HONOLULU AUTHORITY for RAPID TRANSPORTATION

Daniel A. Grabauskas
EXECUTIVE DIRECTOR AND CEO

BOARD OF DIRECTORS

Donald G. Horner
CHAIR

Damien T.K. Kim
VICE CHAIR

George I. Atta
Michael D. Formby
Ford N. Fuchigami
Terri Fujii
Colleen Hanabusa
William "Buzz" Hong
Terrence M. Lee
Ivan M. Lui-Kwan, Esq

Board of Directors Meeting
Ali'i Place, Suite 150
1099 Alakea Street, Honolulu, Hawaii
(entrance on Richards Street)
Thursday, January 28, 2016, 10:00 am

Agenda

I. Call to Order by Chair

II. Public Testimony on All Agenda Items

III. Approval of the Minutes of the December 17, 2015 Meeting of the Board of Directors

IV. Board Members' Report of Attendance

A. City Council Budget Committee Meeting on January 13, 2016

B. City Council Meeting on January 27, 2016

V. Independent Financial Audit

VI. Discussion on Draft Minutes

VII. Construction and Traffic Update

VIII. Right of Way Update

IX. Executive Session

Pursuant to Hawaii Revised Statutes Section 92-4 and Subsection 92-5(a)(4), the Board may enter into Executive Session to consult with its attorneys on questions and issues on a matter pertaining to the Board's powers, duties, privileges, immunities and liabilities with regard to the matters set forth in parts X and XI.

X. Eminent Domain

A. Resolution No. 2016-1 Approving Notification to the City Council of Intention to Acquire a Fee Simple Interest in the Real Property Identified as Tax Map Key 1-5-015-008 (Portion) by Eminent Domain and Publication of a Resolution Authorizing Acquisition of Said Property by Eminent Domain

B. Resolution No. 2016-2 Approving Notification to the City Council of Intention to Acquire a Fee Simple Interest in the Real Property Identified as Tax Map Keys 2-3-004-029 (Portion) and 2-3-004-079 (Portion) by Eminent Domain and Publication of a Resolution Authorizing Acquisition of Said Property by Eminent Domain

XI. Procurement of the Independent Financial Auditor Contract

XII. December Monthly Progress Report

XIII. December Project Management Oversight Contractor Report

XIV. General Excise Tax Surcharge Extension

XV. Continuation of City Center Procurement

XVI. Kamehameha Highway Stations Group Bid Protest Update

XVII. Limited Meeting for Farrington Highway Station Group Groundbreaking

XVIII. Executive Director & CEO's Report

XIX. Adjournment

Note: Persons wishing to testify on items listed on the agenda are requested to register by completing a speaker registration form at the meeting or online on the HART section of the www.honolulutransit.org website. Each speaker is limited to a **two-minute** presentation.

Persons who have not registered to speak in advance should raise their hands at the time designated for public testimony and they will be given an opportunity to speak following oral testimonies of the registered speakers.

If you require special assistance, auxiliary aid and/or service to participate in this event (i.e. sign language interpreter; interpreter for language other than English, or wheelchair accessibility), please contact Cindy Matsushita at 768-6258 or email your request to cmatsushita@honolulu.gov at least three business days prior to the event.

Financial Statements and Independent Auditor's Report

Honolulu Authority for Rapid Transportation
(a component unit of the City and County of Honolulu)

June 30, 2015 and 2014

A Hawaii Limited Liability Partnership

January 21, 2016

To the Board of Directors
Honolulu Authority for Rapid Transportation
City and County of Honolulu

Ladies and Gentlemen:

We have completed our financial audit of the Honolulu Authority for Rapid Transportation, a component unit of the City and County of Honolulu, (HART) as of and for the fiscal year ended June 30, 2015. The audit was performed in accordance with our agreement dated June 22, 2015.

Objective of the audit
The primary purpose of our audit was to form an opinion on the fairness of the presentation of HART's financial statements as of and for the fiscal year ended June 30, 2015

Scope of the audit
Our audit was performed in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards*, issued by the Comptroller General of the United States. The scope of our audit included an examination of the transactions and accounting records of HART for the fiscal year ended June 30, 2015.

Organization of the report
This report is organized into five parts:

PART I. FINANCIAL STATEMENTS

PART II. REQUIRED SUPPLEMENTARY INFORMATION

PART III. REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS

PART IV. SCHEDULE OF FINDINGS

PART V. RESPONSE OF THE AFFECTED AGENCY

At this time, we wish to thank HART's personnel for their cooperation and assistance extended to us during our audit. We will be happy to respond to any questions that you may have on this report.

Very truly yours,

KMH LLP

KMH LLP

Honolulu Hawaii
January 21, 2016

1003 Bishop Street ■ Suite 2400 ■ Honolulu, HI 96813 ■ Telephone: 808-526-2255 ■ Fax: 808-536-5817 ■ www.kmhllp.com

Contents

		Page
PART I	**FINANCIAL STATEMENTS**	
	Independent Auditor's Report	4
	Management's Discussion and Analysis	6
	Basic Financial Statements	
	Statements of Net Position	12
	Statements of Revenues, Expenses and Changes in Net Position	13
	Statements of Cash Flows	14
	Notes to Financial Statements	16
PART II	**REQUIRED SUPPLEMENTARY INFORMATION**	
	Schedule of the HART's Proportionate Share of the Net Pension Liability	42
	Schedule of the HART's Contributions	43
	Schedule of Funding Progress for the Hawaii Employer-Union Health Benefits Trust Fund	44
PART III	**REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS**	
	Independent Auditor's Report on Internal Control over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with *Government Auditing Standards*	46
PART IV	**SCHEDULE OF FINDINGS**	48
PART V	**RESPONSE OF THE AFFECTED AGENCY**	50

PART I
FINANCIAL STATEMENTS

Independent Auditor's Report

To the Board of Directors
Honolulu Authority for Rapid Transportation
City and County of Honolulu

Report on the Financial Statements

We have audited the accompanying financial statements of the Honolulu Authority for Rapid Transportation (HART), a component unit of the City and County of Honolulu, as of and for the years ended June 30, 2015 and 2014, and the related notes to the financial statements, which collectively comprise the HART's basic financial statements as listed in the table of contents.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards,* issued by the Comptroller General of the United States. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of the Honolulu Authority for Rapid Transportation, as of June 30, 2015 and 2014, and the changes in its financial position and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

1003 Bishop Street ■ Suite 2400 ■ Honolulu, HI 96813 ■ Telephone: 808-526-2255 ■ Fax: 808-536-5817 ■ www.kmhllp.com

Emphasis of a Matter

As discussed in Note A to the basic financial statements, in 2015 the HART adopted Governmental Accounting Standards Board (GASB) Statements no. 68 (GASB 68), *Accounting and Reporting for Pensions (an amendment of GASB Statement No. 27)* and GASB Statement No. 71 (GASB 71), *Pension Transition for Contributions Made subsequent to the Measurement Date, an Amendment of GASB Statement No. 68*. As a result of adopting these standards and management's determination that the restatement of the basic financial statements as of and for the year ended June 30, 2014 is not practical, the HART has elected to restate beginning net position for fiscal year ended June 30, 2015. Our opinion is not modified with respect to this matter.

Other Matters

Required Supplementary Information

Accounting principles generally accepted in the United States of America require that the management's discussion and analysis on pages 6 through 11 and the schedule of the HART's proportionate share of the net pension liability, schedule of HART's contributions and schedule of funding progress for the Hawaii Employer-Union Health Benefits Trust Fund on pages 42, 43, and 44, respectively be presented to supplement the basic financial statements. Such information, although not a part of the basic financial statements, is required by the Governmental Accounting Standards Board who considers it to be an essential part of financial reporting for placing the basic financial statements in an appropriate operational, economic, or historical context. We have applied certain limited procedures to the required supplementary information in accordance with auditing standards generally accepted in the United States of America, which consisted of inquiries of management about the methods of preparing the information and comparing the information for consistency with management's responses to our inquiries, the basic financial statements, and other knowledge we obtained during our audit of the basic financial statements. We do not express an opinion or provide any assurance on the information because the limited procedures do not provide us with sufficient evidence to express an opinion or provide any assurance.

Other Reporting Required by Government Auditing Standards

In accordance with *Government Auditing Standards*, we have also issued our report dated January 21, 2016 on our consideration of the HART's internal control over financial reporting and on our tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements and other matters. The purpose of that report is to describe the scope of our testing of internal control over financial reporting and compliance and the results of that testing, and not to provide an opinion on internal control over financial reporting or on compliance. That report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering HART's internal control over financial reporting and compliance.

KMH LLP

KMH LLP

Honolulu, HI
January 21, 2016

The Honolulu Authority for Rapid Transportation (HART) is a semi-autonomous government unit of the City and County of Honolulu (City), which came into being on July 1, 2011 pursuant to a 2010 amendment to the Revised Charter of the City and County of Honolulu (RCH). HART consists of a board of directors (Board), executive director, and staff. HART is authorized under the RCH to "develop, operate, maintain and expand the city fixed guideway system."

The Honolulu Rail Transit Project (the Project) consists of design and construction of a 20-mile, grade-separated fixed rail system from East Kapolei to the Ala Moana Center in Honolulu, Hawaii. The Project begins in East Kapolei, proceeds to the University of Hawaii at West Oahu, then turns east to Pearl Harbor and the Honolulu International Airport, and ends at Kona Street adjacent to the Ala Moana Center. The Project will operate in an exclusive right-of-way and will be elevated except for a 0.6-mile, at-grade section near Leeward Community College. The Project includes 21 transit stations; a maintenance and storage facility; 80 light metro fully automated (driverless) rail vehicles and associated core systems; and four park-and-ride facilities at several locations.

This section presents the management's discussion and analysis of HART's financial condition and activities for the fiscal years ended June 30, 2015 and 2014. This summary is designed to provide an introduction to the financial statements and the financial condition of HART. This information should be read in conjunction with the financial statements. Prior to July 1, 2011, the financial position and results of operations of the Project were reported as a governmental fund in the City's Comprehensive Annual Financial Reports.

Overview of the Financial Statements

The financial statements are presented using the economic resources measurement focus and the accrual basis of accounting, whereby revenues and expenses are recognized in the period earned or incurred.

The basic financial statements include statements of net position, statements of revenues, expenses and changes in net position, statements of cash flows, and notes to the financial statements. The statements of net position present the resources and obligations of HART at June 30, 2015 and 2014 respectively. The statement of revenues, expenses and changes in net position present information showing how HART's net position changed during the past two fiscal years.

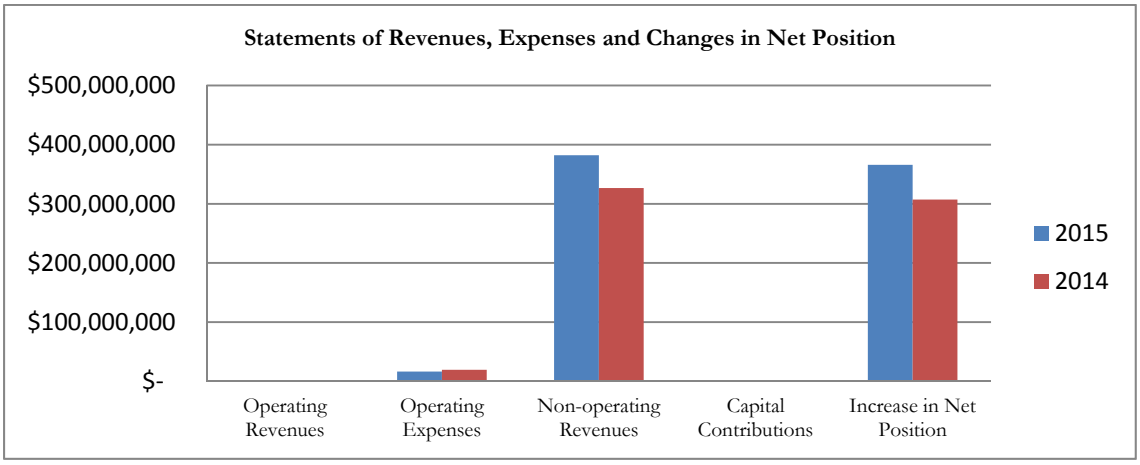
The statements of cash flows present changes in cash and cash equivalents resulting from operating, investing, capital and related financing activities, and non-capital financing activities.

The notes to the financial statements provide required disclosures and other information necessary for the fair presentation of the financial statements. The notes detail information about HART's significant accounting policies, account balances, related party transactions, employee benefit plans, commitments, contingencies, and other significant events. Supplementary information on pension and post-employment benefits is also included.

Financial Highlights

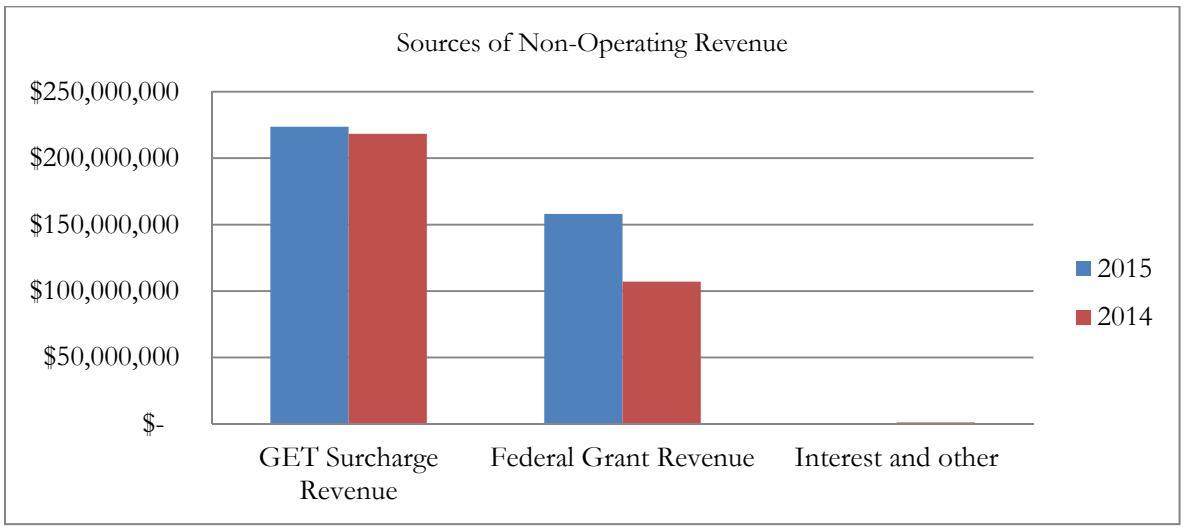
Condensed Statements of Revenues, Expenses and Changes in Net Position

	2015	2014	Increase (decrease)	% Change
Operating expenses	17,730,898	19,416,780	(1,685,882)	-9%
Operating loss	(17,730,898)	(19,416,780)	1,685,882	-9%
Non-operating revenues and expenses	382,273,978	326,582,755	55,691,223	17%
Increase in net position	364,543,080	307,165,975	57,377,105	19%
Net position at beginning of year, as previously reported	1,592,374,173	1,285,208,198	N/A	N/A
Restatement due to change in accounting principle	(13,081,777)	-	(13,081,777)	N/A
Net position at beginning of year, as restated	1,579,292,396	-	N/A	N/A
Net position at end of year	$ 1,943,835,476	$ 1,592,374,173	$ 351,461,303	22%



Financial Highlights (continued)

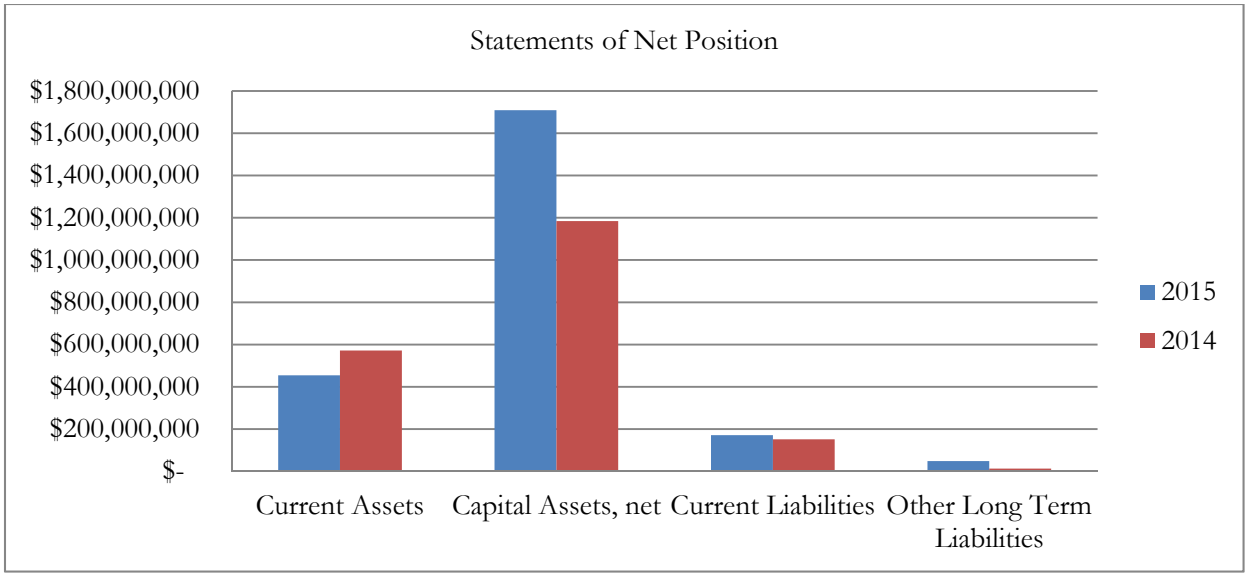
HART's primary non-operating revenue sources are the 0.5% county surcharge on the State of Hawaii's General Excise Tax (GET) and grant assistance from the U.S. Department of Transportation's Federal Transit Administration (FTA). Pursuant to Section 248-2.6 of the Hawaii Revised Statutes, the State Department of Taxation remits 90% of the surcharge to the City on a quarterly basis. During FY 2015 and FY 2014, HART recognized $223,666,342 and $218,390,853, respectively from the GET county surcharge. In FY 2015 and FY 2014 HART also recognized $158,034,519 and $107,116,948, respectively in FTA grant assistance. During FY 15, HART also recognized a prior period adjustment of $13,081,777 related to the implementation of GASB Statement No. 68, which reduced beginning net assets.



Financial Highlights (continued)

Condensed Statements of Net Position

	2015	2014	Increase (decrease)	% Change
Assets				
Current assets				
Cash and cash equivalents	$ 293,010,823	$ 441,011,319	$ (148,000,496)	-34%
Receivables	133,672,108	129,991,834	3,680,274	3%
Prepaid expenses	27,800,740	1,217,390	26,583,350	2184%
Capital assets, net	1,708,618,647	1,184,636,596	523,982,051	44%
DEFERRED OUTFLOWS OF RESOURCES	2,913,149	-	2,913,149	N/A
Total assets	$ 2,166,015,467	$ 1,756,857,139	409,158,328	23%
Liabilities				
Current liabilities	171,750,169	$ 151,431,453	$ 20,318,716	13%
Other long-term liabilities - noncurrent	48,757,933	13,051,513	35,706,420	274%
DEFERRED INFLOWS OF RESOURCES	1,671,889	-	1,671,889	N/A
Total liabilities	222,179,991	164,482,966	57,697,025	35%
Net position	1,943,835,476	1,592,374,173	351,461,303	22%
Total liabilities and net position	$ 2,166,015,467	$ 1,756,857,139	409,158,328	23%



Financial Highlights (continued)

Total assets and deferred outflows at year-end FY 2015 and FY 2014 were $2,166,015,467 and $1,756,857,139, respectively. Total liabilities and deferred inflows at year-end FY 2015 and FY 2014 were $222,179,991 and $164,482,966, respectively. Net position increased by $364,543,080 primarily due to intergovernmental revenues and federal grants.

The Project has executed $2,486,920,607 in contracts since October 2009 to date for the planning, design, and construction of the Project. This amounts to 56.7% of the anticipated total project cost.

The Project will affect an estimated 224 parcels of real property. As of June 30, 2015, HART has acquired title to or use of 120 parcels of real property.

As of June 30, 2015, 9.3% of the utilities have been relocated. Utility relocations are performed by the respective companies owning the equipment.

Overall design progress is 85.7% based on the weighted average progress of the individual final design contracts and the design levels of effort of the Design-Build (DB) and Design-Build-Operate-Maintain (DBOM) construction contracts.

The construction of the west guideway aerial structure from East Kapolei Station to Leeward Community College (LCC) is well underway as part of the West Oahu/Farrington Highway (WOFH) Guideway design-build project. Additionally, the Kamehameha Highway (KHG) Guideway design-build project continues with wet and dry utility relocations as well as roadway widening work in preparation for the production drilled shaft and segmented guideway construction from LCC to Aloha Stadium.

Over three miles of the elevated guideway between east Kapolei and Waipahu has been completed with more than 180 columns built and nearly 1,600 guideway segments erected. The balanced cantilever construction work over the westbound side of the H-1 Freeway for the West Oahu Farrington Highway segment and the elevated rail guideway over the Fort Weaver Road overpass have been completed.

The design-build construction of the HART Maintenance and Storage Facility (MSF) is progressing as planned with substantial completion expected in April 2016.

Financial Highlights (continued)

Capital Assets and Long-Term Debt

As of the end of FY 2015, HART had $1,708 million invested in capital assets. This amount represents an increase (including additions and deductions) of approximately $524 million, or 44%, over last year.

	2015	2014
Equipment and machinery	$ 68,778	$ 86,500
Land	91,102,437	64,768,559
Construction in progress	1,617,447,432	1,119,781,537
Total	$ 1,708,618,647	$ 1,184,636,596

HART has not issued any long-term bonds. Additional information on HART's capital assets and long-term liabilities can be found in note D to the financial statements.

Risks

On June 29, 2012, HART submitted the City's request to the FTA for a Full Funding Grant Agreement (FFGA) which was awarded on December 19, 2012. The maximum Federal New Starts financial contribution under the FFGA is $1.55 billion for the Project; however the annual appropriation amounts may be reduced and appropriated over a longer period than planned.

The project faces the normal risks associated with a multi-year, major construction project that includes unanticipated construction delays, cost inflation over the period of construction, and economic downturns that impact revenues. See Notes J and L for a discussion on pending litigation and the liquidity risk to the project.

Request for Information

This financial report is designed to provide a general overview of HART's finances. Questions concerning any of the information provided in this report or requests for additional financial information should be addressed to the Honolulu Authority for Rapid Transportation, 1099 Alakea Street, Suite 1700, Honolulu, Hawaii 96813.

Honolulu Authority for Rapid Transportation
(a component unit of the City and County of Honolulu)

STATEMENTS OF NET POSITION

June 30, 2015 and 2014

	2015	2014
ASSETS		
Current assets:		
Cash & cash equivalents	$ 293,010,823	$ 441,011,319
Receivables	133,672,108	129,991,834
Prepaid expenses	27,800,740	1,217,390
Total current assets	454,483,671	572,220,543
Capital assets:		
Equipment and machinery	171,540	171,540
Accumulated depreciation	(102,762)	(85,040)
	68,778	86,500
Land	91,102,437	64,768,559
Construction work in progress	1,617,447,432	1,119,781,537
Capital assets, net	1,708,618,647	1,184,636,596
Total assets	2,163,102,318	1,756,857,139
DEFERRED OUTFLOWS OF RESOURCES	2,913,149	-
Total assets and deferred outflows of resources	$ 2,166,015,467	$ 1,756,857,139
LIABILITIES		
Current liabilities:		
Accounts payable	$ 137,921,888	$ 115,552,902
Accrued liabilities	373,203	392,537
Other long-term liabilities	33,455,078	35,486,014
Total current liabilities	171,750,169	151,431,453
Other long-term liabilities - noncurrent	48,757,933	13,051,513
Total liabilities	220,508,102	164,482,966
DEFERRED INFLOWS OF RESOURCES	1,671,889	-
Total liabilities and deferred inflows of resources	222,179,991	164,482,966
NET POSITION		
Net investment in capital assets	1,506,183,913	1,069,158,564
Unrestricted	437,651,563	523,215,609
Total net position	1,943,835,476	1,592,374,173
Total liabilities, deferred inflows of resources, and net position	$ 2,166,015,467	$ 1,756,857,139

The accompanying notes are an integral part of these financial statements.

Honolulu Authority for Rapid Transportation
(a component unit of the City and County of Honolulu)

STATEMENTS OF REVENUES, EXPENSES AND CHANGES IN NET POSITIION

Years ended June 30, 2015 and 2014

	2015	2014
OPERATING EXPENSES		
Administration and general	$ 11,721,853	$ 12,015,351
Fringe benefits	4,383,253	3,835,579
Insurance	1,092,851	1,909,200
Contractual services	357,133	1,145,619
Utilities	83,590	221,445
Materials and supplies	69,422	245,541
Depreciation	17,722	36,622
Maintenance	5,074	7,423
Total operating expenses	17,730,898	19,416,780
Operating loss	(17,730,898)	(19,416,780)
NON-OPERATING REVENUES AND EXPENSES		
Intergovernmental revenues:		
County surcharge	223,666,342	218,390,853
Federal grants	158,034,519	107,116,948
Interest income	208,245	298,748
Other revenue	364,872	776,206
Total nonoperating revenues	382,273,978	326,582,755
Change in net position	364,543,080	307,165,975
Net position at beginning of year, as previously reported	1,592,374,173	1,285,208,198
Restatement due to change in accounting principle	(13,081,777)	-
Net position at beginning of year, as restated	1,579,292,396	-
Net position at end of year	$ 1,943,835,476	$ 1,592,374,173

The accompanying notes are an integral part of these financial statements.

Honolulu Authority for Rapid Transportation
(a component unit of the City and County of Honolulu)

STATEMENTS OF CASH FLOWS

Years ended June 30, 2015 and 2014

	2015	2014
Cash flows from operating activities		
Cash payments to suppliers for goods and services	$ (11,028,378)	$ (10,594,843)
Cash payments to employees	(12,301,128)	(11,566,726)
Net cash used in operating activities	(23,329,506)	(22,161,569)
Cash flows from noncapital financing activities		
Intergovernmental revenues	376,704,770	332,188,472
Net cash provided by noncapital financing activities	376,704,770	332,188,472
Cash flows from capital and related financing activities		
Acquisition and construction of capital assets	(501,584,005)	(263,024,043)
Net cash used in capital and related financing activities	(501,584,005)	(263,024,043)
Cash flows from investing activities		
Interest on cash and cash equivalents	208,245	298,748
Net cash provided by investing activities	208,245	298,748
NET (DECREASE) INCREASE IN CASH AND CASH EQUIVALENTS	(148,000,496)	47,301,608
Cash and cash equivalents at beginning of year	441,011,319	393,709,711
Cash and cash equivalents at end of year	$293,010,823	$441,011,319

The accompanying notes are an integral part of these financial statements.

Honolulu Authority for Rapid Transportation
(a component unit of the City and County of Honolulu)

STATEMENTS OF CASH FLOWS (continued)

Years ended June 30, 2015 and 2014

	2015	2014
Reconciliation of operating loss to net cash used in operating activities		
Operating loss	$ (17,730,898)	$ (19,416,780)
Adjustments to reconcile operating loss to net cash used in operating activities		
Depreciation	17,722	36,622
Changes in assets and liabilities		
Increase in deferred outflows of resources	(1,311,007)	-
Increase in deferred inflows of resources	1,671,889	-
Decrease (increase) in receivables	1,680,689	(1,627,203)
(Increase) decrease in prepaid expenses	(26,583,350)	1,848,984
(Decrease) in accounts payable	(46,782)	(262,808)
(Decrease) increase in accrued liabilities	(19,334)	31,119
Increase (decrease) in other liabilities	18,991,565	(2,771,503)
Total adjustments	(5,598,608)	(2,744,789)
Net cash used in operating activities	$ (23,329,506)	$ (22,161,569)

Non-cash capital financing activities:

During the year ended June 30, 2015 and 2014, HART accrued additional costs as construction in progress of $22,415,768 and $63,684,666, respectively.

The accompanying notes are an integral part of these financial statements.

NOTE A - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

1. Operations

The Revised Charter of the City and County of Honolulu authorizes the Honolulu Authority for Rapid Transportation (HART) to develop, operate, maintain and expand the city fixed guideway system. HART is a semi-autonomous government unit of the City and County of Honolulu (City). It is a component unit of the City. HART is in the process of developing the rail transit system and has not begun revenue operations.

2. Financial Statement Presentation

The accounting policies of HART conform to accounting principles generally accepted in the United States of America as applicable to enterprise activities of governmental units, as promulgated by the Government Accounting Standards Board (GASB).

Recently Adopted Accounting Pronouncements

Effective July 1, 2014 the HART implemented Governmental Accounting Standards Board (GASB) Statement No. 68 (GASB 68), *Accounting and Reporting for Pensions (an amendment of GASB Statement No. 27)* and GASB Statement No. 71 (GASB 71), *Pension Transition for Contributions Made Subsequent to the Measurement Date, an Amendment of GASB Statement No. 68*. GASB 68 establishes standards of accounting and financial reporting for defined benefit pensions and defined contribution pensions provided to the employees of state and local government employers through pension plans that are administered through trusts or equivalent arrangements in which:

- Contributions from employers and nonemployer contributing entities to the pension plan and earnings on those contributions are irrevocable.
- Pension plan assets are dedicated to providing pensions to plan members in accordance with the benefit terms.
- Pension plan assets are legally protected from the creditors of employer, nonemployee contributing entities, and the pension plan administrator. If the plan is a defined benefit pension plan, plan assets also are legally protected from creditors of the plan members.

GASB 68 replaces the requirements of GASB Statement No. 27 (GASB 27), *Accounting for Pensions by State and Local Governmental Employers*, as well as the requirements of GASB Statement No. 50 (GASB 50), *Pension Disclosures*, as they related to pensions that are provided through pension plans administered as trusts or equivalent arrangements that meet certain criteria. The requirements of GASB 27 and 50 remain applicable for pensions that are not covered by the scope of GASB 68.

NOTE A - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

2. Financial Statement Presentation (continued)

GASB 71 is required to be implemented simultaneously with GASB 68 and amends the requirement related to certain pension contributions made to defined benefit pension plans prior to implementation of GASB 68 by employers and nonemployer contributing entities.

As permitted in GASB 68, management determined that the restatement of fiscal year 2014 is not practical; the cumulative effect of adopting GASB 68 related to prior fiscal years has been recorded as a restatement adjustment to beginning net position for the fiscal year ended June 30, 2015. The adoption of GASB 68 and 71 has resulted in the restatement of the HART's fiscal year 2015 beginning net position by $(14,683,919) and $1,602,142 related to changes in net pension liability and deferred outflows, respectively, from prior fiscal years. See Note G for further information.

Recently Issued Accounting Pronouncements
In February 2015, GASB issued Statement No. 72, *Fair Value Measurement and Application.* This Statement enhances the comparability of financial statements among governments by requiring measurement of certain assets and liabilities at fair value using a consistent and more detailed definition of fair value and accepted valuation techniques. The provisions of this Statement are effective for periods beginning after June 15, 2015. The HART has not yet determined the effect this Statement will have on its financial statements.

In June 2015, GASB issued Statement No. 75, *Accounting and Financial Reporting for Postemployment Benefits Other Than Pensions,* replacing Statement No. 45 *Accounting and Financial Reporting by Employers for Postemployment Benefits Other Than Pensions,* as amended, and Statement No. 57 *OPEB Measurements by Agent Employers and Agent Multiple-Employer Plans,* for OPEB. This statement establishes new accounting and financial reporting requirements for OPEB plans. This Statement requires governments providing defined benefit OPEB plans to recognize their long-term obligation for OPEB as a liability for the first time, and to more comprehensively and comparably measure the annual cost of OPEB benefits. The provisions of this Statement are effective for periods beginning after June 15, 2017. The HART has not yet determined the effect this Statement will have on its financial statements.

NOTE A - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

2. Financial Statement Presentation (continued)

In August 2015, GASB issued Statement No. 76, *The Hierarchy of Generally Accepted Accounting Principles for State and Local Governments*. This statement supersedes Statement No. 55, *The Hierarchy of Generally Accepted Accounting Principles for State and Local Governments*. The objective of this Statement is to identify the hierarchy of generally accepted principles used to prepare financial statements of state and local governments. As a result, governments will apply financial reporting guidance with less variation, which will improve the usefulness of financial statements. The provisions of this Statement are effective for periods beginning after June 15, 2015. The HART has not yet determined the effect this Statement will have on its financial statements.

3. Basis of Accounting

The accompanying financial statements are presented using the economic resources measurement focus and the accrual basis of accounting. Revenues are recorded when earned and expenses are recorded at the time liabilities are incurred.

The operating revenues of HART are the result of providing services in connection with the delivery of transportation services of the rail system, which is not yet operational. The operating expenses of HART include the cost of services, administrative expenses, and depreciation on capital assets. All revenues and expenses not meeting this definition are reported as non-operating revenues and expenses.

4. Use of Estimates

The preparation of financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent liabilities at the date of the financial statements and the reported amount of revenues and expenses during the reporting period. Specifically, management has made estimates based on assumptions for intergovernmental receivables, construction delay claims, environmental remediation liabilities and net pension liability. Actual results could differ from those estimates.

NOTE A - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

5. Deferred Outflows and Inflows of Resources

Deferred outflows of resources represent consumptions of net position that apply to future periods and will not be recognized as an outflow of resources (expenditures) until then. Deferred inflows represent acquisitions of net position that apply to future periods and will not be recognized as an inflow of resources (revenues).

According to paragraph 33 of GASB No. 68, differences between expected and actual experience and changes in assumptions are recognized in pension expense using a systematic and rational method over a closed period equal to the average of the expected remaining service lives of all employees that are provided with pensions through the pension plan (active and inactive employees) determined as of the beginning of the measurement period. The average of expected remaining service lives for the purposes of recognizing the applicable deferred outflows and inflows of resources established in the 2014 fiscal year is 5.7661 years.

Additionally, differences between projected and actual earnings on pension plan investments are recognized in pension expense using a systematic and rational method over a closed five-year period.

Contributions to the pension plan from the employer subsequent to the measurement date of the net pension liability and before the end of the reporting period are reported as deferred outflows.

6. Revenue Recognition

Revenue sources that are considered susceptible to accrual when earned include a county surcharge on the State of Hawaii's General Excise Tax (GET) and grant assistance from the U.S. Department of Transportation's Federal Transit Administration (FTA). GET revenue is recognized when earned. Revenues on cost reimbursement contracts are recognized when allowable and reimbursable expenses are incurred, and upon meeting the legal and contractual requirements of the funding source. No allowance for doubtful accounts was recorded as of June 30, 2015 and 2014.

7. Cash and Cash Equivalents

HART considers all cash on hand, demand deposits, and short-term investments with original maturities of three months or less from the date of acquisition to be cash and cash equivalents.

NOTE A - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

8. Capital Assets

Capital assets are generally those assets with an individual price in excess of $5,000 for equipment and machinery and $100,000 for infrastructure, buildings, and structures with a useful life of more than one year. Capital assets are stated at cost and include contributions by governmental agencies at cost or estimated value. Additions, improvements, and other capital outlays that significantly extend the useful life of an asset are capitalized. Other costs related to repairs and maintenance is expensed as incurred.

Assets are depreciated over the individual asset's estimated useful life using the straight-line method. Depreciation on both purchased and contributed assets is charged against operations

Depreciation on all assets is provided for on the straight-line basis over the following estimated useful lives:

	Years
Infrastructure	50-75
Buildings and improvements	30-50
Equipment and machinery	5-25
Rail vehicles	25-35

9. Compensated Absences

HART accrues accumulated vacation when earned by the employee. Vacation benefits accrue at a rate of one and three-quarters working days per month. Each employee is allowed to accumulate a maximum of 90 days of accrued vacation as of the end of the calendar year (see Note F).

Sick leave accumulates at the rate of one and three-quarters working days for each month. Sick leave is taken only in the event of illness and is not convertible to pay; accordingly, sick leave is not accrued in the accompanying financial statements. Employees who retire or leave government service in good standing with 60 or more unused sick leave days are entitled to an additional service credit in the retirement system. At June 30, 2015 and 2014, accumulated sick leave amounted to approximately $2,063,000 and $1,771,000, respectively.

NOTE A - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

10. Deferred Compensation Plan

All full-time employees of HART are eligible to participate in the City and County of Honolulu's Public Employees' Deferred Compensation Program (Plan), adopted pursuant to Internal Revenue Code Section 457. The Plan permits eligible employees to defer a portion of their salary until future years by contributing to a fund managed by a plan administrator. The deferred compensation amounts are not available to employees until termination, retirement, death, or unforeseeable emergency.

A trust fund was established to protect Plan assets from claims of general creditors and from diversion to any uses other than paying benefits to participants and beneficiaries. Plan assets of approximately $3,497,000 and $3,280,000 are not reported in the accompanying financial statements at June 30, 2015 and 2014, respectively.

11. Net Position

Net position comprises the various net earnings (losses) from operating and non-operating revenues, expenses and contributed capital. Net position is classified in the following two components: net investment in capital assets or unrestricted net position. Net investment in capital assets consists of capital assets, net of accumulated depreciation and reduced by outstanding debt that is attributable to the acquisition, construction, or improvement of those assets. Unrestricted net position consists of all other net position not included in net investment in capital assets.

12. Risk Management

HART is exposed to various risks for losses related to torts; theft of or damage to, or destruction of assets; errors or omissions; natural disasters; and injuries to employees. A liability for a claim for a risk of loss is established if the information indicates that it is probable that a liability has been incurred at the date of the financial statements and the amount of the loss is reasonably estimable.

13. Reclassifications

Certain reclassifications were made to prior year's financial statements to conform to the 2015 presentation. Such reclassifications had no impact on the previously reported change in net position.

NOTE A - SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

14. Subsequent Events

Management has evaluated subsequent events through January 21, 2016, the date on which the financial statements were available to be issued.

NOTE B - CASH AND CASH EQUIVALENTS

Cash deposited with the City is maintained by the Department of Budget and Fiscal Services of the City. The City maintains a cash and investment pool that is used by all of the City's funds and HART. Information pertaining to credit risk and interest rate risk is available for only the total cash and investment pool, which is disclosed in the City's Comprehensive Annual Financial Report (CAFR) available at the City's website: www.honolulu.gov/budget/budget-cafr.html.

The respective portion of this pool is displayed in the accompanying financial statements as cash and cash equivalents. The Hawaii Revised Statutes (HRS) provide for the City's Director of Budget and Fiscal Services to deposit the cash with any national or state bank or federally insured financial institution authorized to do business in the State of Hawaii, provided that all deposits are fully insured or collateralized with securities held by the City or its agents in the City's name.

State statutes also authorize the City to invest in obligations of the U.S. Treasury and U.S. agencies, obligations of other states, cities and counties, mutual funds and bank repurchase agreements. Investments in repurchase agreements are primarily U.S. government or federal agency securities. The City does not have a policy relative to interest rate risk. Maturity date for all investments is less than one year.

NOTE C – RECEIVABLES

Receivables as of June 30, 2015 and 2014 were comprised of the following amounts:

	2015	2014
Intergovernmental		
General excise tax	$ 52,330,383	$ 49,457,334
Federal grants	81,265,823	78,777,909
	133,596,206	128,265,243
Other	75,902	1,756,591
Total receivables	$ 133,672,108	$ 129,991,834

NOTE D - CAPITAL ASSETS

Capital assets activity during 2015 and 2014 were as follows:

	Balance July 1, 2014	Additions	Reductions	Balance June 30, 2015
Equipment and machinery	$ 171,540	$ -	$ -	$ 171,540
Less: accumulated depreciation	(85,040)	(17,722)	-	(102,762)
	86,500	(17,722)	-	68,778
Land	64,768,559	26,333,878	-	91,102,437
Construction in progress	1,119,781,537	497,665,895	-	1,617,447,432
Total	$1,184,636,596	$523,982,051	$ -	$1,708,618,647

	Balance July 1, 2013	Additions	Reductions	Balance June 30, 2014
Equipment and machinery	$ 144,569	$ 26,971	$ -	$ 171,540
Less: accumulated depreciation	(48,418)	(36,622)	-	(85,040)
	96,151	(9,651)	-	86,500
Land	50,163,534	14,605,025	-	64,768,559
Construction in progress	807,704,824	312,076,713	-	1,119,781,537
Total	$857,964,509	$326,672,087	$ -	$1,184,636,596

NOTE E - COMMITMENTS

1. Leases

HART leases office space and equipment under operating leases expiring through fiscal year 2021. The future minimum rental payments for operating leases at June 30, 2015 are approximately as follows:

Fiscal Year	Annual
2016	1,252,000
2017	1,138,000
2018	751,000
2019	770,000
2020	795,000
2021	342,000
Total Minimum Payments	$ 5,048,000

NOTE E – COMMITMENTS (continued)

1. Leases (continued)

Additionally, these leases provide for payment of common area charges. Office and equipment rental expenses were approximately $2,172,000 and $2,316,000 for the years ended June 30, 2015 and 2014, respectively and are included in administration and general expenses in the accompanying statements of revenues, expenses and changes in net position.

2. Other Commitments

HART has contractual commitments at June 30, 2015 of approximately $2,150,438,000. These include contracts for construction, design, and professional services.

NOTE F – OTHER LONG-TERM LIABILITIES

The following is a summary of changes in other long-term liabilities during the fiscal years ended June 30, 2015 and 2014:

	Balance June 30, 2014 (as restated)	Additions	Reductions	Balance June 30, 2015	Approximate amounts due within one year
Accrued vacation	$ 1,043,092	$ 622,708	$ 499,154	$ 1,166,646	$ 94,128
Other postemployment benefits	1,652,481	544,000	97,000	2,099,481	-
Delay claims	44,341,954	58,256,511	42,902,530	59,695,935	33,360,950
Environmental remediation	1,500,000	3,345,000	-	4,845,000	-
Net pension liability*	14,683,919	-	277,970	14,405,949	-
Total	$ 63,221,446	$ 62,768,219	$ 43,776,654	$ 82,213,011	$ 33,455,078

	Balance June 30, 2013	Additions	Reductions	Balance June 30, 2014	Approximate amounts due within one year
Accrued vacation	$ 1,020,250	$ 457,111	$ 434,269	$ 1,043,092	$ 95,014
Other postemployment benefits	1,353,481	299,000	-	1,652,481	-
Delay claims	48,935,299	26,580,817	31,174,162	44,341,954	35,391,000
Environmental remediation	-	1,500,000	-	1,500,000	-
Total	$ 51,309,030	$ 28,836,928	$ 31,608,431	$ 48,537,527	$ 35,486,014

* For the purposes of this note, the balance at June 30, 2014 was restated to reflect the impact of the adoption of GASB Statement No. 68. See notes A and G for further discussion.

