Appendix E: Safety and Security Checklist

Project Overview			
Project Name	Honolulu High-Capacity Transit Corridor		
Project mode (Rail, Bus, BRT, Multimode)	Rail		
Project phase (Preliminary Engineering, Design, Construction, or Start-up)	PE		
Project Delivery Method (Design/Build, Design/Build/Operate Maintain, CMGC, etc	DB and DBB		
Project Plans	**Version**	**Review by FTA**	**Status**
Safety and Security Management Plan	2.0		Update due Jun-10
Safety and Security Certification Plan	0.0		Update due Jun-10
System Safety Program Plan			Submittal date TBD
System Security Plan or Security and Emergency Preparedness Plan (SSEPP)			Submittal date TBD
Construction Safety and Security Plan			
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		Pending
Has the oversight agency reviewed and approved the grantee's Security Plan or SEPP as per Part 659.21?	N		Pending
Did the oversight agency participate in the last Quarterly Program Review Meeting?	N		Pending
Has the grantee submitted its safety certification plan to the oversight agency?	N		Pending
Has the grantee implemented security directives issues by the Department Homeland Security, Transportation Security Administration?	N		Pending
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		
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		

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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	Chapter 3 of the SSMP describes the progress of safety and security activities for all project phases.
Does the grantee ensure the conduct of preliminary hazard and vulnerability analyses? Please specify analyses conducted.	Y	Chapter 4 of the SSMP ensures the conduct of preliminary hazard and vulnerability analyses.
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?	Y	
Has the grantee identified conformance with safety and security requirements in equipment and materials procurement?	Y	
Has the grantee verified construction specification conformance?	Y	
Has the grantee identified safety and security critical tests to be performed prior to passenger operations?	Y	
Has the grantee verified conformance with safety and security requirements during testing, inspection and start up phases?	Y	
Does the grantee evaluated change orders, design waivers, or test variances for potential hazards and/or vulnerabilities?	Y	
Has the grantee ensured the performance of safety and security analyses for proposed work-arounds?	Y	
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	Y	
Has the grantee issued final safety and security certification?	N	
Has the grantee issued the final safety and security verification report?	N	
Construction Safety		
Does the grantee have a documented/implementation Contractor Safety Program with which it expects contractors to comply?		Submittal pending
Does the grantee's contractor(s) have a documented company-wide safety and security program plan?		Submittal pending
Does the grantee's contractor(s) have a site-specific safety and security program plan?		Submittal pending
Provide the grantee's OSHA statistics compared to the national average for the same type of work?		Submittal pending

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If the comparison is not favorable, what actions are being taken by the grantee to improve its safety record?		Submittal pending
Does the grantee conduct site audits of the contractor's performance versus required safety/security procedures?		Submittal pending
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	

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Appendix F: PE Approval Letter Requirements

No.	Item	City Responsible Person	Date Due	Completion Date	Comments
Project Scope, Design and Development					
1	Identify any third party agreements necessary for project completion, including utility agreements with private and public owners and military	LR / HLB	Jan-10		Status Matrix being sent to the PMOC on a monthly basis
2	Resolve the specific regarding proximity of the guideway to runways 22R/4L and 22L/4R at the Honolulu International Airport with HDOT and FAA	HLB	Ongoing		
3	Fully develop vehicle basis of design and functional sizing	JS	Mar-10		PMOC will review selected proposal to determine whether it meets operational criteria
4	Determine rail fleet size requirement	JS	May-10		Delayed due to change in CORE Systems proposal due date
5	Fully develop scope for the administration building and operations control center	JS / HLB	Jul/Aug-10		
6	Determine the final location of the maintenance and storage facility	FM			Address in FEIS reconciliation table
7	Finalize a contracting packaging plan which includes a source selection plan(s) and contract specific work plans	SZ	Jan-10		On Schedule
8	Develop strategies to streamline the City's process to award contracts and to enter into grant agreements, especially as applicable to FTA grants	LR	Apr-10		Transit Authority Resolution 09-252 CD 1 passed on 12/16/09. Goes to public vote during November elections.
9	Develop a preliminary operation plan	JS	Mar-10		Final operations plan will be submitted following election of the Core Systems Contractor.
10	Ensure the service velocity does not erode over the next course of design changes	JS	Mar-10		On Schedule - currently being evaluated
Project Schedule					
11	Provide a baseline of the master Project Schedule (MPS) early in PE which will be used for monthly progress updates and tracking schedule variances	MH	Jan-10	10/29/2009	Uploaded to PS site including horse blanket schedule.
12	Address the utilization manpower and equipment resource loading and budget and cost loading	MH	Mar-10		On schedule; cost loaded, waiting for resource loading

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No.	Item	City Responsible Person	Date Due	Completion Date	Comments
13	Include critical activities in the MPS: utility activities, real estate acquisitions, system integration, starting and testing, operational commissioning and training, vehicle procurement, major construction material procurement, FTA review and comment, detail activities for early construction packages	MH	Apr-10		Delayed until after the CORE Systems proposals are submitted and contractor selected
14	Develop a right-of-way schedule	MH	Jan-10	10/29/2009	Uploaded to PS site.
15	Modify the Work Breakdown Structure to cross over with the project budget and cost breakdown structure	MH	Jan-10	01/06/10	Complete
Project Cost					
16	Develop a detailed bottoms-up-style project cost estimate to Standard Cost Category format. The estimate should be detailed sufficiently to determine distributions of materials, labor, equipment and genial conditions elements at a minimum. The soft cost estimates should be based on staffing plans, force account plans, contracts and so forth rather than solely on percentages. The estimate should eliminate parametric-style values, cost estimating relationships, and lump sums as much as possible during PE	MH	Mar-10		On schedule
17	Escalate the cost estimate in accordance with the MPS	MH	Mar-10		Need to wait until Item No. 16 is complete
18	Provide justification and backup documents to support the quantification and assumptions for the "soft costs" and related general conditions of the project	MH	Feb-10		On schedule
Technical Capacity					
19	Update the Project Management Plan to bring it into full conformance with FTA requirements, and implement the configuration management and change control mechanism	SZ	Jan-10		On schedule for January update
20	Develop detailed staffing plans for all remaining phases of the project to ensure adequate technical capacity. The plans should include the dates by which the City will fill each key position. All key City management positions should be filled during PE.	TH/PR	Jun-10		
21	Work with the State of Hawaii to establish a State Safety Oversight Agency office to oversee the project	KA	Apr-10		Still waiting for FTA letter to the Governor before work can proceed.

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No.	Item	City Responsible Person	Date Due	Completion Date	Comments
22	Submit a fully developed Rail Fleet Management Plan	JS	Apr-10		On Schedule
23	Have a quantifiable metrics for measuring the real status of work, both cost and schedule of all professional service contracts, and any inter-local agreements for participatory services	MH	Apr-10		
24	Develop a Contingency Management Plan which will identify the specific risks and implement the anticipated mitigation measures	SZ			Hold off until January
25	Develop an Environmental Mitigation Plan that identifies required environmental mitigation actions and the party responsible for the mitigation and that will eventually become the basis for quarterly mitigation monitoring and quarterly mitigation reports	JA/FM	Mar-10		Being worked on; will be complete in first quarter 2010
26	Update and implement the:				
	Real Estate and Acquisition Plan	JI	Mar-10		Being updated; next revision will be completed after the PMOC-FTA ROW meeting in Honolulu
	Bus Fleet Management Plan	PK	Jun-10		
	Safety and Security Management Plan	KA	Jan-10		On Schedule
	Quality Management Plan	SZ	Apr-10		

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