## 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 | 1.0 | | Update due Mar-10 |
| Safety and Security Certification Plan | 0.0 | | DRAFT submitted due Feb-10; under review by PMOC |
| 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 | | | Establishment of SSOA is pending |
| Has the oversight agency reviewed and approved the grantee's SSPP as per Part 659.17? | | | Establishment of SSOA is pending |
| Has the oversight agency reviewed and approved the grantee's Security Plan or SEPP as per Part 659.21? | | | Establishment of SSOA is pending |
| Did the oversight agency participate in the last Quarterly Program Review Meeting? | | | Establishment of SSOA is pending |
| Has the grantee submitted its safety certification plan to the oversight agency? | | | Establishment of SSOA is pending |
| Has the grantee implemented security directives issues by the Department Homeland Security, Transportation Security Administration? | | | Pending |
| **SSMP Monitoring** | | | |
| Is the SSMP project-specific, clearly demonstrating the scope of safety and security activities for this project? | | | Pending review of updated plan |
| Grantee reviews the SSMP and related project plans to determine if updates are necessary? | | | Pending review of updated plan |
| 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. | | | Pending review of updated plan |
| Does the grantee maintain a regularly scheduled report on the status of safety and security activities? | | | Pending review of updated plan |
| Has the grantee established staffing requirements, procedures and authority for safety and security activities throughout all project phases? | | | Pending review of updated plan |
| Does the grantee update the safety and security responsibility matrix/organization chart as necessary? | | | Pending review of updated plan |
| Has the grantee allocated sufficient resources to oversee or carry out safety and security activities? | | | Pending review of updated plan |



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| Has the grantee developed hazard and vulnerability analysis techniques, including specific types of analysis to be performed during different project phases? | | Pending review of updated plan |
| Does the grantee implement regularly scheduled meetings to track to resolution any identified hazards and/or vulnerabilities? | | Pending review of updated plan |
| Does the grantee monitor the progress of safety and security activities throughout all project phases? Please describe briefly. | | Pending review of updated plan |
| Does the grantee ensure the conduct of preliminary hazard and vulnerability analyses? Please specify analyses conducted. | | Pending review of updated plan |
| Has the grantee ensured the development of safety design criteria? | | Pending review of updated plan |
| Has the grantee ensured the development of security design criteria? | | Pending review of updated plan |
| Has the grantee verified conformance with the safety and security requirements in the design? | | Pending review of updated plan |
| Has the grantee identified conformance with safety and security requirements in equipment and materials procurement? | | Pending review of updated plan |
| Has the grantee verified construction specification conformance? | | Pending review of updated plan |
| Has the grantee identified safety and security critical tests to be performed prior to passenger operations? | | Pending review of updated plan |
| Has the grantee verified conformance with safety and security requirements during testing, inspection and start up phases? | | Pending review of updated plan |
| Does the grantee evaluated change orders, design waivers, or test variances for potential hazards and/or vulnerabilities? | | Pending review of updated plan |
| Has the grantee ensured the performance of safety and security analyses for proposed work-arounds? | | Pending review of updated plan |
| Has the grantee demonstrated through meetings or other methods, the integration of safety and security in the following:<br>• Activation Plan and Procedures<br>• Integrated Test Plan and Procedures<br>• Operations and Maintenance Plan<br>• Emergency Operations Plan | | Pending review of updated plan |
| Has the grantee issued final safety and security certification? | | Pending review of updated plan |
| Has the grantee issued the final safety and security verification report? | | Pending review of updated plan |
| **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 |
| If the comparison is not favorable, what actions are being taken by the grantee to improve its safety record? | | Submittal pending |

| | | |
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| 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 |
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| 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 |
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| 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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