NOTE G - EMPLOYEE BENEFIT PLANS

1. Defined Benefit Plan

Description of Plan

All eligible employees of the State and counties are provided with pensions through a cost-sharing multiple-employer defined benefit pension plan administered by the ERS. Benefit terms, eligibility, and contribution requirements are established by HRS Chapter 88 and can be amended through legislation. The ERS issues a publicly available financial report that can be obtained at ERS's website at http://ers.ehawaii.gov/.

Benefits Provided

The ERS provides retirement, disability, and death benefits that are covered by the provisions of the noncontributory, contributory, and hybrid retirement membership classes. The three classes provide a monthly retirement allowance equal to the benefit multiplier (generally 1.25% or 2%) multiplied by the average final compensation multiplied by years of credited service. The benefit multiplier decreased by 0.25% for new hybrid and contributory plan members hired after June 30, 2012. Average final compensation is an average of the highest salaries during any 3 years of credited service, excluding any salary paid in lieu of vacation for employees hired January 1, 1971 or later and the average of the highest salaries during any five years of credited service including any salary paid in lieu of vacation for employees hired prior to January 1, 1971.

For members hired before July 1, 2012, the original retirement allowance is increased by 2.5% each July 1 following the calendar year of retirement. This cumulative benefit is not compounded and increases each year by 2.5% of the original retirement allowance without a ceiling (2.5% of the original retirement allowance the first year, 5.0% the second year, 7.5% the third year, etc.). For members hired after June 30, 2012 the post-retirement annuity increase was decreased to 1.5% per year.

Retirement benefits for certain groups, such as police officers, firefighters, some investigators, sewer workers, judges, and elected officials, vary from general employees.

NOTE G - EMPLOYEE BENEFIT PLANS (continued)

1. Defined Benefit Plan (continued)

Noncontributory Class:

Retirement Benefits

General employees' retirement benefits are determined as 1.25% of average final compensation multiplied by the years of credited service. Employees with 10 years of credited service are eligible to retire at age 62. Employees with 30 years of credited service are eligible to retire at age 55.

Disability Benefits

Members are eligible for service-related disability benefits regardless of length of service and receive a lifetime pension of 35% of their average final compensation. Ten years of credited service is required for ordinary disability. Ordinary disability benefits are determined in the same manner as retirement benefits but are payable immediately, without an actuarial reduction, and at a minimum of 12.5% of average final compensation.

Death Benefits

For service-connected deaths, the surviving spouse/reciprocal beneficiary receives a monthly benefit of 30% of the average final compensation until remarriage or re-entry into a new reciprocal beneficiary relationship. Additional benefits are payable to surviving dependent children up to age 18. If there is no spouse/reciprocal beneficiary or dependent children, no benefit is payable.

Ten years of credited service is required for ordinary death benefits. For ordinary death benefits, the surviving spouse/reciprocal beneficiary (until remarriage/reentry into a new reciprocal beneficiary relationship) and dependent children (up to age 18) receive a benefit equal to a percentage of member's accrued maximum allowance unreduced for age or, if the member was eligible for retirement at the time of death, the surviving spouse/reciprocal beneficiary receives 100% joint and survivor lifetime pension.

NOTE G - EMPLOYEE BENEFIT PLANS (continued)

1. Defined Benefit Plan (continued)

Contributory Class for Employees Hired prior to July 1, 2012:

Retirement Benefits

General employees' retirement benefits are determined as 2% of average final compensation multiplied by the years of credited service. General employees with 5 years of credited service are eligible to retire at age 55.

Disability Benefits

Members are eligible for service-related disability benefits regardless of length of service and receive a one-time payment of the member's contributions and accrued interest plus a lifetime pension of 50% of their average final compensation. Ten years of credited service is required for ordinary disability. Ordinary disability benefits are determined as 1.75% of average final compensation multiplied by the years of credited service but are payable immediately, without an actuarial reduction, and at a minimum of 30% of average final compensation.

For service-connected deaths, the designated beneficiary receives a lump sum payment of the member's contributions and accrued interest plus a monthly benefit of 50% of the average final compensation until remarriage or re-entry into a new reciprocal beneficiary relationship. If there is no surviving spouse/reciprocal beneficiary, surviving children (up to age 18) or dependent parents are eligible for the monthly benefit. If there is no spouse/reciprocal beneficiary or dependent children/parents, the death benefit is payable to the designated beneficiary.

Ordinary death benefits are available to employees who were active at time of death with at least 1 year of service. Ordinary death benefits consist of a lump sum payment of the member's contributions and accrued interest plus a percentage of the salary earned in the 12 months preceding death, or 50% Joint and Survivor lifetime pension if the member was not eligible for retirement at the time of death but was credited with at least 10 years of service and designated one beneficiary, or 100% Joint and Survivor lifetime pension if the member was eligible for retirement at the time of death and designated one beneficiary.

NOTE G - EMPLOYEE BENEFIT PLANS (continued)

1. Defined Benefit Plan (continued)

Contributory Class for Employees Hired After June 30, 2012:

Retirement Benefits

Judges and elected officers' retirement benefits are determined as 3.0% of average final compensation multiplied by the years of credited service up to a maximum of 75%. Judges and elected officers with 10 years of credited service are eligible to retire at age 60.

Disability and Death Benefits

Members are eligible for service-related disability benefits regardless of length of service and receive a lifetime pension of 50% of their average final compensation plus refund of contributions and accrued interest. Ten years of credited service is required for ordinary disability. Ordinary disability benefits are 3.0% of average final compensation for each year of service for judges and elected officers and 1.75% of average final compensation for each year of services for police and firefighters and are payable immediately, without an actuarial reduction, at a minimum of 30% of average final compensation.

Death benefits for contributory class members hired after June 30, 2012 are generally the same as those for contributory class members hired June 30, 2012 and prior.

Hybrid Class for Employees Hired Prior to July 1, 2012:

Retirement Benefits

General employees' retirement benefits are determined as 2% of average final compensation multiplied by the years of credited service. General employees with 5 years of credited service are eligible to retire at age 62. General employees with 30 years of credited service are eligible to retire at age 55.

Disability Benefits

Members are eligible for service-related disability benefits regardless of length of service and receive a lifetime pension of 35% of their average final compensation plus refund of their contributions and accrued interest. Ten years of credited service is required for ordinary disability. Ordinary disability benefits are determined in the same manner as retirement benefits but are payable immediately, without an actuarial reduction, and at a minimum of 25% of average final compensation.

NOTE G - EMPLOYEE BENEFIT PLANS (continued)

1. Defined Benefit Plan (continued)

Death Benefits

For service-connected deaths, the surviving spouse/reciprocal beneficiary receives a lump sum payment of the member's contributions and accrued interest plus a monthly benefit of 50% of the average final compensation to the surviving spouse/reciprocal beneficiary until remarriage or re-entry into a new reciprocal beneficiary relationship. If there is no surviving spouse/reciprocal beneficiary, surviving children (up to age 18) or dependent parents are eligible for the monthly benefit. If there is no spouse/reciprocal beneficiary or dependent children/parents, the ordinary death benefit is payable to the designated beneficiary.

Ordinary death benefits are available to employees who were active at time of death with at least 5 years of service. Ordinary death benefits consist of a lump sum payment of the member's contributions and accrued interest plus a percentage multiplied by 150%, or 50% Joint and Survivor lifetime pension if the member was not eligible for retirement at the time of death but was credited with at least 10 years of service and designated one beneficiary, or 100% Joint and Survivor lifetime pension if the member was eligible for retirement at the time of death and designated one beneficiary.

Hybrid Class for Employees Hired After June 30, 2012:

Retirement Benefits

General employees' retirement benefits are determined as 1.75% of average final compensation multiplied by the years of credited service. General employees with 10 years of credited service are eligible to retire at age 65. Employees with 30 years of credited service are eligible to retire at age 60. Sewer workers, water safety officers, and EMTs may retire with 25 years of credited service at age 55.

Disability and Death Benefits

Provisions for disability and death benefits generally remain the same except for ordinary death benefits. Ordinary death benefits are available to employees who were active at time of death with at least 10 years of service. Ordinary death benefits consist of a lump sum payment of the member's contributions and accrued interest plus a percentage multiplied by 120%, or 50% Joint and Survivor lifetime pension if the member was not eligible for retirement at the time of death but was credited with at least 10 years of service and designated one beneficiary, or 100% Joint and Survivor lifetime pension if the member was eligible for retirement at the time of death and designated one beneficiary or if less than 10 years of service, return of member's contributions and accrued interest.

NOTE G - EMPLOYEE BENEFIT PLANS (continued)

1. Defined Benefit Plan (continued)

Contributions

Contributions are established by HRS Chapter 88 and may be amended through legislation. The employer rate is set by statute based on the recommendations of the ERS actuary resulting from an experience study conducted every five years. Since July 1, 2005, the employer contribution rate is a fixed percentage of compensation, including the normal cost plus amounts required to pay for the unfunded actuarial accrued liabilities. The HART's contributions requirements as of June 30, 2015, 2014, and 2013 were approximately $1,305,000, $1,168,000, and $1,029,000, respectively. The contribution rate was 16.50, 16.00, and 15.50 percent for the years ended June 30, 2015, 2014 and 2013, respectively.

The employer is required to make all contributions for members in the noncontributory plan. For contributory class employees hired prior to July 1, 2012, general employees are required to contribute 7.8% of their salary. For contributory class employees hired after June 30, 2012 are required to contribute 9.8% of their salary. Hybrid members hired prior July 1, 2012 are required to contribute 6.0% of their salary. Hybrid members hired after June 30, 2012 are required to contribute 8.0% of their salary.

The HART's payroll for employees covered by the plan was approximately $7,912,000, $7,301,000, and $6,638,000 for 2015, 2014, and 2013, respectively.

Pension Liabilities, Pension Expense, and Deferred Outflows and Deferred Inflows of Resources Related to Pensions

At June 30, 2015 HART reported a liability of approximately $14.41 million for its proportionate share of the net pension liability. The net pension liability was measured as of June 30, 2014, and the total pension liability used to calculate the net pension liability was determined by an actuarial valuation as of that date. HART's proportion of the net pension liability was based on a projection of HART's long-term share of contributions to the pension plan relative to the projected contributions of all participating members of ERS, actuarially determined. At June 30, 2014 HART's proportionate share was .18% which was an increase of .02% from its proportionate share measured as of June 30, 2013.

There were no changes in other assumptions and inputs that affected the measurement of the total pension liability since the prior measurement date. There were no changes between the measurement date, June 30, 2014, and the reporting date, June 30, 2015, that are expected to have a significant effect on the proportionate share of the net pension liability.

NOTE G - EMPLOYEE BENEFIT PLANS (continued)

1. Defined Benefit Plan (continued)

For the fiscal year ended June 30, 2015, HART recognized pension expense of approximately $1,862,000. At June 30, 2015, HART reported deferred outflows and inflows of resources related to pensions from the following sources:

	Deferred Outflows of Resources	Deferred Inflows of Resources
Difference between actual and expected experience	$ 183,192	$ -
Net difference between projected and actual earnings on pension plan investments	-	1,671,889
Changes in proportion and differences between employer contributions and proportionate share of contributions	950,760	-
HART contributions subsequent to the measurement date	1,779,197	-
Total	$ 2,913,149	$ 1,671,889

$1.78 million reported as deferred outflows of resources related to pensions resulting from HART contributions subsequent to the measurement date will be recognized as a reduction of the net pension liability in the year ending June 30, 2016. Other amounts reported as deferred outflows and inflows of resources related to pension will be recognized in pension expense as follows:

Years ending June 30:	
2016	$ (180,052)
2017	(180,052)
2018	(180,052)
2019	(180,052)
2020	182,271
	$ (537,937)

NOTE G - EMPLOYEE BENEFIT PLANS (continued)

1. Defined Benefit Plan (continued)

Actuarial Assumptions

The total pension liability in the June 30, 2014 actuarial valuation was determined using the following actuarial assumptions for general employees, applied to all periods included in the measurement:

Inflation	3.00%
Projected Salary Increases	4.00% to 8.00%*
Investment Rate of Return	7.75% *
Payroll Growth Rate	3.50%

*including inflation

The same rates were applied to all periods. There were no changes to ad hoc postemployment benefits including COLA.

Post-retirement mortality rates are based on Client Specific Tables and the 1994 US Group Annuity Mortality Statistic Tables for police and firefighters. Pre-retirement mortality rates are based on the RP-2000 tables.

The actuarial assumptions used in the June 30, 2014 valuation were based on the results of an actuarial experience study for the five year period ended June 30, 2010. ERS updates their experience study every five years.

The long-term expected rate of return on pension plan investments was determined using a "top down approach" of the Bespoke Client-Constrained Simulation-based Optimization Model (a statistical technique known as "re-sampling with replacement" that directly keys in on specific plan-level risk factors as stipulated by the ERS Board) in which best-estimate ranges of expected future real rates of return (expected returns, net of pension plan investment expense and inflation) are developed for each major asset class. These ranges are combined to produce the long-term expected rate of return by weighting the expected future real rates of return by the target asset allocation percentage and by adding expected inflation.

NOTE G - EMPLOYEE BENEFIT PLANS (continued)

1. Defined Benefit Plan (continued)

The target allocation and best estimates of arithmetic real rates of return for each major asset class are summarized in the following table:

Asset Class	Long-Term Target Allocation	Long-Term Expected Real Rate of Return
Domestic equity	30%	8.5%
International equity	26	9.0
Fixed income	20	3.1
Real estate	7*	8.5
Private equity	7*	11.8
Real return	5*	6.1
Covered calls	5	7.7
Total	100%	

*The real estate, private equity, and real return targets will be the percentage actually invested up to 7%, 7%, and 5%, respectively, of the total fund. Changes in the real estate, private equity, and real return targets will be offset by an equal percentage change in the large cap domestic equity target.

The discount rate used to measure the net pension liability was 7.75%. The projection of cash flows used to determine the discount rate assumed that plan member contributions will be made at the current contribution rate and that employer contributions will be made at statutorily required rates, actuarially determined. Based on those assumptions, the pension plan's fiduciary net position was projected to be available to make all projected future benefit payments of current plan members. Therefore, the long-term expected rate of return on pension plan investments was applied to all periods of projected benefit payments to determine the total pension liability. There has been no change in the discount rate since the prior measurement date.

The following presents HART's proportionate share of the net pension liability calculated using the single discount rate of 7.75%, as well as what HART's proportionate share of the net pension liability would be if it were calculated using a single discount rate that is 1-percentage point lower or 1-percentage-point higher than the current rates:

	1 percent Decrease (6.75%)	Current Discount Rate (7.75%)	1 percent Increase (8.75%)
HART's proportionate share of the net pension liability	$18,259,259	$14,405,949	$10,552,639

NOTE G - EMPLOYEE BENEFIT PLANS (continued)

1. Defined Benefit Plan (continued)

Pension plan fiduciary net position

The pension plan's fiduciary net position is determined on the same basis used by the pension plan. The ERS financial statements are prepared using the accrual basis of accounting under which expenses are recorded when the liability is incurred, and revenues are recorded in the accounting period in which they are earned and become measurable. Employer and member contributions are recognized in the period in which the contributions are due. Benefits and refunds are recognized when due and payable in accordance with the terms of the plan. Investment purchases and sales are recorded as of their trade date. Administrative expenses are financed exclusively with investment income.

There were no significant changes after the report measurement date. Detailed information about the pension plan's fiduciary net position is available in the separately issued ERS financial report. ERS's complete financial statements are available at http://www.ers.ehawaii.gov.

Payables to the Pension Plan

As of June 30, 2015, HART had no payable to ERS.

2. Post-Retirement Health Care and Life Insurance Benefits

The HART provides certain other postemployment benefits (OPEB) other than pensions to all qualified employees. Pursuant to Chapter 87A of the HRS, the HART contributes to the Hawaii Employer-Union Health Benefits Trust Fund (EUTF) an agent multi-employer defined benefit plan. The EUTF was established to provide a single delivery system of health benefits for state and county workers, retirees and their dependents. The EUTF currently provides medical, dental, vision, and life insurance benefits. The EUTF issues an annual financial report that is available to the public. That report may be obtained by writing to the EUTF at 201 Merchant Street, Suite 1520, Honolulu, Hawaii 96813.

Eligibility

For employees hired before July 1, 1996, the HART pays 100% of the monthly health care premium for employees retiring with 10 or more years of credited service, and 50% of the monthly premium for employees retiring with fewer than 10 years of credited service.

NOTE G - EMPLOYEE BENEFIT PLANS (continued)

2. Post-Retirement Health Care and Life Insurance Benefits (continued)

For employees hired after June 30, 1996 and retiring with 25 years or more of service, the HART pays the entire health care premium. For employees retiring with at least 15 years of service but fewer than 25 years of service, the HART pays 75% of the monthly Medicare or non-Medicare premium. For those retiring with at least 10 years but less than 15 years of service, the HART pays 50% of the retired employees' monthly Medicare or non-Medicare premium. For those retiring with less than 10 years of service, the HART makes no contributions.

For employees hired after June 30, 2001 and retiring with over 25 years of service, the HART will pay 100% of the monthly premium based on the self- plan. For those who retire with at least 15 years but fewer than 25 years of service, the HART will pay 75% of the retired employees' monthly Medicare or non-Medicare premium based on the self- plan. For those retiring with at least 10 years but fewer than 15 years of service, the HART pays 50% of the retired employees' monthly Medicare or non-Medicare premium based on the self- plan. For those with fewer than 10 years of service, the HART makes no contributions.

The HART also reimburses 100% of Medicare premium costs for retirees and qualified dependents (through the State), who are at least 65 years of age and have at least 10 years of service.

For active employees, the employer's contributions are based upon negotiated collective bargaining agreements. Employer contributions for employees not covered by collective bargaining agreements and for retirees are prescribed by the HRS.

The HART is required to contribute the annual required contribution of the employer (ARC), an amount actuarially determined in accordance with the parameters of GASB Statement No. 45. The ARC represents a level of funding that, if paid on an ongoing basis, is projected to cover the normal cost each year and amortize any unfunded actuarial liabilities over 30 years.

NOTE G - EMPLOYEE BENEFIT PLANS (continued)

2. Post-Retirement Health Care and Life Insurance Benefits (continued)

Annual OPEB Cost

The following table displays for the years ended June 30, 2015, 2014 and 2013, the components of the annual OPEB cost, the amount actually contributed to the plan, the changes to the net OPEB obligation, and the percentage of annual OPEB cost contributed:

	2015	2014	2013
Annual required contribution	$ 532,000	$ 292,000	$ 282,000
Interest on net OPEB obligation	55,000	34,000	-
Adjustment to the annual required contribution	(43,000)	(27,000)	-
Annual OPEB Cost	544,000	299,000	282,000
Contributions made	(97,000)	-	-
Increase in net OPEB obligation	447,000	299,000	282,000
Net OPEB obligation – beginning of year	789,000	490,000	208,000
Net OPEB obligation – end of year	$ 1,236,000	$ 789,000	$ 490,000
Percentage of annual OPEB cost contributed	18%	0%	0%

Funded Status and Funding Progress

The following is the schedule of the funded status and funding progress of the plan as of the most recent actuarial valuation date, that are, July 1, 2013 and July 1, 2011:

	July 1, 2013	July 1, 2011
Actuarial accrued liability	$ 3,413,000	$ 1,964,000
Actuarial value of plan assets	9,000	-
Unfunded actuarial liability (UAAL)	$ 3,404,000	$ 1,964,000
Funded ratio	0.3%	0.0%
Covered payroll (Active plan members)	$ 6,760,000	$ 5,385,000
UAAL as a percentage of covered payroll	50.4%	36.5%

NOTE G - EMPLOYEE BENEFIT PLANS (continued)

2. Post-Retirement Health Care and Life Insurance Benefits (continued)

Actuarial valuations of an ongoing plan involve estimates of the value of reported amounts and assumptions about the probability of occurrence of events far into the future. Examples include assumptions about future employment, mortality, and the healthcare cost trend. Amounts determined regarding the funded status of the plan and the annual required contributions of the employer are subject to continual revision as actual results are compared with past expectations and new estimates are made about the future. The schedule of funding progress, presented as required supplementary information following the notes to the financial statements, presents multiyear trend information that shows whether the actuarial value of plan assets is increasing or decreasing over time relative to the actuarial accrued liabilities for benefits.

On July 3, 2013, the Governor signed into law Act 268, SLH of 2013. Act 268 requires the EUTF to establish and administer separate trust accounts for each public employer for the purpose of receiving irrevocable employer contributions to prefund post-employment health and other benefit costs for retirees and their beneficiaries. It establishes the Hawaii EUTF Trust Fund Task Force to examine further steps to address the unfunded liability and requires all public employers to make annual required contributions effective fiscal year 2014. Commencing fiscal year 2019, the annual public employer contribution shall be equal to the annual required contribution, as determined by an actuary retained by the EUTF board.

Actuarial Methods and Assumptions

Projections of benefits for financial reporting purposes are based on the substantive plan and include the types of benefits provided at the time of each valuation and the historical pattern of sharing of benefit costs between the employer and plan members to that point. The actuarial methods and assumptions used include techniques that are designed to reduce short-term volatility in actuarial accrued liabilities and the actuarial value of assets, consistent with the long-term perspective of the calculations.

In the most recent actuarial valuation, dated as of July 1, 2013, the entry age normal actuarial cost method was used. The actuarial assumptions included a discount rate of 7.0%, which was based on EUTF's anticipated asset investment return and the HART's anticipated funding level. Actuarial assumptions also included an annual health cost trend rate for PPO plans of 9.0% for 2014, declining to a rate of 5% after 10 years, and HMO plans of 7.5% for 2014, declining to a rate of 5% after 10 years; expected payroll increases of 3.5% to amortize unfunded liabilities, projected salary increases based on the ERS July 1, 2013 assumptions to determine the actuarial accrued liability, and an inflation rate of 3.0%. The unfunded actuarial accrued liability is being amortized over a 30 year closed period as a level percentage of projected payrolls.

NOTE G - EMPLOYEE BENEFIT PLANS (continued)

2. Post-Retirement Health Care and Life Insurance Benefits (continued)

The EUTF issues a stand-alone financial report that includes financial statements and required supplementary information, which may be obtained at the following address: State of Hawaii Employer-Union Health Benefits Trust Fund, 201 Merchant Street, Suite 1520, Honolulu, Hawaii 96813.

NOTE H - RELATED PARTY TRANSACTIONS

1. Intergovernmental Revenues and Federal Grants

During the year ended June 30, 2015 and 2014, the HART recognized intergovernmental revenues of $223,666,342 and $218,390,853, respectively, from the General Excise Tax (GET) county surcharge and $158,034,519 and $107,116,948, respectively, in Federal Transit Authority (FTA) grant assistance.

2. Central Administrative Services Expense Fee

HART has an agreement with the City to pay a Central Administrative Services Expense (CASE) fee for treasury, personnel, purchasing, legal, and other services that the City provides to HART on an on-going basis. CASE fees totaled $621,389 and $923,621 for the years ended June 30, 2015 and 2014, respectively, and is included as part of administration and general expense in the statements of revenues, expenses and changes in net position.

NOTE I – DELAY CLAIM COSTS

As of June 30, 2015 and 2014, HART has recorded approximately $59.7 million and $44.3 million, respectively, related to delayed claims resulting from the HonoluluTraffic.com, et. al. v. Federal Transit Administration, et. al. and the Kaleikini v. Formby et al. cases which were settled in fiscal year 2014. These amounts have been included in other long-term liabilities in the accompanying statements of net position. The increase of approximately $15.4 million has been included in construction work in process in the accompanying statements of net position.

NOTE J – LITIGATION

On September 8, 2015, a complaint was filed against the City and County of Honolulu, seeking a declaration that certain votes by the City Council were invalid due to the nondisclosure of alleged conflicts of interest by various Councilmembers, and that therefore the laws resulting from those votes are void and unenforceable. The lawsuit also asks that the City be enjoined from enforcing or continuing to provide funding for the laws in question, until such time as the laws are ratified in accordance with orders of the court. The votes in question relate to ordinances or resolutions that the City Council approved with regard to the Honolulu Rail Transit Project, related issuance and sale of general obligation bond and bond anticipation notes, and real property transfers. An amended complaint was filed on November 6, 2015. The case is in the preliminary stages of litigation, and the outcome or any potential liability is not determinable at this time. The City intends to vigorously defend itself.

NOTE K - ENVIRONMENTAL ISSUES

HART is currently aware of soil contamination at various sites that it has acquired. Based on preliminary studies, HART has determined that as of June 30, 2015 and 2014, the current total estimated costs for remediation are approximately $4.8 million and $1.5 million, respectively. These amounts are included in other long-term liabilities in the accompanying statements of net position. The increase of approximately $3.3 million has been included in land in the accompanying statements of net position.

NOTE L – LIQUIDITY RISK

On December 18, 2014, HART's CEO & Executive Director informed the HART Board of Directors that the projected capital costs of the project would increase by approximately $600 million while projected revenues would decrease by approximately $310 million. In total, the project would need additional revenues of $910 million to cover the additional capital costs and revenue shortfall.

The additional cost estimates included lawsuits and delay claims of $190 million, construction cost escalations, utility relocations and project enhancements of $170 million and allocated contingency of $240 million. The revenue shortfall consisted of $100 million of general excise tax (GET) surcharge shortfall, and $210 million for the deletion of federal section 5307 funds from the project revenue per Honolulu City Council Resolution No. 15-18.

NOTE L – LIQUIDITY RISK

In May 2015, the Hawaii State Legislature passed House Bill 134 extending the GET surcharge for the construction of the rail project for another five years from December 31, 2022 to December 31, 2027. The extension, which was signed into law as Act 240 on July 14, 2015, requires the Honolulu City Council to adopt the tax extension before July 1, 2016. It is estimated that the five-year extension will generate additional GET surcharge revenues of $1.5 billion which would cover the anticipated cost increases and revenue shortfall.

On October 15, 2015 the HART Board of Directors were presented with updated cost estimates based on recent contract bids, and updated construction industry cost escalation estimates and current economic conditions in Hawaii. The revised projected capital costs were increased by $714 million, including $299 million for unallocated contingency, bringing the total cost increase to $1.314 billion. The additional increases are attributable to an 18-month extension of the project completion date from January 2020 to June 2021, and to continuing escalation of construction costs in Hawaii.

The FTA issued a letter dated November 12, 2015 expressing concern that the City has not yet completed the actions needed to extend the GET surcharge that is critical to completing the project. The letter states that "until FTA has agreed to a revised cost estimate and schedule, and a financial plan which includes a commitment of all of the local funds needed to cover the cost estimate, FTA cannot award the Fiscal Year 2015 increment of Section 5309 funds ($250 million) under the terms of the FFGA."

As of January 21, 2016, City Council Bill 23 to adopt the GET surcharge extension has not been adopted. In its current form, Bill 23 would extend the one half percent GET surcharge from January 1, 2023 to December 31, 2027 and requires that the expenditures of surcharge moneys be limited to $4.815 billion and expended only on the minimum operable segment and associated debt financing costs. It is anticipated that Bill 23 will be enacted by the City Council at its January 27, 2016 meeting.

In the event that the City Council does not adopt Bill 23 and extend the GET surcharge beyond 2022, it is currently estimated that the project would not have sufficient revenues to complete the construction of all twenty-one stations and associated elevated guideway. In addition, should the GET surcharge extension not be extended, the FTA may declare the City in breach of the grant agreement, and discontinue awarding the remaining portions of the $1.55 billion federal grant. The FTA may also require the City to return the $503 million of federal funds that have been disbursed for the project to date of which $412 million was received as of June 30, 2015 and $91 million was received subsequent to year end. As of June 30, 2015, the potential impact of the aforementioned items, including but not exclusive to any potential impairment to capital assets, is not reflected in the amounts reported in the financial statements.

PART II
REQUIRED SUPPLEMENTARY INFORMATION

Honolulu Authority for Rapid Transportation
(a component unit of the City and County of Honolulu)

SCHEDULE OF THE HART'S PROPORTIONATE SHARE
OF THE NET PENSION LIABILITY

LAST 10 FISCAL YEARS

	Proportion of Net Pension Liability	Proportionate Share of the Net Pension Liability	Covered Payroll	Proportionate share of the net pension liability as a percentage of its covered payroll	Plan fiduciary net position as a percentage of the total pension liability
Year Ended June 30,					
2015	0.1797%	$ 14,405,949	$ 7,301,318	197.31%	63.92%
2014	0.1644%	14,683,919	6,231,742	235.63%	57.96%
2006 - 2013*					

* Information for this period is not available. The table will be compiled prospectively

See independent auditor's report

Honolulu Authority for Rapid Transportation
(a component unit of the City and County of Honolulu)

SCHEDULE OF CONTRIBUTIONS

LAST 4 FISCAL YEARS

	Statutorily Required Contribution	Contributions in Relation to the Statutorily Required Contributions	Contribution Excess (Deficiency)	Covered Payroll	Contributions as a Percentage of Covered Payroll
Year Ended June 30,					
2015	$ 1,305,429	$ 1,305,429	$ -	$ 7,911,690	16.50%
2014	1,168,211	1,168,211	-	7,301,318	16.00%
2013	1,028,869	1,028,869	-	6,637,865	15.50%
2012	782,968	782,968	-	5,219,792	15.00%

See independent auditor's report

Honolulu Authority for Rapid Transportation
(a component unit of the City and County of Honolulu)

SCHEDULE OF FUNDING PROGRESS FOR
HAWAII EMPLOYER-UNION HEALTH BENEFITS TRUST FUND

June 30, 2015

Actuarial valuation date	Actuarial value of assets	Actuarial accrued liability (AAL)	Unfunded AAL (UAAL)	Funded ratio	Covered payroll	UAAL as a percentage of covered payroll
July 1, 2013	9,000	$ 3,413,000	$ 3,404,000	0.3%	$ 6,760,000	50.4%
July 1, 2011	-	$ 1,964,000	$ 1,964,000	0.0%	$ 5,385,000	36.5%

See independent auditor's report

PART III
REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS

REPORT ON INTERNAL CONTROL OVER FINANCIAL REPORTING AND ON COMPLIANCE AND OTHER MATTERS BASED ON AN AUDIT OF FINANCIAL STATEMENTS PERFORMED IN ACCORDANCE WITH GOVERNMENT AUDITING STANDARDS

Independent Auditor's Report

We have audited, in accordance with the auditing standards generally accepted in the United States of America and the standards applicable to financial audits contained in *Government Auditing Standards* issued by the Comptroller General of the United States, the financial statements of the Honolulu Authority for Rapid Transportation (HART), as of and for the year ended June 30 2015, and the related notes to the financial statements, which collectively comprise HART's basic financial statements, and have issued our report thereon dated January 21, 2016.

Internal Control over Financial Reporting

In planning and performing our audit of the financial statements, we considered HART's internal control over financial reporting (internal control) to determine the audit procedures that are appropriate in the circumstances for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of HART's internal control. Accordingly, we do not express an opinion on the effectiveness of HART's internal control.

A *deficiency in internal control* exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct, misstatements on a timely basis. A *material weakness* is a deficiency, or a combination of deficiencies, in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. A *significant deficiency* is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention by those charged with governance.

Our consideration of internal control was for the limited purpose described in the first paragraph of this section and was not designed to identify all deficiencies in internal control that might be material weaknesses or significant deficiencies. Given these limitations, during our audit we did not identify any deficiencies in internal control that we consider to be material weaknesses. However, material weaknesses may exist that have not been identified.

Compliance and Other Matters

As part of obtaining reasonable assurance about whether HART's financial statements are free from material misstatement, we performed tests of its compliance with certain provisions of laws, regulations, contracts, and grant agreements, noncompliance with which could have a direct and material effect on the determination of financial statement amounts. However, providing an opinion on compliance with those provisions was not an objective of our audit, and accordingly, we do not express such an opinion. The results of our tests disclosed an instance of noncompliance or other matters that is required to be reported under *Government Auditing Standards* and which is described in the accompanying schedule of findings as item 2015-01.

1003 Bishop Street ■ Suite 2400 ■ Honolulu, HI 96813 ■ Telephone: 808-526-2255 ■ Fax: 808-536-5817 ■ www.kmhllp.com

HART's Response to Finding

HART's response to the finding identified in our audit is described in the accompanying response of the affected agency. HART's response was not subjected to the auditing procedures applied in the audit of the financial statements and, accordingly, we express no opinion on it.

Purpose of this Report

The purpose of this report is solely to describe the scope of our testing of internal control and compliance and the results of that testing, and not to provide an opinion on the effectiveness of the entity's internal control or on compliance. This report is an integral part of an audit performed in accordance with *Government Auditing Standards* in considering the entity's internal control and compliance. Accordingly, this communication is not suitable for any other purpose.

KMH LLP

KMH LLP

Honolulu, Hawaii
January 21, 2016

PART IV
SCHEDULE OF FINDINGS

Finding No.: 2015-01 **Timely Submission of Weekly Payroll Information**
Type of Finding: **Non-Compliance with Grant Agreements**

Criteria: 29 CFR Subtitle A section 5.5 states that the contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to the appropriate federal agency if the agency is a party to the contract, but if the agency is not such a party, the contractor will submit the payrolls to the applicant, sponsor, or owner, as the case may be, for transmission to the appropriate federal agency. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under 29 CFR 5.5(a)(3)(i), except that full social security numbers and home addresses shall not be included on weekly transmittals. Instead the payrolls shall only need to include an individually identifying number for each employee (e.g., the last four digits of the employee's social security number). The required weekly payroll information may be submitted in any form desired. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors.

Condition, cause, and context: During our audit, we noted that the HART has not been diligent in requiring prime contractors to submit weekly payroll information within the required timeframe. Although the prime contractors are responsible to submit weekly payroll information, the HART's current practice allows prime contractors to aggregate several weeks of the required weekly payroll information and submit that information in batches at various intervals during the period (i.e., every two weeks or monthly).

We tested 60 payroll submissions and noted the following:

- 50 instances where certified payrolls were not submitted within 7 days (weekly) of the pay period end date.
- 1 instance where a non-performance report was missing.

Effect: Failure to provide weekly payroll information within the required timeframe resulted in non-compliance with the program requirements.

Recommendation: The HART should require its prime contractors to submit weekly payroll information within the required timeframe.

PART V
RESPONSE OF THE AFFECTED AGENCY

FINDING 2015-01 – Timely Submission of Weekly Payroll Information

Response of Management

Management has hired a full time staff person who will be responsible for verifying that all required weekly payroll reports from contractors are being submitted on a timely basis.

Policies and procedures will also be put in place that will require contractors to submit weekly required payroll reports and notifications when such reports are not being filed on a timely basis.

HONOLULU AUTHORITY for RAPID TRANSPORTATION

Right-of-Way Status Update
January 28, 2016

Meeting our Goals

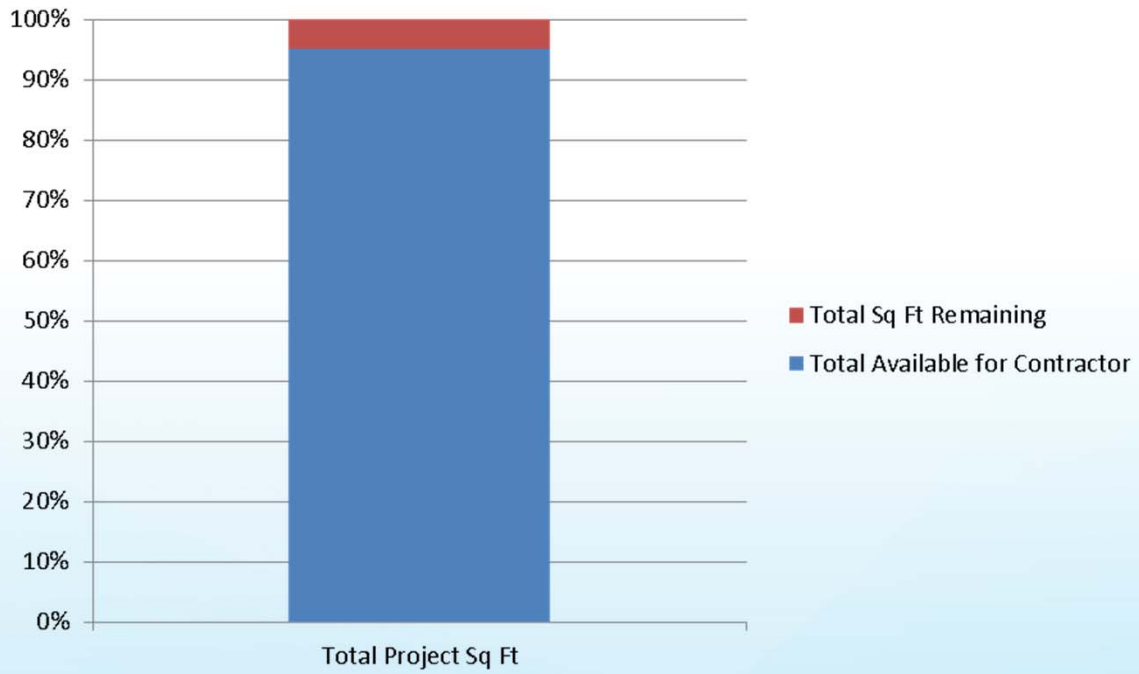
- Balance respect for property owner with schedule needs and project budget
- Balance responsibility of staying within the budget in a changing real estate market
- Continue to communicate and educate effectively
- Negotiate fairly
- Meet requirements of the Uniform Act

Status Summary

- ROW team continues to meet the schedule for City Center acquisitions relative to program procurement needs
  - Intense focus on Airport and Dillingham Parcels to support upcoming procurement
- Current total site access available for contractor is 95% of the total area needed
- Eminent Domain pending
  - 47 prior requests for authorization from HART Board
  - 2 parcels rejected by the City Council
  - 5 cases filed
    - 1 settled prior to trial
    - 1 settled prior to trial, pending FTA approval
    - 1 parcel disputed
    - 2 friendly condemnations to resolve title issues
  - 22 properties in escrow

Progress Site Access Available by Land Area

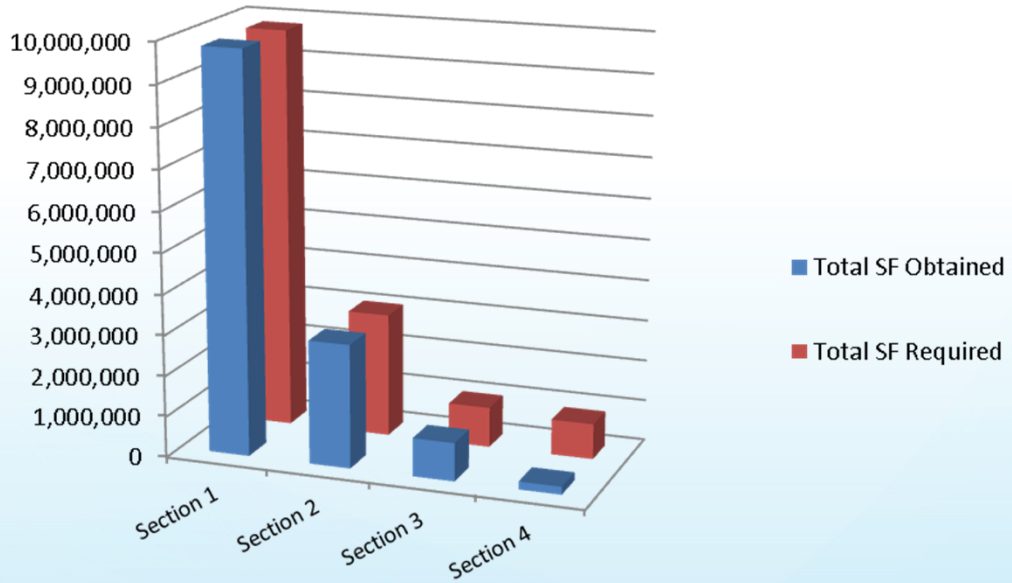
as of 12/14/2015



Total Project Sq Ft	Total Sq Ft Requirement	14,681,528
	Total Available for Contractor	13,957,981
	Total Sq Ft Remaining	723,547
	% Available for Contractor	95%
	Reported Last Month	93%

Progress Site Access Available to Contractors by Land Area by Section

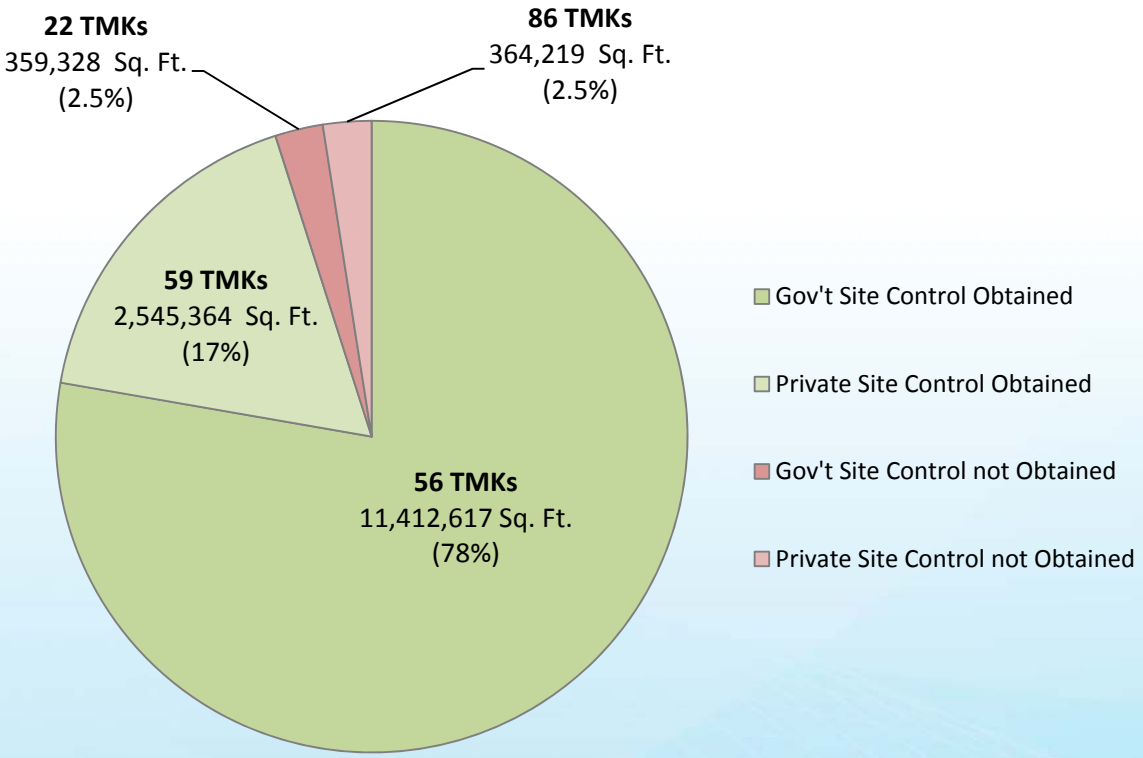
as of 12/14/2015



	Section 1	Section 2	Section 3	Section 4
Total SF Obtained	9,808,840	3,023,851	932,760	192,530
Total SF Required	9,808,840	3,027,319	979,875	865,494
% Progress	100.00%	99.89%	95.19%	22.25%

