the current status of HART's safety and security progress eight months after the FFGA was awarded to HART.
- Ansaldo Honolulu Joint Venture (AHJV) provided an interim part-time, on site Safety and Security Manager (SSM) for the CSC in April 2013 with as needed support from Italy. AHJV submitted a replacement SSM to HART for approval in June 2013. HART did not approve the replacement SSM and HART is allowing him to work until an acceptable SSM is approved by HART in the next few months. HART wants the interim part-time SSM to be the replacement SSM but he is not available. HART is not in compliance with PMOC recommendations made in the OP 22 Report that a full time, on site SSM is required.
- 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. HART anticipated the SSCM starting on July 1, 2013. However, the potential SSCM candidate declined in June 2013 and HART is searching for another potential candidate.
- FTA approved HDOT's System Safety and Security Program Standards (SSSPS) in June

2013, which will become an important part of HDOT's comprehensive safety and security assessment

- An interim HDOT State Oversight Agency (SOA) Project Manager has been working part-time since April 2011. HDOT is having difficulty finding a full-time SOA Project Manager and there are no indications when a full time person will be hired. HDOT revised the job posting to eliminate the Professional Engineer license requirement to broaden the pool of applicants and the job posting is open until filled. However, as of June 2013 HDOT may interview two potential applicants who are interested in the position.
- HART received a written response from the United States District Court Judge on May 3, 2013 accepting the proposed noise and security mitigation to be implemented.

### **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.
- 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 occur during Final Design and construction, the grantee has included requirements for their design in RFPs that have already been issued. Thus, the grantee has contractual assurances that the ROD's requirements will be met.
- Construction and Environmental Work – HART issued a suspension of construction work on August 24, 2012 for all ground-disturbing activities after a ruling by the Hawaii State Supreme Court requiring completion of the Archaeological Inventory Survey (AIS). Final Design work is still proceeding on all contracts that have been awarded to date.
  - Proposed Design Changes – HART is considering some design changes that may require additional environmental review. HART plans to submit information on each proposed change for FTA to determine the level of documentation required to assess impacts and subsequent mitigation measures. The first proposed change involved temporary occupancy and De Minimis impact findings for Neal Blaisdell Park. This proposed change is under review by the FTA. Information on other proposed changes will not be available until July 2013 or later.

## **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 status of all contracts is provided in Appendix B. The Total Design Percent Complete is approximately 45%. Final Design work and engineering activities are still proceeding on all contracts that have been awarded to date. The table in Section 1.2 provides a summary of Design Percent Complete on all contracts provided for the project.

The following table provides a summary of VE results provided for the project:

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
<b>TOTAL</b>	<b>154</b>	<b>\$710.2</b>	<b>79</b>	<b>\$310.3</b>

\*Total includes “conditionally accepted” Alternate Technical Concept (ATC) 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. There are currently 79 VE proposals that have been accepted by HART. These proposals have been incorporated in whole or in part where applicable to the current level of design.

### 2.2.2 Status of Third-Party Agreements

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

Agreement	Completion	Target	Section	Status
University of Hawaii (UH) Master Agreement	Pending	July 2013	WOFH, KHG, City Center	Final negotiations are underway.

Agreement	Completion	Target	Section	Status
Leeward Community College (LCC) Sub-agreement	Pending	July 2013	WOFH	In negotiations
UH West O'ahu (UHWO) Sub-agreement	Pending	July 2013	WOFH	In negotiations
Department of Land and Natural Resources (DLNR)	Pending	July 2013	WOFH	Will go before the Land Board in July.
Department of Education Master Agreement and Consent to Construct	Feb 8, 2011		WOFH	Executed
DR Horton Agreement for Construction	Mar 7, 2012		WOFH	Executed
DHHL Master Agreement	Mar 10, 2010		WOFH, MSF	Executed
DHHL Consent to Construct	Dec 1, 2011		WOFH, MSF	Consent to construct in place.
DHHL License or Property Transfer	Pending	July 2013	WOFH, MSF	License agreement awaiting City Council approval.
HDOT Master Agreement	Oct 31, 2011		WOFH	Executed
HDOT Joint Use & Occupancy (JU&O) Sub-agreement	Apr 5, 2012		WOFH	Executed
UH Urban Garden Sub-agreement	Pending	July 2013	KHG	In negotiations
HDOT Master Agreement for KHG, Airport and City Center	Pending	July 2013	KHG, Airport, City Center	Decision made to combine KHG, Airport and City Center into one Master Agreement. Draft of the agreement submitted to HDOT for their review. Once completed, City Council approval will be required.
HDOT JU&O Sub-agreement	Pending	August 2013	KHG	Will complete after HDOT Master Agreement is completed.
Aloha Stadium / Department of Accounting & General Services (DAGS)	Pending	July 2013	KHG	Revised MOU scheduled to go to Stadium Board and DLNR Land Board in July.
U.S. Navy / General Services Administration (GSA)	Pending	N/A	Airport	15 Easements were forwarded to regional command for approval.
U.S. Post Office Honolulu Processing Center	Pending	February 2014	Airport	Design agreed to by Post Office. Will begin the guideway easement process once all property requirements identified.
Federal Aviation Administration (FAA) Master Agreement	Pending	February 2014	Airport	As design progresses a determination will be made if an agreement is required.
HDOT JU&O Sub-agreement	Pending	March 2014	Airport	Will complete after Master Agreement is completed.
HDOT JU&O Sub-agreement	Pending	July 2014	City Center	Will complete after Master Agreement is completed.
Honolulu Community College (HCC) Sub-agreement	Pending	July 2014	City Center	Please see UH Master Agreement. On hold due to federal order.
Federal Court House/GSA	Pending	Oct 2014	City Center	On hold due to federal order.
HI Community Development Agreement (HCDA)	Pending	Oct 2014	City Center	Awaiting final design requirements for the guideway. On hold due to federal order.
DAGS	Pending	Oct 2014	City Center	Awaiting final design requirements for the guideway. On hold due to federal order.

The PMOC has monthly “break out” sessions with HART to discuss the status of Third Party Agreements. Pending Third Party Agreements are not currently having an effect on the MPS. However, there are several agreements that will become critical to the MPS if not executed before or shortly after construction resumes. These agreements have been identified on HART’s AIS Roadmap.

### 2.2.3 Delivery Method

As noted above, HART is in the process of revising the Contract Packaging Plan (CPP). Several contract packages are being combined to maximize economies of scale and reduce interface needs between design and construction contractors to achieve both cost and schedule benefits.

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 is combining Segments III and IV into a single guideway construction contract.

### 2.2.4 Core Systems and Vehicle Status

Ansaldo Honolulu Joint Venture (AHJV) will design, furnish, install, test, and commission passenger vehicles, operating systems, auxiliary vehicles and equipment, and appurtenances, in support of incremental opening of the System. The following table provides a status of the Core Systems and Vehicle activities associated with the project:

Core System Description	Status
<b>Core System - General</b>	
Notice to Proceed (NTP) Delay Claim	AHJV has asserted they have a 9-month delay in starting work due to CSC protest. HART has denied this delay. This issue is in dispute.
Hawaiian Electric Company (HECO) Estimated Traction Power Demand	HART to provide Hawaiian Electric Company (HECO) with AHJV simulations to estimate power demand based on actual operation scenarios. AHJV finalized consumption estimate. AHJV to submit revised simulations for fail over criteria
Fare Collection System	HART is reviewing possibility of installing fare gates
System Performance Design	There are some concerns with AHJV’s method for calculating headways, round trip times, fleet size and system capacity. These issues will be vetted once more information on operations modeling is available.
<b>Core System Train Control/SCADA Subsystem</b>	
Operational Control Center (OCC) Layout	Operational Control Center (OCC) layout may be smaller than the area originally proposed to accommodate equipment. Major issues resolved but discussions with AHJV ongoing

<b>Core System Description</b>	<b>Status</b>
Mixed Fleet Operation	AHJV has issues with installing redundant systems for future four-car train consist operation. HART is considering start of revenue service with 4-car trains that would mitigate this issue.
Maintenance Of Way (MOW) Vehicle Automatic Train Control (ATC) Capabilities	HART considering Automatic Vehicle Indication (AVI)/Automatic Vehicle Location (AVL)
<b>Core System Traction Electrification</b>	
Train Evacuation – Wayside Energy Storage	HART is now considering only on type of Wayside Energy Storage scenarios: Emergency Generators (Diesel).
<b>Core System Communication Subsystems</b>	
Guideway Walkway/Cableway	AHJV is proposing to install cable trough on the emergency walkway for the entire guideway due to concerns with smaller trapezoidal cavity in concrete guideway AHJV is coordinating with Kiewit.
<b>Core System O&amp;M Subsystem</b>	
Maintenance and Storage Facility (MSF) Yard Configuration	AHJV is evaluating HART’s proposed MSF yard configuration changes
Guideway Track Parameters	AHJV to provide HART with its assessment of gain/loss in trip time due to H1 changes.
<b>Core System Vehicle Subsystem</b>	
Long gaps in contact rail for diamond crossovers	AHJV proposes smaller diamond crossovers to eliminate long gaps.  HART has executed a change order in the amount of \$1.75M to add 800 seats to the vehicles.
Vehicle/Platform Interface Tolerances	HART and AHJV are evaluating the gap tolerances between the vehicle and station platform
Train Evacuation – Onboard Energy Storage	Not considered by HART. HART will investigate Wayside Energy Storage instead.
Derailment Mitigation	AHJV claims no responsibility for installing guard rails to prevent derailments. HART to provide AHJV with contract details
Collector Shoe/Contact Rail	AHJV claims there are clearance issues between the collector shoe and the contact rail. HART sees no issue since the clearance being proposed is similar to what CSC has installed in Los Angeles. This issue is closed.

### 2.3 Project Management Plan and Sub-Plans

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

Sub-Plan	Revision No.	Date	Notes
Quality Management Plan (QMP)	1	15-Feb-12	Accepted
Real Estate Acquisition and Management Plan (RAMP)	5	01-Jun-12	Accepted
Bus Fleet Management Plan (BFMP)	3	Mar-12	Accepted
Rail Fleet Management Plan (RFMP)	0.1	Mar-12	Accepted
Safety and Security Management Plan (SSMP)	3A	29-Feb-12	Accepted
Safety and Security Certification Plan (SSCP)	2A	01-Mar-12	Accepted
Configuration Management Plan	0.2	07-Feb-12	Accepted
Staffing and Succession Plan	5	25-May-12	Accepted
Risk and Contingency Management Plan (RCMP)	0	29-Jun-12	Accepted but under review by the new Project Controls Manager. who will be responsible for its implementation
Operating Plan	0.2	29-Jun-12	Accepted
Force Account Plan	0.3	05-Jan-12	Accepted
Mitigation Monitoring Program	0	15-Mar-12	Accepted
Interface Management Plan	0.1	17-Jan-12	Accepted
Contract Packaging Plan	3.0	30-Mar-12	Accepted
Claims Avoidance Plan	0.1	24-Jan-12	Accepted
Construction Management Plan (CMP)	0.1	03-Feb-12	Accepted
Contract Resident Engineer Manuals (DB & DBOM)	0.1	Feb-12	Accepted
Contract Resident Engineer Manuals (DBB)	A	15-Mar-12	Accepted
Project Procedures			Accepted

HART is in the process of updating several of their procedures and management plans including the PMP, Contract Packaging Plan, Staffing and Succession Plan, and Construction Management Plan. These updates are necessary due to the organizational changes enacted by the Executive Director and the contract packaging changes that are being planned. It is anticipated that HART will submit the DRAFT updates starting in July 2013.

## 2.4 Project Schedule Status

HART submitted an update of the Master Project Schedule (MPS) with a Data Date of March 29, 2013. The Revenue Service Date (RSD) identified in the FFGA is January 30, 2020. HART's current MPS identifies the target date for the start of interim revenue service as June 2017 and full revenue service as March 2019. The table below provides a comparison of key milestone dates at time of FFGA application and the current MPS.