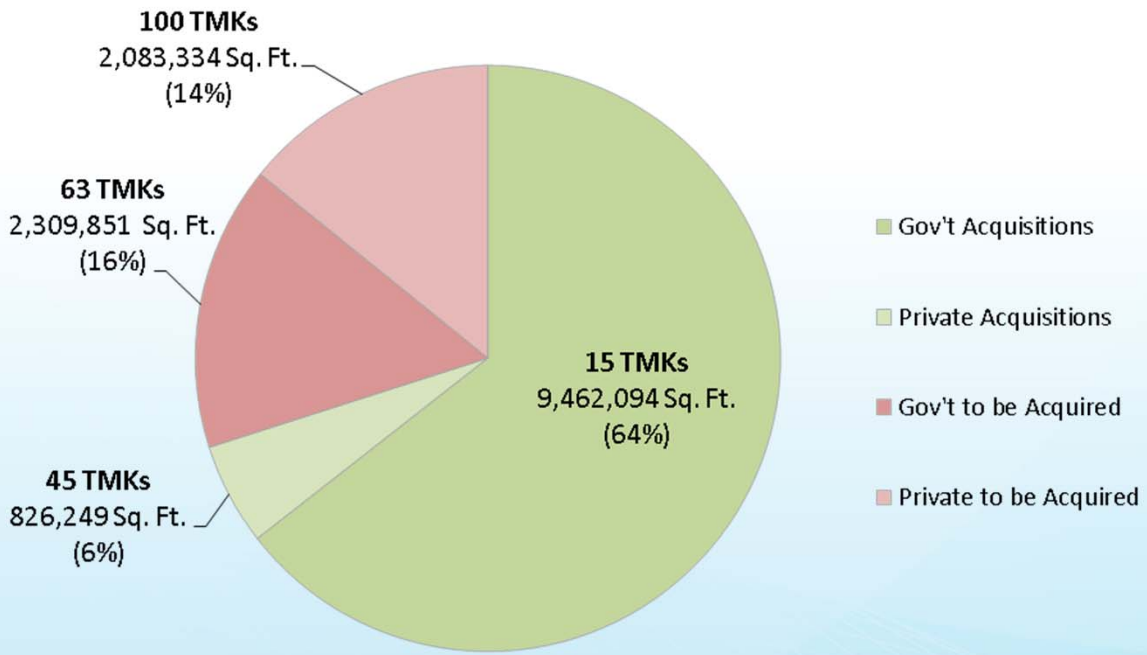
Parcel Site Control Status by Land Area and Ownership Type

as of 12/14/2015



Acquisition Status by Land Area and Ownership Type

as of 12/14/2015

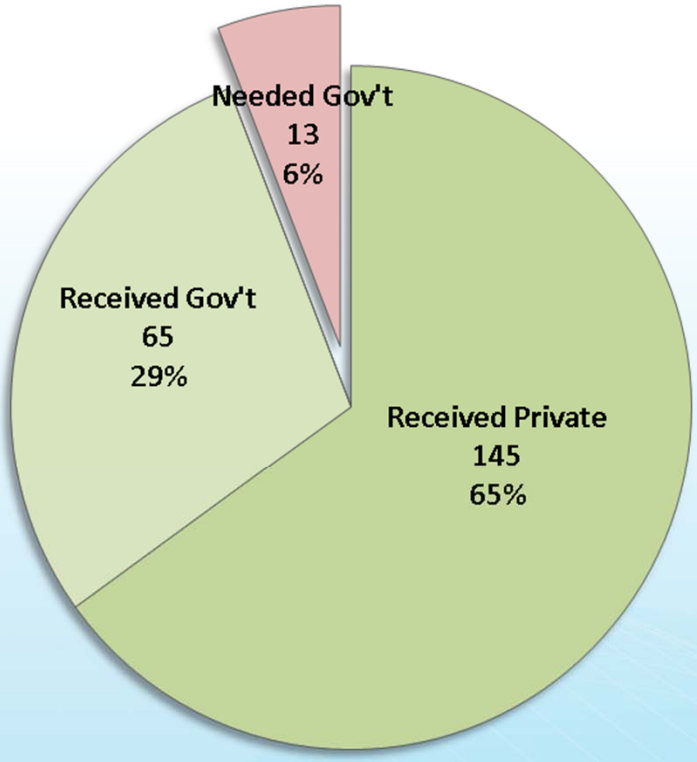


Survey Maps

(Privately Owned + Government Parcels)

as of 12/14/2015

Needed
13 Maps - 6%

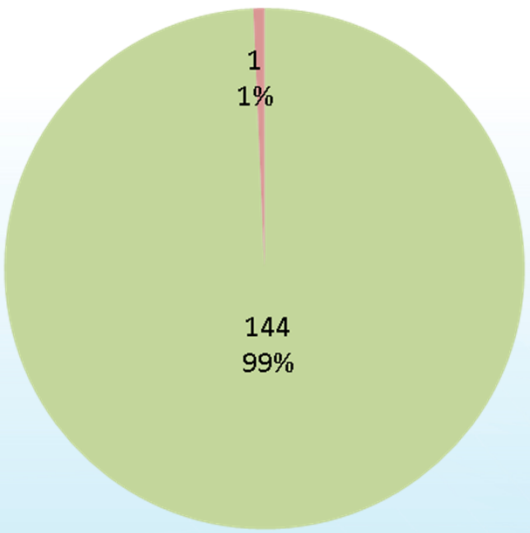


Total Received
210 Maps - 94%

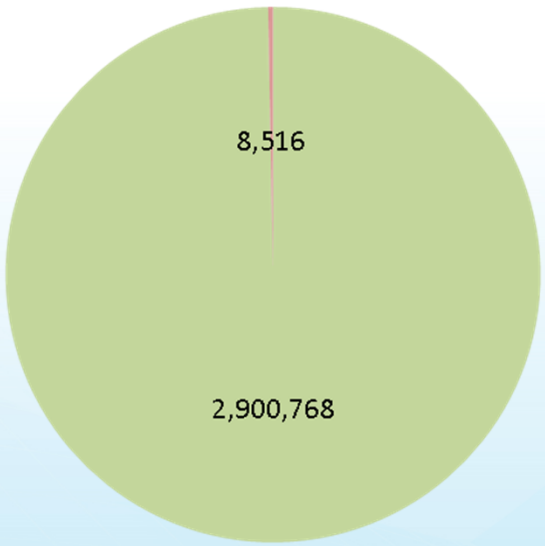
Appraisal Status

Privately Owned Parcels

as of 12/14/2015



Tax Map Key



Square Footage

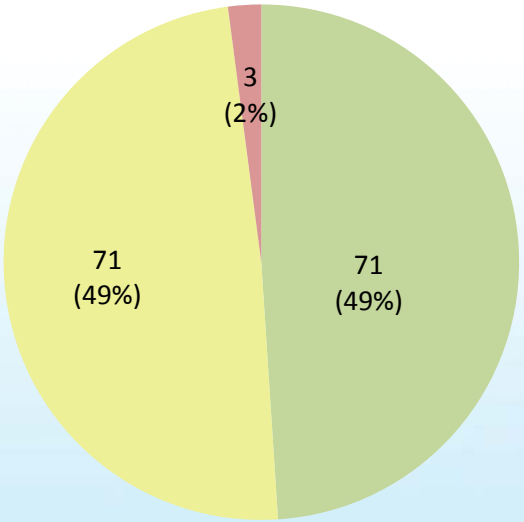
Appraisals Complete

Appraisals in Preparation

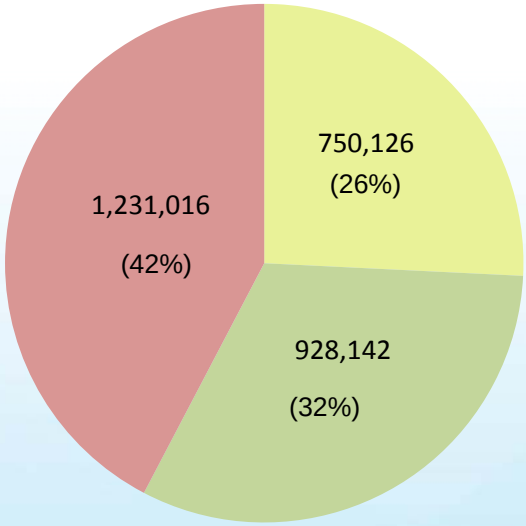
Offer Status

Privately Owned Parcels

as of 12/14/2015



Tax Map Key



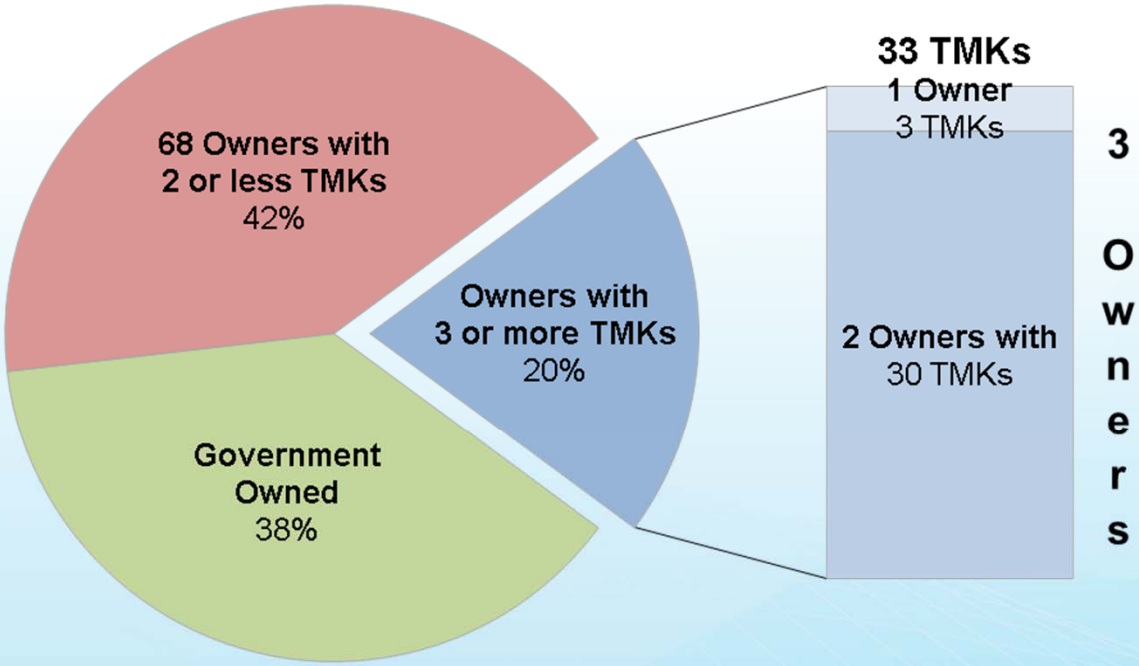
Square Footage

- Offers Accepted
- Offers Sent and Pending
- Offers in Preparation

Parcels to be Acquired by Tax Map Key (TMK)

(Privately Owned + Government Parcels)

as of 12/14/2015



Right-of-Way Cost Estimate Update

as of 12/14/2015

	Budget	Expended	Remaining Budget Balance	Estimate to Completion	Forecast Variance
Acquisition	$201.70	$79.90	$121.80	$109.30	$12.50
Relocation	$20.50	$9.70	$10.80	$16.80	($6.00)
Total (Million)	$222.20	$89.60	$132.60	$126.10	$6.50

Notes:

- **Administrative overhead costs aggregated with the Acquisition and Relocation numbers**
- **Estimate to completion based on offers, appraisals or assessed values**

Right-of-Way Risks to Budget

- **Volatility of Real Estate Market, especially in the Kakaako-Ala Moana area**
- **Managing the number of conversions from partial acquisition to full acquisition**
- **Unanticipated relocation costs for complex relocations, particularly unexpected full takes**

Private Property Acquisition Summary as of 12/14/2015

No	TMK	Take	Address	Owner	Recordation Date	Settlement ($)	Total Acquisition ($)	FFGA Budget	Note	Remaining Balance in Budget
1	1-1-016-005	Full	2676 Waiwai Loop	2676 Waiwai Loop LLC	7-Mar-14	4,900,000	4,924,144	6,173,973		1,249,829
2	1-1-016-006	Full	2668 Waiwai Loop	Alert Holding Group	28-Mar-14	3,900,000	3,918,089	4,648,445		730,356
3	1-1-016-014	Full	479 Lagoon Drive	Chevron USA Inc	21-Mar-14	2,825,000	3,042,274	3,930,328		888,055
4	1-1-016-015	Full	515 Lagoon Drive	Brewer Trust	3-Jun-13	3,540,000	3,551,508	5,067,659		1,516,151
5	1-2-003-016	Full	1819 Dillingham Boulevard	Strain	21-Apr-14	1,100,000	1,106,416	1,741,689		635,273
6	1-2-003-017	Partial	1815 Dillingham Boulevard	Hernandez	11-May-15	150,308	151,758	111,258		-40,500
7	1-2-003-018	Partial	1803 Dillingham Boulevard	Rosebud Holdings Ltd	14-Aug-15	140,589	142,407	261,258		118,851
8	**1-2-003-020**	**Partial**	**1727 Dillingham Boulevard**	**Elum Two LLC**	**7-Dec-15**	**216,245**	**220,540**	**364,465**		**143,925**
9	1-2-003-082	Full	1825 Dillingham Boulevard	Nguyen	31-Jul-14	980,000	984,299	1,596,625		612,326
10	1-2-003-101	Partial	1701 Dillingham Boulevard	Fujii Trustee	16-Nov-15	455,000	458,234	463,178		4,944
11	1-2-009-001	Full	1901 Dillingham Boulevard	Sebastian LLC	16-Aug-12	2,800,000	2,805,135	2,814,000		8,865
12	1-2-009-100	Full	1953 Dillingham Boulevard	Sebastian LLC	16-Dec-14	2,250,000	2,257,359	436,620	**	-1,820,739
13	1-2-009-101		Subdivided TMK 1-2-009-017 into 100 and 101							
14	1-2-009-018	Full	1927 Dillingham Boulevard	Rodrigues/Hinch	18-Nov-14	800,000	804,686	261,258	**	-543,428
15	1-2-010-068	Full	1900 Dillingham Boulevard	Kam Trust	4-Dec-12	1,825,000	1,831,279	2,529,000		697,721
16	1-5-007-021	Full	545 Kaaahi Street	Nuuanu Auto	11-Oct-14	2,275,000	2,285,004	2,819,500		534,496
17	1-5-007-023	Full	533 Kaaahi Street	KWA/ Abrams	23-Apr-10	2,850,000	2,850,000	2,850,000	*	0
18	1-5-028-073	Partial	1617 Dillingham Boulevard	Fujii Trustee	13-Oct-15	255,000	258,439	179,373		-79,066
19	1-7-002-026	Full	902 Kekaulike Street	902 Partners Ltd	1-Nov-12	5,200,000	5,219,351	4,927,000	**	-292,351
20	2-3-004-048	Full	1156 Waimanu Street	Young	21-Mar-12	1,720,000	1,730,578	1,730,578		0
21	2-3-004-069	Full	1168 Waimanu Street	Cody Prop LLC	10-Feb-12	2,650,000	2,660,398	2,658,317		-2,081
22	2-3-007-033	Full	1169 Kona Street	Kakaako Associates	13-Oct-14	5,800,000	5,825,106	10,102,669		4,277,563
23	2-3-007-036	Full	1174 Waimanu Street	McArthur Trust/Hideko	8-Oct-14	1,400,000	1,407,845	1,951,386		543,541
24	2-3-007-039	Full	1163 Kona Street	Nelson Family Trust	1-Dec-15	3,000,000	3,010,960	2,644,402		-366,558
25	2-3-007-044	Full	1201 Kona Street	ROKH Holdings Inc	3-Oct-14	1,350,000	1,357,540	1,751,700		394,160
26	2-3-007-054	Full	1246 Kona Street	Taran Trust	15-May-15	1,100,000	1,105,634	1,439,263		333,629
27	9-4-017-011	Full	94-818 Moloalo Street	Okazaki	4-Aug-11	870,000	870,000	870,000	*	0
28	9-4-019-050	Full	94-819 Farrington Highway	Min	1-Aug-12	1,000,000	1,004,277	1,005,000		723
29	9-4-047-008	Partial	94-144 Farrington Highway	Robinson LLC	13-Mar-15	887,816	898,742	743,278		-155,464
30	9-4-048-046	Full	94-119 Farrington Highway	Cutter Dev.	25-Jul-11	3,155,000	3,159,142	3,159,142	*	0
31	9-4-048-047	Full	94-136 Leonui Street	Cutter Dev.	25-Jul-11	2,745,000	2,749,142	2,749,142	*	0
32	9-6-003-012	Full	96-171 Kamehameha Highway	Alpha Omega	29-Jun-11	287,000	287,030	287,030	*	0
33	9-6-003-013	Full	96-165/169 Kamehameha Highway	Reid	7-Sep-11	454,000	455,588	455,588	*	0
34	9-6-003-014	Full	96-157 Kamehameha Highway	Bala	27-Jun-11	1,214,000	1,216,787	1,216,787	*	0
35	9-6-003-015	Full	96-159 Kamehameha Highway	Bala	10-Aug-11	53,000	53,304	53,304	*	0
36	9-6-003-016	Full	96-149A Kamehameha Highway	Bala	10-Aug-11	22,000	22,304	22,304	*	0
37	9-6-003-017	Full	96-149 Kamehameha Highway	Farinas	15-Sep-11	558,000	559,914	559,914	*	0
38	9-6-003-018	Full	96-137 Kamehameha Highway	Alipio/Solmirin	25-Jan-12	1,015,000	1,017,915	1,017,915	*	0
39	9-6-004-002	Full	96-93 Kamehameha Highway	Kawano	5-May-11	790,000	790,000	790,000	*	0
40	9-6-004-017	Full	Kamehameha Highway	Suenaga	29-Jun-11	90,000	90,000	90,000	*	0
41	9-6-004-023	Partial	Waihona Street	Estate of Bernice Bishop	4-Aug-15	22,300	24,476	157,965		133,489
42	9-7-023-008	Partial	945 Kamehameha Highway	Stuart Plaza Inv	26-May-15	300,000	300,000	151,344		-148,656
43	9-8-009-017	Full	98-077 Kamehameha Highway	Continental Inv. Ltd	14-Jun-13	2,500,000	2,509,030	3,512,500		1,003,470
44	9-8-010-002	Full	98-080 Kamehameha Highway	50th State Prop.	1-May-12	6,010,000	6,027,021	6,027,021	*	0
45	9-9-003-068	Full	99-140 Kohomua Street	RCJ	13-Sep-11	991,000	993,783	993,783	*	0
						76,446,258	76,937,437	87,315,962		10,378,524

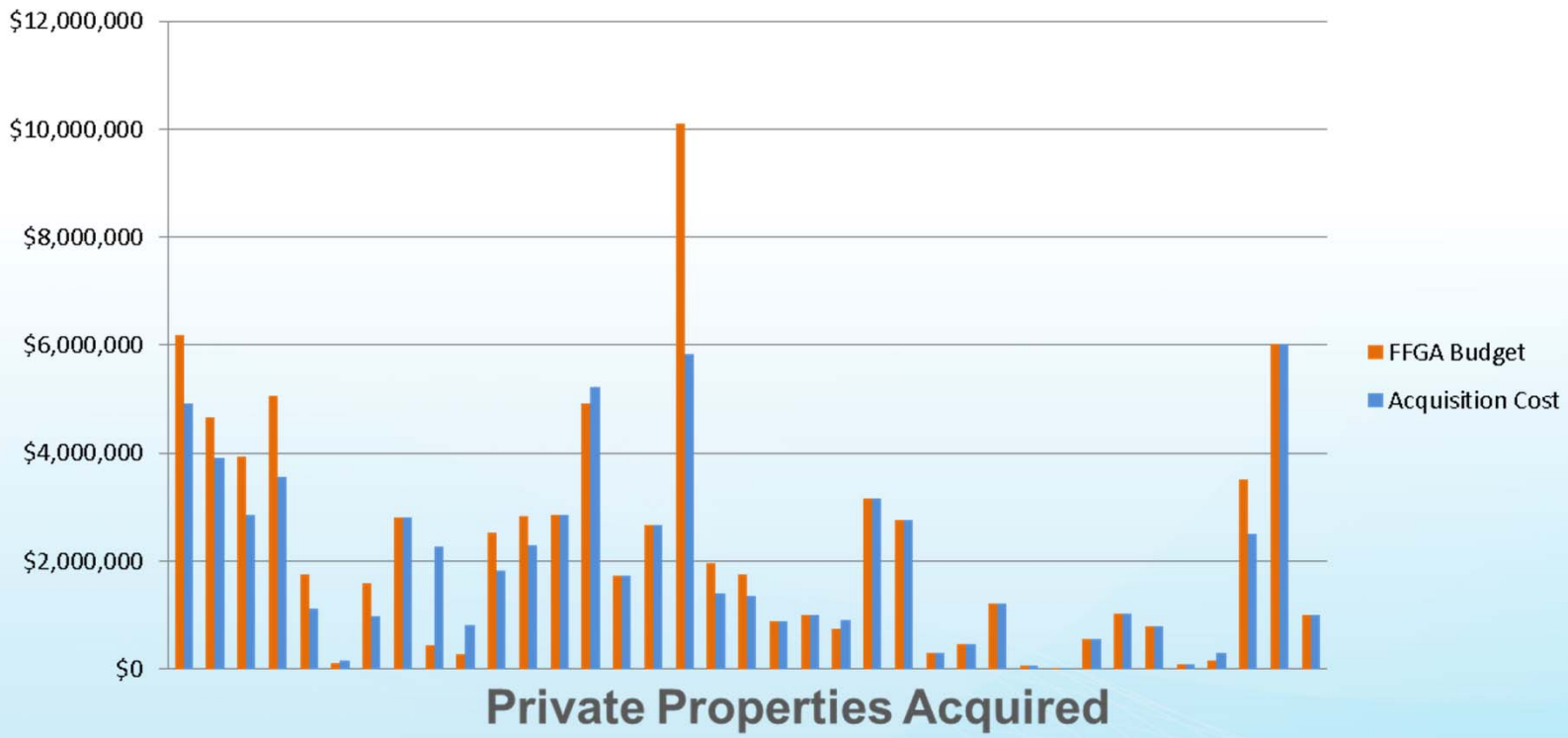
Notes:

* Baseline assumes zero variance (budget = actual) during FFGA approval process.

** Cost exceeded budgeted amount due to conversion from partial to full acquisition.

Bold print reflects most recent acquisition

Private Property Acquisition Cost as of 12/14/2015



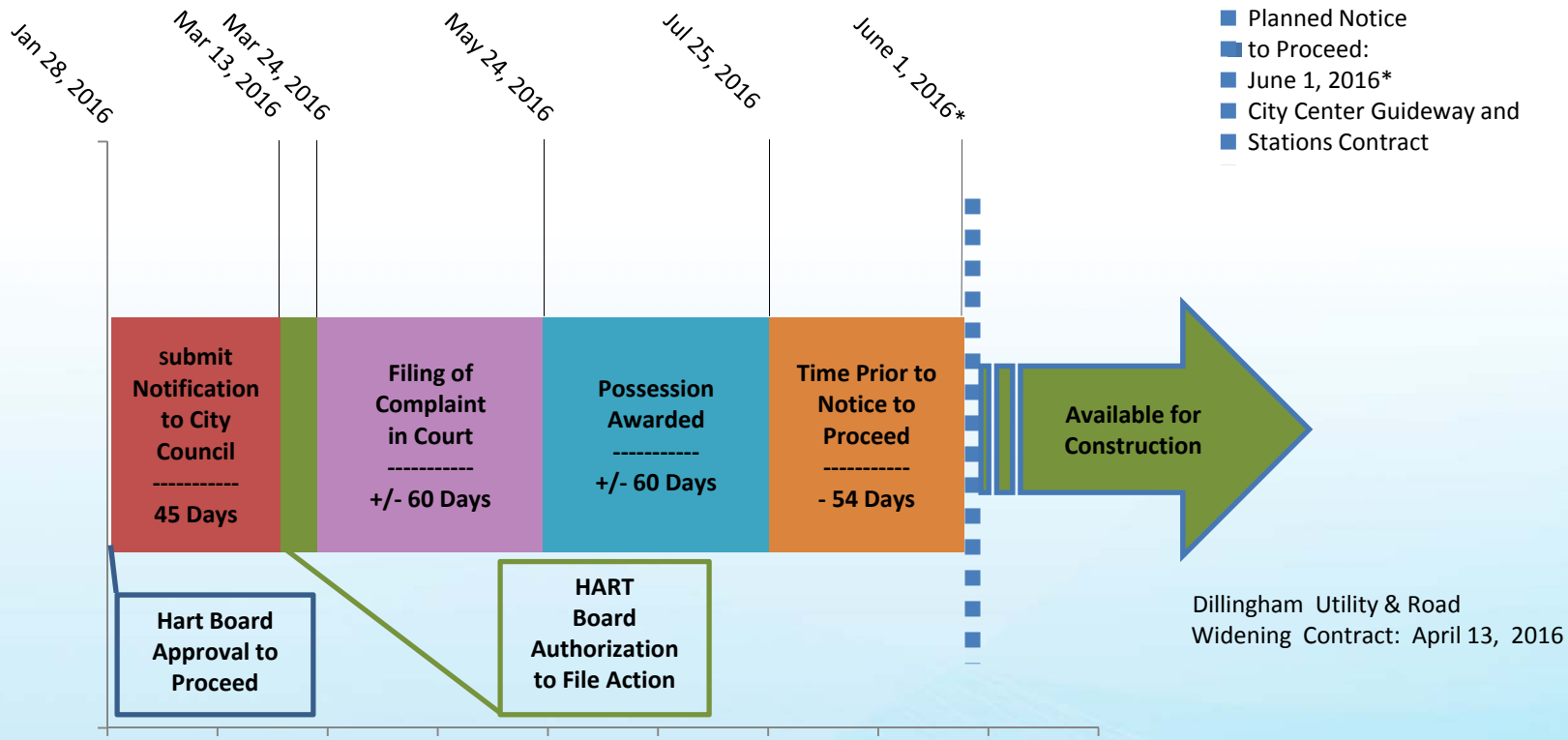
Mahalo!

HONOLULU RAIL TRANSIT

Summary of Proposed Eminent Domain

January 28, 2016

Real Estate Site Control Timeline

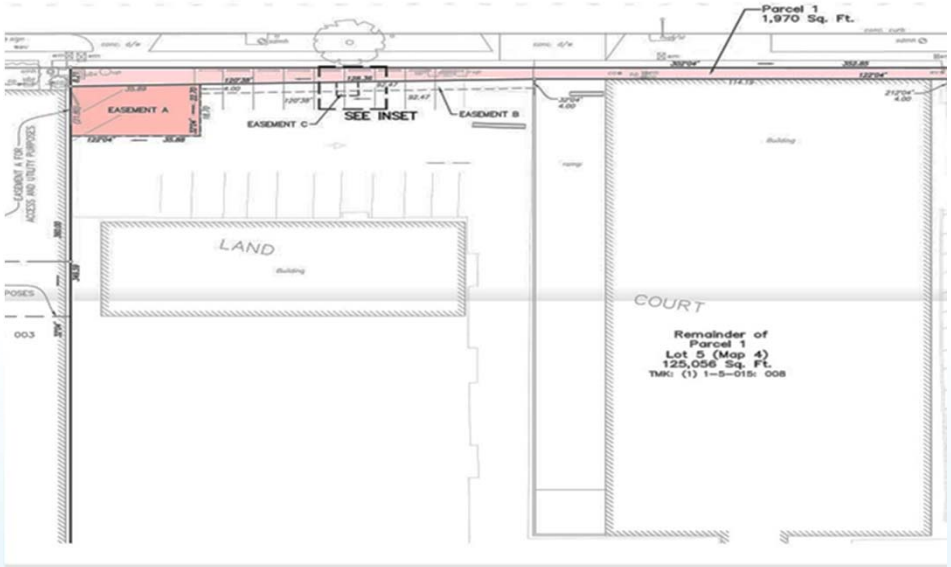


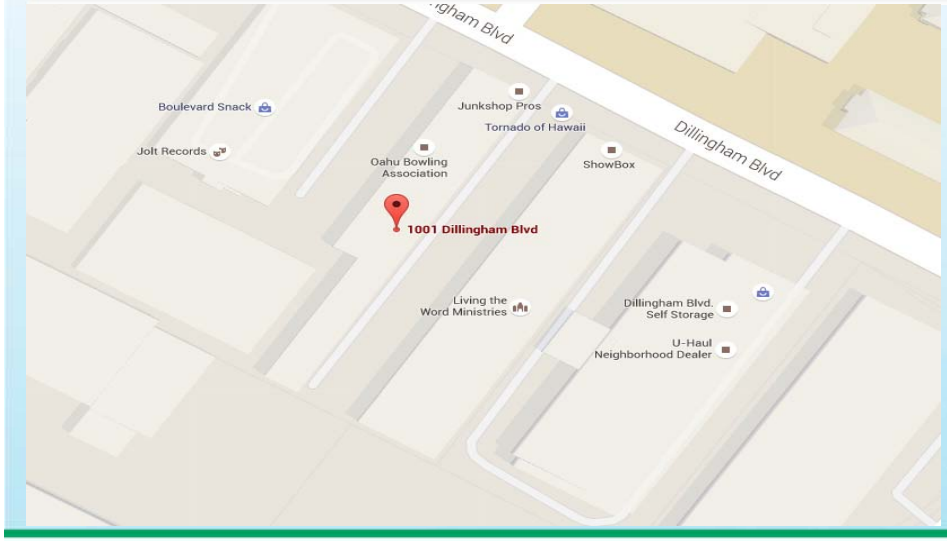
Resolution No. 2016-1

DTC Investments, LLC

Tax Map Key: 1-5-015-008 (Partial)

Resolution No. 2016-1
DTC Investments, LLC
Tax Map Key: 1-5-015-008 (Partial)





Resolution No. 2016-1
DTC Investments, LLC
Tax Map Key: 1-5-015-008 (Partial)

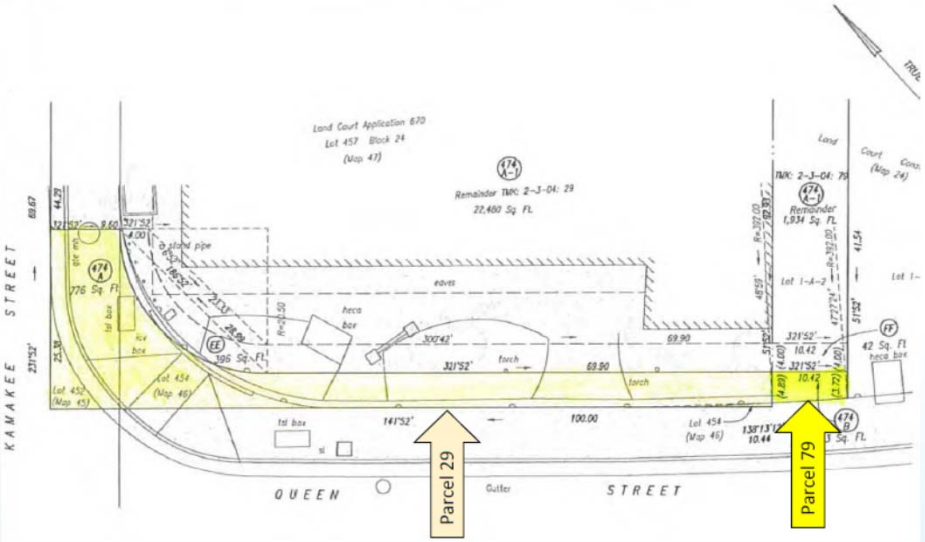
- Partial Fee Acquisition
- Total Acquisition: 2,768 square feet
- An appraisal report with an effective date of July 6, 2015 was conducted.
- A Letter of Offer dated September 1, 2015 was delivered.
- Although the Agent is communicating with the Owner, he has not provided a counteroffer or response to our Letter of Offer.
- Recommendation for Eminent Domain to maintain Project timeline. Land Court, mapping and escrow may cause delays.

Resolution No. 2016-2

Ka'a Limited Partnership

Tax Map Keys: 2-3-004-029, 2-3-004-079 (Partial)

Resolution No. 2016-2
Ka'a Limited Partnership
Tax Map Keys: 2-3-004-029, 2-3-004-079 (Partial)



Resolution No. 2016-2
Ka'a Limited Partnership
Tax Map Keys: 2-3-004-029, 2-3-004-079 (Partial)

- Partial Fee Acquisition
- Total Acquisition: 819 square feet
- An appraisal report with an effective date of May 6, 2015 was conducted.
- A Letter of Offer dated July 28, 2015 was delivered.
- A counteroffer has been received from the property owner dated January 7, 2016 and it is being reviewed.
- Recommendation for Eminent Domain to maintain Project timeline.

Mahalo!

HONOLULU RAIL TRANSIT

Honolulu Authority for Rapid Transportation

RESOLUTION NO. 2016-1

APPROVING NOTIFICATION TO THE CITY COUNCIL OF INTENTION TO ACQUIRE A FEE SIMPLE INTEREST IN THE REAL PROPERTY IDENTIFIED AS TAX MAP KEY 1-5-015-008 (PORTION) BY EMINENT DOMAIN AND PUBLICATION OF A RESOLUTION AUTHORIZING ACQUISITION OF SAID PROPERTY BY EMINENT DOMAIN

WHEREAS, the Honolulu Authority for Rapid Transportation (HART) has been established pursuant to Article XVII of the Revised Charter of the City and County of Honolulu 1973, as amended (Charter); and

WHEREAS, Section 17-103.2(b) of the Charter empowers HART "to acquire by eminent domain ... all real property or any interest therein necessary for the construction, maintenance, repair, extension or operation of the fixed guideway system;" and

WHEREAS, prior to such acquisition the Charter directs HART to submit a list of real property to be acquired by eminent domain to the City Council; and

WHEREAS, the City Council may approve the acquisition by eminent domain or may object by adoption of a resolution within 45 days of the notification to acquire the real property; and

WHEREAS, the acquisition by eminent domain in fee simple of the real property identified as Tax Map Key (TMK) 1-5-015-008 (Portion) and more particularly described in the attached legal description marked as Exhibit A, is necessary for the Honolulu Rail Transit Project fixed guideway system, a valid public use and purpose;

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of HART as follows:

1. That written notification to the City Council is approved, for the acquisition by eminent domain in fee simple of the real property identified as TMK 1-5-015-008 (Portion); and

2. That in the event the City Council approves or does not object to the acquisition within 45 days of notification, then HART is authorized to publish in a daily newspaper at least three days prior to Board action, the attached resolution marked as Exhibit B, authorizing acquisition by eminent domain in fee simple of the above-identified real property.

DRAFT

ADOPTED by the Board of the Honolulu Authority for Rapid Transportation on _____.

Exhibit A – Legal description of TMK 1-5-015-008 (Portion)
Exhibit B – Resolution No. 2016-___, Authorizing the Acquisition of the Fee Simple Interest in the Real Property Identified as Tax Map Key 1-5-015-008 (Portion) by Eminent Domain

_____
Board Chair

ATTEST:

_____
Board Administrator

DRAFT

HONOLULU RAIL TRANSIT PROJECT

PARCEL 425

Being a portion of Lot 5 (Map 4) of
Land Court Consolidation 19

Situate at Kapalama, Honolulu, Oahu, Hawaii

Beginning at the Northwest corner of this lot, being the Northeast corner of Parcel 424-C of the Honolulu Rail Transit Project, being also along the South side of Dillingham Boulevard, the coordinates of said point of beginning referred to Government Survey Triangulation Station "PUNCHBOWL" being 3,343.81 feet North and 7,875.29 feet West thence running by azimuths measured clockwise from true South:

1.	302°	04′	352.85	feet	along the South side of Dillingham Boulevard;
2.	32°	04′	5.00	feet	along Parcel 426 of the Honolulu Rail Transit Project;
3.	122°	04′	224.53	feet	along Remainder of Parcels 425 and 425-A of Honolulu Rail Transit Project;
4.	120°	38′	128.36	feet	along same;

5. 212° 04′ 8.21 feet along Parcel 424-C of the Honolulu Rail Transit Project, to the point of beginning and containing an area of 1,970 Square Feet.

ERIK S. KANESHIRO
LICENSED PROFESSIONAL LAND SURVEYOR
No. 9826
HAWAII, U.S.A.

AUSTIN, TSUTSUMI & ASSOCIATES, INC.

Description Prepared By:

Erik S. Kaneshiro Exp 04/16

ERIK S. KANESHIRO
Licensed Professional Land Surveyor
Certificate No. 9826

Note: This description is for exhibit purposes and does not purport a legally subdivided lot.

Honolulu, Hawaii
January 20, 2016

TMK: (1) 1-5-015: 008
Y:\2014\14-068\SURVEY\Descriptions\PARCEL 425.docx

AUSTIN, TSUTSUMI & ASSOCIATES, INC.
CIVIL ENGINEERS • SURVEYORS
501 SUMNER STREET, SUITE 521
HONOLULU, HAWAII 96817-5031
1871 WILI PA LOOP, SUITE A
WAILUKU, MAUI, HAWAII 96793
100 PAUAHI STREET, SUITE 213
HILO, HAWAII 96720

HONOLULU RAIL TRANSIT PROJECT

PARCEL 425-A

Being a portion of Lot 5 (Map 4) of
Land Court Consolidation 19

Situate at Kapalama, Honolulu, Oahu, Hawaii

Beginning at the Northwest corner of this easement, being the Southwest corner of Parcel 425 of the Honolulu Rail Transit Project, the coordinates of said point of beginning referred to Government Survey Triangulation Station "PUNCHBOWL" being 3,336.85 feet North and 7,879.65 feet West thence running by azimuths measured clockwise from true South:

1.	300°	38′	35.89	feet	along Parcel 425 of the Honolulu Rail Transit Project;
2.	32°	04′	22.70	feet	along the remainder of Remainder of Parcels 425 and 425-A of the Honolulu Rail Transit Project;
3.	122°	04′	35.88	feet	along same;

4. 212° 04′ 21.80 feet along Remainder of Parcel 424-C of the Honolulu Rail Transit Project, to the point of beginning and containing an area of 798 Square Feet.

AUSTIN, TSUTSUMI & ASSOCIATES, INC.

Description Prepared By:

ERIK S. KANESHIRO
LICENSED PROFESSIONAL LAND SURVEYOR
No. 9826
HAWAII, U.S.A.

EXP 04/16

ERIK S. KANESHIRO
Licensed Professional Land Surveyor
Certificate No. 9826

Note: This description is for exhibit purposes and does not purport a legally designated easement.

Honolulu, Hawaii
January 21, 2016

TMK: (1) 1-5-015: 008
Y:\2014\14-068\SURVEY\Descriptions\PARCEL 425 - Easement A.docx

AUSTIN, TSUTSUMI & ASSOCIATES, INC.
CIVIL ENGINEERS • SURVEYORS
501 SUMNER STREET, SUITE 521
HONOLULU, HAWAII 96817-5031
1871 WILI PA LOOP, SUITE A
WAILUKU, MAUI, HAWAII 96793
100 PAUAHI STREET, SUITE 213
HILO, HAWAII 96720

HONOLULU RAIL TRANSIT PROJECT

REMAINDER OF PARCELS 425 AND 425-A

Being a portion of Lot 5 (Map 4) of
Land Court Consolidation 19

Situate at Kapalama, Honolulu, Oahu, Hawaii

Beginning at the Northwest corner of this lot, being the Southeast corner of Parcel 425-A of the Honolulu Rail Transit Project, being also along the coordinates of said point of beginning referred to Government Survey Triangulation Station "PUNCHBOWL" being 3,318.37 feet North and 7,891.22 feet West thence running by azimuths measured clockwise from true South:

1.	302°	04′	35.88	feet	along Parcel 425-A of the Honolulu Rail Transit Project;
2.	212°	04′	22.70	feet	along same;
3.	300°	38′	128.36	feet	along Parcel 425 of the Honolulu Rail Transit Project;
4.	302°	04′	224.53	feet	along same;
5.	32°	04′	355.00	feet	along Remainder of Parcel 426 of the Honolulu Rail Transit Project;
6.	122°	04′	352.85	feet	along Lot 6 (Map 6) of Land Court Consolidation 165;

7. 212° 04′ 329.99 feet along Lot 2 (Map 1) of Land Court Consolidation 65 and Remainder of Parcel 424-C of the Honolulu Rail Transit Project, to the point of beginning and containing an area of 124,258 Square Feet.

AUSTIN, TSUTSUMI & ASSOCIATES, INC.

Description Prepared By:

ERIK S. KANESHIRO
LICENSED PROFESSIONAL LAND SURVEYOR
No. 9826
HAWAII, U.S.A.