Milestone Description	Activity ID	Finish Date		Variance (Days)
		FFGA Application Baseline	Current MPS	
Foundations Complete	KASG4120	13-May-17	25-Aug-17	(104)
Interim Revenue Service	MM-0100	29-Jun-16	20-May-17	(325)
Target for Full Revenue Service	DBOM-9270	12-Mar-19	31-Mar-19	(19)

It should be noted that the above milestone do reflect the recent suspension of ground disturbing activities that occurred in August 2012. HART updated the MPS with regard to the suspension of activities to determine the impact. The updated MPS does not indicate any significant delays to the RSD at this time if construction were to resume in September 2013. HART is analyzing what-if scenarios to assess impacts to the Interim Opening and RSD if the suspension of construction extends beyond September 2013. The PMOC is independently reviewing the MPS to determine the effects of the AIS Delay.

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

<b>Period: July 2013 – September 2013</b>		
<b>Activity</b>	<b>Responsibility</b>	<b>Date</b>
Monthly Progress Meeting	FTA, HART, PMC, GEC and PMOC	July 10, 2013
Monthly Progress Meeting	FTA, HART, PMC, GEC and PMOC	August 7, 2013
SSMP Adherence Review	FTA, HART, PMC, GEC and PMOC	September 10, 2013
Monthly Progress Meeting	FTA, HART, PMC, GEC and PMOC	September 11, 2013
Quarterly Progress Meeting	FTA, HART, PMC, GEC and PMOC	TBD

## **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:

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

**Total Expenditures to Date – \$0.672 billion (through April 2013)**

### **2.5.1 Standard Cost Category (SCC)**

The most recent SCC Workbook is submitted as a separate electronic file. The following table presents the FFGA budget, expenditures to date, and Estimate at Completion (EAC) for each SCC.

SCC	SCC Description	FFGA Budget	Base Cost	Allocated Cont.	Incurred	EAC
<b>10</b>	<b>GUIDEWAY &amp; TRACK ELEMENTS</b>	<b>1,275,328,962</b>	<b>1,114,305,144</b>	<b>161,023,818</b>	<b>28,054,162</b>	<b>1,134,321,780</b>
10.04	Guideway: Aerial structure	1,175,328,184	1,022,380,670	152,947,514	7,527,062	1,039,128,341
10.08	Guideway: Retained cut or fill	8,077,393	7,492,943	584,450	0	6,436,256
10.09	Track: Direct fixation	86,332,027	79,437,204	6,894,823	20,527,100	82,827,829
10.11	Track: Ballasted	3,550,634	3,293,724	256,910	0	2,697,875
10.12	Track: Special (switches, turnouts)	2,040,724	1,700,603	340,121	0	3,231,479
<b>20</b>	<b>STATIONS, STOPS, TERMINALS, INTERMODA</b>	<b>506,165,689</b>	<b>421,804,742</b>	<b>84,360,947</b>	<b>0</b>	<b>400,404,740</b>
20.01	At-grade station, stop, shelter, mall, terminal, platform	7,333,599	6,111,333	1,222,266	0	6,111,332
20.02	Aerial station, stop, shelter, mall, terminal, platform	353,476,148	294,563,457	58,912,691	0	273,163,457
20.06	Automobile parking multi-story structure	79,690,518	66,408,765	13,281,753	0	66,408,765
20.07	Elevators, escalators	65,665,424	54,721,187	10,944,237	0	54,721,186
<b>30</b>	<b>SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS</b>	<b>99,425,456</b>	<b>92,535,013</b>	<b>6,890,443</b>	<b>4,787,818</b>	<b>101,949,391</b>
30.02	Light Maintenance Facility	8,161,279	7,591,887	569,392	0	7,586,793
30.03	Heavy Maintenance Facility	40,906,889	38,099,138	2,807,751	2,657,874	37,857,030
30.04	Storage or Maintenance of Way Building	8,382,270	7,797,460	584,810	73,606	7,735,910
30.05	Yard and Yard Track	41,975,018	39,046,528	2,928,490	2,056,338	48,769,658
<b>40</b>	<b>SITWORK &amp; SPECIAL CONDITIONS</b>	<b>1,103,867,264</b>	<b>980,569,426</b>	<b>123,297,838</b>	<b>211,358,177</b>	<b>937,064,912</b>
40.01	Demolition, Clearing, Earthwork	34,695,802	29,980,157	4,715,645	6,614	27,672,011
40.02	Site Utilities, Utility Relocation	350,694,801	299,449,755	51,245,046	8,452,676	303,419,398
40.03	Haz. mat'l, contam'd soil removal/mitigation, ground water treatments	7,228,935	6,590,542	638,393	264,758	3,777,603
40.04	Environmental mitigation, e.g. wetlands, historic/archeologic, parks	30,841,906	26,979,122	3,862,784	3,430,633	31,955,923
40.05	Site structures including retaining walls, sound walls	8,637,582	7,998,960	638,622	575,338	9,061,374
40.06	Pedestrian / bike access and accommodation, landscaping	48,262,816	41,073,897	7,188,919	0	41,873,040
40.07	Automobile, bus, van accessways including roads, parking lots	212,536,181	181,979,369	30,556,812	507,888	170,471,360
40.08	Temporary Facilities and other indirect costs during construction	410,969,241	386,517,624	24,451,617	198,120,270	348,834,203
<b>50</b>	<b>SYSTEMS</b>	<b>247,460,781</b>	<b>221,284,483</b>	<b>26,176,298</b>	<b>0</b>	<b>220,601,453</b>
50.01	Train control and signals	91,492,532	81,982,556	9,509,976	0	82,402,646
50.02	Traffic signals and crossing protection	12,524,011	10,458,227	2,065,784	0	10,251,336
50.03	Traction power supply: substations	32,873,934	29,500,927	3,373,007	0	31,027,311
50.04	Traction power distribution: catenary and third rail	36,426,286	32,878,150	3,548,136	0	29,996,873
50.05	Communications	59,889,234	53,691,339	6,197,895	0	54,251,397
50.06	Fare collection system and equipment	10,221,753	9,159,277	1,062,476	0	9,218,099
50.07	Central Control	4,033,031	3,614,007	419,024	0	3,453,791
<b>Construction Subtotal (10 - 50)</b>		<b>3,232,248,152</b>	<b>2,830,498,808</b>	<b>401,749,344</b>	<b>244,200,157</b>	<b>2,794,342,276</b>