EXP 04/16

ERIK S. KANESHIRO
Licensed Professional Land Surveyor
Certificate No. 9826

Note: This description is for exhibit purposes and does not purport a legally subdivided lot.

Honolulu, Hawaii
January 21, 2016

TMK: (1) 1-5-015: 008
Y:\2014\14-068\SURVEY\Descriptions\PARCEL 425 Remainder.docx

AUSTIN, TSUTSUMI & ASSOCIATES, INC.
CIVIL ENGINEERS • SURVEYORS
501 SUMNER STREET, SUITE 521
HONOLULU, HAWAII 96817-5031
1871 WILI PA LOOP, SUITE A
WAILUKU, MAUI, HAWAII 96793
100 PAUAHI STREET, SUITE 213
HILO, HAWAII 96720

Honolulu Authority for Rapid Transportation

RESOLUTION NO. 2016-___

AUTHORIZING THE ACQUISITION OF THE FEE SIMPLE INTEREST IN THE REAL PROPERTY IDENTIFIED AS TAX MAP KEY 1-5-015-008 (PORTION) BY EMINENT DOMAIN

WHEREAS, the Honolulu Authority for Rapid Transportation (HART) has been established pursuant to Article XVII of the Revised Charter of the City and County of Honolulu 1973, as amended (Charter); and

WHEREAS, Section 17-103.2(b) of the Charter empowers HART "to acquire by eminent domain. . . all real property or any interest therein necessary for the construction, maintenance, repair, extension or operation of the fixed guideway system;" and

WHEREAS, the City Council approved or did not object to the acquisition of the real property identified as Tax Map Key (TMK) 1-5-015-008 (Portion) by eminent domain in fee simple after written notification by HART; and

WHEREAS, the acquisition by eminent domain in fee simple of the above-identified real property, which is more particularly described in the attached legal description marked as Exhibit A, is necessary for the Honolulu Rail Transit Project fixed guideway system, a valid public use and purpose;

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of HART as follows:

1. That acquisition by eminent domain in fee simple of the real property identified as TMK 1-5-015-008 (Portion) is hereby authorized and the Corporation Counsel of the City and County of Honolulu is empowered to institute eminent domain proceedings as provided by law for the acquisition thereof; and

2. That the acquisition of the above-identified property by eminent domain is determined and declared to be for a valid public use and purpose as aforesaid; and

3. That the acquisition of the above-identified property by eminent domain is determined and declared to be necessary for the aforesaid public use and purpose; and

4. That in the process of said proceedings in eminent domain, the Corporation Counsel is authorized and empowered to negotiate terms of settlement, subject to the approval of HART and/or the Court before which such proceedings are commenced; and

DRAFT

5. That the Board Administrator be directed to transmit copies of this resolution to HART and the Department of the Corporation Counsel.

ADOPTED by the Board of the Honolulu Authority for Rapid Transportation on _____.

_____
Board Chair

ATTEST:

_____
Board Administrator

Exhibit A – Legal Description of TMK 1-5-015-008 (Portion)

DRAFT

HONOLULU RAIL TRANSIT PROJECT

PARCEL 425

Being a portion of Lot 5 (Map 4) of
Land Court Consolidation 19

Situate at Kapalama, Honolulu, Oahu, Hawaii

Beginning at the Northwest corner of this lot, being the Northeast corner of Parcel 424-C of the Honolulu Rail Transit Project, being also along the South side of Dillingham Boulevard, the coordinates of said point of beginning referred to Government Survey Triangulation Station "PUNCHBOWL" being 3,343.81 feet North and 7,875.29 feet West thence running by azimuths measured clockwise from true South:

1.	302°	04′	352.85	feet	along the South side of Dillingham Boulevard;
2.	32°	04′	5.00	feet	along Parcel 426 of the Honolulu Rail Transit Project;
3.	122°	04′	224.53	feet	along Remainder of Parcels 425 and 425-A of Honolulu Rail Transit Project;
4.	120°	38′	128.36	feet	along same;

5. 212° 04′ 8.21 feet along Parcel 424-C of the Honolulu Rail Transit Project, to the point of beginning and containing an area of 1,970 Square Feet.

ERIK S. KANESHIRO
LICENSED PROFESSIONAL LAND SURVEYOR
No. 9826
HAWAII, U.S.A.

AUSTIN, TSUTSUMI & ASSOCIATES, INC.

Description Prepared By:

Exp 04/16

ERIK S. KANESHIRO
Licensed Professional Land Surveyor
Certificate No. 9826

Note: This description is for exhibit purposes and does not purport a legally subdivided lot.

Honolulu, Hawaii
January 20, 2016

TMK: (1) 1-5-015: 008
Y:\2014\14-068\SURVEY\Descriptions\PARCEL 425.docx

AUSTIN, TSUTSUMI & ASSOCIATES, INC.
CIVIL ENGINEERS • SURVEYORS
501 SUMNER STREET, SUITE 521
HONOLULU, HAWAII 96817-5031
1871 WILI PA LOOP, SUITE A
WAILUKU, MAUI, HAWAII 96793
100 PAUAHI STREET, SUITE 213
HILO, HAWAII 96720

HONOLULU RAIL TRANSIT PROJECT

PARCEL 425-A

Being a portion of Lot 5 (Map 4) of
Land Court Consolidation 19

Situate at Kapalama, Honolulu, Oahu, Hawaii

Beginning at the Northwest corner of this easement, being the Southwest corner of Parcel 425 of the Honolulu Rail Transit Project, the coordinates of said point of beginning referred to Government Survey Triangulation Station "PUNCHBOWL" being 3,336.85 feet North and 7,879.65 feet West thence running by azimuths measured clockwise from true South:

1.	300°	38′	35.89	feet	along Parcel 425 of the Honolulu Rail Transit Project;
2.	32°	04′	22.70	feet	along the remainder of Remainder of Parcels 425 and 425-A of the Honolulu Rail Transit Project;
3.	122°	04′	35.88	feet	along same;

4.	212° 04′	21.80	feet	along Remainder of Parcel 424-C of the Honolulu Rail Transit Project, to the point of beginning and containing an area of 798 Square Feet.

AUSTIN, TSUTSUMI & ASSOCIATES, INC.

Description Prepared By:

ERIK S. KANESHIRO
LICENSED PROFESSIONAL LAND SURVEYOR
No. 9826
HAWAII, U.S.A.

EXP 04/16

ERIK S. KANESHIRO
Licensed Professional Land Surveyor
Certificate No. 9826

Note: This description is for exhibit purposes and does not purport a legally designated easement.

Honolulu, Hawaii
January 21, 2016

TMK: (1) 1-5-015: 008
Y:\2014\14-068\SURVEY\Descriptions\PARCEL 425 - Easement A.docx

AUSTIN, TSUTSUMI & ASSOCIATES, INC.
CIVIL ENGINEERS • SURVEYORS
501 SUMNER STREET, SUITE 521
HONOLULU, HAWAII 96817-5031
1871 WILI PA LOOP, SUITE A
WAILUKU, MAUI, HAWAII 96793
100 PAUAHI STREET, SUITE 213
HILO, HAWAII 96720

HONOLULU RAIL TRANSIT PROJECT

REMAINDER OF PARCELS 425 AND 425-A

Being a portion of Lot 5 (Map 4) of
Land Court Consolidation 19

Situate at Kapalama, Honolulu, Oahu, Hawaii

Beginning at the Northwest corner of this lot, being the Southeast corner of Parcel 425-A of the Honolulu Rail Transit Project, being also along the coordinates of said point of beginning referred to Government Survey Triangulation Station "PUNCHBOWL" being 3,318.37 feet North and 7,891.22 feet West thence running by azimuths measured clockwise from true South:

1.	302°	04′	35.88	feet	along Parcel 425-A of the Honolulu Rail Transit Project;
2.	212°	04′	22.70	feet	along same;
3.	300°	38′	128.36	feet	along Parcel 425 of the Honolulu Rail Transit Project;
4.	302°	04′	224.53	feet	along same;
5.	32°	04′	355.00	feet	along Remainder of Parcel 426 of the Honolulu Rail Transit Project;
6.	122°	04′	352.85	feet	along Lot 6 (Map 6) of Land Court Consolidation 165;

7. 212° 04′ 329.99 feet along Lot 2 (Map 1) of Land Court Consolidation 65 and Remainder of Parcel 424-C of the Honolulu Rail Transit Project, to the point of beginning and containing an area of 124,258 Square Feet.

AUSTIN, TSUTSUMI & ASSOCIATES, INC.

Description Prepared By:

ERIK S. KANESHIRO
LICENSED PROFESSIONAL LAND SURVEYOR
No. 9826
HAWAII, U.S.A.

Erik S. Kaneshiro EXP 04/16

ERIK S. KANESHIRO
Licensed Professional Land Surveyor
Certificate No. 9826

Note: This description is for exhibit purposes and does not purport a legally subdivided lot.

Honolulu, Hawaii
January 21, 2016

TMK: (1) 1-5-015: 008
Y:\2014\14-068\SURVEY\Descriptions\PARCEL 425 Remainder.docx

AUSTIN, TSUTSUMI & ASSOCIATES, INC.
CIVIL ENGINEERS • SURVEYORS
501 SUMNER STREET, SUITE 521
HONOLULU, HAWAII 96817-5031
1871 WILI PA LOOP, SUITE A
WAILUKU, MAUI, HAWAII 96793
100 PAUAHI STREET, SUITE 213
HILO, HAWAII 96720

Honolulu Authority for Rapid Transportation

STAFF SUMMARY

TITLE:	STAFF CONTACT:	DATE:
RESOLUTION NO. 2016-1 APPROVING NOTIFICATION TO THE CITY COUNCIL OF INTENTION TO ACQUIRE A FEE SIMPLE INTEREST IN THE REAL PROPERTY IDENTIFIED AS TAX MAP KEY 1-5-015-008 (PORTION) BY EMINENT DOMAIN AND PUBLICATION OF A RESOLUTION AUTHORIZING ACQUISITION OF SAID PROPERTY BY EMINENT DOMAIN	Jesse Souki Morris Atta	01/28/2016

Type:	Goal	Focus Area	Reference Notes
☒ Action/Approval	☒ Project Delivery	☒ Livability/Land Use	
☐ Information	☐ Service Delivery	☐ Partnerships	
☐ Follow-up	☒ Resource Stewardship	☐ Agency Admin.	

1. Purpose:

Review of Notification to City Council for condemnation of land for public use, identified as Tax Map Key 1-5-015-008 (Portion), and situated at 1001 Dillingham Boulevard, Honolulu, Hawaii 96817, which is required for guideway purposes for the Honolulu Rail Transit Project (HRTP). This property, for which a 2,768 square-foot partial fee acquisition is required, is on the critical path for successful completion of the City Center Section of the HRTP. The property is owned by DTC Investments, LLC.

HART recommends use of eminent domain to acquire the property.

2. Background/Justification

This property (Tax Map Key 1-5-015-008 Portion) was designated as needed for the HRTP and identified in the Final Environmental Impact Statement (FEIS). As required under the Uniform Relocation Assistance and Real Property Acquisition Policies Act (URA) and FTA C5010.1D, the Owners were notified of HART's intent to acquire the property. An appraisal was conducted following URA guidelines, which took into consideration all site conditions and potential impacts.

- An appraisal report with an effective date of July 6, 2015 was conducted.
- A Letter of Offer dated September 1, 2015 was delivered.
- Agent is communicating with Owner, although Owner has not provided a counteroffer or response to our Letter of Offer.

This parcel is being referred to eminent domain in order to adhere to the project construction timeline. Access to this parcel is needed as soon as possible in order to avoid costly delays to the project schedule and timing. Negotiations with the Owner will continue during the eminent domain process.

3. Procurement Background

N/A

4. Financial/Budget Impact

The project budget includes an estimated cost for legal action associated with the eminent domain of the property.

5. Policy Impact

There is no policy impact since this action conforms to the requirement of the URA, FTA 5010.1D and Article XVII of the Charter of the City and County of Honolulu.

6. Public Involvement

N/A

7. Alternatives

There is no feasible alternative to avoid the above described impacts to the property.

8. Exhibits

Exhibit 1 – Letter of Offer dated September 1, 2015.

Exhibit 2 – Appraisal Summary prepared by John Child & Company with an effective appraisal date of July 6, 2015.

Certified and Recommended by:

	1/15/16
Executive Director and CEO	**Date**

Exhibit 1

HART

IN REPLY REFER TO:
CMS-AP00ROW-01039

HONOLULU AUTHORITY for RAPID TRANSPORTATION

Daniel A. Grabauskas
EXECUTIVE DIRECTOR AND CEO

BOARD OF DIRECTORS

Donald G. Horner
CHAIR

Damien T.K. Kim
VICE CHAIR

George I. Atta
Michael D. Formby
Ford N. Fuchigami
Colleen Hanabusa
William "Buzz" Hong
Terrence M. Lee
Ivan M. Lui-Kwan

HAND-DELIVERED

September 1, 2015

DTC Investments, LLC
c/o Mr. David Nakamura
1001 Dillingham Boulevard, #208
Honolulu, Hawaii 96817

Attention: Mr. David Nakamura

Ladies and Gentlemen:

Subject: Honolulu Rail Transit Project (HRTP)
1001 Dillingham Boulevard
Parcel 425: Tax Map Key (TMK) 1-5-015-008 (Portion)
Letter of Offer

This is a follow-up to previous correspondence regarding the acquisition of the subject property. The Honolulu Authority for Rapid Transportation (HART) is constructing the HRTP. As part of the HRTP, HART will need to acquire a portion of your property. An appraisal of the property identified as TMK 1-5-015-008 has been completed to determine just compensation.

A review of public records indicates that you are the Owner of Record of the property HART is seeking to acquire for this Project. Based on our findings as contained in the enclosed Statement of Just Compensation, HART offers to purchase a portion of your property, a total of 2,768 square feet, in fee simple, free and clear of all liens and encumbrances for road widening, station stairwell, and utility purposes, for the total consideration of $350,000 (Three Hundred Fifty Thousand Dollars), as shown colored in red on the enclosed map.

The total offer for acquiring the interest in your property is **$350,000 (Three Hundred Fifty Thousand Dollars).** Costs incidental to closing escrow for this transaction will be paid by HART except prorated costs such as taxes and insurance.

The amount of offer is predicated on the assumption that there exists no hazardous substance, product, or waste on the subject property. Please be advised that the amount offered is subject to completion of an environmental site assessment by HART, and the cost to remediate any identified findings may affect the valuation of the subject property.

If this offer is acceptable, please sign the duplicate of this letter and return it in the enclosed envelope by October 2, 2015. The remaining copy is for your file. Enclosed for your information are the Appraisal Summary Statement and General Acquisition and Relocation Information Brochure. Also

Exhibit 1

enclosed is a draft Possession and Use Agreement for your review, consideration, and for further discussion with your acquisition agent. The Possession and Use Agreement is intended to provide you early access to most of the purchase price of this acquisition subject to HART being provided access to the portion of your property required for construction of the HRTP with minimal risk to the Project. Under this agreement, your rights to the full just compensation amount are fully reserved and enforceable.

It is the desire of HART to acquire private property through voluntary purchase if possible. While HART has the power of eminent domain, HART has not sought the authority nor made any decision to exercise the power of eminent domain to acquire your property at this time.

In accordance with federal regulations affecting real property transactions, we request your cooperation in providing us with your Taxpayer Identification Number. Please execute and return the enclosed IRS Form W-9 at the same time. The W-9 is required by our Department of Budget and Fiscal Services to release the check.

HART has retained the services of Paragon Partners Ltd to assist you with the acquisition process. Please contact Mrs. Brooke Sipe at 536-5900 if you have any questions or to discuss this matter further.

Sincerely,

Daniel A. Grabauskas
Executive Director and CEO

Enclosures

ACCEPTED:

DTC INVESTMENTS, LLC

By_____
Its

Print Name: _____

Dated: _____

Exhibit 2

Appraisal Report to

City and County of Honolulu
Honolulu Authority for Rapid Transportation
Paragon Partners Ltd.
Honolulu Rail Transit Project

Covering the

PARTIAL ACQUISITION OF THE DILLINGHAM TRADE CENTER PROPERTY

Tax Map Key (1) 1-5-015:008
Fee Owner: DTC Investments, LLC

1001-1015 Dillingham Boulevard, Kapalama,
Honolulu, Oahu, Hawaii

As of July 6, 2015

(PDQ Parcel 425)

JOHN CHILD & COMPANY
APPRAISERS & CONSULTANTS

Exhibit 2

JOHN CHILD & COMPANY
APPRAISERS & CONSULTANTS

Karen Char, MAI, CRE
Paul D. Cool, MAI, CRE
Shelly H. Tanaka, MAI
Elizabeth Tang

August 6, 2015

City and County of Honolulu
Honolulu Authority for Rapid Transportation
c/o Ms. Georgia Marquis
1099 Alakea Street, Suite 2150
Honolulu, Hawaii 96813

Dear Ms. Marquis:

Re: Partial Acquisition of the Dillingham Trade Center Property, Tax Map Key (1) 1-5-015:008; PDQ Parcel 425

At your request, John Child & Company has estimated the fair market value of two partial takings that encompass a 2,768▯ portion of the Dillingham Trade Center Property. This letter summarizes the background and estimated value presented in the attached report.

STUDY BACKGROUND

The Dillingham Trade Center is a multi-tenanted industrial-commercial complex at 1001-1015 Dillingham Boulevard in the Kapalama neighborhood of Kalihi, Oahu, Hawaii. The property consists of a 2.916-acre, Industrial-Commercial Mixed-Use zoned site identified as tax map key 1-5-15:08 of the First Taxation Division.

The site is improved with two, three-story masonry concrete office buildings identified as 1001 Dillingham, a two-story masonry concrete warehouse and office building identified as 1007 Dillingham, and a steel Butler building and six Quonset huts identified as 1015 Dillingham. The buildings were constructed between 1971 and 1979 and include a total 114,094▯ of rentable space.

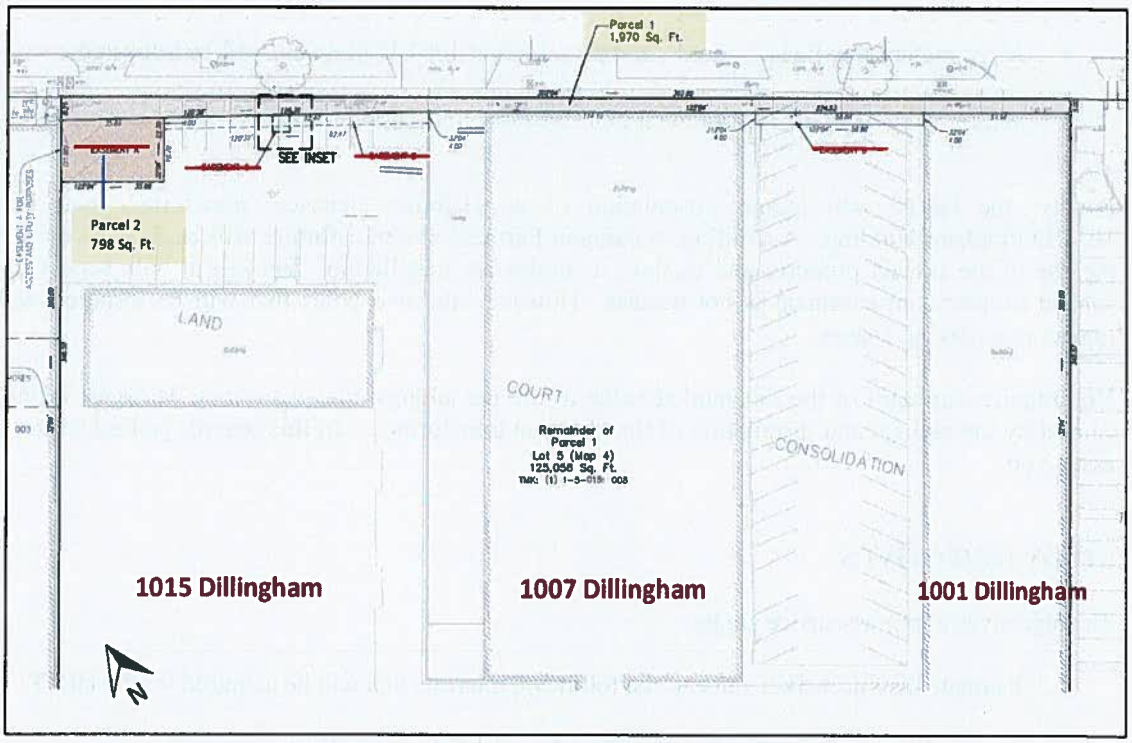
DTC Investments, LLC owns the fee simple interest in the Dillingham Trade Center. As of December 31, 2014, 66 spaces were leased to various tenants, most of whom are on a month-to-month or short-term lease basis.

Honolulu Authority for Rapid Transportation (HART), a semi-autonomous public transit authority, has retained Paragon Partners Ltd. as its consultant for the Honolulu Rail Transit Project (HRTP). The proposed HRTP guideway requires the following acquisitions:

- Fee simple interest in a 1,970▯ strip of land along Dillingham Boulevard for road widening purposes (Parcel 1)

- Fee simple interest in a 798▯ portion of the property at the northwest corner of the site for a station stairwell and utilities (Parcel 2)

The takings are shown on the following map: [1]



Parcel 2 (formerly Easement A on the map) includes a driveway and two diagonal parking stalls that will be eliminated after the taking. Thirteen parking stalls along Dillingham Boulevard are located within Parcel 1 and will also be eliminated.

In addition, the taking will require minor building modifications to the 1001 and 1007 Dillingham buildings to eliminate encroachments into the new right-of-way, as follows:

- Outward swinging doors for three commercial spaces along Dillingham Boulevard in the 1007 Dillingham building will be replaced and/or modified to swing inwards.

---

[1] The map is a portion of the July 11, 2014 Parcel Map prepared by R.M. Towill, Inc. and included in Addendum 4. The map is being revised to delete Easements B, C, and D (no longer needed). In addition, Easement A will be reclassified as a fee take (identified for purposes of this report as Parcel 2).

- Two exit doors along Dillingham Boulevard in the 1001 Dillingham building will be removed and patched.

- A gas meter, pipe lines, bollards, and hose bibb in 1001 Dillingham will be relocated.

- Window-mounted air-conditioning units will be replaced with split-AC units.

Finally, the HRTP will require installation of an H-frame electrical transformer near the 1015 Dillingham building. According to Paragon Partners, the transformer will be exclusively for the use of the subject property and is, thus, a single-user installation. Because it only serves the subject property, an easement is not needed. However, the two poles that will be installed will impact two parking spaces.

You require estimates of the fair market value of the fee takings, plus severance damages, if any, caused by the takings and installation of the H-frame transformer. In this regard, you asked us to assist you.

STUDY OBJECTIVES

The objectives of our assistance are to:

1. Estimate the fair market value of the following interests that will be acquired for the HRTP:

    a. Fee simple interest in the 1,970 ▯ Parcel 1 for road widening purposes
    b. Fee simple interest in a 798 ▯ Parcel 2 for a station stairwell and utilities.

2. Estimate the severance damages, if any, caused by the takings and installation of the H-frame transformer.

INTENDED USE AND USERS

Our assistance is intended to be used by HART, Paragon Partners Ltd. (Paragon Partners), and the U.S. Department of Transportation Federal Transit Administration (FTA) in connection with the HRTP.

As a result, our assistance is intended for the sole and exclusive use of HART (Client), Paragon Partners, and the FTA. The Client has agreed that our assistance is not intended for any other purpose or users and is not to be relied upon by any third parties for any purpose, whatsoever.

DATE OF PROPERTY VISIT

The property was visited on February 5, 2015. Ms. Leolani Kini, Senior Property Manager with Sofos Realty Corporation, accompanied the appraiser on behalf of the property owner.

The property was viewed from the exterior only. The appraiser was not granted access to the building interiors.

EFFECTIVE DATE OF APPRAISAL

The effective date of appraisal is July 6, 2015.

DATE OF REPORT

The date of this report is August 6, 2015.

DEFINITIONS OF TERMS

Terms used in this report are defined in the Appraisal Institute's, **The Dictionary of Real Estate Appraisal**, Fifth Edition, unless otherwise footnoted.

Fair Market Value

"Fair market value" has the same meaning as "market value."

Market value means the amount in cash, or on terms reasonably equivalent to cash, for which in all probability the property would have sold on the effective date of the appraisal, after a reasonable exposure time on the open competitive market, from a willing and reasonably knowledgeable seller to a willing and reasonably knowledgeable buyer, with neither acting under any compulsion to buy or sell, giving due consideration to all available economic uses of the property at the time of the appraisal. [1]

---

[1] Interagency Land Acquisition Conference, **Uniform Appraisal Standards for Federal Land Acquisitions,** 2000 (UASFLA).

Fee Simple Interest

"Fee simple interest" is the same as "fee simple estate."

Fee simple estate is defined as absolute ownership unencumbered by any other interest or estate, subject only to the limitations imposed by the governmental powers of taxation, eminent domain, police power, and escheat.

ASSUMPTION OF HYPOTHETICAL CONDITIONS

A hypothetical condition is that which is contrary to what exists but is supposed for the purpose of analysis. Hypothetical conditions assume conditions contrary to known facts about physical, legal, or economic characteristics of the subject property; or about conditions external to the property, such as market conditions or trends; or about the integrity of the data used in an analysis.

This report is subject to the following hypothetical conditions:

Valuation Assumes No Impact of HRTP

Section 24.103(b) of the Code of Federal Regulation (CFR) states:

> "The appraiser shall disregard any decrease or increase in the market value of the real property caused by the project for which the property is to be acquired, or by the likelihood that the property would be acquired for the project, other than that due to physical deterioration within the reasonable control of the owner."

Therefore, the estimated values of the takings are based on the hypothetical condition that the property is not impacted by the rail project as of the date of valuation.

Valuation Assumes Fee Simple Interest

The Dillingham Trade Center site is encumbered by tenant leases. As of December 31, 2014 (the date of the most recent rent roll provided by the property owner), the majority of the leases were month-to-month leases; the remaining leases had expiration dates between 2015 and 2019.

However, the takings include fee simple interests in portions of the property that are unimproved. At the direction of Paragon Partners, the valuations of the takings are based on the hypothetical condition that the property is unencumbered by the tenant leases.

The assumption of these hypothetical conditions could have an effect on the value of the takings.

EXTRAORDINARY ASSUMPTIONS

An extraordinary assumption is an assumption, directly related to a specific assignment, which, if found to be false, could alter the appraiser's opinions or conclusions. Extraordinary assumptions presume as fact otherwise uncertain information about physical, legal, or economic characteristics of the subject property; or about conditions external to the property such as market conditions or trends; or about the integrity of data used in an analysis.

The report is subject to the following extraordinary assumptions:

- The takings include the Dillingham Boulevard access points and paved areas that are currently used for driveway purposes. The driveway at the northwest corner of the site (in the vicinity of Parcel 2) will be eliminated as a result. However, ingress and egress via the remaining driveways, including the ramp access to the 1007 Dillingham parking deck will remain intact.

- The taking will require removal of an existing steel electrical pole and modifications to the existing buildings. HART will make the necessary modifications and remediate the property in accordance with the Cost to Cure plan included in Addendum 5.

- HART will also be responsible for reconstruction of existing site improvements affected by the takings and installation of the H-frame transformer, including asphalt or concrete paving, curbing and curb cuts, parking stall restriping, landscaping, irrigation systems, and existing utility connection points, as applicable.

STUDY CONDITIONS

This report is subject to the study conditions included in Section I.

ESTIMATED FAIR MARKET VALUE OF THE TAKINGS

The takings include the fee simple interest in a 1,970 ƒ strip of land for road widening purposes (Parcel 1) and the fee simple interest in a 798 ƒ portion of the property for station stairs and utilities (Parcel 2).

Based on the valuation assumptions and analysis presented in the attached report, the fair market value of the takings, as of July 6, 2015, is estimated to be:

THREE HUNDRED FIFTY THOUSAND DOLLARS
$350,000.

ESTIMATED SEVERANCE DAMAGES

The fee takings will eliminate a Dillingham Boulevard driveway at the northwest corner of the site and 13 parking stalls. Two parking stalls will also be eliminated as a result of the new H-frame transformer that will be installed near the 1015 Dillingham building.

However, the highest and best use of the property is for redevelopment, and the remainder property has sufficient parking and other access points to mitigate the impact of these losses in the interim. As described in Section IV of the attached report, the estimated fair market value of the takings appropriately accounts for any damages to the existing improvements that are an interim use of the site.

Consequently, there are no severance damages resulting from the takings or H-frame installation.

* * * * *

We appreciate the opportunity to assist you on this interesting assignment. Please contact us if you have questions.

Sincerely,

JOHN CHILD & COMPANY, INC.

Shelly Tanaka, MAI
Vice President
Certified General Appraiser License No. 648
State of Hawaii
Expires December 31, 2015

Honolulu Authority for Rapid Transportation

RESOLUTION NO. 2016-2

APPROVING NOTIFICATION TO THE CITY COUNCIL OF INTENTION TO ACQUIRE A FEE SIMPLE INTEREST IN THE REAL PROPERTY IDENTIFIED AS TAX MAP KEYS 2-3-004-029 (PORTION) AND 2-3-004-079 (PORTION) BY EMINENT DOMAIN AND PUBLICATION OF A RESOLUTION AUTHORIZING ACQUISITION OF SAID PROPERTY BY EMINENT DOMAIN

WHEREAS, the Honolulu Authority for Rapid Transportation (HART) has been established pursuant to Article XVII of the Revised Charter of the City and County of Honolulu 1973, as amended (Charter); and

WHEREAS, Section 17-103.2(b) of the Charter empowers HART "to acquire by eminent domain ... all real property or any interest therein necessary for the construction, maintenance, repair, extension or operation of the fixed guideway system;" and

WHEREAS, prior to such acquisition the Charter directs HART to submit a list of real property to be acquired by eminent domain to the City Council; and

WHEREAS, the City Council may approve the acquisition by eminent domain or may object by adoption of a resolution within 45 days of the notification to acquire the real property; and

WHEREAS, the acquisition by eminent domain in fee simple of the real property identified as Tax Map Keys (TMKs) 2-3-004-029 (Portion) and 2-3-004-079 (Portion) and more particularly described in the attached legal description marked as Exhibit A, is necessary for the Honolulu Rail Transit Project fixed guideway system, a valid public use and purpose;

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of HART as follows:

1. That written notification to the City Council is approved, for the acquisition by eminent domain in fee simple of the real property identified as TMKs 2-3-004-029 (Portion) and 2-3-004-079 (Portion); and

2. That in the event the City Council approves or does not object to the acquisition within 45 days of notification, then HART is authorized to publish in a daily newspaper at least three days prior to Board action, the attached resolution marked as Exhibit B, authorizing acquisition by eminent domain in fee simple of the above-identified real property.

DRAFT

ADOPTED by the Board of the Honolulu Authority for Rapid Transportation on _____.

Exhibit A – Legal description of TMKs 2-3-004-029 (Portion) and 2-3-004-079 (Portion)
Exhibit B – Resolution No. 2016-___, Authorizing the Acquisition of the Fee Simple Interest in the Real Property Identified as Tax Map Keys 2-3-004-029 (Portion) and 2-3-004-079 (Portion) by Eminent Domain

_____
Board Chair

ATTEST:

_____
Board Administrator

DRAFT

Exhibit A

HONOLULU HIGH-CAPACITY TRANSIT CORRIDOR PROJECT

PARCEL 474-A

Being all of Lot 456, as shown on Map 46 and Portions of Lot 452, as shown on Map 45, Lot 454 as shown on Map 46, and Lot 457, as shown on Map 47, Block 24, of Land Court Application 670.

Situate at Kewalo, Honolulu, Oahu, Hawaii

Beginning at the Southwest corner of this parcel of land, at the East intersection of Queen Street Extension and Kamakee Street, the coordinates of which referred to Government Survey Triangulation Station "PUNCHBOWL" being 6409.74 feet South and 865.68 feet West and running by azimuths measured clockwise from true South:

1.	231° 52'	25.38 feet	along the Easterly side of Kamakee Street:
2.	321° 52'	9.60 feet	along remainder of Lot 452, (Map 42), Block 24, of Land Court Application 670;
			thence along remainders of Lot 454, (Map 46), and Lot 457 (Map 47), Block 24, of Land Court Application 670, on a curve to the left with a radius of 20.50 feet, the chord azimuth and distance being:
3.	6° 52'	28.99 feet;	
4.	321° 52'	69.90 feet	along remainder of Lot 457 (Map 47), Block 24, of Land Court Application 670;
5.	51° 52'	4.89 feet	along Lot 1-A-2 (Map 24) of Land Court Consolidation 53 and along a jog on the Northerly side of Queen Street Extension;

6.	141° 52'	100.00 feet	along the Northerly side of Queen Street Extension to the point of beginning and containing an area of 776 square feet.

MILES S. HORIE
LICENSED PROFESSIONAL LAND SURVEYOR
No. 10007
HAWAII, U.S.A.

Description Prepared By:
Engineers Surveyors Hawaii, Inc.

Miles S. Horie Exp. 4/30/16
Licensed Professional Land Surveyor
Certificate Number 10007

1320 North School Street
Honolulu, Hawaii 96817

September 16, 2015

Tax Map Key: (1st Div.) 2-3-04: 29 Portion

14-73

Exhibit A

HONOLULU HIGH-CAPACITY TRANSIT CORRIDOR PROJECT

Parcel 474-B

Being a portion of Lot 1-A-2 as shown on Map 24 of Land Court Consolidation 53.

Situate at Kewalo, Honolulu, Oahu, Hawaii

Beginning at the West corner of this parcel of land, being also the South corner of Lot 457, (Map 47), Block 24, of Land Court Application 670 on the Northerly side of Queen Street Extension, the coordinates of which referred to Government Survey Triangulation Station "PUNCHBOWL" being 6488.09 feet South and 803.54 feet West and running by azimuths measured clockwise from true South:

1.	231° 52'	4.39 feet	along Lot 457, (Map 47), Block 24, of Land Court Application 670;
2.	321° 52'	10.42 feet	along remainder of Lot 1-A-2 (Map 24) of Land Court Consolidation 53;
3.	51° 52'	3.72 feet	along Lot 1-A-1, (Map 24,) of Land Court Consolidation 53;
			thence along the Northerly side of Queen Street Extension, on a curve to the right with a radius of 392.00 feet, the azimuth to the radial center being 227° 27' 24", the chord azimuth and distance being:

4.	138° 13' 12"	10.44 feet	to the point of beginning and containing an area of 43 square feet.

MILES S. HORIE
LICENSED PROFESSIONAL LAND SURVEYOR
No. 10007
HAWAII, U.S.A.

Description Prepared By:
Engineers Surveyors Hawaii, Inc.

Miles S. Horie Exp. 4/30/16
Licensed Professional Land Surveyor
Certificate Number 10007

1320 North School Street
Honolulu, Hawaii 96817

September 16, 2015

Tax Map Key: (1st Div.) 2-3-04: 79 Portion

14.73

Exhibit B

Honolulu Authority for Rapid Transportation

RESOLUTION NO. 2016-___

AUTHORIZING THE ACQUISITION OF THE FEE SIMPLE INTEREST IN THE REAL PROPERTY IDENTIFIED AS TAX MAP KEYS 2-3-004-029 (PORTION) AND 2-3-004-079 (PORTION) BY EMINENT DOMAIN

WHEREAS, the Honolulu Authority for Rapid Transportation (HART) has been established pursuant to Article XVII of the Revised Charter of the City and County of Honolulu 1973, as amended (Charter); and

WHEREAS, Section 17-103.2(b) of the Charter empowers HART "to acquire by eminent domain. . . all real property or any interest therein necessary for the construction, maintenance, repair, extension or operation of the fixed guideway system;" and

WHEREAS, the City Council approved or did not object to the acquisition of the real property identified as Tax Map Keys (TMKs) 2-3-004-029 (Portion) and 2-3-004-079 (Portion) by eminent domain in fee simple after written notification by HART; and

WHEREAS, the acquisition by eminent domain in fee simple of the above-identified real property, which is more particularly described in the attached legal description marked as Exhibit A, is necessary for the Honolulu Rail Transit Project fixed guideway system, a valid public use and purpose;

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of HART as follows:

1. That acquisition by eminent domain in fee simple of the real property identified as TMKs 2-3-004-029 (Portion) and 2-3-004-079 (Portion) is hereby authorized and the Corporation Counsel of the City and County of Honolulu is empowered to institute eminent domain proceedings as provided by law for the acquisition thereof; and

2. That the acquisition of the above-identified property by eminent domain is determined and declared to be for a valid public use and purpose as aforesaid; and

3. That the acquisition of the above-identified property by eminent domain is determined and declared to be necessary for the aforesaid public use and purpose; and

4. That in the process of said proceedings in eminent domain, the Corporation Counsel is authorized and empowered to negotiate terms of settlement, subject to the approval of HART and/or the Court before which such proceedings are commenced; and

DRAFT

Exhibit B

5. That the Board Administrator be directed to transmit copies of this resolution to HART and the Department of the Corporation Counsel.

ADOPTED by the Board of the Honolulu Authority for Rapid Transportation on _____.

_____
Board Chair

ATTEST:

_____
Board Administrator

Exhibit A – Legal Description of TMKs 2-3-004-029 (Portion) and 2-3-004-079 (Portion)

DRAFT

HONOLULU HIGH-CAPACITY TRANSIT CORRIDOR PROJECT

PARCEL 474-A

Being all of Lot 456, as shown on Map 46 and Portions of Lot 452, as shown on Map 45, Lot 454 as shown on Map 46, and Lot 457, as shown on Map 47, Block 24, of Land Court Application 670.

Situate at Kewalo, Honolulu, Oahu, Hawaii

Beginning at the Southwest corner of this parcel of land, at the East intersection of Queen Street Extension and Kamakee Street, the coordinates of which referred to Government Survey Triangulation Station "PUNCHBOWL" being 6409.74 feet South and 865.68 feet West and running by azimuths measured clockwise from true South:

1.	231° 52'	25.38 feet	along the Easterly side of Kamakee Street:
2.	321° 52'	9.60 feet	along remainder of Lot 452, (Map 42), Block 24, of Land Court Application 670;
			thence along remainders of Lot 454, (Map 46), and Lot 457 (Map 47), Block 24, of Land Court Application 670, on a curve to the left with a radius of 20.50 feet, the chord azimuth and distance being:
3.	6° 52'	28.99 feet;	
4.	321° 52'	69.90 feet	along remainder of Lot 457 (Map 47), Block 24, of Land Court Application 670;
5.	51° 52'	4.89 feet	along Lot 1-A-2 (Map 24) of Land Court Consolidation 53 and along a jog on the Northerly side of Queen Street Extension;

6.	141° 52'	100.00 feet	along the Northerly side of Queen Street Extension to the point of beginning and containing an area of 776 square feet.

MILES S. HORIE
LICENSED PROFESSIONAL LAND SURVEYOR
No. 10007
HAWAII, U.S.A.

Description Prepared By:
Engineers Surveyors Hawaii, Inc.

Miles S. Horie Exp. 4/30/16
Licensed Professional Land Surveyor
Certificate Number 10007

1320 North School Street
Honolulu, Hawaii 96817

September 16, 2015

Tax Map Key: (1st Div.) 2-3-04: 29 Portion

14-73

Exhibit A

HONOLULU HIGH-CAPACITY TRANSIT CORRIDOR PROJECT

Parcel 474-B

Being a portion of Lot 1-A-2 as shown on Map 24 of Land Court Consolidation 53.

Situate at Kewalo, Honolulu, Oahu, Hawaii

Beginning at the West corner of this parcel of land, being also the South corner of Lot 457, (Map 47), Block 24, of Land Court Application 670 on the Northerly side of Queen Street Extension, the coordinates of which referred to Government Survey Triangulation Station "PUNCHBOWL" being 6488.09 feet South and 803.54 feet West and running by azimuths measured clockwise from true South:

1.	231° 52'	4.39 feet	along Lot 457, (Map 47), Block 24, of Land Court Application 670;
2.	321° 52'	10.42 feet	along remainder of Lot 1-A-2 (Map 24) of Land Court Consolidation 53;
3.	51° 52'	3.72 feet	along Lot 1-A-1, (Map 24,) of Land Court Consolidation 53;
			thence along the Northerly side of Queen Street Extension, on a curve to the right with a radius of 392.00 feet, the azimuth to the radial center being 227° 27' 24", the chord azimuth and distance being:

4.	138° 13' 12"	10.44 feet	to the point of beginning and containing an area of 43 square feet.

MILES S. HORIE
LICENSED PROFESSIONAL LAND SURVEYOR
No. 10007
HAWAII, U.S.A.

Description Prepared By:
Engineers Surveyors Hawaii, Inc.

Miles S. Horie Exp. 4/30/16
Licensed Professional Land Surveyor
Certificate Number 10007

1320 North School Street
Honolulu, Hawaii 96817

September 16, 2015

Tax Map Key: (1st Div.) 2-3-04: 79 Portion

14.73

Honolulu Authority for Rapid Transportation

STAFF SUMMARY

TITLE:	STAFF CONTACT:	DATE:
RESOLUTION NO. 2016-2 APPROVING NOTIFICATION TO THE CITY COUNCIL OF INTENTION TO ACQUIRE A FEE SIMPLE INTEREST IN THE REAL PROPERTY IDENTIFIED AS TAX MAP KEYS 2-3-004-029, 2-3-004-079 (PORTION) BY EMINENT DOMAIN AND PUBLICATION OF A RESOLUTION AUTHORIZING ACQUISITION OF SAID PROPERTY BY EMINENT DOMAIN	Jesse Souki Morris Atta	01/28/2016

Type:	Goal	Focus Area	Reference Notes
☒ Action/Approval	☒ Project Delivery	☒ Livability/Land Use	
☐ Information	☐ Service Delivery	☐ Partnerships	
☐ Follow-up	☒ Resource Stewardship	☐ Agency Admin.	

1. Purpose:

Review of Notification to City Council for condemnation of land for public use, identified as Tax Map Keys 2-3-004-029, 2-3-004-079 (Portion), and situated at 401 Kamakee Street and 1141 Waimanu Street Honolulu, Hawaii 96814, which is required for guideway purposes for the Honolulu Rail Transit Project (HRTP). This property, for which an 819 square-foot partial fee acquisition is required, is on the critical path for successful completion of the City Center Section of the HRTP. The property is owned by Ka'a Limited Partnership.

HART recommends use of eminent domain to acquire the property.

2. Background/Justification

This property (Tax Map Keys 2-3-004-029, 2-3-004-079 portion) was designated as needed for the HRTP and identified in the Final Environmental Impact Statement (FEIS). As required under the Uniform Relocation Assistance and Real Property Acquisition Policies Act (URA) and FTA C5010.1D, the Owners were notified of HART's intent to acquire the property. An appraisal was conducted following URA guidelines, which took into consideration all site conditions and potential impacts.

- An appraisal report with an effective date of May 6, 2015 was conducted.
- A Letter of Offer dated July 28, 2015 was delivered.
- A counteroffer has been received from the property owner dated January 7, 2016 and it is being reviewed.

This parcel is being referred to eminent domain in order to adhere to the project construction timeline. Access to this parcel is needed as soon as possible in order to avoid costly delays to the project schedule and timing. Negotiations with the Owner will continue during the eminent domain process.

3. Procurement Background

N/A

4. Financial/Budget Impact

The project budget includes an estimated cost for legal action associated with the eminent domain of the property.

5. Policy Impact

There is no policy impact since this action conforms to the requirement of the URA, FTA 5010.1D and Article XVII of the Charter of the City and County of Honolulu.

6. Public Involvement

N/A

7. Alternatives

There is no feasible alternative to avoid the above described impacts to the property.

8. Exhibits

Exhibit 1 – Letter of Offer dated July 28, 2015.

Exhibit 2 – Appraisal Summary prepared by Yamaguchi & Yamaguchi, Inc. with an effective appraisal date of May 6, 2015.

Certified and Recommended by:

Executive Director and CEO

1/15/16

Date

Exhibit 1

HART

HONOLULU AUTHORITY for RAPID TRANSPORTATION

IN REPLY REFER TO:
CMS-AP00ROW-00989

Daniel A. Grabauskas
EXECUTIVE DIRECTOR AND CEO

BOARD OF DIRECTORS

Ivan M. Lui-Kwan
CHAIR

Donald G. Horner
VICE CHAIR

George I. Atta
Michael D. Formby
Ford N. Fuchigami
Colleen Hanabusa
William "Buzz" Hong
Damien T.K. Kim
Terrence M. Lee

CERTIFIED MAIL/RETURN RECIEPT REQUESTED
7014 1200 0000 8348 2110

July 28, 2015

Mr. Richard Wasnich, M.D.
Ka'a Limited Partnership
c/o Mr. Mark Murakami, Esq.
Damon Key Leong Kupchak Hastert, A Law Corporation
1003 Bishop Street, Suite 1600
Honolulu, Hawaii 96813

Attention: Mr. Mark Murakami, Esq.

Dear Dr. Washnich:

Subject: Honolulu Rail Transit Project (HRTP)
401 Kamakee Street and 1141 Waimanu Street
Parcel 474: Tax Map Key (TMKs) 2-3-004-029 and 2-3-004-079 (Portions)
Letter of Offer

The Honolulu Authority for Rapid Transportation (HART) is constructing the HRTP. As part of the HRTP, HART will need to acquire a portion of your property. An appraisal of the properties identified as TMKs 2-3-004-029 and 2-3-004-079 has been completed to determine just compensation.

A review of public records indicates that you are the Owner of Record of the property HART is seeking to acquire for this Project. Based on our findings as contained in the enclosed Statement of Just Compensation, HART offers to purchase a portion of your property, a total of 819 square feet, in fee simple, free and clear of all liens and encumbrances guideway construction purposes for the total consideration of $187,000 (One Hundred Eighty-Seven Thousand Dollars), as shown colored in yellow on the enclosed map.

In addition, HART offers contributory value considerations for loss-of-value in landscaping, lighting, and irrigation systems in the amount of $9,000 (Nine Thousand Dollars).

The total offer for acquiring the interest in your property is $196,000 (One Hundred Ninety-Six Thousand Dollars). Costs incidental to closing escrow for this transaction will be paid by HART except prorated costs such as taxes and insurance.

Exhibit 1

The amount of offer is predicated on the assumption that there exists no hazardous substance, product, or waste on the subject property. Please be advised that the amount offered is subject to completion of an environmental site assessment by HART, and the cost to remediate any identified findings may affect the valuation of the subject property.

If this offer is acceptable, please sign the duplicate of this letter and return it in the enclosed envelope by August 28, 2015. The remaining copy is for your file. Enclosed for your information are the Appraisal Summary Statement and General Acquisition and Relocation Information Brochure. Also enclosed is a draft Possession and Use Agreement for your review, consideration, and for further discussion with your acquisition agent. The Possession and Use Agreement is intended to provide you early access to most of the purchase price of this acquisition subject to HART being provided access to the portion of your property required for construction of the HRTP with minimal risk to the Project. Under this agreement, your rights to the full just compensation amount are fully reserved and enforceable.

It is the desire of HART to acquire private property through voluntary purchase if possible. While HART has the power of eminent domain, HART has not sought the authority nor made any decision to exercise the power of eminent domain to acquire your property at this time.

In accordance with federal regulations affecting real property transactions, we request your cooperation in providing us with your Taxpayer Identification Number. Please execute and return the enclosed IRS Form W-9 at the same time. The W-9 is required by our Department of Budget and Fiscal Services to release the check.

HART has retained the services of Paragon Partners Ltd to assist you with the acquisition process. Please contact Mr. David Conrad at 536-5900 if you have any questions or to discuss this matter further.

Sincerely,

Daniel A. Grabauskas
Executive Director and CEO

Enclosures

Exhibit 1

ACCEPTED:

KA'A LIMITED PARTNERSHIP

By_____
Its

Print Name: _____

Dated: _____

Exhibit 2

Yamaguchi & Yamaguchi, Inc.
Real Estate Appraisal & Consulting Services

PROJECT
Honolulu Rail Transit Project

Parcel Designation: (1) 2-3-004-029 & 079
HART RW Parcel: 474
Owner: KA'A LIMITED PARTNERSHIP
401 Kamakee Street
Honolulu, Hawaii 96814

AN APPRAISAL REPORT OF
HCDA Central Kakaako District
Partial Land Acquisition

CLIENT
Paragon Partners Ltd. for the Honolulu Authority for Rapid Transportation

PREPARER
Jon F. Yamaguchi, CRE, FRICS, SRPA, SRA

EFECTIVE DATE OF APPRAISAL
May 6, 2015

ONE KAPIOLANI BUILDING
600 Kapiolani Boulevard Suite 405• Honolulu, Hawaii 96813
Bus: 808.533.8849 • Fax: 808-533-8088 • E-mail: appraisals@yamaguchiinc.com

Exhibit 2

Yamaguchi & Yamaguchi, Inc.
Real Estate Appraisal & Consulting Services

May 29, 2015

Ms. Georgia Marquis
Paragon Partners Ltd. for the Honolulu Authority for Rapid Transportation
5762 Bolsa Ave., Suite 201
Huntington Beach, CA 92649

Re: Honolulu Rail Transit Project
HART RW Parcel 474
Parcel Designation: TMK (1) 2-3-004-029 & 079
401 Kamakee Street, Honolulu, Hawaii 96814

Dear Ms. Marquis,

At your request, we have appraised a real property interest for the above real estate. Our objective was to form one or more opinions about the market value for a 100% ownership interest in the subject property's fee simple estate assuming no liens or encumbrances other than normal covenants and restrictions of record.

The purpose of this appraisal report is to assist the Honolulu Authority for Rapid Transportation in the *Partial Acquisition* for Eminent Domain acquisition proceedings of the subject property as part of the Honolulu Rail Transit Project.

As a preview, the subject Parcel 29 consists of 23,256 square feet and is zoned Central Kakaako District. The subject parcel includes lot 5: 2,555 square feet; lot 452: 680 square feet and lot 454: 192 square feet. They are within a portion of Kamakee Street and deemed to have a minimal impact to the current use of the subject property.

The owner of Parcel 29 also owns adjacent parcel 79 (1,977 s.f.) and for this appraisal the total square footage of 25,233 square feet as explained in the Larger Parcel Description in this appraisal report. Per our exterior observation and tax office records, Parcel 29 is currently improved with a 26,244 square foot retail-office structure originally built in 1960. Parcel 79 is a vacant lot used in conjunction with the larger parcel. These improvements are not included as part of our appraisal job scope.

The partial acquisition area along the property boundary frontage on Kamakee Street consists of 819 square feet. This valuation contains analyses, opinions, and conclusions along with market data and reasoning appropriate for the scope of work detailed later herein. It was prepared solely for the intended use and intended user(s) explicitly identified in the attached report. Unauthorized users do so at their own risk. The appraisal is communicated in the attached Appraisal report, and conforms to the version of the Uniform Standards of Professional Appraisal Practice (USPAP) in effect on this report's preparation date of May 29, 2015.

For purposes of this appraisal report the definition of market value from the fifth edition of the *Uniform Appraisal Standards for Federal Land Acquisitions* was utilized and is defined in the Market Value Criterion section of this report.

This letter is not an appraisal report hence it must not be removed from the attached 124-page report. If this letter is disjoined from the attached appraisal report, then the value opinions set forth in this letter are invalid because the analyses, opinions, and conclusions cannot be properly understood.

In general, valuation of the subject property involves no atypical issues. All value opinions are affected by all the information, extraordinary assumptions, hypotheses, general limiting conditions, facts, descriptions, and disclosures stated in the attached appraisal report. After caref ul consideration of all factors pertaining to and influencing value, the data and analysis thereof firmly supports the following final value opinion(s) for the subject property partial taking as of May 6, 2015:

$ 5,747,000	*"As Is" Indicated Market Value of the Larger Parcel*
$ 5,560,000	*"As Is" Indicated Market Value of the Remainder Parcel*
$ 187,000	*"As Is" Indicated Market Value of the Partial Acquisition*
$ 187,000	*"As Is" Indicated Market Value of the Partial Acquisition (Rounded)*
$ 0	*Add: Total Severance Damages to the Remainder Property*
$ 0	*Less: Special Benefits to the Remainder Property*
$ 9,000	*Add: Contributory Value*
$ 196,000	*Total Fair Market Value of the Partial Acquisition (Rounded)*

Thank you for your business. Let us know how we may further serve you.

Jon F. Yamaguchi, CRE, FRICS, SRPA, SRA
President / CEO
Certified General Appraiser
Hawaii License CGA 31
License Expiration Date: 12/31/2015

HONOLULU AUTHORITY FOR RAPID TRANSPORTATION

HONOLULU RAIL TRANSIT PROJECT

INDEPENDENT FINANCIAL AUDITOR "II" CONTRACT

REQUEST FOR PROPOSALS

RFP-HRT-918006

OCTOBER 26, 2015

QUESTIONS RELATING TO THIS SOLICITATION, CONTACT:

transitmailbox@honolulu.gov

HONOLULU AUTHORITY FOR RAPID TRANSPORTATION

NOTICE OF REQUEST FOR PROPOSALS
FOR
HONOLULU RAIL TRANSIT PROJECT
INDEPENDENT FINANCIAL AUDITOR "II" CONTRACT
RFP-HRT-918006

This procurement is being conducted in accordance with Hawaii Revised Statutes Section 103D-303 and Hawaii Administrative Rules Chapter 3-122, Subchapter 6.

Sealed proposals shall be submitted by no later than 2:00 p.m. Hawaii Standard Time (HST) on December 1, 2015, addressed to the Honolulu Authority for Rapid Transportation Chief Procurement Officer, 1099 Alakea Street, Suite 1700, Honolulu, Hawaii, 96813, Attn: Procurement Division.

Because the Honolulu Rail Transit Project is being funded with Federal assistance, the selected offeror shall comply with all applicable Federal Transit Administration requirements.

for DANIEL A. GRABAUSKAS
Executive Director and CEO
Honolulu Authority for Rapid Transportation

INSTRUCTIONS TO OFFERORS
TABLE OF CONTENTS

1.0 Overview **2**
1.1 HRTP Description 2
1.2 Independent Financial Auditor "II" Contract Description 2
1.3 Solicitation Timetable 3
2.0 Term of the Contract **3**
3.0 Communications **3**
3.1 Inquiries and Requests for Clarification 3
3.2 Rules of Contact 3
4.0 Procurement Process **3**
4.1 Addenda 3
4.2 Modification or Withdrawal of Proposals 4
4.3 Receipt and Registration of Proposals 4
4.4 Proposal Confidential During Solicitation Process 4
4.5 Proposals Property of HART 4
4.6 Priority List 4
4.7 Discussions with Offerors 4
4.8 Best and Final Offers 4
4.9 Rejection of Proposals; Waiver of Informalities and Minor Irregularities 4
4.10 Basis of Award 5
4.11 Verification of Responsibility of Offeror 5
4.12 Execution of Contract 5
4.13 Cancellation of Solicitation 6
4.14 Public Inspection; Segregation of Confidential Information 6
4.15 Debriefing 6
4.16 Protests 6
4.17 Commencement of Work 6
4.18 Suspension and Debarment 7
4.19 Conflict of Interest and Non-Disclosure Requirements 7
5.0 PREPARATION OF PROPOSALS; SUBMITTAL REQUIREMENTS **7**
5.1 Proposals Signed by Authorized Personnel 7
5.2 Review of RFP 7
5.3 Proposal Due Date 7
5.4 Submittal Location 7
5.5 Format, and Quantities 8
5.6 Organization of Proposal 8
6.0 Proposal Requirements, Evaluation Criteria and Evaluation Points **8**
6.1 Cover Letter 8
6.2 Organizational Eligibility (Section 1) 8
6.3 Experience and Professional Qualification of the Offeror Relevant to the Contract (Section 2) (35 Points) 9
6.4 Adequate Qualified Staffing to Complete the Assignment (Section 3) (25 Points) 10
6.5 Ability to Complete the Work in a Timely Manner (Section 4) (20 Points) 11
6.6 Price Proposal (Section 5) (20 Points) 11
7.0 Insurance **12**
8.0 Acceptance of Terms and Conditions **12**
9.0 Disadvantaged Business Enterprise (DBE) Contract Goal **12**
10.0 No Reimbursements **12**
ITO EXHIBITS **13**
ATTACHMENTS **13**

INSTRUCTIONS TO OFFERORS

1.0 OVERVIEW

The Honolulu Authority for Rapid Transportation ("HART") is a semi-autonomous agency of the City and County of Honolulu ("City"), created pursuant to an amendment to the Revised Charter of the City and County of Honolulu 1973 ("RCH") to develop, operate, and maintain the Honolulu Rail Transit Project ("HRTP"). Pursuant to Section 17-111 of the RCH, the accounts and financial status of HART shall be examined annually by a certified public accountant. The results of such examination shall be reported to the HART Board of Directors, the City Council and the Mayor. Accordingly, HART is issuing this Request for Proposals ("RFP") to seek competitive sealed proposals from offerors that are interested in providing independent auditing services which comply with the requirements of the RCH.

1.1 HRTP Description

The HRTP will provide high-capacity rapid transit service in the travel corridor between East Kapolei and Ala Moana Center. This corridor includes the majority of housing and employment on O'ahu. The north-south width of the corridor is a maximum of four (4) miles, with the corridor constrained by the Ko'olau and Wai'anae Mountain Ranges to the north and the Pacific Ocean to the south.

The HRTP is identified in the Final Environmental Impact Statement ("FEIS") as the design, construction and operation of a twenty (20) mile grade-separated fixed guideway transit system between East Kapolei and Ala Moana Center. All parts of the guideway will be elevated, except near Leeward Community College where it will be at-grade. The system will incorporate steel wheel on steel rail technology. The HRTP includes twenty-one (21) stations, one (1) Maintenance and Storage Facility (MSF), and eighty (80) light metro vehicles and associated core systems.

The FEIS was released in June 2010 and a Final Supplemental EIS and Amended Record of Decision (ROD) were released in September 2013. The FEIS and additional information on the HRTP can be found at: http://honolulutransit.org.

1.2 Independent Financial Auditor "II" Contract Description

The work performed under the contract will be under the direction of HART Board's Government Affairs/Audit/Legal Matters Committee Chair or his/her designee. The selected contractor may be required to perform a variety of financial auditing services, including conducting financial audits of HART's transactions accounts and books for fiscal years ending June 30, 2016, June 30, 2017, June 30, 2018, and June 30, 2019, and conducting an examination of the systems and procedures for accounting, reporting, and operational and internal controls of HART.

1.3 Solicitation Timetable

The following solicitation timetable will be used for this RFP:

ACTIVITY	DATE
Issue RFP	October 26, 2015
Deadline for Clarification Requests	November 9, 2015
Issue Final Addendum	November 17, 2015
Proposal Due Date	December 1, 2015 at 2:00 p.m. HST
Award of Contract (Tentative)	January 20, 2015
Notice to Proceed (Tentative)	February 19, 2015

Any changes to the dates in the above timetable will be made by HART by written addendum.

2.0 TERM OF THE CONTRACT

The term of this Contract shall be for four (4) years commencing from the issuance of the Notice to Proceed ("NTP").

3.0 COMMUNICATIONS

3.1 Inquiries and Requests for Clarification

All inquiries and requests for clarification regarding this RFP shall be submitted to the Transit Mailbox at the following email address: transitmailbox@honolulu.gov by no later than the deadline set forth above. All correspondence shall refer to the appropriate RFP number, page number, and section number. See Exhibit 1. Oral interpretations or clarifications will be without legal effect. Only answers to questions issued by a formal written addendum shall be binding on HART. Offerors may not contact HART officials, employees, Board members, or representatives concerning this RFP while the solicitation process is in progress.

3.2 Rules of Contact

Offerors may not contact HART officials, Board members, employees or representatives concerning this RFP while the solicitation process is in progress. The solicitation process begins when the RFP is issued and will be completed with the Award of the Contract. Any contact determined to be improper, at the sole discretion of HART, may result in disqualification.

4.0 PROCUREMENT PROCESS

4.1 Addenda

As it deems necessary, HART will issue responses to inquiries or corrections/amendments by way of written addenda issued prior to the Proposal Due Date. Additional background material or modifications to RFP requirements, where necessary, will be communicated to all offerors by written addenda issued by HART.

4.2 Modification or Withdrawal of Proposals

Proposals submitted pursuant to this RFP may be modified or withdrawn prior to the Proposal Due Date in accordance with HAR §3-122-16.07.

4.3 Receipt and Registration of Proposals

In accordance with HAR § 3-122-51, proposals and any modifications thereto will be time-stamped upon receipt and held in a secure place by HART until the Proposal Due Date. Proposals and modifications will not be opened publicly, but will be opened in the presence of two or more HART officials. Prior to Contract award, proposals will be shown only to members of the evaluation committee and HART personnel or their designees having legitimate interest in them.

4.4 Proposal Confidential During Solicitation Process

HART will maintain a confidential process for the duration of this solicitation. All records related to this procurement, including, but not limited to, proposals, evaluations, priority list procedures, price proposals, evaluation and selection procedures, and records during the evaluation and selection process, will remain confidential until the Contract award has been posted by HART in accordance with HAR §3-122-9.01.

4.5 Proposals Property of HART

Proposals will become the property of HART. Copies of each proposal will be retained by HART after the proposal evaluation process.

4.6 Priority List

In accordance with HRS § 103D-303 and HAR § 3-122-53, a priority list will be established consisting of up to three offerors. If more than three acceptable or potentially acceptable proposals have been submitted, the priority list will be limited through evaluation and ranking to the offerors who submitted the highest-ranked proposals.

4.7 Discussions with Offerors

If discussions with offerors are required to make a selection, they will be conducted in accordance with HAR § 3-122-53**.**

4.8 Best and Final Offers

If required, best and final offers will be accepted in accordance with HAR § 3-122-54.

4.9 Rejection of Proposals; Waiver of Informalities and Minor Irregularities

Proposals may be rejected in accordance with HAR § 3-122-97. Furthermore, HART may:

a) Reject any or all proposals if such action is in the public interest; and

b) Waive informalities and minor irregularities in proposals received.

4.10 Basis of Award

The basis of award of the contract will be the "best value" in accordance with the evaluation criteria set forth herein.

4.11 Verification of Responsibility of Offeror

The successful offeror shall, within three (3) business days of notification of contract award furnish proof of compliance with the requirements of HRS §103D-310(c):

- HRS Chapter 237, tax clearance;
- HRS Chapter 383, unemployment insurance;
- HRS Chapter 386, workers' compensation;
- HRS Chapter 392, temporary disability insurance;
- HRS Chapter 393, prepaid health care; and
- One of the following:
  (a) Registered and incorporated or organized under the laws of the State of Hawaii, hereafter referred to as a "Hawaii business"; or
  (b) Registered to do business in the State of Hawaii, hereinafter referred to as a "compliant non-Hawaii business."

Vendors may choose to use the Hawaii Compliance Express (HCE), which allows businesses to register online at http://vendors.ehawaii.gov to acquire a single, printable electronic "Certificate of Vendor Compliance." The HCE provides current compliance status as of the issuance date. The "Certificate of Vendor Compliance," indicating that the offeror's status is compliant with the requirements of HRS section 103D-301(c), will be accepted for both contracting purposes and final payment. Vendors that elect to use the new HCE services will be required to pay an annual fee of twelve dollars ($12.00) to the Hawaii Information Consortium, LLC (HIC). Offerors choosing not to participate in the HCE program will be required to provide the paper certificates as specified above.

4.12 Execution of Contract

(a) Subsequent to contract award, HART will present the contract to the successful offeror for execution. The successful offeror shall return the signed contract within ten (10) days from the date upon which the contracted was presented for signature by HART, or within such time as HART may otherwise allow.
(b) The successful offeror shall provide evidence of the required insurance coverages when it returns the signed contract to HART.

4.13 Cancellation of Solicitation

This solicitation may be cancelled at any time pursuant to the Chief Procurement Officer's determination that cancellation is in the public interest or reasons based on, but not limited to, those set forth in HAR § 3-122-96.

4.14 Public Inspection; Segregation of Confidential Information

Public inspection will be in accordance with HAR §3-122-58. The existing contract file, **except those portions the offeror designates in writing to be confidential as trade secrets or other proprietary data,** subject to HAR § 3-122-58(b), will be available for public inspection upon posting of the Award pursuant to HRS § 103D-701.

If a person requests to inspect the portions of an offeror's proposal designated as confidential pursuant to HAR § 3-122-46(9), the inspection will be subject to written determination by Corporation Counsel for confidentiality in accordance with HRS Chapter 92F. If Corporation Counsel determines in writing that the material designated as confidential is subject to disclosure, the material will be open to public inspection unless the offeror appeals pursuant to HRS § 92F-42(1).

4.15 Debriefing

The purpose of a debriefing is to inform the non-selected offerors of the basis for the source selection decision and contract award. A written request for a debriefing shall be made within three (3) working days after the posting of the award of the contract. To the extent practicable, debriefing shall be held by HART within seven (7) working days of the request for the debriefing, provided the Chief Procurement Officer may determine whether to conduct individual or combined debriefings.

4.16 Protests

Protests shall be made in accordance with HRS § 103D-701 and HAR § 3-122-60. Any protest by a non-selected offeror pursuant to section HRS §103D-701 following a debriefing shall be filed in writing within five (5) working days after the date upon which the debriefing was conducted.

Offerors are hereby notified of their right to appeal to the FTA pursuant to FTA C 4220.1F Chapter VII, Section 1.b.

4.17 Commencement of Work

Work shall not commence until: (a) the contract has been executed; (b) the Chief Procurement Officer has certified the availability of funds; and (c) and written Notice to Proceed has been issued.

4.18 Suspension and Debarment

In accordance with 2 CFR §1200 the Offeror is required to verify that none of the offeror's principals, as defined in 2 CFR §180.995, or affiliates, as defined at 2 CFR §180.905, are excluded or disqualified as defined at 2 CFR §§180-945 and 180.935. The offeror is required to comply with 2 CFR §1200, Subpart C, and must include the requirements to comply with 2 CFR §1200, Subpart C, in any lower tier covered transaction it enters into. By signing and submitting its proposal, the offeror certifies to these requirements.

4.19 Conflict of Interest and Non-Disclosure Requirements

A contractor who was or is being paid for developing or preparing work specifications shall be precluded from submitting an offer or receiving a contract for that particular solicitation in accordance with HRS § 103D-405(d) and HAR § 3-122-13(e).

5.0 PREPARATION OF PROPOSALS; SUBMITTAL REQUIREMENTS

5.1 Proposals Signed by Authorized Personnel

Each proposal shall be signed in ink by the person legally authorized to do so on behalf of the entity submitting the and pursuant to proof of the authorized person's authority to bind the entity.

5.2 Review of RFP

It is the responsibility of all offerors to examine the entire RFP and to seek clarification of any requirement that may not be clear and to check all responses for accuracy before submitting a pProposal. Negligence in preparing a proposal confers no right of withdrawal after the Proposal Due Date.

5.3 Proposal Due Date

As specified above, proposals must be submitted to HART by **no later than 2:00 p.m. HST on December 1, 2015**. The proposals shall be enclosed in sealed containers, marked clearly with the RFP number. Late submittals will not be accepted. It is the responsibility of the offeror to ensure that its proposal is delivered at the location indicated below by the Proposal Due Date.

5.4 Submittal Location

Proposals shall be delivered to the following address:

HART Chief Procurement Officer
Attn: Procurement Division
RFP-HRT-918006
Honolulu Authority for Rapid Transportation
1099 Alakea Street, Suite 1700
Honolulu, Hawaii 96813

Submittals by facsimiles are not acceptable and shall not be considered.

5.5 Format, and Quantities

See ITO Exhibit 2 for Proposal format. Offerors shall provide one (1) original and four (4) copies of the proposal and appendices thereto. The signed original copy is to be identified as the "Original" on the cover and marked as "Copy 1 of 5." All copies shall be provided in loose-leaf, 3-ring binders, with the three appendices placed in a separate 3-ring binder. Each copy should be identified on the cover(s) as "Copy # of 5." Proposals are to be written in English, minimum 12-point font, and printed on 8-1/2" x 11" paper; any larger sheets should be folded to that size. Pages are to be consecutively numbered.

5.6 Organization of Proposal

Offerors are to follow the outline format provided in Exhibit 2 when preparing and organizing their proposals. All exhibits identified in ITO Exhibit 2 shall be submitted with the proposal. Specific content requirements for each section of the proposal and the corresponding evaluation points are described below.

6.0 PROPOSAL REQUIREMENTS, EVALUATION CRITERIA AND EVALUATION POINTS

6.1 Cover Letter

Offerors shall provide a 1-2 page letter indicating their desire to be considered for the RFP and stating the official names and roles of all Principal Participants, and known subcontractors. Offerors shall identify a single point of contact and the address, telephone and fax numbers, and email address to which questions should be directed. Authorized representatives of the offeror's organization shall sign the letter. ITO Exhibits 3 and 4 shall be attached to the proposal cover letter.

6.2 Organizational Eligibility (Section 1)

Requirements and information to be provided in Section 1 of the Proposal are:

(a) Organizational Information, as identified on ITO Exhibit 5;

(b) If a partnership or corporation, submit ITO Exhibit 6;

(c) Principal Participant certification on ITO Exhibit 7 for each Principal Participant covering the last five years;

(d) If a Joint Venture, Limited Liability Company, or Partnership:
   (1) Identity of the lead Principal Participant of the entity, if any;
   (2) Indicate the equity share percentage held by each member;
   (3) Include an express statement from each of the equity members of the entity to confirm their joint and several liability; and

(4) Identify full details of the organizational structure.

(e) Certificate Regarding Lobbying on ITO Exhibit 11;

(f) Bidder Registration Form on ITO Exhibit 14; and

(g) Requirements and information to be provided in Appendix A to the Proposal:
   (1) Notarized Power(s) of Attorney for each Principal Participant indicating the authority of the Principal Participant's representative to sign for that Principal Participant;
   (2) Notarized Power(s) of Attorney for each Principal Participant indicating the authority of the offeror's designated point of contact to sign documents for and on behalf of the offeror's organization; and
   (3) Alternatively, in lieu of the Powers of Attorney, the offeror may submit certified original corporate resolutions for each Principal Participant and the offeror (as appropriate) indicating the authority of the Principal Participant's and/or offeror's designated point of contact to sign documents for and on behalf of the Principal Participant and/or offeror's organization. Such resolutions must be signed by the Secretary of the corporation and contain a corporate seal or notarization.

6.3 Experience and Professional Qualification of the Offeror Relevant to the Contract (Section 2) (35 Points)

(a) Experience and professional qualifications in performing similar financial audits of governmental units:
   (1) Background and experience of the offeror. Provide description and background information of the offeror, demonstrating that the offeror is qualified to perform the financial services requested. Information should include:
      (A) Name of the offeror, the address of the principal place of business in Hawaii, and the length of time the offeror has been doing business in Hawaii.
      (B) The average number of Hawaii employees in the governmental audit section over the past three (3) years.
      (C) Describe pertinent and unique resources of the offeror that the project team may utilize for the proposed work (i.e., members with specialized expertise, national/international offices, expert panels and resources, databases, etc).
      (D) Briefly describe the quality control system of the offeror.
      (E) Provide a copy of the latest external quality review of the offeror and statement whether that review included a review of specific governmental engagements.
      (F) Disclose whether any Federal or state desk or field reviews have been performed on any of the offeror's government audits during the past three (3) years.
      (G) Provide any information on any disciplinary action taken or pending against the offeror during the past three (3) years with state regulatory bodies or professional organizations.
      (H) Provide a copy of the latest audit reports of a governmental entity.

(2) Financial stability of the offeror:
   (A) The offeror must provide a credit reference(s).
   (B) The offeror shall provide its capability to meet the requirements of the Contract specifically with respect to cash and working capital.
   (C) A copy of the Offeror's most current balance sheet certified by the Offeror to be a "Certified True Copy" shall be enclosed in Section II. If the Offeror wishes for such data to remain confidential, such pages containing the financial data shall be clearly marked "CONFIDENTIAL" on every page that contains confidential data.
(3) Identification of any Potential Conflicts of Interest:
   (A) The offeror shall disclose and provide what may be or may be perceived as a potential conflict of interest, the nature of the potential conflict, and whether it can be minimized or mitigated to safeguard the independence of the audits.
   (B) The offeror shall provide an affirmative statement if there are no potential conflicts of interest.

(b) Exhibits:
   (1) Submit Experience on ITO Exhibit 8.
   (2) Submit Past Performance on ITO Exhibit 10.

6.4 Adequate Qualified Staffing to Complete the Assignment (Section 3) (25 Points)

(a) Proposed Auditing Team. The offeror will be evaluated for the proposed auditing team's qualifications to perform the audit work. Please provide the following:
   (1) State the total number of professionals on the offeror's proposed audit team and each person's name. Identify each person's current standing as a certified public accountant in Hawaii and the credential to perform government financial audits.
   (2) Specify the proposed scope of work and number of work hours for HART's annual financial audit and total number of hours to be worked on the annual financial audit by all team members.
   (3) Identify the person who shall serve as the Project Manager in charge of coordinating the engagement and list qualifications to serve in that capacity.
   (4) Identify the person who shall serve as designated alternate to the Project Manager and list qualifications to serve in that capacity.
   (5) Identify a person who shall serve as the primary contact person with HART. The person may be the Project Manager or designated alternate, but if another person is selected, that person's qualifications to serve in this capacity shall be listed.
   (6) The proposed Project Manager and alternate must be employed by the offeror as full-time certified public accountants, who have been licensed to practice public accountancy in the State of Hawaii, and possess a current permit for the same. The proposal shall state the length of time the Project Manager and alternate have been licensed to practice public accountancy in the State of Hawaii and shall affirm that the permit to practice public accountancy in the State of Hawaii will be held for the term of the contract and that the Project Manager and alternate will be assigned to the offeror's Oahu office for the contract.

(7) The offeror's description of the qualifications of the proposed Project Manager's and alternate's experience shall include a listing of the following personally completed or directly supervised audit engagement:
   i) Limited general audits of governmental propriety and/or enterprise funds in conformance with generally accepted government auditing standards, examining the financial statements, internal control structure, and compliance with laws and regulations pertaining to the use of funds.
   ii) Single audits of federal financial assistance programs of a government agency in conformance with the Federal Single Audit Act of 1984 and pertinent U.S. Office of Management and Budget (OMB) Circulars.
   iii) Limited general audits of governmental entities in conformance with generally accepted government auditing standards that required a total of at least one thousand (1,000) work hours which may be the same or similar to (i) and (ii) above.
   iv) For each of the qualifying audit engagements noted in (i), (ii) and (iii), reference contract information, report date, the number of professionals in the audit work team, and whether the report was personally completed by the subject person, or completed under the direct supervision of the subject person.
   v) For evaluation purposes only, copies of qualifying reports for (i), (ii) and (iii) shall be provided for review with the submitted proposal.

(8) For each person who shall serve as an audit team member, list the role assigned and qualifications to service in the capacity.

(b) Submit Key Personnel Information on ITO Exhibit 12.

6.5 Ability to Complete the Work in a Timely Manner (Section 4) (20 Points)

Offerors shall provide a preliminary work plan addressing the offeror's proposed approach for the following:

(a) The extent to which the proposal addresses and satisfies the scope of the work.

(b) All work elements are addressed and resources necessary to complete the scope of work.

(c) Access the offeror's ability to complete the work in a timely manner.

6.6 Price Proposal (Section 5) (20 Points)

(a) Provide pricing in all the required fields in ITO Exhibit 9.

(b) Proposals shall include any and all applicable taxes.

(c) The Grand Total price of the proposal shall be considered the cost factor for evaluation purposes under HAR § 3-122-52(d).

(d) Submit Certificate of Current Cost or Pricing Data on ITO Exhibit 13.

7.0 INSURANCE

Offerors shall obtain and maintain insurance in the amounts and kinds specified in the General Terms and Conditions of Professional Services, as may be amended by the Special Provisions.

8.0 ACCEPTANCE OF TERMS AND CONDITIONS

By submitting a proposal, an offeror expressly agrees to all of the terms, conditions, provisions, and requirements set forth in this RFP and the General Terms and Conditions of Professional Services.

9.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) CONTRACT GOAL

HART has established an overall DBE goal of 13.00% for the duration of this contract and a separate contract goal has not been established for this procurement.

Reports to HART. The successful offeror shall report its DBE participation obtained through race-neutral means throughout the period of performance. The successful offeror shall submit the "DBE PARTICIPATION REPORT" reflecting payments made by the Contractor to DBE subcontractors in accordance with Attachment A, Section 1.6(p)-(r) of the General Conditions. Payments to the Contractor will not be processed if the DBE PARTICIPATION REPORT is not properly completed and attached. The DBE PARTICIPATION REPORT shall be prepared in the format set forth in Attachment 1.6(a).

10.0 NO REIMBURSEMENTS

HART will not provide any reimbursement for the cost of developing or submitting a proposal in response to this RFP.

ITO EXHIBITS

The following exhibits are attached hereto and incorporated herein by reference:

Exhibit 1 -	Offeror's Clarification Request
Exhibit 2 -	Proposal Format
Exhibit 3 -	Acknowledgment of Receipt Request for Proposals, Addenda and Responses to Offeror's Clarification Requests
Exhibit 4 -	Proposal Form
Exhibit 5 -	Offeror's Organization Information
Exhibit 6 -	Information Requested of Partnerships and Corporations
Exhibit 7 -	Principal Participant Certification
Exhibit 8 -	Experience
Exhibit 9 -	Price Proposal Form
Exhibit 10 -	Past Performances
Exhibit 11 -	Certification Regarding Lobbying
Exhibit 12 -	Key Personnel Information
Exhibit 13 -	Certificate of Current Cost or Pricing Data
Exhibit 14 -	Bidder Registration Form

ATTACHMENTS

- Sample Agreement
- Special Provisions
- HART General Terms and Conditions for Professional Services (v8/2015)

HONOLULU RAIL TRANSIT PROJECT

December 2015
MONTHLY PROGRESS REPORT

HONOLULU AUTHORITY for RAPID TRANSPORTATION

www.HonoluluTransit.org

THIRD PARTY DISCLAIMER

This report and all subsidiary reports are prepared for the Federal Transit Administration (FTA). This report should not be relied upon by any party, except the FTA or HART, in accordance with the purposes as described below.

For projects funded through the FTA Full Funding Grant Agreements (FFGAs) program, the FTA and its Project Management Oversight Contractor (PMOC) use a risk-based assessment process to review and validate a project sponsor's budget and schedule. This risk-based assessment process is a tool for analyzing project development and management. Moreover, the assessment process is iterative in nature; any results of an FTA or PMOC risk-based assessment represent a "snapshot in time" for a particular project under the conditions known at that same point in time. The status of any assessment may be altered at any time by new information, changes in circumstances, or further developments in the project, including any specific measures a sponsor may take to mitigate the risks to project costs, budget, and schedule, or the strategy a sponsor may develop for project execution. Therefore, the information in the monthly reports will change from month to month, based on relevant factors for the month and/or previous months.

REPORT FORMAT AND FOCUS

This report is submitted in compliance with the terms of FTA Contract No. DTFT60-09-D-00012, Task Order No. 2. Its purpose is to provide information and data to assist the FTA as it continually monitors the grantee's technical capability and capacity to execute a project efficiently and effectively, and hence, whether the grantee continues to be ready to receive federal funds for further project development.

This report covers the project and quality management activities on the Honolulu Rail Transit Project managed by the Honolulu Authority for Rapid Transportation (HART) with HART as the grantee and partially financed by the FTA FFGA.

ON THE COVER:
Left: West O'ahu Farrington Highway Guideway along Farrington Highway looking Waianae.
Upper right: West O'ahu Farrington Highway Guideway along Farrington Highway near Waipahu High School.
Lower right: Rail Operations Center (aka Maintenance and Storage Facility) site.