SCC	SCC Description	FFGA Budget	Base Cost	Allocated Cont.	Incurred	EAC
<b>60</b>	<b>ROW, LAND, EXISTING IMPROVEMENTS</b>	<b>222,188,386</b>	<b>197,397,947</b>	<b>24,790,439</b>	<b>40,345,772</b>	<b>197,675,747</b>
60.01	Purchase or lease of real estate	201,658,907	179,360,664	22,298,243	38,094,545	179,360,664
60.02	Relocation of existing households and businesses	20,529,479	18,037,283	2,492,196	2,251,227	18,315,083
<b>70</b>	<b>VEHICLES</b>	<b>208,501,186</b>	<b>186,829,020</b>	<b>21,672,166</b>	<b>212,900</b>	<b>190,028,297</b>
70.02	Heavy Rail	186,061,066	166,721,385	19,339,681	0	171,122,353
70.06	Non-revenue vehicles	16,011,166	14,346,923	1,664,243	212,900	13,026,548
70.07	Spare parts	6,428,954	5,760,712	668,242	0	5,879,396
<b>80</b>	<b>PROFESSIONAL SERVICES</b>	<b>1,183,826,026</b>	<b>1,090,438,814</b>	<b>93,387,212</b>	<b>384,709,038</b>	<b>1,067,831,314</b>
80.01	Preliminary Engineering	95,120,484	94,055,262	1,065,222	92,178,523	117,953,305
80.02	Final Design	257,934,908	228,321,632	29,613,276	48,404,467	186,979,401
80.03	Project Management for Design and Construction	385,825,694	366,458,463	19,367,231	201,388,293	362,482,961
80.04	Construction Administration & Management	218,155,752	199,656,728	18,499,024	30,390,884	198,079,928
80.05	Professional Liability and other Non-Construction Insurance	52,138,030	46,549,724	5,588,306	874,436	40,884,316
80.06	Legal; Permits; Review Fees by other agencies, cities, etc.	76,135,125	67,641,006	8,494,119	6,273,066	67,673,782
80.07	Surveys, Testing, Investigation, Inspection	24,955,327	21,759,335	3,195,992	3,178,669	28,973,550
80.08	Start up	73,560,706	65,996,664	7,564,042	2,020,700	64,804,071
<b>90</b>	<b>Subtotal (10 - 80)</b>	<b>4,846,763,750</b>	<b>4,305,164,589</b>	<b>541,599,161</b>	<b>669,467,867</b>	<b>4,249,877,634</b>
	<b>UNALLOCATED CONTINGENCY</b>	101,871,170	0	101,871,170	0	101,871,170
<b>100</b>	<b>Subtotal (10 - 90)</b>	<b>4,948,634,920</b>	<b>4,305,164,589</b>	<b>643,470,331</b>	<b>669,467,867</b>	<b>4,351,748,804</b>
	<b>FINANCE CHARGES</b>	173,058,242			0	173,058,243
	<b>Total Project Cost (10 - 100)</b>	<b>5,121,693,162</b>	<b>4,305,164,589</b>	<b>643,470,331</b>	<b>669,467,867</b>	<b>4,524,807,047</b>

## 2.5.2 Contingency

HART has developed a detailed methodology for forecasting use of contingency. The PMOC has noted that there is still a discrepancy in how HART will handle potential future changes without enough information to prepare detailed cost estimates. HART will hold an internal workshop to develop an approach and will present their revised methodology to PMOC in July 2013. It is expected that the revised analysis will include low and high ranges for all potential identified changes. HART will also attach a date of expected expenditure for each change. This data will be plotted on the contingency drawdown curve to show the best and worst cases.

HART's current assessment indicates the range of uncommitted contingency at this time is \$400-430 million. PMOC will review this estimate in detail upon submission of HART's revised methodology in July 2013.

The PMOC does have some concern with the adequacy of the remaining contingency given the anticipated costs due to the project delays. The PMOC will continue to monitor the forecast drawdown of contingency to determine whether recommendations for primary or secondary mitigations should be implemented.

## 2.5.3 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
<b>Total</b>	<b>\$5.122 billion</b>

The GET surcharge receipts received to date are approximately \$651 million.

## 2.6 Project Risk

The following activities associated with risk management have occurred:

- 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.

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 implemented efforts to recover contingency levels through cost reduction measures, value engineering, and revised project delivery strategies. In addition, strong controls were 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 its proposed Secondary Mitigation items and to identify additional viable items. This information was reviewed by the PMOC and will be incorporated into a final updated RCMP.

HART and the PMOC have reviewed the list of potential secondary mitigation measures. The PMOC estimates the current value of viable Secondary Mitigation measures to be \$35 million, which is substantially less than recommended amount of \$149 million. The PMOC requested that HART review and update their list of potential Secondary Mitigations Measures since many of the items previously identified are no longer viable.

## 2.7 Action Items

Item No.	Item	Responsible Party	Date Identified	Date Due	Date Completed	Status
1	Schedule Mitigation Monitoring Plan (MMP) workshop with FTA/PMOC	HART/PMOC	Jan-13	Aug-13		To be scheduled in Aug 2013
2	Develop schedule for HART Safety and Security Roadmap	HART	Apr-13	May-13		Open – To be provided on May 14, 2013
3	Update management plans	HART	May-13	Aug-13		Open
4	Provide white paper on 4-car trains	HART	May-13	Jul-13		Under PMOC review
5	Provide scope of work for platform screen gates	HART	May-13	Jun-13		Open
6	Provide CSC design review comments	PMOC	May-13	Jun-13		Open
7	Meet to discuss CSC design review comments	HART/PMOC	May-13	Jul-13		Open
8	Provide CSC presentation information	HART	Jun-13	Jul-13		Open

The following action items were discussed during the Project Controls Meeting:

Item No.	Item	Responsible Party	Date Identified	Date Due	Date Completed	Status
1	Provide an assessment of the AIS Cost/Schedule Impact Analysis	PMOC	Dec-12	May-13		Open – draft has been submitted to FTA; update required to reflect revised MPS
2	Complete and submit the updated Contract Package Plan	HART	Jan-13	Mar-13		Open – requires discussion
3	Submit the baselined RCMP	HART	Jan-13	May-13		Open
4	Revise cost drawdown curve to reflect smooth data points	HART	Mar-13	May-13	May-13	Closed
5	Provide justification for Lea+Elliott contract reassignment from GEC to HART	HART	May-13	Jun-13		In progress – White paper pending
6	Update primary and secondary mitigation measures	HART	May-13	Jun-13		In progress
7	Provide AIS delay summary status	HART	Jun-13	Jul-13		In progress
8	Rebaseline MPS & Budget	HART	Jun-13	Oct-13		
9	Contingency forecast update	HART	Jun-13	Jul-13		

## 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
DLNR	▪ Department of Land and Natural Resources
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.

<b>Contract No.</b>	<b>MM-901</b>	
<b>Contract Description:</b>	<b>Program Management Support Consultant (PMSC-2)</b>	
<b>Status:</b>	Grantee executed a contract with InfraConsult LLC to provide PMC services. NTP was issued February 23, 2012.	
<b>Cost:</b>	Original Contract Value	\$33,000,000
	Approved Change Orders	\$0
	Current Contract Value	\$33,000,000
	Expended to Date	\$10,300,000
	% Expended	30.9%
	DBE Participation	0%
<b>Schedule:</b>	Contract duration is approximately 36 months from NTP.	
<b>Issues or Concerns:</b>	None	

<b>Contract No.</b>	<b>MM-910</b>	
<b>Contract Description:</b>	<b>General Engineering Consultant (GEC II) Contract</b>	
<b>Status:</b>	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.	
<b>Cost:</b>	Original Contract Value	\$300,000,000
	Approved Change Orders	\$0
	Current Contract Value	\$300,000,000
	Expended to Date	\$107,800,000
	% Expended	35.9%
	DBE Participation	0%
<b>Schedule:</b>	The contract duration is approximately 36 months from NTP with an option for an additional 36 months.	
<b>Issues or Concerns:</b>	HART intends to issue a Request for Proposals for a new General Engineering Consultant (GEC) contract in late July 2013. The scope or work for the new GEC would be modified significantly from that for the current GEC contract and would be developed to fit within the project budget more effectively.	

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

	<ul style="list-style-type: none"> <li>• NTP 1A – Issued March 11, 2010, authorizing \$25.8 million for PE activities to be completed.</li> <li>• NTP 1B - Issued March 23, 2010, authorizing \$21.2 million for interim design activities.</li> <li>• NTP 1C – Issued June 7, 2010, authorizing \$3.5 million for test and demonstration drilled shafts to complete the deep foundations interim design.</li> <li>• 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.</li> <li>• 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.</li> <li>• 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.</li> <li>• 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.</li> <li>• NTP 4B – Issued May 17, 2012, authorizing limited construction activities associated with the precast yard.</li> </ul>												
<b>Cost:</b>	<table border="1"> <tr> <td>Original Contract Value</td> <td>\$482,924,000</td> </tr> <tr> <td>Approved Change Orders</td> <td>\$54,800,000</td> </tr> <tr> <td>Current Contract Value</td> <td>\$537,771,469</td> </tr> <tr> <td>Expended to Date</td> <td>\$176,509,750</td> </tr> <tr> <td>% Expended</td> <td>32.8%</td> </tr> <tr> <td>DBE Participation</td> <td>1.23%</td> </tr> </table>	Original Contract Value	\$482,924,000	Approved Change Orders	\$54,800,000	Current Contract Value	\$537,771,469	Expended to Date	\$176,509,750	% Expended	32.8%	DBE Participation	1.23%
Original Contract Value	\$482,924,000												
Approved Change Orders	\$54,800,000												
Current Contract Value	\$537,771,469												
Expended to Date	\$176,509,750												
% Expended	32.8%												
DBE Participation	1.23%												
<b>Schedule:</b>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Completion is anticipated in January 2015.</li> </ul>												
<b>Issues or Concerns:</b>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Contractor must submit a revised baseline schedule.</li> <li>• No construction activity will continue until future written notice is provided by HART due to AIS.</li> </ul>												

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

	<ul style="list-style-type: none"> <li>receives the appropriate authorizations from FTA.</li> <li>NTP 3A – Issued February 7, 2012 authorizing construction activities, excluding activities associated with the precast yard under the LONP 2 authority.</li> <li>NTP 3B – Issued on May 22, 2012 authorizing limited construction activities associated with the precast yard.</li> </ul>	
<b>Cost:</b>	Original Contract Value	\$372,150,000
	Approved Change Orders	\$4,200,000
	Current Contract Value	\$376,366,000
	Expended to Date	\$82,804,669
	% Expended	22.1%
	DBE Participation	0.35%
<b>Schedule:</b>	<ul style="list-style-type: none"> <li>Contract duration is approximately 48 months from NTP.</li> <li>Completion is anticipated in July 2015.</li> </ul>	
<b>Issues or Concerns:</b>	<ul style="list-style-type: none"> <li>No construction activity will continue until future written notice is provided by HART due to AIS.</li> </ul>	

<b>Contract No.</b>	<b>DB-200</b>	
<b>Contract Description:</b>	<b>Maintenance and Storage Facility DB Contract</b>	
<b>Status:</b>	<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"> <li>NTP 1 – Issued July 25, 2011, authorizing \$16.8 million to perform PE, associated site investigations and coordinating with other contractors.</li> <li>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).</li> <li>NTP 3 – Issued February 7, 2012 authorizing construction activities under the LONP 2 authority.</li> </ul>	
<b>Cost:</b>	Original Contract Value	\$195,258,000
	Approved Change Orders	\$19,597,737
	Current Contract Value	\$215,375,751
	Expended to Date	\$52,479,616
	% Expended	24.4%
	DBE Participation	0.14%
<b>Schedule:</b>	<ul style="list-style-type: none"> <li>Contract duration is approximately 36 months from NTP.</li> <li>Completion is anticipated in December 2014.</li> </ul>	
<b>Issues or Concerns:</b>	<ul style="list-style-type: none"> <li>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.</li> <li>No construction activity will continue until future written notice is provided by HART due to AIS.</li> </ul>	