TABLE OF CONTENTS

TABLE OF FIGURES 4

LIST OF ACRONYMS 5

PROJECT MAP 8

PROGRESS REPORT SUMMARY OF CHANGES 9

1 EXECUTIVE SUMMARY 11

2 OVERALL PROJECT PROGRESS AND FINANCIALS 13
- 2.1 Project Progress 13
- 2.2 Project Budget 15
- 2.3 Project Contingency 15
- 2.4 Project Funding 17
- 2.5 Project Revenue and Costs 19

3 SCHEDULE 20

4 CONTRACT STATUS 23
- 4.1 System-Wide 26
- 4.2 Section I – West O‘ahu/Farrington Highway: East Kapolei to Pearl Highlands 33
- 4.3 Section II – Kamehameha Highway: Pearl Highlands to Aloha Stadium 45
- 4.4 Section III – Airport: Aloha Stadium to Middle Street Transit Center Station 53
- 4.5 Section IV – City Center: Middle Street Transit Center Station to Ala Moana Center 61
- 4.6 Project-Wide 65

5 OVERALL PROJECT-WIDE ACTIVITIES 72
- 5.1 Permits 74
- 5.2 Hawai‘i Department of Transportation (HDOT) Agreements 74
- 5.3 Utility Agreements 75
- 5.4 Right-of-Way 77

6 MANAGEMENT AND ADMINISTRATIVE UPDATES 82
- 6.1 Safety and Security 85
- 6.2 Quality Management 90
- 6.3 Buy America Compliance 95
- 6.4 Disadvantaged Business Enterprise (DBE) 95
- 6.5 Planning and Environment 96
- 6.6 Risk Management 97
- 6.7 Community Outreach 101
- 6.8 Staffing 102

APPENDICES 104
- A. Action Items 105
- B. Project Contingency Management General Background and Clarifications 106
- C. Project Cost Reports 112
- D. Procurement and Contract Status 119
- E. Vehicle Carshell Progress Tracker 121
- F. DBE Participation 122
- G. Risk 125
- H. Project Organization Chart 126
- I. Indices on Key Commodities 127
- J. Project Photos 128

Table of Figures

Figure 1. Overall Project Progress (% Complete) 13
Figure 2. Construction Progress (% Complete) 13
Figure 3. Design Progress (% Complete) 14
Figure 4. Utilities Progress (% Complete) 14
Figure 5. Project Contingency Budget 15
Figure 6. Draft Cost Contingency Drawdown Chart 16
Figure 7. Planned vs. Received Project Funding 17
Figure 8. Project Funding Sources (YOE $M) 17
Figure 9. New Starts Drawdown by Federal Fiscal Year 18
Figure 10. Project Revenue versus Incurred Costs 19
Figure 11. Cash Balance Summary 19
Figure 12. HRTP Master Project Schedule Summary (MPSS) 21
Figure 13. Right-of-Way Status for the Parcels 77
Figure 14. Relocation Status for the Occupants 79
Figure 15. Third-Party Agreement Status 79
Figure 16. DBE Participation this Month 95
Figure 17. Risk Matrix 99
Figure 18. Top Project Risks 99
Figure 19. Risks Added 100
Figure 20. Risks Deleted 100
Figure 21. HART shared the most recent photos of its rail cars in production 101
Figure 22. HART's Shop, Dine & Shuttle launched Sunday, Dec. 13 101
Figure 23. Staffing Activities 102
Figure 24. Project Staffing (Actual vs. Planned) 103

LIST OF ACRONYMS

AB	AnsaldoBreda
ACHP	Advisory Council on Historic Preservation
ACS	Access Control System
AFE	Authorized for Expenditure
AGS	Airport Guideway and Stations
AHJV	Ansaldo Honolulu Joint Venture
AIS	Archaeological Inventory Survey
APTA	American Public Transportation Association
ARRA	American Recovery and Reinvestment Act
ASG	Airport Station Group
ASU	Airport Section Utilities
ATC	Automated Train Control
ATO	Automated Train Operation
AVA	Anil Verma Associates, Inc.
BA	Buy America
BAC	Buy America Compliance
BACM	Buy America Compliance Matrix
BAFO	Best and Final Offer
BCS	Balanced Cantilever System
BFS	Budget and Fiscal Services
BLS	Bureau of Labor Statistics
BMP	Best Management Practice
BOD	Board of Directors
BUE	Bottom-Up Estimate
CAM	Construction Access Milestone
CAR	Corrective Actions
CCGS	City Center Guideway and Stations
CCO	Contract Change Order
CCTV	Closed Circuit Television
CDC	Compendium of Design Criteria
CE&I	Construction Engineering and Inspection
CEL	Certifiable Elements List
CIC	Communication Interface Cabinet
CIL	Certifiable Items List
CM	Construction Manager
CMP	Corrugated Metal Pipe
CMS	Contract Management System
CMU	Concrete Masonry Unit
CNMMP	Construction Noise Mitigation and Monitoring Plan
COI	Conflict of Interest
COMMs	Communications
CONRAC	Consolidated Rental Car Facility
COR	Corporation Counsel
CP	Consulting Party
CPM	Critical Path Method
CPP	Contract Packaging Plan
CROE	Construction Right-of-Entry
CSC	Core Systems Contract
CSCC	Construction Specification Conformance Checklists
CSL	Cross Hole Sonic Logging
CSOC	Core Systems Oversight Consultant
CSSP	Construction Safety & Security Plan
CTS	Communications Transmission System
CWRM	Commission on Water Resource Management
CZM	Coastal Zone Management
DAGS	Department of Accounting & General Services
DB	Design-Build
DBB	Design-Bid-Build
DBE	Disadvantaged Business Enterprise
DBEDT	Department of Business, Economic Development and Tourism
DBOM	Design-Build-Operate-Maintain
DCAB	Disability and Communication Access Board
DCCC	Design Criteria Conformance Checklists
DCN	Design Change Notice
DDC	Department of Design and Construction
DES	Department of Environmental Services
DFIM	Design Furnish Install Maintain
DFM	Department of Facility Maintenance
DHHL	Department of Hawaiian Homelands
DHR	Department of Human Resources
DIT	Department of Information Technology
DKSG	Dillingham and Kakaʻako Station Group
DLIR	Hawaiʻi Department of Labor and Industrial Relations
DLNR	Department of Land and Natural Resources
DOE	Department of Education
DOH	Department of Health
DOL	Department of Labor
DPM	Deputy Project Managers
DPP	Department of Planning and Permitting
DPR	Department of Parks and Recreation
DPS	Department of Public Safety
DS	Downstream
DTS	Department of Transportation Services
DVT	Design Verification Test
ECP	Environmental Compliance Plan
E/E	Elevator/Escalator
EK	East Kapolei
EMC	Electromagnetic Compatibility
EMF	Electromagnetic Forces
EMI	Electromagnetic Interference
EMP	Environmental Management Plan
EOR	Engineer of Record
EOS	Electrically Operated Switches
ESA	Engineering Services Agreement
FAA	Federal Aviation Administration
FAI	First Article Inspections
FAT	Factory Acceptance Tests
FD	Final Design
FDAS	Fire Detection Alarm System
FDC	Field Design Change
FEIS	Final Environmental Impact Statement
FFC	Fixed Facility Contractors
FFGA	Full Funding Grant Agreement
FHSG	Farrington Highway Station Group
FLSWG	Fire Life Safety Working Group
FOCN	Fiber Optic Communication Network
FTA	Federal Transit Administration
FTE	Full-Time Equivalent
FWS	Fish and Wildlife Service
GAT	Great Aleutian Tsunami
GBS	Gap Breaker Station
GDR	Geotechnical Data Report
GEC	General Engineering Consultant
GET	General Excise Tax
GIS	Geographic Information System
GSA	General Services Administration
GT	General Terms
HA	Hazard Analysis
HABS	Historic American Buildings Survey
HAER	Historic American Engineering Record
HALS	Historic American Landscape Survey
HART	Honolulu Authority for Rapid Transportation
HCC	Honolulu Community College
HCDA	Hawaiʻi Community Development Authority
HCSD	Hawaiʻi Capital Special District
HDCC	Hawaiian Dredging Construction Company
HDOE	Hawaiʻi Department of Education
HDOH	Hawaiʻi Department of Health
HDOT	Hawaiʻi Department of Transportation
HDPE	High-density polyethylene
HECO	Hawaiian Electric Company
HFD	Honolulu Fire Department
HHF	Historic Hawaiʻi Foundation
HHPRB	Hawaiʻi Historic Places Review Board
HIE	Hawaii Independent Energy
HP	Historic Preservation
HPC	Historic Preservation Committee
HPCA	Historic Preservation Certification Application
HPD	Honolulu Police Department
HPF	Historic Preservation Fund
HRHP	Hawaiʻi Register of Historic Places
HRI	Hitachi Rail Italy

HRTP	Honolulu Rail Transit Project
HTI	Hawaiian Telcom
HTL	Hazard Tracking Log
HVAC	Heating, Ventilation and Air Conditioning
I&T	Inspection & Testing
IAMR	Interstate Access Modification Report
ICCS	Integrated Communications Control System
ICD	Interface Control Documents
ICE	Independent Cost Estimate
ICM	Interface Control Manual
IDS	Intrusion Detection System
IFC	Issued for Construction
IJ	Insolation Joint
INMS	Integrated Network Management System
ITP	Inspection and Test Plan
ITS	Intelligent Transportation Systems
JTMS	Joint Traffic Management System
JU&O	Joint Use & Occupancy
JUOA	Joint Use and Occupancy Agreement
KCDD	Kaka'ako Community Development District
KCH	Kanehili Cultural Hui
KHG	Kamehameha Highway Guideway
KHSG	Kamehameha Highway Station Group
KIWC	Kiewit Infrastructure West Company
KKJV	Kiewit/Kobayashi Joint Venture
LCC	Leeward Community College
LEED	Leadership in Energy and Environmental Design
LPR	License Plate Reader
LRV	Light Rail Vehicle
MIM	Manufacture-Install-Maintain
MMIS	Maintenance Management Information System
MMP	Mitigation Monitoring Program
MOT	Maintenance of Traffic
MOU	Memorandum of Understanding
MOW	Maintenance of Way
MPS	Master Project Schedule
MPSS	Master Project Schedule Summary
MPV	Multiple Purpose Vehicle
MS4	Municipal Separate Storm Sewer System
MSE	Mechanically Stabilized Earth
MSF	Maintenance and Storage Facility
MTM	Modern Track Machineries
NCE	Non-Conformance Evaluation
NCR	Non-Conformance Report
NDC	Notice of Design Change
NEPA	National Environmental Policy Act
NHL	National Historic Landmark
NOI	Notice of Intent
NPDES	National Pollutant Discharge Elimination System
NPS	National Park Service
NR	National Register
NRHP	National Register of Historic Places
NSM	Negotiation Strategy Memo
NTP	Notice to Proceed
NTS	Network Time Server
O&M	Operations and Maintenance
OCC	Operations Control Center
OCIP	Owner-Controlled Insurance Program
OIBC	O'ahu Island Burial Council
OIL	Open Items List
OMPO	Oahu Metropolitan Planning Organization
ORCC	Operational Readiness Conformance Checklists
OSB	Operations and Servicing Building
OSHA	Occupational Safety and Health Administration
OTS	O'ahu Transit Services
OTW	Oceanic Time Warner
OTWC	Oceanic Time Warner Cable
PA	Programmatic Agreement
PAIS	Programmatic Agreement Implementation Schedule
PARs	Preventative Actions
PB	Parsons Brinckerhoff, Inc.
PE	Preliminary Engineering
PGC	Pacific Guardian Center
PHA	Preliminary Hazard Analysis
PICM	Project Interface Control Manual
PIG	Permitted Interaction Group
PIM	Project Interface Manager
PLA	Project Labor Agreement
PLO	Priority-Listed Offerors
PM	Project Managers
PMC	Project Management Consultant
PMIM	Project Management and Interface Management
PMOC	Project Management Oversight Contractor
PMSC	Program Management Support Consultant
PPE	Personal Protective Equipment
PSG	Platform Screen Gate
PSGS	Platform Screen Gate System
PV	Passenger Vehicle
QA	Quality Assurance
QAM	Quality Assurance Manager
QAP	Quality Assurance Plan
QC	Quality Control
QMP	Quality Management Plan
QMS	Quality Management System
QTF	Quality Task Force
R&R	Revise & Re-submit
RAC	Rail Activation Committee
RAMP	Real Estate Acquisition and Relocation Management Plan
RCMP	Risk and Contingency Management Plan
RCP	Reinforced Concrete Pipe
RE	Resident Engineer
READ	Real Estate Acquisition Database
RFC	Request for Change
RFI	Requests for Information
RFID	Requests for Interface Data
RFMP	Rail Fleet Management Plan
RFP	Request for Proposals
RFQ	Request for Qualifications
ROC	Rail Operations Center
ROD	Record of Decision
ROE	Right of Entry
ROW	Right-of-Way
RR	Risk Register
RSD	Revenue Service Date
RTM	Requirements Traceability Matrix
RTSA	Regional Transit Stabilization Agreement
S1	Segment 1
SAIS	Supplemental Archaeological Inventory Survey
SCADA	Supervisory Control and Data Acquisition
SCAP	Stream Channel Alteration Permit
SCC	Standard Cost Category
SHPD	State Historic Preservation Division
SIC	Sandwich Isle Communications
SIT	System Integration Testing
SLAN	Station Local Area Network
SOG	Slab on Grade
SOI	Secretary of the Interior
SOW	Scope of Work
SP	Special Provisions
SQP	Supplemental Quality Plan
SSC	Safety Security Certification
SSCP	Safety and Security Certification Plan
SSCWG	Safety and Security Certification Working Group
SSI	Sensitive Security Information
SSMP	Safety and Security Management Plan
SSRC	Safety and Security Review Committee
SSSP	Site Safety Security Plan
STCC	Spec/Testing Conform Checklists
SWPPP	Storm Water Pollution Prevention Plan
T&M	Time and Material
TCCR	Train Control and Communications Room
TCP	Traffic Control Plan
TCS	Train Control System
TES	Traction Electrification System
TIGER	Transportation Investment Generating Economic Recovery
TOC	The Outdoor Circle
TOD	Transit-Oriented Development
TPO	Thermoplastic Olefin

TPSS	Traction Power Sub-Station
TSA	Transportation Security Administration
TSI	Transportation Safety Institute
TVA	Threat & Vulnerability Assessments
TVM	Ticket Vending Machine
TWF	Train Wash Facility
UCA	Utility Construction Agreement
UFRCRA	Utility Facilities Relocation and Cost Reimbursement Agreement
UH	University of Hawai‘i
UHWO	University of Hawai‘i West O‘ahu
UL	Underwriters Laboratories
UPS	Uninterrupted Power Supply
VRCS	Voice Radio Communication System
USACE	U.S. Army Corps of Engineers
USDOT	U.S. Department of Transportation
VE	Value Engineering
VRCS	Voice Radio Communication System
VRF	Variable Refrigerant Flow
WA	Work Area
WHS	Waipahu High School
WL	West Loch
WOEDA	West Oahu Economic Development Association
WOFH	West O‘ahu/Farrington Highway
WOSG	West O‘ahu Station Group
WSS	West Side Stations
WSSG	West Side Station Group
WTB	Wheel Truing Building
WYL	West Yard Lead
YCB	Yard Control Bungalow
YOE	Year of Expenditure

PROJECT MAP
LEGEND
HRTP Guideway
HRTP Station
Park and Ride Access Ramps
Park and Ride
Maintenance and Storage Facility (MSF)
Pearl Highlands
Leeward Community College
Waipahu Transit Center
Pearlridge
West Loch
Aloha Stadium
Ho'opili
UH West O'ahu
Pearl Harbor Naval Base
East Kapolei
Middle Street Transit Center
Honolulu International Airport
Lagoon Drive
Kalihi
Kapalama
Iwilei
Chinatown
Downtown
Civic Center
Kaka'ako
Ala Moana Center
PACIFIC OCEAN

PROGRESS REPORT SUMMARY OF CHANGES

The following is a brief summary of changes that have occurred from the previous month's report. For more information and detail, please refer to the respective pages in the report.

Project Contingency

- The current contingency balance has decreased. Please see pages 15-16.

Project Funding

- The Section 5309 New Starts Revenue amount received has increased. Please see pages 17-18.
- The total amount of cash received has increased. Please see pages 17-18.

Project Revenue and Costs

- The ending cash balance amount has decreased. Please see page 19.

Contracts in Procurement

- HART entered into a contract for Section 106 Programmatic Agreement Project Manager (Kākoʻo "II"). Please see page 25.
- HART awarded the Design-Bid-Build contract for Kamehameha Highway Stations Group construction and a protest was filed. Please see page 25.
- The City Center Guideway and Stations (CCGS) Design-Build RFP Part 2 issuance date has been extended. Please see page 25.
- Procurements for the Dillingham Utilities and Roadway Design-Bid-Build Contract, UH West Oʻahu Temporary Park and Ride and UH West Oʻahu Campus Road "B" Design-Bid-Build Contract, and Pearl Highlands Garage, Transit Center and Ramp H2R1 Design-Build Contract are under evaluation. Please see page 25.

Contract Status

- Core Systems Contract (CSC)
  - An Earned Value percentage for the contract has been included, and the percentages for Project-Wide and Passenger Vehicle completion were removed. Please see page 27.

- Fare Collection System
  - The full roll out on rail date has shifted to a later date. Please see page 32.

- West Oʻahu Farrington Highway Guideway (WOFH)
  - The current contract value has increased. Please see page 33.

- Maintenance and Storage Facility (MSF)
  - The current contract value has increased. Please see page 41.

- Kamehameha Highway Guideway (KHG)
  - The current contract value has increased. Please see page 45.

- City Center Section Guideway and Utilities
  - The current contract value has increased. Please see page 61.

Risk Management

- The total number of risks in the risk register has decreased. Please see pages 97-100 and 125.
- The City Center Guideway and City Center Stations Group risks were combined in the risk register. Please see pages 97-100 and 125.

Staffing

- The total actual number of employees has increased. Please see page 103.

Appendix D. Procurement and Contract Status

- The dates for the City Center Guideway and Stations contract, Kamehameha Highway Stations Group Construction contract, and the Dillingham Utilities and Roadway contract are under evaluation, and have been changed to TBD. Please see page 120.

Appendix H. Project Organization Chart

- The organization chart has been updated to reflect personnel changes. There are no major structural changes to the current chart. Please see page 126.

1 EXECUTIVE SUMMARY

KEY ACTIVITIES THIS MONTH

Project Overview

The Honolulu Authority for Rapid Transportation (HART) is steadily making progress on the construction of the Honolulu rail system. Crews have completed approximately 275 columns and have stressed more than 225 spans for the West O'ahu Farrington Highway and Kamehameha Highway Guideway contracts. At the Maintenance and Storage Facility site, work on the facility is nearing 90% completion. In Pittsburg, CA, passenger vehicle crews continued installation work on the first four carshells at the final assembly facility. Meanwhile, the fifth and sixth carshells are in transit to the final assembly facility.

HART Launches Shopping Shuttle

HART launched its new "Shop, Dine & Shuttle" program, which is designed to support local businesses along Kamehameha Highway in Pearl City and Aiea that are impacted by construction.

The free circular shuttle program features two vehicles, including an open-air trolley and a mini-bus, to take area residents and visitors to approximately a dozen shopping destinations along Kamehameha Highway.

The "Shop, Dine & Shuttle" program is presented by HART and its transportation partners, which include Move Oahu Forward and E Noa Tours. For more information on the program, please visit www.ShopAndDineOnTheLine.com.

Cost:

Project Costs Summary Through Nov. 27, 2015		
	Current Budget ($M)	Incurred To Date ($M)
Project Budget	$4,460.4	$1,833.9
Project Contingency	$488.2	$0.5
Finance Charges*	$173.1	$0.0
TOTAL	**$5,121.7**	**$1,834.4**

* $173.1 million represents the project debt financing costs that are federally eligible. The total estimated debt financing costs of the project is $215 million, per the FFGA Financial Plan.

Schedule:

Project Progress* Through Nov. 27, 2015				
	Actual		Early Plan	Late Plan
Overall Project Progress	41.8%		69.2%	61.0%
Overall Construction Progress	33.7%		62.6%	53.4%
Overall Design Progress	87.4%		99.6%	98.2%
Overall Utilities Progress	39.7%		85.6%	73.0%

*All progress charts reflect early program expectations regarding the type of contract, timing of award, design, and execution of the nine western stations, eastern guideway and stations, and utilities work. These contracts have been repackaged and rescheduled to later dates and once the overall schedule is rebaselined, the cost curves will be revised to reflect the contract approved dates at that time.

HART presented the status of the program budget and schedule to the Board of Directors at the October and November monthly meetings. Forecasts indicated an increase to project costs and a completion in 2021.

Overview:

Core Systems Contract (CSC)

The CSC contractor is continuing to progress through Final Design. Qualification and design verification tests are ongoing. Construction interface with the MSF contractor (KKJV) is ongoing. AHJV is on site and has finalized the Yard Control Bungalow (YCB) roof structures. Installation of lighting fixtures and HVAC units are ongoing at the Yard Control Bungalow. AHJV completed the fire detection wiring at the MSF MOW building and is finalizing the wiring operation at the MSF OSB building. Installation activities are ongoing for the first four passenger vehicle carshells. (See Section 4.1.A for details)

Elevators and Escalators Manufacture-Install-Maintain Contract

The Elevator/Escalator contractor has completed final design for the WOSG, FHSG and KHSG stations. The contractors for FHSG and WOSG must provide an acceptable schedule in order for the manufacturing of the equipment to be released. Bid opening for the KHSG contract occurred in November, and NTP is planned for January 2016. (See Section 4.1.B for details)

West O‘ahu Farrington Highway (WOFH) Contract

HART and Kiewit Infrastructure West Company (KIWC) continue to work together to ensure that quality and safety are the highest priorities. KIWC submitted a revised baseline schedule dated October 2014 which is progressed monthly and submitted with the progress payment in accordance with the WOFH contractual requirement. The most recent progress schedule, through November 2015, reflects a nearly six month delay to the contractual substantial completion date specific to the LCC portables, parking lot, and access structure construction work activities. This schedule has not yet been accepted by HART and is under review. HART continues to monitor KIWC production rates as it relates to potential schedule impacts, and both parties continue to work together to mitigate the impacts to the critical path activities associated with the LCC construction work. A revised baseline schedule was submitted via contract Request for Change (RFC) by KIWC in August 2015 and it is anticipated that a Contract Change Order will be required to accept the revised baseline schedule and updated substantial completion date. (See Section 4.2.A for details)

Maintenance and Storage Facility (MSF) Contract

The contractor is continuing with preparation for rail car delivery anticipated in spring of 2016. The turnover of Phase 2 Storage Tracks to CSC is complete. Coordinating with the abutting WOFH mainline contractor continues for completion of site access in the east and west yards, including rail, vehicular access, and utility interconnection. Building finishes and mechanical, electrical and plumbing installations are continuing for the Operations and Servicing Building (OSB), Maintenance of Way (MOW) and Wheel Truing Building (WTB). Structural steel erection is complete for the Train Wash Facility (TWF). Installation of rail is continuing for the tracks heading toward the Train Wash Facility. Subballast and ballast installation is ongoing for the West Yard and East Yard Lead tracks. (See Section 4.2.D for details)

Kamehameha Highway Guideway (KHG) Contract

HART and Kiewit Infrastructure West Company (KIWC) continue to work together to ensure that quality and safety are the highest priorities. Per KIWC’s progress schedule, as submitted with the application for payment, the contract is twelve months behind schedule, which includes the guideway structure completion in April 2017 and the remaining roadway civil work being completed by September 2017. This schedule has not yet been accepted by HART and is under review. A revised baseline schedule was submitted via contract Request for Change (RFC) by KIWC in September 2015 and it is anticipated that a Contract Change Order will be required to accept the revised baseline schedule and updated substantial completion date. (See Section 4.3.A for details)

Airport Section Utilities (ASU) Construction Contract

The Airport Section Utilities contract continues to be impacted by differing and unforeseen site conditions. In spite of these impediments, work is proceeding along Kamehameha Highway, Airport and the Nimitz Off-Ramp area. On Sept. 2, Nan was notified that work related to the telecom duct bank at Valkenburgh would be deleted from the contract. Nan continues to progress on utility relocation along Kamehameha Highway. (See Section 4.4.B for details)

2 OVERALL PROJECT PROGRESS AND FINANCIALS

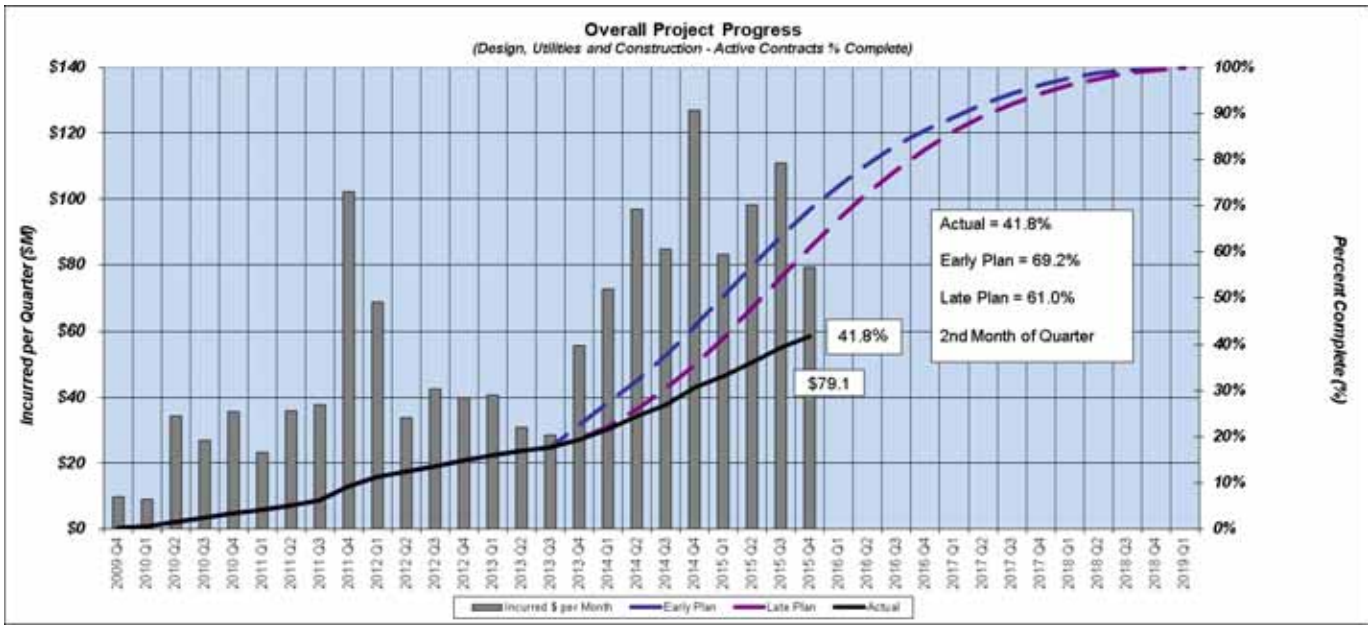
2.1 Project Progress (data as of Nov. 27, 2015)

All progress charts reflect early program expectations regarding the type of contract, timing of award, design, and execution of the nine western stations, eastern guideway and stations, and utilities work. These contracts have been repackaged and rescheduled to later dates and once the overall schedule is rebaselined, the cost curves will be revised to reflect the contract approved dates at that time.

Note:

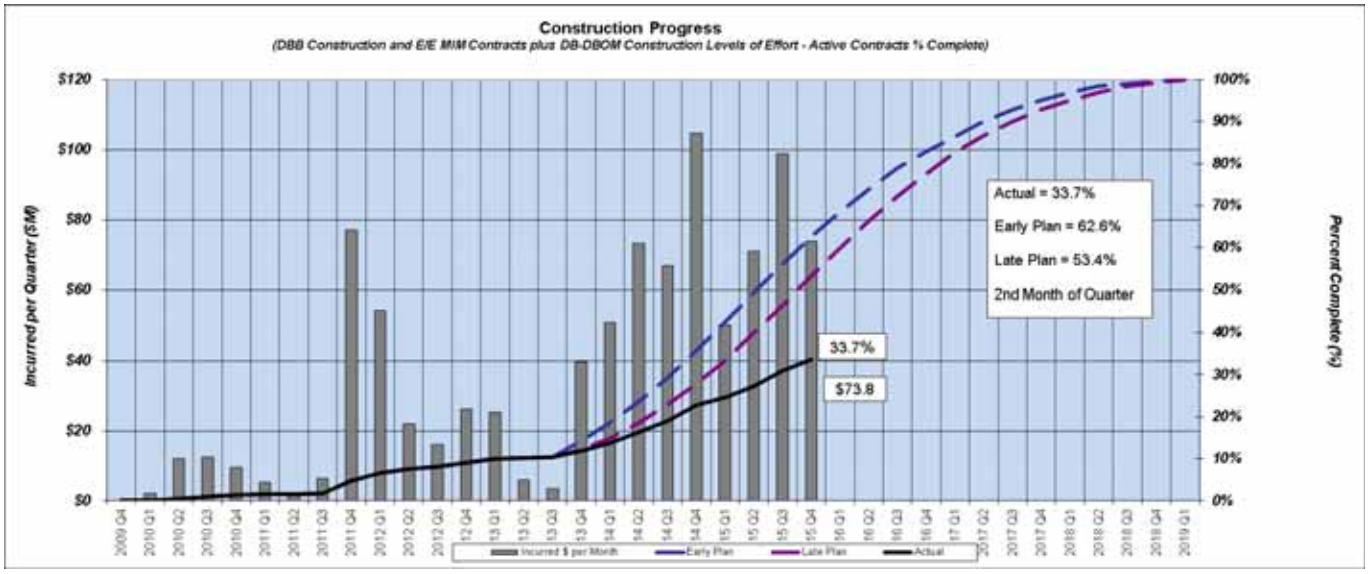
- Actual = Actual cost of work performed, based on invoiced-to-date amount.
- Early Plan = Earliest dates activities can begin and finish, based on logic and durations used in the schedule.
- Late Plan = Latest dates activities can begin and finish and not have an impact on completion date, based on logic and durations used in the schedule.

Figure 1. Overall Project Progress (% Complete)



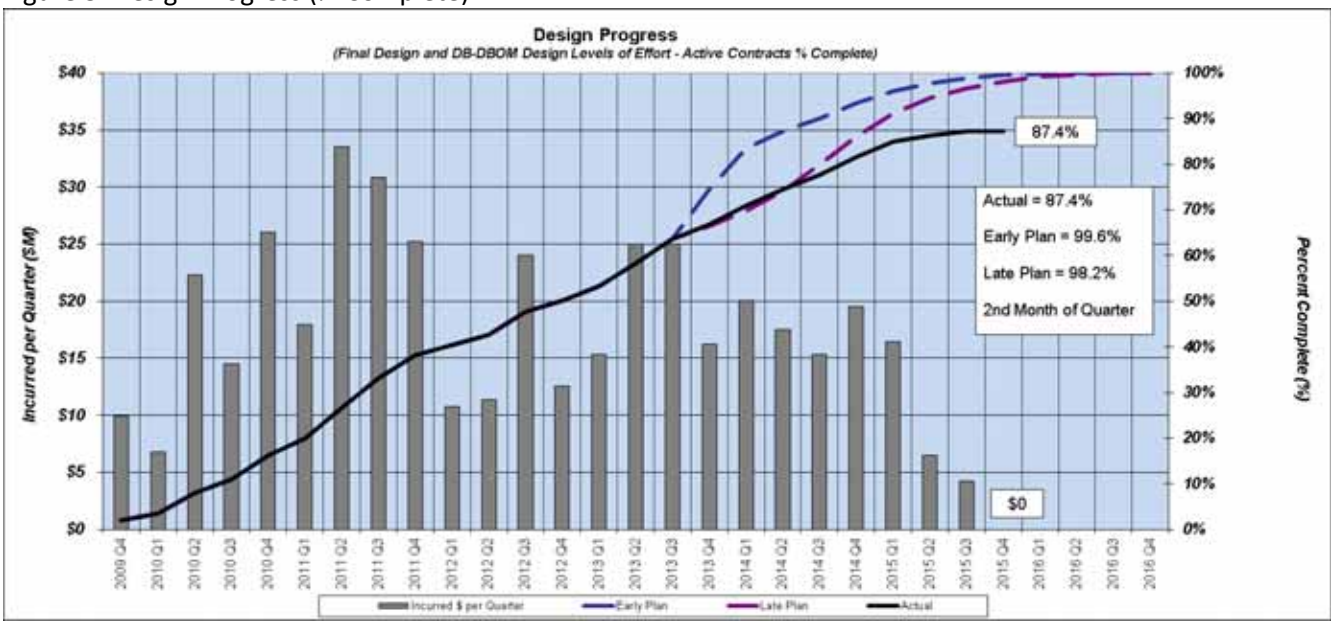
At present "overall" project progress is based on the weighted value progress of the individual construction and design contracts (Design-Build [DB], Design-Bid-Build [DBB], Design-Build-Operate-Maintain [DBOM], Elevator/Escalator Manufacture-Install-Test-Maintain [MIM], Final Design [FD] and DB-DBOM design levels of effort), not including City or non-design consultant labor. Overall Project Progress reflects all project elements as budgeted.

Figure 2. Construction Progress (% Complete)



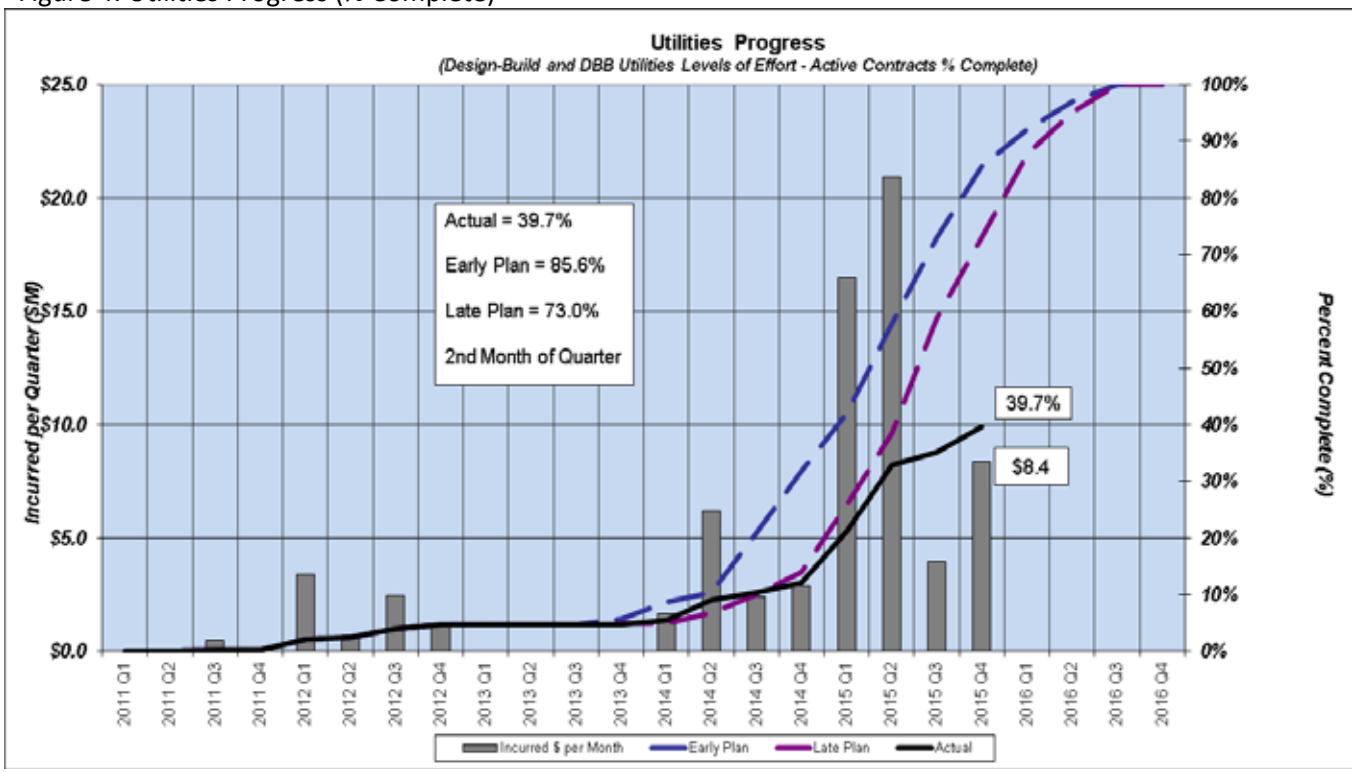
Overall construction progress is based on the weighted average progress of the individual DBB and E/E MIM construction contracts and the DB-DBOM construction levels of effort, not including consultant construction engineering and inspection (CE&I) services.

Figure 3. Design Progress (% Complete)



Overall design progress is based on the weighted average progress of the individual FD contracts and the design levels of effort of the DB and DBOM construction contracts, not including City or non-design consultant labor.

Figure 4. Utilities Progress (% Complete)



Overall utilities progress is based on the weighted average progress of the DB and DBB utilities levels of effort.

2.2 Project Budget (data as of Nov. 27, 2015)

Total Incurred Cost = $1,834.4M
(previous report = $1,773.2M)

- FFGA Project Budget = **$5,121.7M**
  - Current Project Budget - $4,460.4M
  - Current Project Contingency - $488.2M
  - Project Finance Charges - $173.1M

- HART presented the status of the program budget and schedule to the Board of Directors at the October and November monthly meetings. Forecasts indicated an increase to project costs and a completion in 2021.

- Total Incurred Cost = **$1,834.4M** (41.1% of current project budget)
  - November 2015 Incurred Cost = $61M

2.3 Project Contingency (data as of Nov. 27, 2015)

Note: Contingency management and cost contingency details, including a breakdown of Project contingency drawdowns, are discussed in further detail in Appendix B.

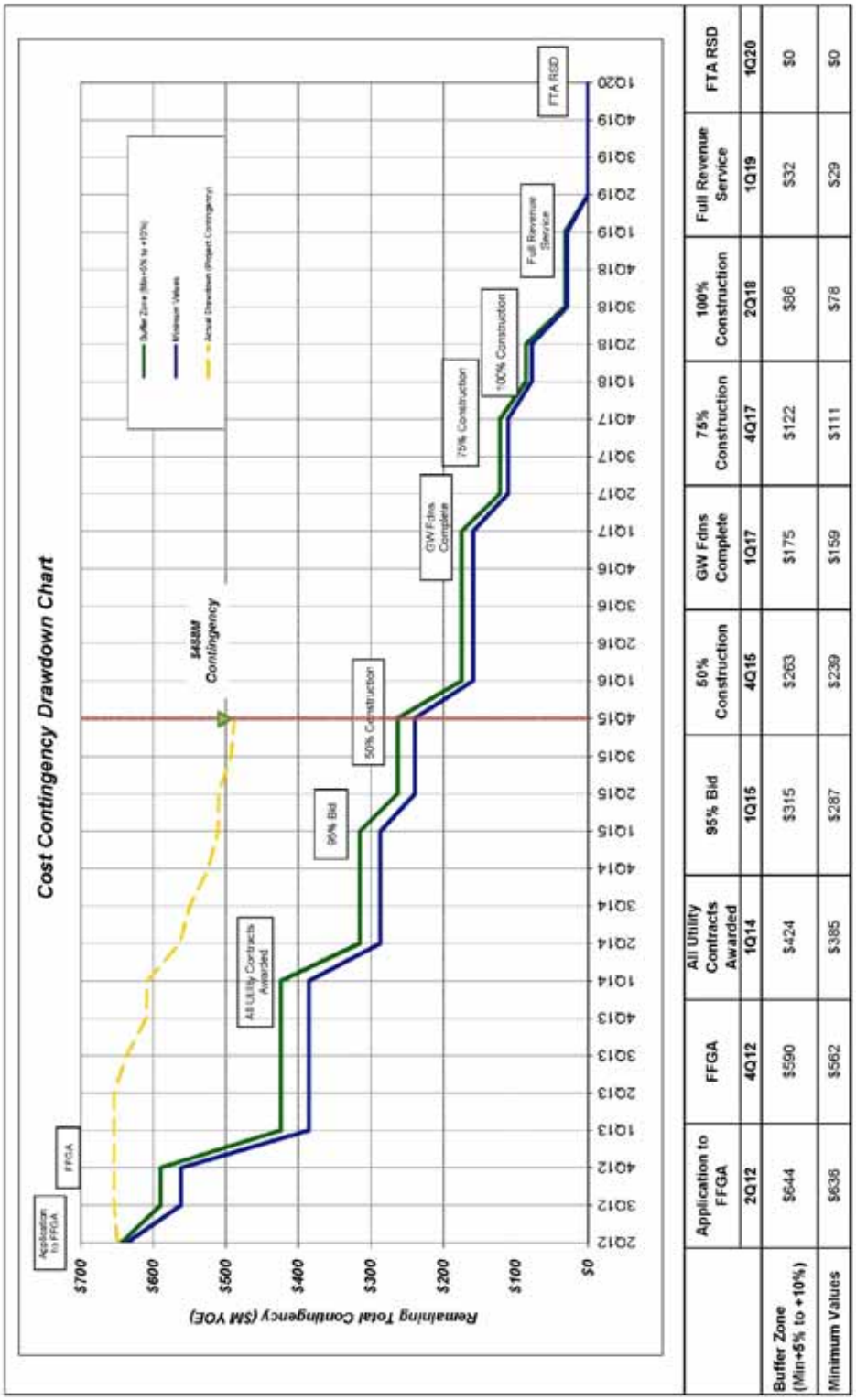
Current Contingency Balance = $488.2M
(previous report = $489.0M)

- Current Project Contingency Balance = **$488.2M**
  - Contingency drawdown to date – $155.4M (24% of baseline project contingency budget)
  - $0.8M contingency drawdown during November 2015. Please see Appendix B for more details.

Figure 5. Project Contingency Budget

Project Contingency Budget		
Contingency	**SCC Code**	**Budget ($M)**
Unallocated Contingency	90.01	$101.9
Allocated Contingency	90.02	$540.1
Allowances	90.03	$1.6
Baseline FFGA Project Contingency Budget	***90.01 - 90.03***	***$643.6***
Contingency drawdown through September 2015 Report	90.01 - 90.03	($150.7)
Contingency drawdown October 2015 Report	90.01 - 90.03	($0.1)
Contingency drawdown November 2015 Report	90.01 - 90.03	($3.8)
Contingency drawdown December 2015 Report	90.01 - 90.03	($0.8)
Contingency drawdown to date	90.01 - 90.03	($155.4)
Current FFGA Project Contingency	***90.01 - 90.03***	***$488.2***

Figure 6. Draft Cost Contingency Drawdown Chart



	Application to FFGA	FFGA	All Utility Contracts Awarded	95% Bid	50% Construction	GW Fdns Complete	75% Construction	100% Construction	Full Revenue Service	FTA RSD
	2Q12	4Q12	1Q14	1Q15	4Q15	1Q17	4Q17	2Q18	1Q19	1Q20
Buffer Zone (Min+5% to +10%)	$644	$590	$424	$315	$263	$175	$122	$86	$32	$0
Minimum Values	$638	$562	$385	$287	$239	$159	$111	$78	$29	$0

Data as of 11/27/15 - Nov '15 Reporting Period

Note: Contingency management and cost contingency details, including a breakdown of Project contingency drawdowns, are discussed in further detail in Appendix B.

2.4 Project Funding (data as of Nov. 27, 2015)

Figure 7. Planned vs. Received Project Funding

Planned vs. Received Project Funding				
Funding Source	*Pre-FFGA Project*[1]	FFGA Project Period		Total Project
	2007 - 2009 Actuals Received	Planned[2] ($YOE M)	2009 - Present Actuals Received	2007 - Present Actuals Received
	[A]		[B]	[C] = A +B
Beginning Project Cash Balance[3]	*0*	**298**	298	**n/a**
Interest Income on Cash Balance	*7*	**3**	2	**9**
FTA Section 5309 New Starts Revenue[4]	*0*	**1,550**	473	**473**
FTA Section 5307 Formula Funds	*0*	**210**	0	**0**
ARRA Funds	*0*	**4**	4	**4**
Net General Excise Tax (GET) Surcharge revenues FY2010-FY2023	*378*	**3,291**	1208	**1,586**
Total	***385***	**5,356**	**1,985**	**2,072**

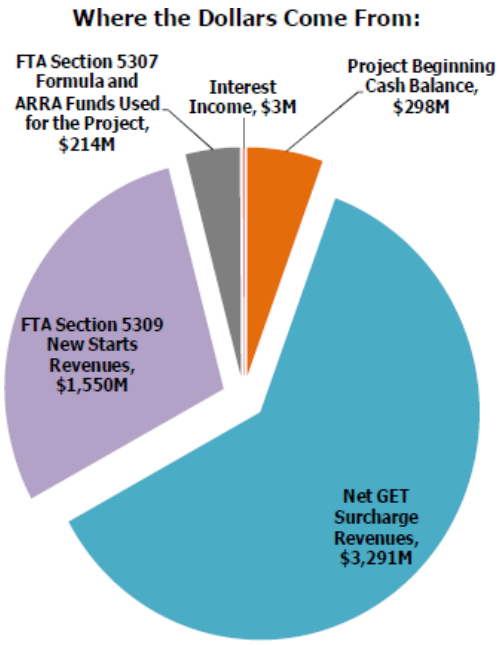
[1] GET and Interest Income received during Pre-Preliminary Engineering (pre-PE) phase prior to entry into PE

[2] FFGA Financial Plan, Table A-1 *Capital Plan Cash Flows*.

[3] Beginning Project Cash Balance at Entry into Preliminary Engineering (PE) on October 16, 2009 (the FFGA Project start date) = Pre-PE GET, investment and miscellaneous income minus pre-PE expenditures. The $298 million is included in the Pre-FFGA actual amounts received between 2007-2009 of $378 million.

[4] New Starts Funds Obligated Through Federal Fiscal Year 2014 Totals $806.3 Million

Figure 8. Project Funding Sources (YOE $M)



Source: FFGA Financial Plan, p. 2-1

- General Excise Tax (GET) Surcharge (data as of Nov. 27, 2015)
  - $1,208M = amount received since the Project's entry into FTA's Preliminary Engineering phase of project development.
    - $1,239M = Projected Net GET Surcharge Revenue for FYs 2010-2Q 2016, as stated in FFGA Financial Plan (Table A-1 *Capital Plan Cash Flows*)
    - GET receipts are currently running 2.5% short of projections to date, or $31M behind.
    - $31M shortfall is approximately 0.9% of the total GET surcharge projections per the FFGA Financial Plan of $3.291B.
  - $0 = GET surcharge received in November 2015.