<b>Contract No.</b>	<b>DBOM-920</b>	
<b>Contract Description:</b>	<b>Core Systems Contract (CSC)</b>	
<b>Status:</b>	<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"> <li>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.</li> </ul>	
<b>Cost:</b>	Original Contract Value	\$573,782,793
	Approved Change Orders	\$0
	Current Contract Value	\$573,782,793
	Expended to Date	\$27,841,431
	% Expended	4.9%
	DBE Participation	0.00%
<b>Schedule:</b>	<ul style="list-style-type: none"> <li>Contract duration is approximately 88 months from NTP.</li> <li>Completion is anticipated in April 2019.</li> </ul>	
<b>Issues or Concerns:</b>	<ul style="list-style-type: none"> <li>Grantee has provided approval with comments of the baseline schedule.</li> </ul>	

<b>Contract No.</b>	<b>FD-430</b>	
<b>Contract Description:</b>	<b>Airport Section Guideway and Utilities Final Design</b>	
<b>Status:</b>	<p>AECOM was awarded a contract on December 15, 2011. The following NTPs have been issued:</p> <ul style="list-style-type: none"> <li>NTP 1A – Issued on January 5, 2012 for a design workshop and to develop a schedule of milestones and activities.</li> <li>NTP 1B – Issued on February 22, 2012 to advance design.</li> </ul>	
<b>Cost:</b>	Original Contract Value	\$39,115,960
	Approved Change Orders	\$275,000
	Current Contract Value	\$39,115,960
	Expended to Date	\$17,964,158
	% Expended	47.9%
	DBE Participation	0.76%
<b>Schedule:</b>	<ul style="list-style-type: none"> <li>Contract duration is approximately 61 months from NTP 1A.</li> <li>Completion is anticipated in January 2017.</li> </ul>	
<b>Issues or Concerns:</b>	<ul style="list-style-type: none"> <li>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.</li> </ul>	

<b>Contract No.</b>	<b>FD-530</b>	
<b>Contract Description:</b>	<b>City Center Section Guideway and Utilities Final Design</b>	
<b>Status:</b>	<p>AECOM was awarded a contract on July 30, 2012. The following NTPs have been issued:</p> <ul style="list-style-type: none"> <li>NTP 1A – Issued on July 31, 2012 for a design workshop and to develop a schedule of milestones and activities.</li> </ul>	

	<ul style="list-style-type: none"> <li>NTP 1B – Issued on October 25, 2012 for preliminary engineering revisions.</li> </ul>	
<b>Cost:</b>	Original Contract Value	\$43,948,220
	Approved Change Orders	\$0
	Current Contract Value	\$43,948,220
	Expended to Date	\$7,325,088
	% Expended	17.3%
	DBE Participation	0%
<b>Schedule:</b>	<ul style="list-style-type: none"> <li>Contract duration is approximately 61 months from NTP 1A.</li> <li>Completion is anticipated in January 2017.</li> </ul>	
<b>Issues or Concerns:</b>	<ul style="list-style-type: none"> <li>Airport and City Center Guideway Construction Packages will be combined.</li> </ul>	

<b>Contract No.</b>	<b>FD-240</b>	
<b>Contract Description:</b>	<b>Farrington Highway Station Group Final Design</b>	
<b>Status:</b>	HDR/HPE, Inc. was awarded a contract on April 15, 2010. The following NTP's have been issued: <ul style="list-style-type: none"> <li>NTP 1 – Issued on January 14, 2011 to begin PE.</li> <li>NTP 2 – Issued on February 13, 2012 to begin Interim Design.</li> <li>NTP 3 – Issued on January 28, 2012 to begin Final Design.</li> </ul>	
<b>Cost:</b>	Original Contract Value	\$5,500,000
	Approved Change Orders	\$2,508,045
	Current Contract Value	\$8,008,045
	Expended to Date	\$7,465,385
	% Expended	93.9%
	DBE Participation	2.68%
<b>Schedule:</b>	<ul style="list-style-type: none"> <li>Contract duration is approximately 55 months from NTP 1.</li> <li>Completion is anticipated in July 2015.</li> </ul>	
<b>Issues or Concerns:</b>	<ul style="list-style-type: none"> <li>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.</li> <li>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. HDR submitted final plans; contract closeout anticipated in June 2013.</li> </ul>	

<b>Contract No.</b>	<b>FD-140</b>	
<b>Contract Description:</b>	<b>West Oahu Station Group Construction Final Design</b>	
<b>Status:</b>	URS, Inc. was awarded a contract on June 14, 2012. The following NTP's have been issued: <ul style="list-style-type: none"> <li>NTP 1A – Issued on June 15m, 2012 to prepare statement of work and mobilize.</li> </ul>	

	<ul style="list-style-type: none"> <li>• NTP 1B – Issued on September 6, 2012 to begin advanced PE.</li> <li>• NTP 1C – Issued on January 4, 2013 to begin Interim Design.</li> </ul>	
<b>Cost:</b>	Original Contract Value	\$7,789,000
	Approved Change Orders	\$0
	Current Contract Value	\$7,789,000
	Expended to Date	\$ 3,713,457
	% Expended	47.6%
	DBE Participation	0%
<b>Schedule:</b>	<ul style="list-style-type: none"> <li>• Contract duration is approximately 55 months from NTP 1A.</li> <li>• Completion is anticipated in October 2015.</li> </ul>	
<b>Issues or Concerns:</b>	<ul style="list-style-type: none"> <li>• None at this time</li> </ul>	

<b>Contract No.</b>	<b>FD-340</b>	
<b>Contract Description:</b>	<b>Kamehameha Highway Station Group Construction Final Design</b>	
<b>Status:</b>	Anil Verma, Inc. was awarded a contract on November 26, 2012. The following NTP's have been issued: <ul style="list-style-type: none"> <li>• NTP 1A – Issued on November 26, 2012 to prepare statement of work and mobilization.</li> </ul>	
<b>Cost:</b>	Original Contract Value	\$8,500,000
	Approved Change Orders	\$0
	Current Contract Value	\$8,072,592
	Expended to Date	\$ 2,497,934
	% Expended	29.4%
	DBE Participation	0%
<b>Schedule:</b>	<ul style="list-style-type: none"> <li>• Contract duration is approximately 33 months from NTP 1A.</li> <li>• Completion is anticipated in August 2015.</li> </ul>	
<b>Issues or Concerns:</b>	<ul style="list-style-type: none"> <li>• None at this time</li> </ul>	

<b>Contract No.</b>	<b>FD-440</b>	
<b>Contract Description:</b>	<b>Airport Station Group Construction Final Design</b>	
<b>Status:</b>	AECOM was awarded a contract on November 7, 2012. The following NTP's have been issued: <ul style="list-style-type: none"> <li>• NTP 1A – Issued on November 14, 2012 to prepare statement of work and advanced activities.</li> <li>• NTP 1B – Issued on January 4, 2013 to begin advanced PE.</li> </ul>	
<b>Cost:</b>	Original Contract Value	\$10,177,365
	Approved Change Orders	\$0
	Current Contract Value	\$10,177,365
	Expended to Date	\$ 2,744,798
	% Expended	27.9%
	DBE Participation	0%
<b>Schedule:</b>	<ul style="list-style-type: none"> <li>• Contract duration is approximately 57 months from NTP 1A.</li> </ul>	

	<ul style="list-style-type: none"> <li>Completion is anticipated in July 2017.</li> </ul>
<b>Issues or Concerns:</b>	<ul style="list-style-type: none"> <li>None at this time</li> </ul>

<b>Contract No.</b>	<b>MM-935</b>	
<b>Contract Description:</b>	<b>Real Estate Services Consultant</b>	
<b>Status:</b>	The grantee issued NTP on March 14, 2012 to Paragon Partners, LTD.	
<b>Cost:</b>	Original Contract Value	\$2,800,000
	Approved Change Orders	\$0
	Current Contract Value	\$2,800,000
	Expended to Date	\$258,205
	% Expended	9.2%
	DBE Participation	0%
<b>Schedule:</b>	Completion is anticipated in March 2017.	
<b>Issues or Concerns:</b>	None at this time	

<b>Contract No.</b>	<b>MM-950</b>	
<b>Contract Description:</b>	<b>Owner Controlled Insurance Program (OCIP) Consultant</b>	
<b>Status:</b>	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.	
<b>Cost:</b>	Original Contract Value	\$1,025,000
	Approved Change Orders	\$0
	Current Contract Value	\$1,025,000
	Expended to Date	\$382,500
	% Expended	37%
	DBE Participation	0%
<b>Schedule:</b>	Completion is anticipated in December 2019.	
<b>Issues or Concerns:</b>	None at this time	

<b>Contract No.</b>	<b>MM-940</b>	
<b>Contract Description:</b>	<b>Programmatic Agreement (PA) Project Manager</b>	
<b>Status:</b>	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.	
<b>Cost:</b>	Original Contract Value	\$950,000
	Approved Change Orders	\$0
	Current Contract Value	\$950,000
	Expended to Date	\$284,908
	% Expended	30%
	DBE Participation	0%

<b>Schedule:</b>	Completion is anticipated in February 2017.
<b>Issues or Concerns:</b>	None at this time.

## Appendix C: Procurement Schedule

Contract No.	Segment	Type Svc	Status	Description	Advertise	NTP	Bid Ready	Complete
FD-550	City Cen	Design	Active	Dillingham Station Group/Kaka'ako Station Group	11/16/2012	8/15/2013	5/1/2015	7/30/2018
MM-951	PW	Services	Active	OCIP Brokerage Services	12/14/2012	3/1/2013	N/A	7/31/2014
MM-500	Airport	CE&I	Active	Airport and City Center Utilities CE&I	7/26/2013	10/2/2013	N/A	1/15/2017
MM-280	WOFH/ KHG	CE&I	Active	West Oahu / Farrington Highway and Kamehameha Station Groups (includes H2/R2 Ramp)	1/23/2013	10/2/2013	N/A	6/15/2017
ART Prg	PW	Art	Active	Art-in-Transit (Call for Artists)	5/14/2013	TBD		
MM-945	PW	Services	Future	On-Call Construction Contractor	3/15/2013	8/27/2013	N/A	3/3/2019
FD-245	KHG	Design	Future	Pearl Highlands Parking Structure/Bus Transit Center	4/15/2013	#####	10/1/2015	4/29/2018
	PW	Prof Svcs	Future	General Engineering Consultant Re-compete	7/26/2013	9/1/2013	N/A	TBD
MM-525	Airport	CE&I	Future	Airport and City Center Guideway CE&I	7/26/2013	10/2/2013	N/A	8/15/2018
DBB-505	Airport	Construction	Future	Airport Section Utilities	11/1/2013	3/5/2013	N/A	12/22/2015
DBB-185	WOFH/ KHG	Construction	Future	West Oahu / Farrington Highway and Kamehameha Station Groups Construction	1/15/2014	4/15/2014	N/A	11/14/2016
MM-590	Airport	CE&I	Future	Airport / Dillingham / Kaka'ako Station Group	7/26/2013	10/2/2013	N/A	8/14/2018
DBB-510	City Cen	Construction	Future	City Center Section Utilities	3/15/2014	6/15/2014	N/A	12/22/2015
DBB-520	Airport	Construction	Future	Airport and City Center Guide Guideway Construction	5/1/2014	#####	N/A	4/29/2018

FD-600	WOFH	Design	Future	UH West Oahu Park-and-Ride and Ho'opili Station Finishes	9/10/2014	5/12/2015	1/15/2016	9/29/2018
DBB-470	Airport	Construction	Future	Airport Station Group	10/1/2014	2/1/2015	N/A	6/15/2017
MM-385	KHG	CE&I	Future	Pearl Highlands Parking Structure/Bus Transit Center	7/26/2013	10/2/2013	N/A	4/29/2018
DBB-580	City Cen	Construction	Future	Dillingham / Kaka'ako Station Group	7/15/2015	#####	N/A	8/14/2018
MM-600	WOFH	CE&I	Future	UH West Oahu Park-and-Ride and Ho'opili Station Finishes	7/26/2013	10/2/2013	3/15/2016	8/15/2018
DBB-275	KHG	Construction	Future	Pearl Highlands Parking Structure/Bus Transit Center	8/15/2015	#####	N/A	4/29/2018
DBB-600	WOFH	Construction	Future	UH West Oahu Park-and-Ride and Ho'opili Station Finishes	3/15/2016	9/15/2016	N/A	8/15/2018
PA-102	PW	Pro Svcs	Active	Historic Architectural Design Consultant	3/15/2013	5/15/2013	N/A	5/1/2016
	PW	Pro Svcs	Future	Professional Recruiting Services	4/10/2013	5/3/2013	N/A	5/30/2014