Total Cash Received Since PE = $1,985M
(previous report = $1,959M)

GET Received Since PE = $1,208M
(previous report = $1,208M)

GET Received Since 2007 = $1,586M
(previous report = $1,586M)

- Full Funding Grant Agreement (FFGA)
  - $25.4M = New Starts drawdown received in November 2015.

- The §5307 funds for the Project, per the Financial Plan, are $210M.

- HART presented the status of the program budget and schedule to the Board of Directors at the October and November monthly meetings. Forecasts indicated an increase to project costs and a completion in 2021. The financial plan is currently being updated.

Figure 9. New Starts Drawdown by Federal Fiscal Year (data date as of Nov. 27, 2015, per the FTA TEAM website)

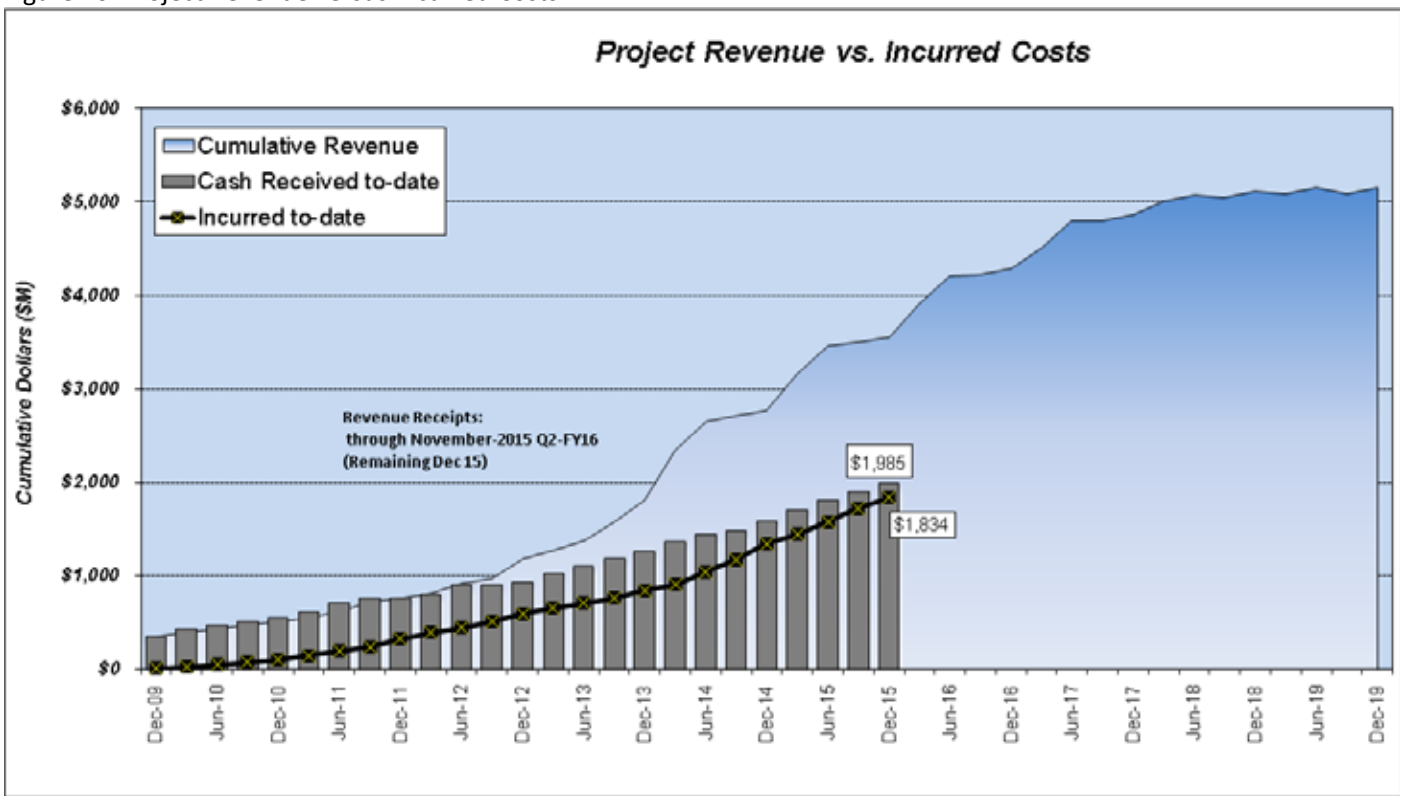
New Starts Grant Information by Federal Fiscal Year (Amounts in italics are pending)				
Federal Fiscal Year Allocation	FTA Obligated Amounts	Actual Drawdown Amounts to Date	Available Balance	FFGA Base Case Cash flow
2008	$15,190,000	$15,190,000	$0	
2009	$19,800,000	$19,800,000	$0	
2010	$30,000,000	$30,000,000	$0	
2011	$55,000,000	$55,000,000	$0	$20,607,242
2012	$200,000,000	$200,000,000	$0	$99,382,758
2013	$236,277,358	$152,519,166	$83,758,192	$258,280,277
2014	$250,000,000	$0	$250,000,000	$441,719,724
2015 (pending award of grant)	*$250,000,000*	$0	*$250,000,000*	$250,000,000
2016 (pending appropriation and award of grant)	*$250,000,000*	$0	*$250,000,000*	$250,000,000
2017 (pending appropriation and award of grant)	*$243,732,642*	$0	*$243,732,642*	$230,010,000
Total	**$1,550,000,000**	**$472,509,166**	**$1,077,490,834**	**$1,550,000,000**

2.5 Project Revenue and Costs

(data as of Nov. 27, 2015)

Ending Cash Balance 11/30/15 = $230.2M
(previous report = $265.5M)

Figure 10. Project Revenue versus Incurred Costs



Planned Funding levels as per the June 2012 FFGA Finance Plan
Data date for Revenue & Incurred Cost =Nov. 27, 2015

Figure 11. Cash Balance Summary

NOVEMBER 2015 CASH BALANCE SUMMARY		
	NOVEMBER	FY16 YTD Cumulative
Beginning Cash Balance 11/01/15	265,535,057	293,010,823
Expenditures:		
Operating Expenditures	(949,155)	(5,163,411)
Capital Expenditures	(59,950,595)	(235,993,611)
Expenditures Total:	(60,899,750)	(241,157,021)
Receipts:		
GET Surcharge	0	117,151,246
FTA Drawdown	25,499,487	61,002,535
Interest	27,522	87,727
Other (rental, refunds, copy fees, etc.)	12,900	79,907
Receipts Total:	25,539,909	178,321,414
Ending Cash Balance 11/30/15	**230,175,216**	**230,175,216**

Note: Project Cost Reports can be found in Appendix C.

3 SCHEDULE

(data as of Nov. 27, 2015)

OVERVIEW

- HART presented the status of the program budget and schedule to the Board of Directors at the October and November monthly meetings. Forecasts indicated an increase to project costs and a completion in 2021.

- The Master Program Summary Schedule reflects currently approved schedule end dates for contracts that have been awarded, and planned dates for future contracts. The schedules in the Contract Status section (Section 4) reflect current contractor forecast end dates for contracts that have been awarded. The Pearl Highlands Garage, Transit Center and Ramp H2R1 Design-Build Contract schedule continues to be evaluated.

- Ramp H2R2 (DBB-385), WOSG (DBB-171) and FHSG (DBB-271) contractor schedules will be added to this report as soon as baseline schedules are accepted by HART. Until accepted contractor schedules become available, placeholder schedules spanning the contract dates are displayed in the contract sections of this report.

- HART continues to closely monitor, review and manage all active construction packages. Previously reported delays continue to be addressed by the project teams. See contract pages for further details.

KEY ISSUES

- WOFH construction contractor progress is behind approved planned schedules for the LCC station area civil and structural work.

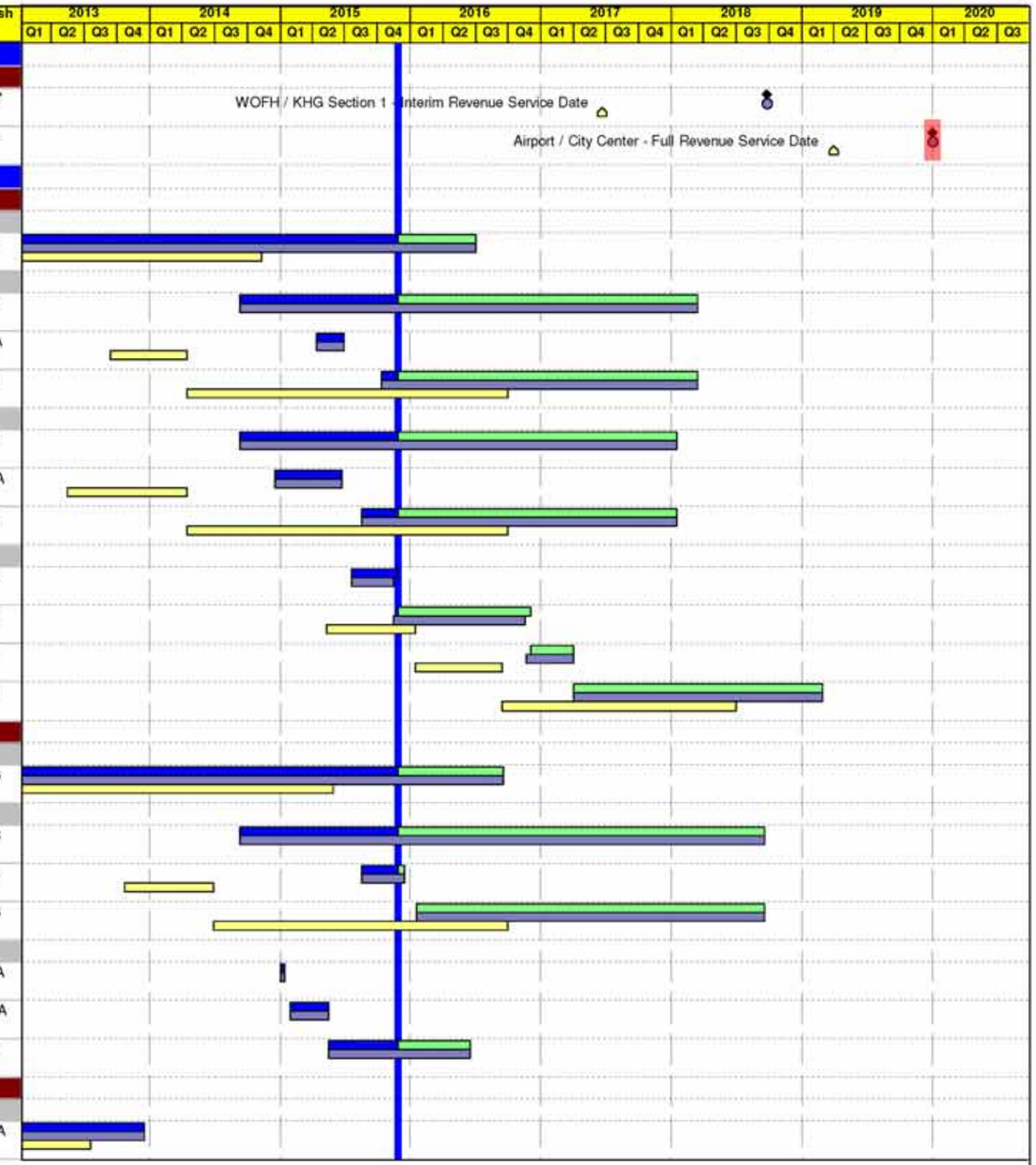
- KHG guideway construction contractor progress is behind approved planned schedules.

- Right-of-way acquisition, third-party interface and utility relocations continue to be areas of concern for program completion.

Figure 12. HRTP Master Project Schedule Summary (MPSS)

The Master Program Summary Schedule reflects currently approved schedule end dates for contracts that have been awarded, and planned dates for future contracts. It is statused against the FFGA Baseline MPS. Active contracts' end dates will not change, unless a change order is issued. For the contractors' forecasts of active contracts end dates, see Contract Status section (Section 4).

Activity ID	Activity Name	Type	Current Start	Current Finish
KEY DATA				
MILESTONES				
A1030	WOFH / KHG Section 1 - Interim Revenue Service Date	M		24-Sep-18*
A1040	Airport / City Center - Full Revenue Service Date	M		31-Dec-19
CONTRACTS - DESIGN & CONSTRUCTION				
WEST OAHU / FARRINGTON HIGHWAY (WOFH) - SECTION 1				
WOFH Guideway & Utilities				
A1050	DB-120 - WOFH Guideway - Design & Construction	DB	01-Dec-09 A	01-Jul-16
West Oahu Station Group (WOSG)				
A1430	FD-140 West Oahu Station Group - Including Design Services During Construction	D	10-Sep-14 A	13-Mar-18
A1350	West Oahu Station Group - Bid & Award	A	13-Apr-15 A	01-Jul-15 A
A1360	DBB-171 West Oahu Station Group - Construction	C	13-Oct-15 A	13-Mar-18
Farrington Hwy Station Group (FHSG)				
A1370	FD-240 Farrington Highway Station Group - Including Design Services During Construction	D	10-Sep-14 A	16-Jan-18
A1380	Farrington Highway Station Group - Bid & Award	A	19-Dec-14 A	22-Jun-15 A
A1390	DBB-271 Farrington Highway Station Group - Construction	C	17-Aug-15 A	16-Jan-18
UH West Oahu Park n Ride & Ho'opili Station Finishes				
A1090	FD-600 UH West Oahu Park and Ride Lots - Procurement	D	20-Jul-15 A	27-Nov-15
A1100	FD-600 UH West Oahu Park and Ride Lots - Design	D	27-Nov-15	01-Dec-16
A1110	UH West Oahu Park and Ride Lots - Bid & Award	A	02-Dec-16	02-Apr-17
A1120	DBB-600 UH West Oahu Park and Ride Lots - Construction	C	03-Apr-17	01-Mar-19
KAMEHAMEHA HIGHWAY (KH) - SECTION 2				
Kamehameha Highway Guideway & Utilities				
A1130	DB-320 - KHG Guideway - Design & Construction	DB	12-Jun-11 A	16-Sep-16
Kamehameha Highway Stations				
A1400	FD-340 Kamehameha Highway Station Group - Including Design Services During Construction	D	10-Sep-14 A	18-Sep-18
A1410	Kamehameha Highway Station Group - Bid & Award	A	18-Aug-15 A	14-Dec-15
A1420	DBB-371 Kamehameha Highway Station Group - Construction	C	19-Jan-16	18-Sep-18
Pearl Highlands Ramp H2R2				
A1180	FD-340 Pearl Highlands Ramp H2R2 - Redesign	D	01-Jan-15 A	14-Jan-15 A
A1440	DBB-385 Pearl Highlands Ramp H2R2 - Bid & Award	A	30-Jan-15 A	18-May-15 A
A1450	DBB-385 Pearl Highlands Ramp H2R2 - Construction	C	18-May-15 A	17-Jun-16
AIRPORT - SECTION 3				
Airport Utility Relocation				
A1190	FD-430 - Airport Utilities - Design	D	05-Jan-12 A	16-Dec-13 A



HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

FFGA Baseline
October 2015 Update
Remaining Work
Actual Work
FFGA Baseline Milestone
October 2015 Update Milestone
Milestone

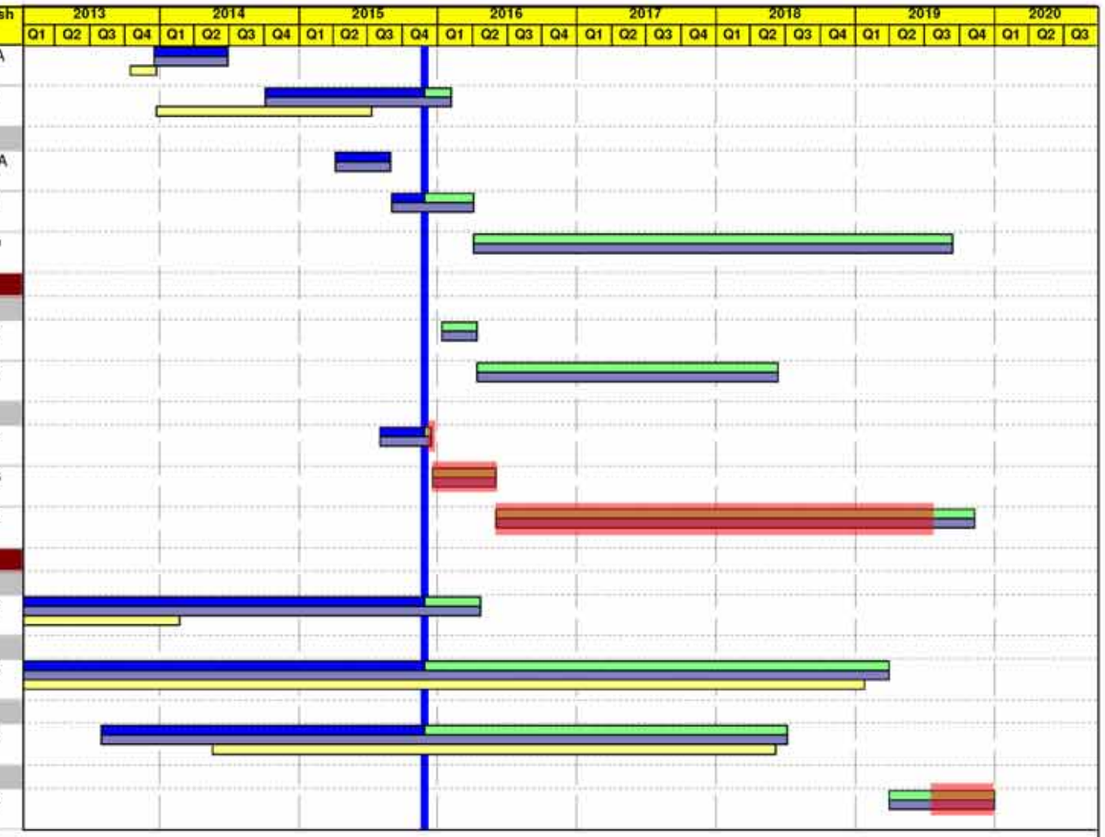
Printed: 08-Dec-15 12:38

Honolulu Rail Transit Project
November 2015 Update
As of: 27-Nov-15

Page 1 of 2

MPS Summary
Design & Construction Contracts

Activity ID	Activity Name	Type	Current Start	Current Finish
A1200	Airport Utilities - Bid & Award	A	17-Dec-13 A	30-Jun-14 A
A1210	DBB-505 - Airport Utilities - Construction	C	06-Oct-14 A	06-Feb-16
Airport Guideway & Stations				
A1480	Airport Guideway & Stations - Design Build Procurement Part 1	A	07-Apr-15 A	31-Aug-15 A
A1490	Airport Guideway & Stations - Design Build Procurement Part 2	A	01-Sep-15 A	04-Apr-16
A1500	DB-450 Airport Guideway & Stations - Design & Construction	DB	05-Apr-16	14-Sep-19
CITY CENTER (CC) - SECTION 4				
Dillingham Utilities and Road Widening				
A1510	Dillingham Utilities and Road Widening - Bid & Award	A	11-Jan-16	12-Apr-16
A1520	DBB-510 Dillingham Utilities and Road Widening - Construction	C	13-Apr-16	12-Jun-18
City Center Guideway & Stations				
A1530	City Center Guideway & Stations - Design Build Procurement Part 1	A	04-Aug-15 A	16-Dec-15
A1540	City Center Guideway & Stations - Design Build Procurement Part 2	A	17-Dec-15	31-May-16
A1550	DB-550 City Center Guideway & Stations - Construction	DB	01-Jun-16	09-Nov-19
PROJECT WIDE - ALL SECTIONS				
Maintenance & Storage Facility (MSF)				
A1320	DB-200 - MSF - Design & Construction (Design-Build)	DB	25-Jul-11 A	21-Apr-16
Core Systems				
A1330	DBOM-920 - Core Systems - Design & Construction	DB	13-Jan-12 A	31-Mar-19
Elevators & Escalators				
A1340	MI-930 - Elevators and Escalators - Design, Manufacture, Install, & Test	DB	02-Aug-13 A	05-Jul-18
Final Testing and Commissioning				
A1560	Final Testing and Commissioning	DB	01-Apr-19	31-Dec-19



Program Critical Path

HART
HONOLULU AUTHORITY for RAPID TRANSPORTATION

FFGA Baseline
October 2015 Update
Remaining Work
Actual Work
FFGA Baseline Milestone
October 2015 Update Milestone
Milestone

Printed: 08-Dec-15 12:38

Honolulu Rail Transit Project
November 2015 Update
As of: 27-Nov-15

Page 2 of 2

MPS Summary
Design & Construction Contracts

4 CONTRACT STATUS

Core Systems Contract (Section 4.1.A)

OVERVIEW

- Vehicle Aluminum Carshell Manufacturing continues to move forward in Reggio Calabria, Italy. The fifth and sixth carshells are in transit to Pittsburg, California.
- Final Assembly of Train 1 continues to ramp up with cabling, raceway, and equipment installation work.
- Progressing with sub-system testing and design verification activities.
- Yard Control Bungalow construction is ongoing – Installation of lighting fixtures and HVAC units continues.
- Traction Power Cable installation continues; pre-drilling of contact rail is underway for termination of traction power cable in the storage area of the MSF.

KEY ISSUES

- Revisions to the station and guideway Construction Access Milestone (CAM) dates might affect substantial completion of the Core Systems Contractor's work. HART and the CSC will evaluate the full extent of potential impact once we have clarity of the expected CAM dates. This issue is being addressed in CSC RFCR # 18.
- Vehicle Production and Testing is an ongoing monitored risk. Final Assembly of the first train is experiencing delays due to equipment availability. One of the critical elements is the Truck Frame and Bolster assembly production being impacted by subcontractor learning curve. HART and CSC are addressing existing issues and will continue to work together to identify and respond to issues as they arise.

Fare Collection System (Section 4.1.C)

OVERVIEW

- Fare Systems Technical Consultant Contract awarded to CH2M Hill on Sept. 24, 2015, for a term of five years.
- Proposals for the Fare Systems Contract were received on Nov. 13, 2015 and a Priority Offerors List of the top three Offerors was developed. Best and Final Offer (BAFO) discussions are anticipated in early January, with BAFO submission at the end of January 2016. Award is anticipated in February 2016.

KEY ISSUES

- Completing legal review of Memorandum of Understanding (MOU) for Operations and Maintenance (O&M) cost sharing between HART and the City.
- Determining the best value proposal for HART and the City for the Fare System.

West O'ahu Farrington Highway Guideway (Section 4.2.A)

OVERVIEW

- Leeward Community College (LCC) Portables, Parking Lot and Station Access Structure Change Order – HART and KIWC have discussed an agreement on the scope and costs associated with the LCC Portables, Parking Lot and Station Access changes. Currently, the change order for this work is in the HART Board Approval process. KIWC has unilaterally halted all LCC construction work activities until the LCC Parking Lot, Portables and Access Structure Construction Change Order is executed by HART. HART continues to have on-going internal meetings to resolve the issues.
- Balanced Cantilever System (BCS) Form Advancement – BCS construction is progressing and all pier tables are complete. Segment casting and stressing is proceeding in both eastward and westward directions from Pier256. All segments for Pier Table 253, 254 and 255 have been completed.
- Span by Span Advancement – Heading #2 at Waipahu High School, Work Area 4, is currently progressing westbound. Eastbound spans have erected by West Loch Station and are proceeding towards Waipahu Transit Center Station. Heading #3 has assembled all spans to the eastern end of the alignment and is transitioned to the KHG project.

KEY ISSUES

- LCC Portables, Parking Lot and Station Access Structure Change Order (for additional detail, see 4.2.A Key Issues)
- Construction Production/Baseline Schedule (for additional detail, see 4.2.A Key Issues)
- Night Noise Variance (for additional detail, see 4.2.A Key Issues)
- Intersection Closure for Span by Span (for additional detail, see 4.2.A Key Issues)
- Design Completion Schedule (for additional detail, see 4.2.A Key Issues)
- Closeout and Coordination (for additional detail, see 4.2.A Key Issues)

Maintenance and Storage Facility (Section 4.2.D)

OVERVIEW

- Power distribution is complete within the Maintenance of Way (MOW), and ongoing at the Operations and Servicing Building (OSB) and Wheel Truing Building (WTB).
- The contractor completed structural steel at the Train Wash Facility (TWF) and commenced with roofing.
- Traction power, signal, and train control conduit installation continues in the yard.
- Installation of rail is continuing for the tracks heading toward the Train Wash Facility and MOW as well as the East Yard Lead and West Yard Lead tracks.
- HVAC installation is complete for the MOW, and continuing at the OSB and WTB.

KEY ISSUES

- Coordination with the abutting WOFH main line contract for completion of site access in the east and west yards, including rail, vehicular access and utility interconnection.
- Preparation for the receipt of rail car delivery is underway including completion of an unloading area on the maintenance track adjacent to the OSB.
- Orderly completion of traction power, train control and building services raceways for turnover to Core Systems Contractor.
- Establish telephone service, as necessary, for building occupancy (elevator and fire alarm).

Kamehameha Highway Guideway (Section 4.3.A)

OVERVIEW

- Construction of Drilled Shafts – KIWC currently has 2 drill spreads working on KHG. Over 49% of the KHG shafts have been completed and drilled shafts are being constructed ahead of the planned production rates in the September 2015 Schedule, which KIWC has submitted with an RFC to revise the contract substantial completion date.
- Utility Relocation – Relocation of utility pole 51 at TMK 9-8-008-029 is pending finalization of the ROE with the property owners and utility companies.
- HDOT Betterments – KIWC has been issued RFCRs to incorporate HDOT's betterments into the design and construction. HART has received the cost proposal for RFCR 30 (Replace CMP with RCP), has finalized the ICE, received HDOT concurrence, and is waiting for NSM approval for negotiation. HART has negotiated the cost for RFCR 32 (Traffic Signals), which is currently in the HART approval and execution process. The remainder of the betterment RFCR is still pending receipt of cost proposals from KIWC.
- Balanced Cantilever System (BCS) – KIWC continues working on Columns 307 up and down station east of the H-1 overpass and has started pier table construction at pier 306 this month.
- Span-by-span – KIWC began span-by-span erection this month at Span 266, which is between WOFH shaft 266 and KHG shaft 267.

KEY ISSUES

- Night Noise Variance (for additional detail, see 4.3.A Key Issues)
- HDOT Betterments (for additional detail, see 4.3.A Key Issues)
- Third Party Utility Impacts (for additional detail, see 4.3.A Key Issues)
- KIWC Resource Allocations (for additional detail, see 4.3.A Key Issues)
- Maintenance of Traffic (MOT) Approvals (for additional detail, see 4.3.A Key Issues)

Airport Section Utilities (ASU) (Section 4.4.B)

OVERVIEW

- The contractual Substantial Completion milestone for ASU is Feb. 6, 2016, and was intended to ensure completion of this work prior to the contractor for the Airport guideway beginning construction. Delays, in particular the Navy right of entry issue, have extended the projected ASU milestone date to August/September 2016. However, the Airport Segment Guideway and Stations contract has also been delayed and will not be in construction prior to the forecast completion of the ASU contract. Finalizing the descoped work at Valkenburgh could lessen the delay.

KEY ISSUES

- Resolving ongoing change including delay claims.
- Nan's Noise Mitigation Plan was returned with comments.

Contracts in Procurement

OVERVIEW

- Awarded Contracts:
  - HART entered into a contract with Honua Consulting on Dec. 8, 2015 for Section 106 Programmatic Agreement Project Manager (Kākoʻo "II").
  - On Dec. 22, 2015, HART awarded the Design-Bid-Build contract for the Kamehameha Highway Stations Group construction contract to Nan, Inc., in the amount of $115,805,845.

- Active Procurements:
  - Art-in-Transit: HART is in negotiations with the highest-ranked artist for each of the stations.
  - Airport Guideway and Stations Design-Build RFP: HART is on schedule with the Part 2 solicitation timeline.
  - City Center Guideway and Stations (CCGS) Design-Build RFP: The Qualifications proposals were received on Nov. 18, 2015. The RFP Part 2 issuance date has been extended to Feb. 2, 2016.
  - The Fare Systems Contract RFP: Proposals were received on Nov. 13, 2015. A determination on the priority-listed offerors was made on Dec. 17, 2015, which allowed HART to enter into discussions with the priority-listed offerors.
  - Independent Financial Auditor "II" Contract RFP: Proposals were received on Dec. 1, 2015 and are currently under evaluation.

- Upcoming Procurements:
  - Procurements for the Dillingham Utilities and Roadway Design-Bid-Build Contract, UH West Oʻahu Temporary Park and Ride and UH West Oʻahu Campus Road "B" Design-Bid-Build Contract, and Pearl Highlands Garage, Transit Center and Ramp H2R1 Design-Build Contract are under evaluation.

KEY ISSUES

- Kamehameha Highway Stations Group Construction Contract: The bid submitted by the apparent low bidder, Watts Constructors LLC ("Watts"), was determined to be non-responsive. FTA Headquarters denied Watts' request to correct its deficient Buy America certificates. (The FTA also determined that based on the information provided by Watts that Watts, as the general contractor, could not certify compliance with Buy America.) On Dec. 30, 2015, a protest was filed by Watts, which effectively placed a stay on the award of the contract. HART is currently reviewing the protest and, upon completion, will issue its determination.

4.1 System-wide

A. Core Systems Contract (CSC)

Contract No.: DBOM-920
DBOM Contractor: Ansaldo Honolulu Joint Venture (AHJV)
Contract Start Date: January 2012
Contract Substantial Completion: March 2019
Projected Substantial Completion: December 2019

Project Description: Providing rail passenger vehicles, automated train control system, traction electrification system (TES), communication systems, passenger platform screen gates (PSGs), and operation and maintenance of the Project.

Project Overview: The CSC contractor is continuing to progress through Final Design. Qualification and design verification tests are ongoing. Construction interface with the MSF contractor (KKJV) is ongoing. AHJV is on site and has finalized the Yard Control Bungalow (YCB) roof structures. Installation of lighting fixtures and HVAC units are ongoing at the YCB. AHJV completed the fire detection wiring at the MSF MOW building and is finalizing the wiring operation at the MSF OSB building. Installation activities are ongoing for the first four passenger vehicle carshells.

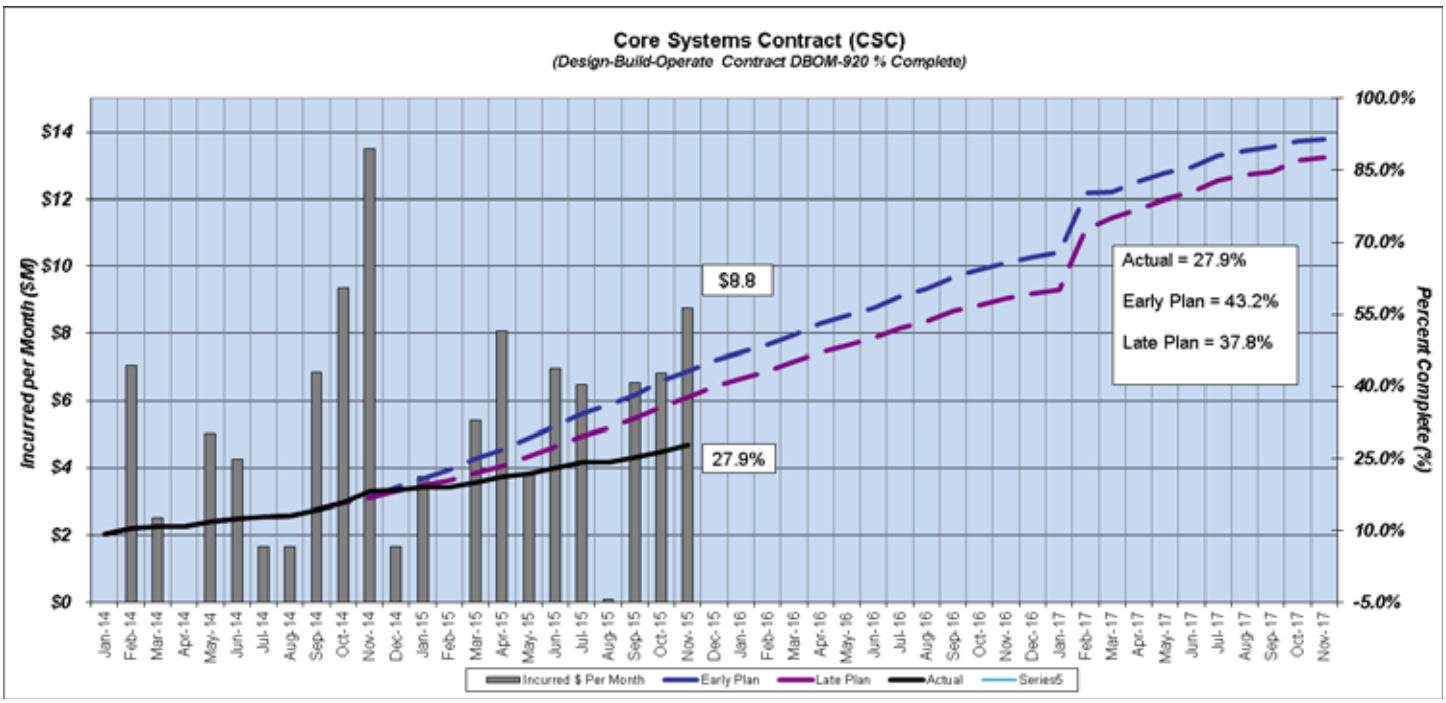
COST INFORMATION:

Original Contract:	$573,782,793	Incurred-to-Date:	$165,783,508
Current Contract Value[1]:	$598,563,687	Incurred in November:	$8,778,249

[1]*Current Contract Value = Original contract value (excluding contingency and $823.6M O&M budget) + executed Change Orders*

Disadvantaged Business Enterprise (DBE) Participation	
Actual DBE Participation:	$129,165
DBE % Attained:	0.029%

November Change Orders		
Change No.	Description	Amount ($)
None	---	---
	Cumulative to Date	$24,780,894



The progress chart reflects early program expectations. When the overall schedule is rebaselined and Construction Access Milestone dates are revised, the cost curve will be revised.

SCHEDULE:

	Interim Design Submitted Documents	Final Design Submitted Documents	Target Completion Date
Passenger Vehicles	100%	74%	1st Q 2016
Communications	100%	44%	1st Q 2016
ATC/SCADA	88%	94%	1st Q 2016
TES	100%	100%	Completed
Fire Detection	100%	56%	1st Q 2016
PSG, UPS, MOW, YCB	N/A	78%	1st Q 2016

CRITICAL PATH SUMMARY:

- Continue to oversee construction activities with the MSF contractor, the CSC installation subcontractor and the On-Call Contractor.
- Passenger Vehicle crews continued installation work on the first four carshells at the final assembly facility in Pittsburg, CA. This work is being monitored closely.
- Due to the modified CAM dates, the equipment installation at Pearl Highlands and Pearlridge Stations is driving the critical path.

WORK PROGRESS:

Activities this Month:

Earned Value: 27.7% [(Total Achieved to November 2015 ($157 million) + Projected December 2015 Period ($8.8 million))/Total Contract Including Executed Change Orders ($599 million)].

Design:

- ATC/SCADA – Documents Received: 9, Documents Returned: 13.
- Communications – Documents Received: 12, Documents Returned: 10.
- Traction Power – Documents Received: 14, Documents Returned: 13.
- Fire Detection – Documents Received: 1, Documents Returned: 1.
- Platform Screen Gates – Documents Received: 7, Returned: 6.
- Passenger Vehicles – Documents Received: 0, Documents Returned: 12.

Manufacturing:

- Performed manufacturing oversight work at Hitachi Rail factories. (For additional details, please see the Vehicle Carshell Progress Tracker in Appendix E.)
- Performed final assembly oversight work at Pittsburg, CA. Equipment installation work on the first train is ongoing.
- Performed Truck Frame and Bolster Production oversight at Hitachi Rail Italy (HRI) supplier, DRS, in West Plains, Missouri.

Look Ahead:

Design:

- Completion of ATC/SCADA Final Design for Segment 1.

Manufacturing:

- Passenger Vehicle Manufacturing – Continue carshell assembly for the first ten carshells (first three trains).
- Continue installation of cable bundles, raceways, windows and vehicle equipment of the first train.

Testing:

- Traction Power – Design Verification of TPSS Temperature Rise – Fontana, CA (January 2016).
- Traction Power – Pre-shipment Inspection and Test Leeward Community College Gap Breaker Station (GBS) – Fontana, CA (February 2016).
- Communication Systems – Pre-Shipping Inspection and Test for Passenger Information System – Plano, TX (February 2016).
- Communication Systems - Pre-Shipping Inspection and Test for On-Board Systems – Plano, TX (January 2016).

Activities this Month (continued):

Testing:

- Witnessed Train Control System – Pre-Shipping Inspection and Test for LCC Station SCADA Hardware in Batesburg, South Carolina.
- Witnessed Train Control Systems – Pre-Shipping Inspection and Test for Waipahu Station SCADA Hardware in Batesburg, South Carolina.
- Witnessed Train Control Systems – Pre-Shipping Inspection and Test for West Loch Station SCADA Hardware in Batesburg, South Carolina.
- Train Control Systems – Pre-Shipping Inspection and Test for Hoʻopili Station Train Control Communications Room (TCCR) Equipment in Batesburg, SC.
- Traction Power – Pre-Shipping Inspection and Test East Kapolei TPSS in Fontana, CA.

MSF:

- Yard conduit installation: On-Call Contractor installation of yard conduit extensions is ongoing.
- Yard Control Bungalow - Installation of lighting and HVAC unit are ongoing. Fire Detection Alarm System (FDAS) cable wiring is underway.
- AHJV continues walk through activities with KKJV for shared access for the Wheel Truing Building (WTB), Operations and Servicing Building (OSB) and Maintenance of Way (MOW) building.
- TES Cable Installation is completed at the MSF Traction Power Sub-Station.
- TES feeder cable installation is completed in storage track area.
- Construction of foundations for the Closed Circuit Television Cameras poles at the MSF perimeter is ongoing.
- Started foundation work for 16 Communication Interface Cabinets (CIC) in the yard.

Look Ahead (continued):

- Communication Systems - Design Verification of Integrated Network Management System (INMS) – Plano, TX (January 2016).
- Communication Systems - Design Verification of Integrated Communications Control System (ICCS) – Levane, Arezzo (Italy) (February 2016).
- Communication Systems - Pre-Shipping Inspection and Test for Integrated Communications Control System (ICCS) – Rieti, Italy (March 2016).
- Communication System- Pre-Shipping Inspection and Test for Telephone System – Plano TX, (January 2016).
- Communication System - Pre-Shipping Inspection and Test for Voice Radio Communication System (VRCS) – Plano TX, (February 2016).

MSF:

- Installation of Traction Power cabling in Storage Track and OSB feeder track areas.
- Construction of the foundations and conduits for Communication Interface Cabinets at the MSF Yard.
- Installation of Train Control and COMMs cables in the track areas will begin in January 2016.
- Construction of Communication Interface Cabinet foundations in the yard and CCTV poles at the MSF perimeter.
- Pulling COMMs cables in the OSB and MOW.

KEY ISSUES:

- Revisions to the station and guideway Construction Access Milestone (CAM) dates might affect substantial completion of the Core Systems Contractor's work. HART and the CSC will evaluate the full extent of potential impact once we have clarity of the expected CAM dates. This issue is being addressed in RFCR # 18.
- Vehicle Production and Testing is an ongoing monitored risk. HART and CSC identified and are responding to challenges with final assembly of the first train. A critical element to the challenges is the Truck Frame and Bolster assembly production which is impacted by subcontractor learning curve. HART and CSC are addressing the issues and will continue to work together to identify and respond to issues as they arise.

QUALITY MANAGEMENT:

- Overall quality of the contract is good.

Design Verifications & System Testing		
Subsystem	Test Completed	Date Completed
PASSENGER VEHICLES	First Article Inspection Test for Wheel Axle Set in Philadelphia, Pennsylvania.	Dec. 15, 2015
TRACTION ELECTRIFICATION	Pre-Shipping Inspection and Test for East Kapolei Station TPSS in Fontana, California.	Dec. 11, 2015
TRAIN CONTROL	Pre-Shipping Inspection and Test for LCC, Waipahu, and West Loch Station SCADA Hardware in Batesburg, South Carolina.	Dec. 9, 2015
TRAIN CONTROL	Pre-Shipping Inspection and Test for Hoʻopili Station Train Control Communications Room Equipment – Batesburg, South Carolina.	Nov. 23, 2015

Passenger Vehicle - Oversight		
Facility	Activity	Date Completed
Pittsburg, CA	On-site inspector in place to oversee and report on Hitachi Rail Final Assembly activities. Equipment installation work is ongoing on the first train. Fifth and sixth carshells are in transit to the Final Assembly Facility.	Ongoing

CSC NCR Log			
	TOTAL	CLOSED	OPEN
AHJV & Subs	24	23	1
Hitachi Rail	308	232	76
TOTAL	**332**	**255**	**77**

- Hitachi Rail Italy had previously generated NCRs for each aluminum carshell element with manufacturing issues found during carshell production; primarily at the subassembly supplier (CMC). Corrective actions have been taken for future production, and adjustments are being made to current assembled parts.

PROJECT PICTURES:

Installation of contact rail coverboard at the MSF Yard.

Installing HVAC unit at the Yard Control Bungalow.

Roof installation of Car E2 at Hitachi Rail USA, Inc. Final Assembly Site in Pittsburg, CA.

B. Elevators and Escalators Manufacture-Install-Maintain (MIM)

Contract No.: MI-930
Contractor: Schindler Elevator Corporation
Contract Start Date: August 2013
Contract Substantial Completion: May 2018
Projected Substantial Completion: The May 2018 completion date will change to a later date predicated on the award of the DB contracts for the east portion of the guideway. The Airport Guideway and Stations DB contract is on schedule with the Part 2 solicitation timeline. The City Center Guideway and Stations DB contract part 2 issuance date has been extended to February 2016.

Project Description: Furnish / install / test / maintain all elevator and escalator equipment located at the 21 stations.

Project Overview: The release to begin manufacturing of the FHSG and WOSG equipment will be scheduled once an approved construction schedule with the respective contractors has been completed.