**Appendix D: Open Final Design Approval Letter Requirements**

No.	Item	Completion Date	Comments
<b>Safety and Security</b>			
1	The Hawaii Department of Transportation (HDOT) should accelerate the hiring process and select a qualified State Safety Oversight Agency (SSOA) project manager.	TBD	Open – Jadine Urasaki named as Interim Project Manager
<b>Civil Rights</b>			
2	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
3	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

## Appendix F: Project Overview and Map

**Date:** June 2013  
**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

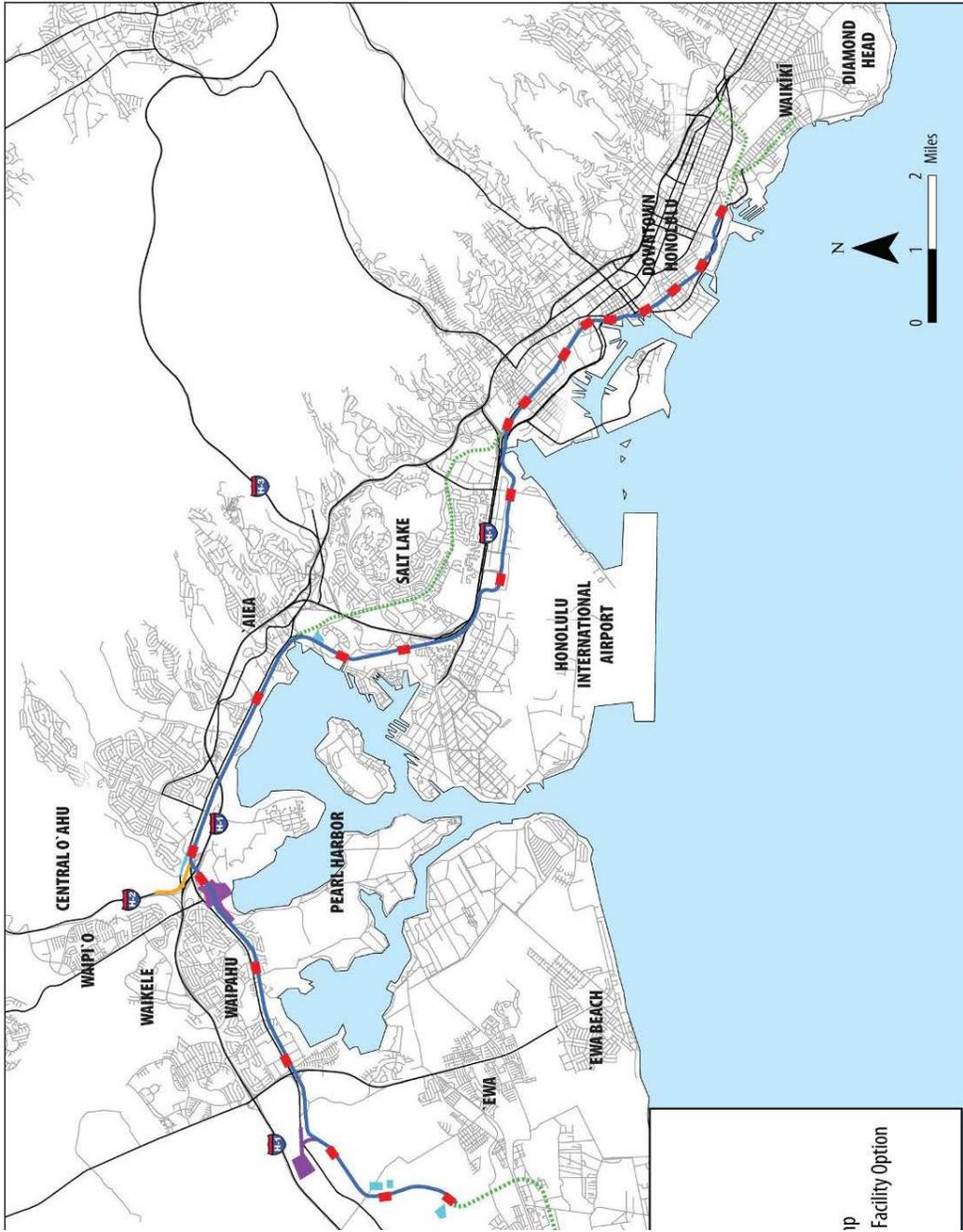
10/09 Approval Entry to PE	03/19 Estimated RSD at Entry to PE
12/11 Approval Entry to FD	03/19 Estimated RSD at Entry to FD
06/12 Request for FFGA	03/19 Estimated RSD at Request for FFGA
12/12 FFGA	01/20 RSD at FFGA

### 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  
\$5.122 B Total Project Cost (\$YOE) at FFGA

\$672M Amount of Expenditures at date of this report  
13.1% complete (Total Project Expenditures/Total Project Cost)

# Honolulu Rail Transit Project Map



## Appendix G: Safety and Security Checklist

<b>Project Overview</b>			
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		
<b>Project Plans</b>	<b>Version</b>	<b>Review by FTA</b>	<b>Status</b>
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
<b>Safety and Security Authority</b>	<b>Y/N</b>	<b>Status</b>	
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	
<b>SSMP Monitoring</b>			
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 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"> <li>• Activation Plan and Procedures</li> <li>• Integrated Test Plan and Procedures</li> <li>• Operations and Maintenance Plan</li> <li>• Emergency Operations Plan</li> </ul>	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
<b>Construction Safety</b>		
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

<b>Federal Railroad Administration</b>		
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	