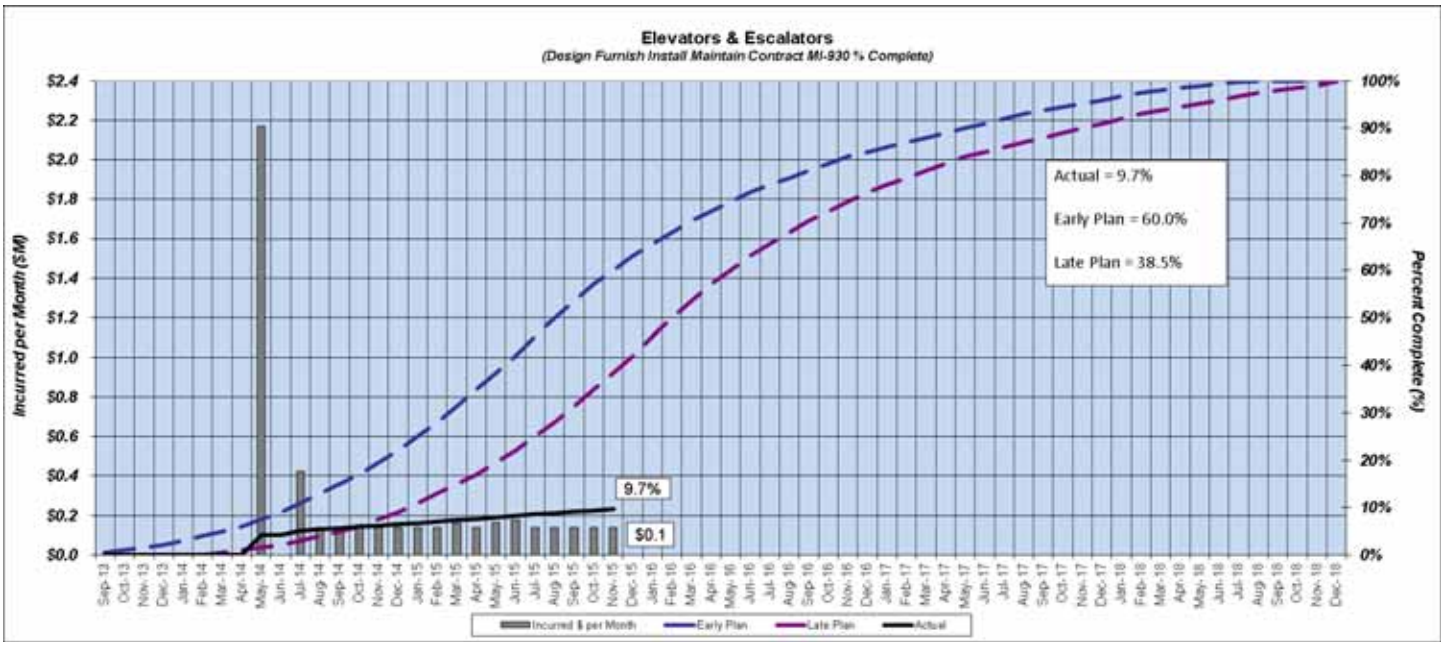
COST INFORMATION:

Original Contract: $50,982,714	Incurred-to-Date: $4,925,631
Current Contract Value[1]: $50,982,714	Incurred in November: $140,824

[1]*Current Contract Value = Original contract value (not including contingency) with Design Allowance + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$0
DBE % Attained:	0%

November Change Orders		
Change No.	Description	Amount ($)
None	---	---
	Cumulative to Date	**$0**

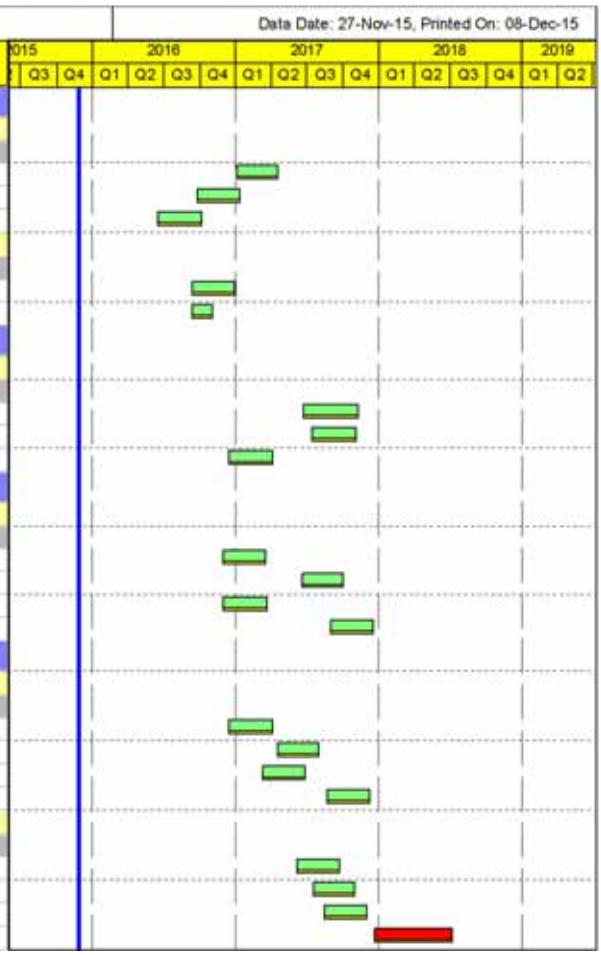


The progress chart reflects early program expectations. When the overall schedule is rebaselined and Construction Access Milestone dates are revised, the cost curve will be revised.

SCHEDULE:

November 2015 Update — Data Date: 27-Nov-15, Printed On: 08-Dec-15

Activity Name	Start	Finish
W. Oahu/Farrington Highway (WOFH) - Section 1	16-Jun-16	17-Apr-17
W. Oahu Station Group	16-Jun-16	17-Apr-17
Construction - W. Oahu Station Group	16-Jun-16	17-Apr-17
East Kapolei Station E&E Installation	04-Jan-17	17-Apr-17
UH West Oahu Station E&E Installation	26-Sep-16	09-Jan-17
Ho'opili Station E&E Installation	16-Jun-16	03-Oct-16
Farrington Highway Station Group	12-Sep-16	26-Dec-16
Construction - Farrington Highway Station Group	12-Sep-16	26-Dec-16
West Loch Station E&E Installation	12-Sep-16	26-Dec-16
Waipahu Transit Station E&E Installation	12-Sep-16	02-Nov-16
Kamehameha Highway (KH) - Section 2	14-Dec-16	09-Nov-17
Kamehameha Highway Station Group	14-Dec-16	09-Nov-17
Construction - Kamehameha Highway Station Group	14-Dec-16	09-Nov-17
Pearl Highlands Station E&E Installation	22-Jun-17	09-Nov-17
Pearl Ridge Station E&E Installation	14-Jul-17	31-Oct-17
Aloha Stadium Station E&E Installation	14-Dec-16	02-Apr-17
Airport - Section 3	30-Nov-16	17-Dec-17
Airport Station Group	30-Nov-16	17-Dec-17
Construction - Airport Station Group	30-Nov-16	17-Dec-17
Pearl Harbor Station E&E Installation	30-Nov-16	16-Mar-17
HNL Airport Station E&E Installation	19-Jun-17	02-Oct-17
Lagoon Drive Station E&E Installation	01-Dec-16	19-Mar-17
Middle Street Station E&E Installation	31-Aug-17	17-Dec-17
City Center (CC) - Section 4	15-Dec-16	05-Jul-18
Dillingham Station Group	15-Dec-16	05-Dec-17
Construction - Dillingham Station Group	15-Dec-16	05-Dec-17
Kalihi Station E&E Installation	15-Dec-16	03-Apr-17
Kapalama Station E&E Installation	18-Apr-17	01-Aug-17
Iwilei Station E&E Installation	09-Mar-17	25-Jun-17
Chinatown Station E&E Installation	21-Aug-17	05-Dec-17
Kaka'ako Station Group	06-Jun-17	05-Jul-18
Construction - Kaka'ako Station Group	06-Jun-17	05-Jul-18
Downtown Station E&E Installation	05-Jun-17	20-Sep-17
Civic Center Station E&E Installation	18-Jul-17	30-Oct-17
Kaka'ako Station E&E Installation	15-Aug-17	30-Nov-17
Ala Moana Center Station E&E Installation	21-Dec-17	05-Jul-18



CRITICAL PATH ISSUES:

- Coordination with station contractors on construction interface milestones.
- Re-bidding of the Airport and City Center sections of guideway with stations as Design-Build contracts will impact the completion of the Elevator Escalator contract.

WORK PROGRESS:

Activities this Month:

Earned Value: 9.7%; Planned Value: 38.5%

- Final Design is approximately 40% complete, as 9 of the 21 stations are ready to be released for manufacturing once the contractor's schedules are approved.
- All draft equipment drawings for the 21 stations have been submitted for review and have been accepted.
- Design is complete on the three FHSG stations, three WOSG stations, and the three KHSG stations.

Look Ahead:

- Release for manufacturing for the Farrington Highway Station Group and the West O'ahu Station Group elevators and escalators will be scheduled once the respective contractor's schedule has been approved and issued.

KEY ISSUES:

- The release to allow manufacturing for FHSG, WOSG and KHSG will be dependent on the acceptance of an approved schedule for each of these contracts. Final completion of the equipment requirements for the four stations included in the DB contract for Airport Guideway and Stations is on hold pending contract award. The eight stations included in the City Center Guideway and Stations contract is also on hold pending contract award of the DB contract for this work.

C. Fare Collection System

Contract No.: TBD
Contractor: TBD
Contract Start Date: TBD
Contract Substantial Completion: TBD
Projected Substantial Completion: TBD

Project Description: The fare system is a joint HART and City and County of Honolulu (DTS, DIT, BFS) project that will consist of a multi-model, closed loop, account based smart card system. The Fare System Vendor will be responsible for design, manufacture, testing and installation of the entire system inclusive of hardware and software.

The rail portion of the project will consist of Ticket Vending Machines (TVMs) and fare gates at stations that accept smart cards which can also be used for payment on board TheBus and facilitate a seamless transfer between modes. Equipment and software to be used by both HART and the City and County will include the transaction processing, fare equipment monitoring, customer service systems, as well as a Data Warehouse. TheBus equipment will consist of stand-alone smart card readers on board.

Project Overview: The Fare Systems RFP was released on Aug. 11, 2015. As a result of potential Offeror requests, the deadline for proposals was again extended to Nov. 13, 2015. Best and Final Offer (BAFO) is now anticipated in early January 2016 with a recommended best value proposal selected by the evaluation team by February 2016. An MOU for capital cost sharing with the City has been executed and an MOU for Operations and Maintenance has been drafted and the technical review is complete. The document is currently with COR for legal review. A Fare Systems technical consultant contract was awarded on Sept. 24, 2015, to CH2M Hill to support design review, testing and installation. The selected DBOM contractor is anticipated to start design in April 2016.

COST INFORMATION: TBD

SCHEDULE:

- RFP released Aug. 11, 2015. Award anticipated in February 2016. System design anticipated to start in spring 2016.
- Manufacture in first quarter 2017.
- System testing for the back office functions and TheBus anticipated in second quarter 2017.
- Anticipated system pilot launch on TheBus in third quarter 2017, with full roll out on TheBus (including all central systems) in first quarter 2018.
- Interim roll out for rail in late 2018.
- Full roll out on rail in 2021.

CRITICAL PATH ISSUES:

- MOU for O&M cost sharing between HART and the City.

WORK PROGRESS:

Activities this Month:

- Review and evaluation of the proposals.
- Development of a Priority-Listed Offerors (PLO) list and questions for the top three BAFO teams.
- Additional reviews with COR on the terms of the Operations and Maintenance MOU.
- Conforming the Technical Specification for the BAFO.
- Brief the Board on the Fare System project.

Look Ahead:

- Revise, as necessary, procurement documents for BAFO and issue in the beginning of January 2016.
- Conduct BAFO interviews with PLO list.
- Review BAFO submissions.

KEY ISSUES:

- Completing legal review of MOU for O&M cost sharing between HART and the City.
- Determining the best value proposal for HART and the City for the Fare System.

4.2 Section I – West O'ahu/Farrington Highway: East Kapolei to Pearl Highlands

A. West O'ahu/Farrington Highway Guideway (WOFH)

Contract No.: DB-120
DB Contractor: Kiewit Infrastructure West Company (KIWC)
Contract Start Date: December 2009
Contract Substantial Completion: July 2016
Projected Substantial Completion: December 2016

Project Description: Design and construction of 6.8 miles of rail alignment, starting at the East Kapolei Station and ending at the Pearl Highlands Station.

Project Overview: In December, progress continues for utilities, dilled shafts, columns, segment casting, and span stressing. Segment erection from West Loch Station through East Kapolei Station has been completed. Headings #1 and #2 are erecting segments from West Loch Station and Waipahu High School (WHS), respectively, to progress towards Waipahu Transit Center Station. Heading #3 completed erecting segments at the eastern end of the alignment. The Project's Key Quality Issues continue to focus on segment repairs, in addition to the repairs of Span 17.

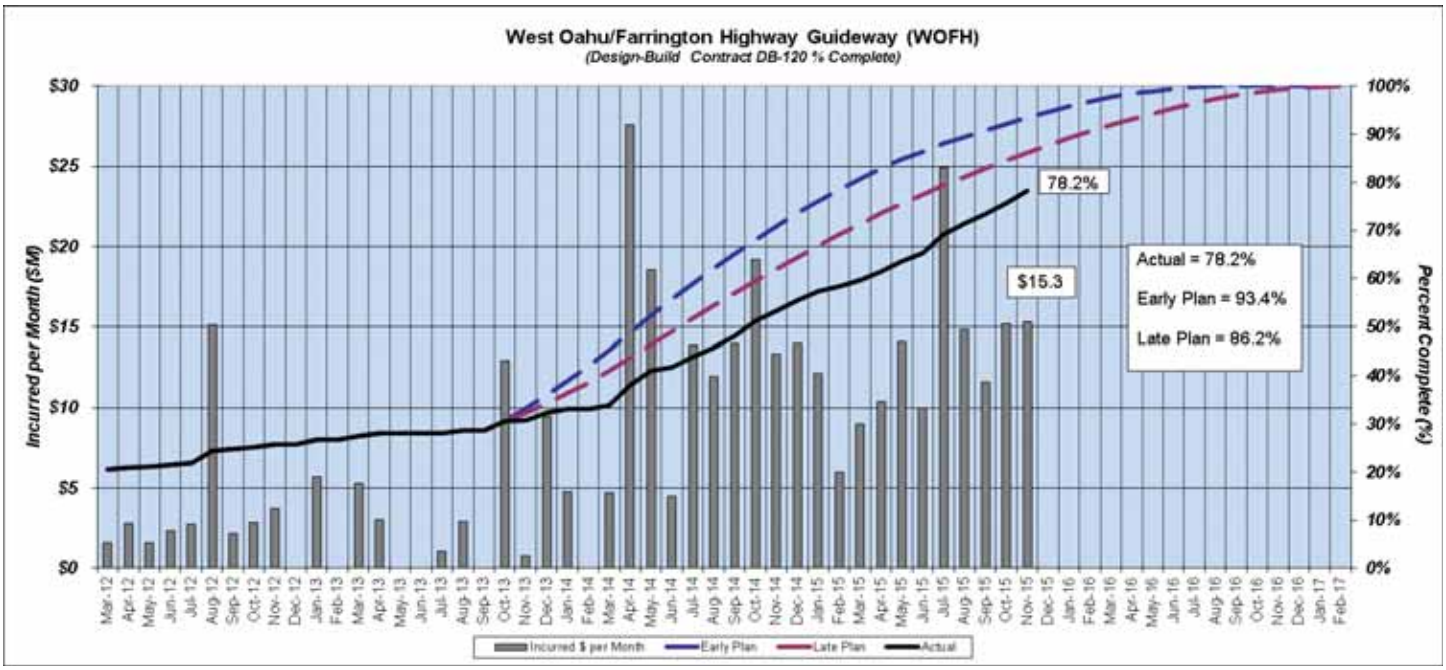
COST INFORMATION:

Original Contract:	$482,924,000	Incurred-to-Date:	$493,585,870
Current Contract Value[1]:	$631,406,384	Incurred in November:	$15,306,640

[1]*Current Contract Value = Original contract value (not including contingency) + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$6,812,966
DBE % Attained:	1.41%

November Change Orders		
Change No.	Description	Amount ($)
CCO069	Utility Relocation at Waipahu Depot Rd	$200,000
	Cumulative to Date	**$148,482,384**



In December, KIWC submitted Pay Application #74 for Releasing Retainage billing and Pay Application #75 for the November 2015 billing. They are currently being reviewed by HART. Pay Application #73 for October 2015 has been approved and closed. HART executive management has released retention for all progress above 50% completion and will proceed with releasing retainage on future pay applications.

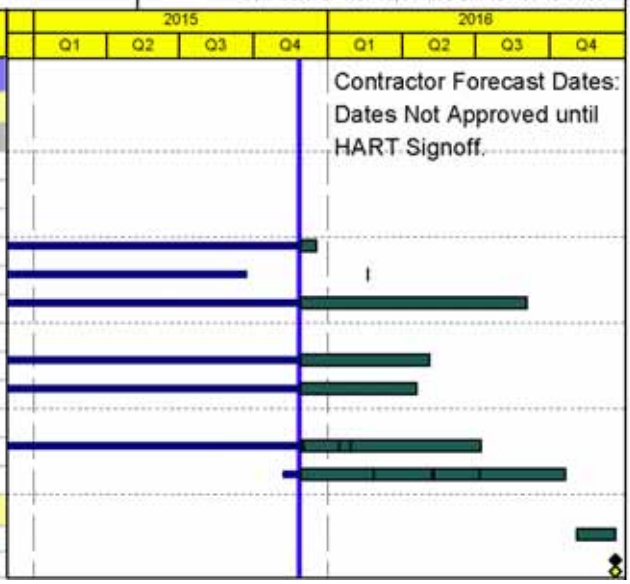
SCHEDULE:

- KIWC has notified HART that a 6 month time extension beyond substantial completion is needed due to the changes and impacts due to the lack of access to the LCC work area. KIWC has submitted a revised baseline schedule via contract Request for Change (RFC) in August 2015 and it is anticipated that a Contract Change Order will be required to accept the revised baseline schedule and updated substantial completion date. HART is currently reviewing the contract time extension request for merit as well as preparing a negotiations position, while working with KIWC to mitigate any further delays to the contract surrounding the LCC construction work activities.

  On Dec. 10, 2015, KIWC formally notified HART of a unilateral work stoppage of all LCC construction work activities, currently being performed at risk by KIWC, until the LCC Parking Lot, Portables and Access Structure Construction Change Order is executed by HART.

November 2015 Update — Data Date: 27-Nov-15, Printed On: 18-Nov-15 11:00

Activity Name	Start	Finish
Total	08-Mar-12 A	21-Dec-16
West Guideways & Structures	08-Mar-12 A	19-Oct-16
W. Oahu/Farrington Highway (WOFH) - Section 1	08-Mar-12 A	19-Oct-16
W. Oahu/Farrington Highway Guideway	08-Mar-12 A	19-Oct-16
Kiewit WOFH Summary	08-Mar-12 A	19-Oct-16
Foundations	08-Mar-12 A	02-Sep-16
Drilled Shafts	23-Apr-12 A	17-Dec-15
Columns	21-May-12 A	18-Feb-16
At Grade	08-Mar-12 A	02-Sep-16
Guideway	02-May-14 A	05-May-16
Precast Segment Erection	02-May-14 A	05-May-16
Balanced Cantilever Segments	10-Sep-14 A	18-Apr-16
Trackwork	20-Oct-14 A	19-Oct-16
Direct Fixation Trackwork	20-Oct-14 A	07-Jul-16
Third Rail	06-Nov-15 A	19-Oct-16
WOFH Project Finish Work, Demob, Punchlist	03-Nov-16	21-Dec-16
WOFH Project Finish Work, Demob, PunchList	03-Nov-16	21-Dec-16
WOFH Substantial Completion		21-Dec-16*



CRITICAL PATH ISSUES:

- The execution of the HART/UH/LCC Construction Right-of-Entry (CROE), the lead time for new modular buildings, and delays with procurement authorization change for new modular buildings have had an impact to this area of the project. KIWC proceeded in August 2015 with construction activities including all scope changes in an effort to mitigate further schedule delays. The modular buildings arrived on site in October 2015 and are in the installation phase as of December 2015. Due to the lack of contract change order for the increased scope of the construction work associated with the LCC Station, KIWC formally notified HART of a unilateral work stoppage of all LCC construction work activities.
- Work at the Balanced Cantilever System (BCS) area has slipped from the October 2014 schedule and resides near the critical path with minimal total float days available. The HART project team continues to monitor the BCS work closely.

WORK PROGRESS:

WOFH Construction Status as of 12/11/15

Utility Status	Qty to Date	Final Qty	% Complete
Water Line	8,918	9,348	95%
Sewer Line	550	570	96%
Fuel Line	340	340	100%
Gas line	1,498	1,591	94%
Drainage Line	3,525	5,166	68%
Elec/Telecom	16,689	21,374	78%
Street Lights	6,335	8,357	76%
Traffic Sig/ITS Duct bank	8,552	10,802	79%
System Sites	1,475	7,046	21%
ITS Systems Devices	821	4,121	20%

Structure Element	***Total to Date	Planned to Date		Total Qty	% Complete
		Accepted Schedule*	Revised Schedule**		
Shafts	307	309	301	309	99%
Columns	254	262	232	283	90%
Segment Casting	3,199	3,209	2,889	3,209	99%
Spans Stressed	227	231	195	274	83%

* Accepted Schedule was submitted in 2013.
** The planned values are based on KIWC's pending July schedule revision dated August 24, 2015. Revised schedule reflects a 6 month delay in completion.
*** Total quantity for the construction items has been revised to reflect the latest Issued for Construction number of shafts, columns, segments and spans.

Activities this Month:

Earned Value: 81% [(Total Achieved to November 2015 ($490.9 million) + Projected December 2015 Period ($18.5 million))/Total Contract Including Executed Change Orders ($631 million)]. Planned Value: 87.8%

Shaft/Column

- Performed drilled shaft construction, drilling, and placing of concrete for a total of 2 drill shafts. Set rebar and placed concrete for 14 columns.

Guideway Segment Erection

- Eastbound Heading #1 segments were erected from Span 189 through Span 192. Westbound Heading #2 segments were erected from Span 240 through 238. Heading #3 has completed erection to the eastern end of the alignment.

Utility Relocation

- KIWC continues to relocate third party utilities. All shaft conflict relocation has been completed on the project. Only guideway utility conflicts and traffic signals are outstanding.

Balanced Cantilever Structure

- Cast the closure segment for Pier 252. Cast the closure segment for Pier 254. Cast two segments downstream and three segments upstream at Pier 256.

Track Construction

- KIWC continues with thermite welding activities and mobilizing special tracks to the BCS Area 6. KIWC is also installing track plates and concrete plinth forms east of West Loch Station as well as continuing to lay track between Hoʻopili and West Loch station.

Precast Yard

- Precast Yard performed daily segment and sound wall casting.

KIWC/Third-Party Coordination

- HECO and KIWC continue to resolve conflicts with utility relocations.

Civil Structures

- Mechanically Stabilized Earth (MSE) Block Wall by Pier 251 continues to progress with the abutment wall poured and formwork stripped at the end of the year.

Look Ahead:

Design Progress

- KIWC continues to work toward completing final design. Additional submittals are expected to be issued for construction, pending coordination with other parties and contracts.

Shaft/Column

- Continue with column production along Farrington between Work Area 3 Phase 6 and 7 (Mukuola St.) continuing towards Work Area 3 Phase 9. Column production is proceeding from Work Area 3 Phase 9 (Kahualiʻi St.) westward.

Guideway Segment Erection

- Segment span erection will continue from Span 238 westbound towards Waipahu Transit Center, and from Span 192 eastbound along Farrington Highway to intersect Heading #2 at Waipahu Transit Center Station.

Utility Relocation

- Work to relocate the remaining wet utilities (sewer/water) and traffic signals along Farrington Highway.

Balanced Cantilever Structure

- Segments will be cast downstream and upstream for Pier 256.

Track Construction

- Align and final set of the rail will be performed by Hoʻopili Station. Welding operations will continue in the BCS area. Concrete plinth forms to be installed east of East Kapolei Station.

Precast Yard

- KIWC will continue to cast the remaining segments and continue with segment repair work.

KIWC/Third-Party Coordination

- Continue to resolve conflict construction and traffic issues with third-parties.

Civil Structures

- MSE Block Walls A, C and D will continue to progress by Pier 251.

KEY ISSUES:

- **Leeward Community College (LCC) Portables and Parking Lot Change Order** – KIWC elected to halt all construction work activities at the LCC Station area until a change order for the work in this area is executed.
- **Construction Production/Baseline Schedule** – A re-sequenced October 2014 baseline schedule was submitted to HART in December 2014, showing more realistic construction durations, which is being used to track progress against schedule of payment milestones. KIWC submitted an updated schedule in August 2015 via an RFC containing significant changes in durations, logic, as well as activity modifications, which are currently under review by HART and will be negotiated as part of the contract time extension change order.
- **Night Noise Variance** – HART was notified by the Department of Health that backhoes and excavators will no longer be allowed for nighttime work due to the contractor's improper use of equipment and receipt of complaints. HART has requested reconsideration on behalf of the contractor and is awaiting a state DOH response.
- **Intersection Closure for Span by Span** – KIWC has successfully completed span erection and post tensioning at multiple intersections, and temporary intersection closures continued through December to support span operations. KIWC and HART will continue to evaluate opportunities for minimizing full closures at intersections during span by span operations over intersections along Farrington Highway.

- **Design Completion Schedule** – As of mid-December, 127 of 134 design submittals have been accepted. Department of Transportation Services (DTS) traffic signal design packages account for a majority of the remainder of the design, which is not impacting construction.
- **Closeout and Coordination** – As the project approaches substantial completion, KIWC has begun coordination with oncoming station contractors, as well as discussions between HART and KIWC on project closeout documentation requirements.

QUALITY MANAGEMENT:

- KIWC continues to follow their established quality processes. There have not been any significant findings through quality monitoring and audits.
- **Span 17 Damage and Repair** – During the erection process of Span 17, segments 17-1, 17-2, 17-11 and 17-12 were damaged due to unbalanced support from the temporary bearings. NCR 00314 was opened to address this issue. This issue has been technically resolved and the repair is ongoing.
- **Pre-Cast Segment Progress/Quality –** 135 of the total 491 NCRs (27.5%) have been related to segmental casting issues like damaged shear keys, concrete voids, and spalls. Proper correction procedures have already been developed and are being implemented, and these issues are currently being resolved.
- **Closing Out NCRs** – Both KIWC and HART have been working together to promptly correct, validate, and close out NCR's during this period. A total of 21 NCRs have been closed since last month.
- **Maintenance of Traffic (MOT) Concerns** – HART and KIWC continue to work together through joint site meetings to ensure that the MOT is in place and in conformance with KIWC's approved plans. KIWC performed an independent audit on their MOT, and recommendations were discussed and implemented.
- **Track Construction Operations** – HART and KIWC continue to have discussions on Direct Fixation Shim Tolerances. KIWC is working to resolve outstanding technical issues on the shim tolerances.

WOFH NCR Log		
Total NCRs Issued To Date	CLOSED	OPEN
491	441	50

PROJECT PICTURES:

Concrete placement at BCS 256-1D, Work Area 7.

Concrete placement at Column 203, WA 2.

Concrete curb placement at Piers 140-144, WA 2.

Concrete placement for Walkway Spans 67 – 69, WA 1.

B. West O'ahu Station Group (WOSG)

Contract No.: DBB-171
Contractor: Nan, Inc.
Contract Start Date: October 2015
Contract Substantial Completion: March 2018
Projected Substantial Completion: TBD

Project Description: The West O'ahu Station Group Construction contract includes services to build three (3) transit stations along Kualaka'i Parkway and Farrington Highway. The stations are East Kapolei (EK), UH West O'ahu (UHWO) and Ho'opili Stations. In addition to the transit stations, operational ancillary buildings, traction power substation and adjacent areas are included in this project.

Project Overview: The contractor was issued Notice-to-Proceed (NTP) on Oct. 13, 2015.

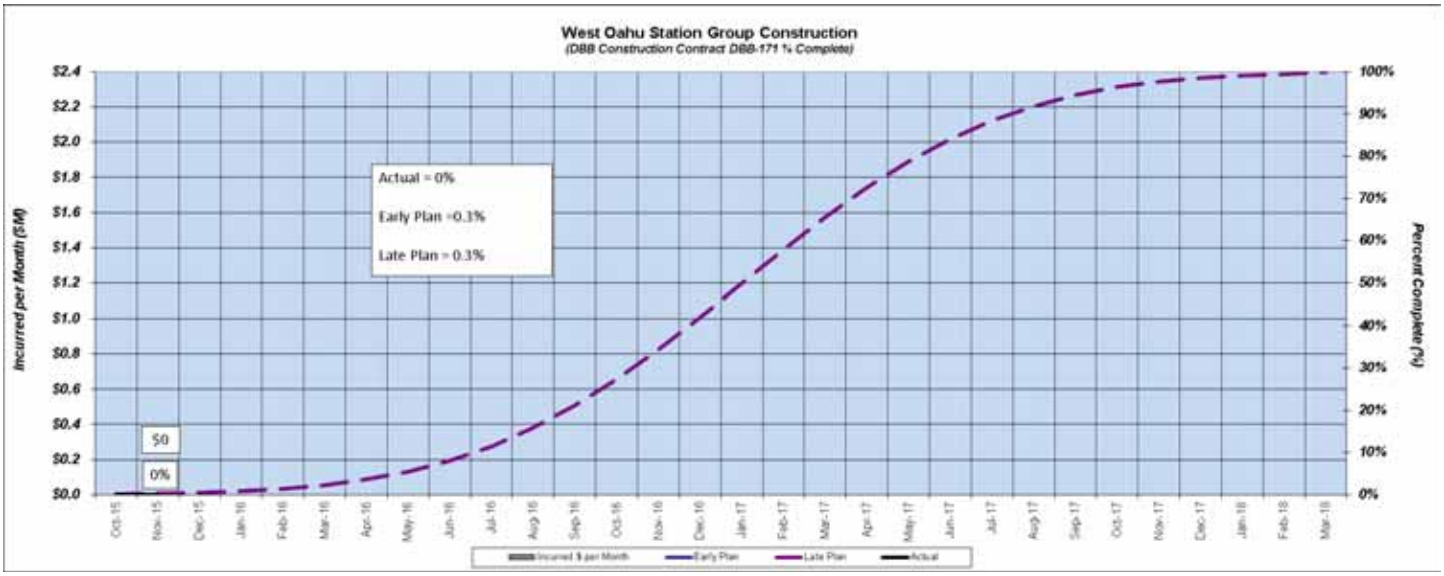
COST INFORMATION:

Original Contract:	$56,088,470	Incurred-to-Date:	$0
Current Contract Value[1]:	$56,088,470	Incurred in November:	$0

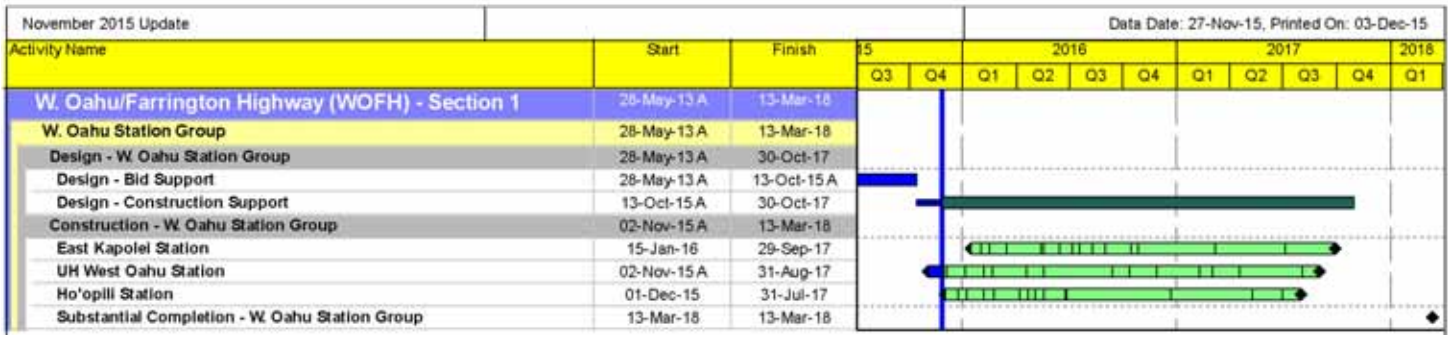
[1] *Current Contract Value = Original contract value (not including contingency) + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$0
DBE % Attained:	0%

November Change Orders/Amendments		
Change No./Amend	Description	Amount ($)
None	---	---
	Cumulative to Date	**$0**



SCHEDULE:



CRITICAL PATH ISSUES:

- Baseline Schedule approval.
- Review and approval of the contractor's administrative plans and procedures are required by the contract.

WORK PROGRESS:

Activities this Month:

Earned Value: 0%; **Planned Value:** 0%

- Draft Baseline Schedule has been submitted; revisions have been made, based on overall comments. Further review is being conducted.
- Draft plans and procedures are being submitted.
- Right of Entry documents for UH West O'ahu is with UH for signature.
- Ho'opili Right of Entry – Certificate of Insurance to be submitted to fulfill Right of Entry agreement.
- Grading Permit has been received.

Look Ahead:

- Right of Entry documents from Ho'opili and UH West O'ahu.
- Baseline Schedule approval.
- Incorporating the final conformed set into the contract document, upon receipt from design.

KEY ISSUES:

- Baseline Schedule.
- Right of Entry to UH West O'ahu and Ho'opili.

QUALITY MANAGEMENT:

WOSG NCR Log		
Total NCRs Issued To Date	CLOSED	OPEN
0	0	0

C. Farrington Highway Station Group (FHSG)

Contract No.: DBB-271
Contractor: Hawaiian Dredging Construction Company, Inc.
Contract Start Date: August 2015
Contract Substantial Completion: January 2018
Projected Substantial Completion: TBD

Project Description: The Farrington Highway Station Group construction contract includes services to build three (3) transit stations along Farrington Highway. The stations are West Loch (WL), Waipahu Transit and Leeward Community College (LCC) Station. In addition to the transit stations, operational ancillary buildings, kiss and ride lots, and parking lots servicing the West Loch and LCC stations and adjacent areas are included in this project.

Project Overview: The contractor was issued Notice-to-Proceed (NTP) on Aug. 17, 2015. Hawaiian Dredging Construction Company (HDCC) introduced one (1) Value Engineering (VE) concept– Augercast piles at the Waipahu Transit Station. HDCC has received HART's feedback regarding the concepts and intends to submit an official VE proposal to HART. HDCC is currently working on the project plans, baseline schedule and contractual submittals.

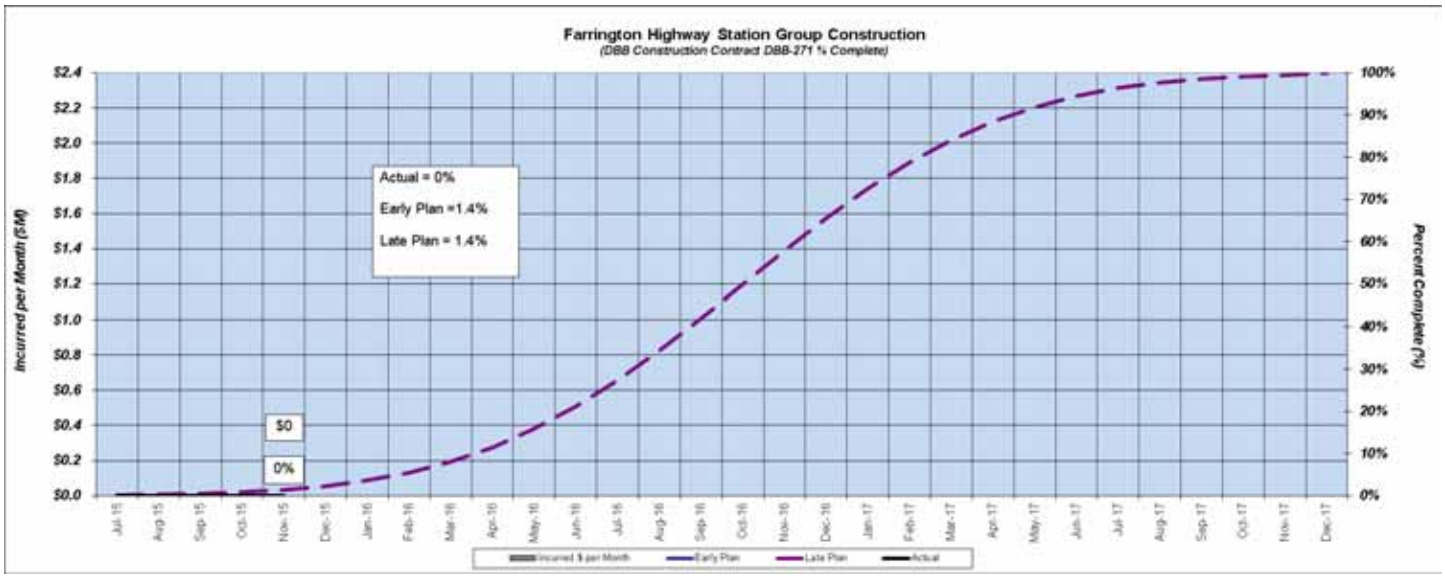
COST INFORMATION:

Original Contract:	$78,999,000	Incurred-to-Date:	$0
Current Contract Value[1]:	$78,999,000	Incurred in November:	$0

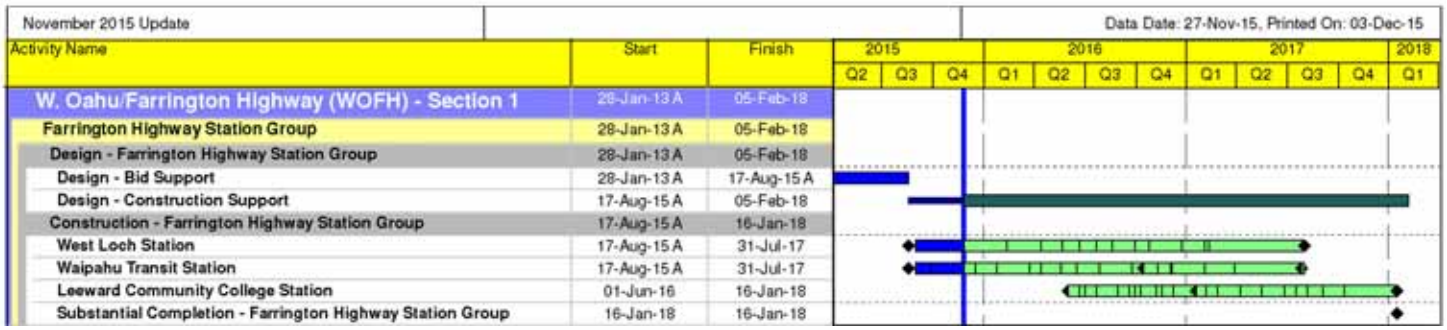
[1]*Current Contract Value = Original contract value (not including contingency) + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$0
DBE % Attained:	0%

November Change Orders/Amendments		
Change No./Amend	Description	Amount ($)
None	---	---
	Cumulative to Date	**$0**



SCHEDULE:



November 2015 Update — Data Date: 27-Nov-15, Printed On: 03-Dec-15

Activity Name	Start	Finish
W. Oahu/Farrington Highway (WOFH) - Section 1	28-Jan-13 A	05-Feb-18
Farrington Highway Station Group	28-Jan-13 A	05-Feb-18
Design - Farrington Highway Station Group	28-Jan-13 A	05-Feb-18
Design - Bid Support	28-Jan-13 A	17-Aug-15 A
Design - Construction Support	17-Aug-15 A	05-Feb-18
Construction - Farrington Highway Station Group	17-Aug-15 A	16-Jan-18
West Loch Station	17-Aug-15 A	31-Jul-17
Waipahu Transit Station	17-Aug-15 A	31-Jul-17
Leeward Community College Station	01-Jun-16	16-Jan-18
Substantial Completion - Farrington Highway Station Group	16-Jan-18	16-Jan-18

CRITICAL PATH ISSUES:

- Obtaining NPDES permit.
- Baseline Schedule approval.
- Review and approval of contractor's administrative plans and procedures as required by the contract.

WORK PROGRESS:

Activities this Month:

Earned Value: 0%; **Planned Value:** 0%

- Revised draft Baseline Schedule to be submitted; HART will review.
- HDCC's Draft Quality Assurance Plan – comments have been returned to HDCC; HDCC to resubmit.
- Submission of required contractual documents, such as resumes and personnel directory.
- HDCC has submitted a Public Involvement Manager's resume.

Look Ahead:

- Value Engineering proposals.
- Baseline Schedule approval.
- Incorporating the final conformed set into the contract document, upon receipt from design.
- Transmittal of the Issue for Construction set of plans to HDCC.
- HDCC to plan mobilization to the West Loch site in anticipation of the start of construction.
- Groundbreaking to occur in mid to late January.

KEY ISSUES:

- Transmittal of the Issue for Construction set of plans.
- Baseline Schedule.

QUALITY MANAGEMENT:

FHSG NCR Log		
Total NCRs Issued To Date	CLOSED	OPEN
0	0	0

D. Maintenance and Storage Facility (MSF)

Contract No.: DB-200
Contractor: Kiewit/Kobayashi Joint Venture (KKJV)
Contract Start Date: July 2011
Contract Substantial Completion: April 2016
Projected Substantial Completion: April 2016

Project Description: The MSF contract consists of the Operations and Servicing Building (OSB), Maintenance of Way (MOW), Train Wash Facility (TWF) and Wheel Truing Building (WTB). In addition to the four (4) facility buildings, MSF includes rail procurement, special trackwork, ties, third rail and other track material for the four guideway segments on the project.

Project Overview: MSF substantial completion is April 21, 2016. The MSF-HART team is evaluating a two week time extension requested by KKJV due to weather events to date in 2015.

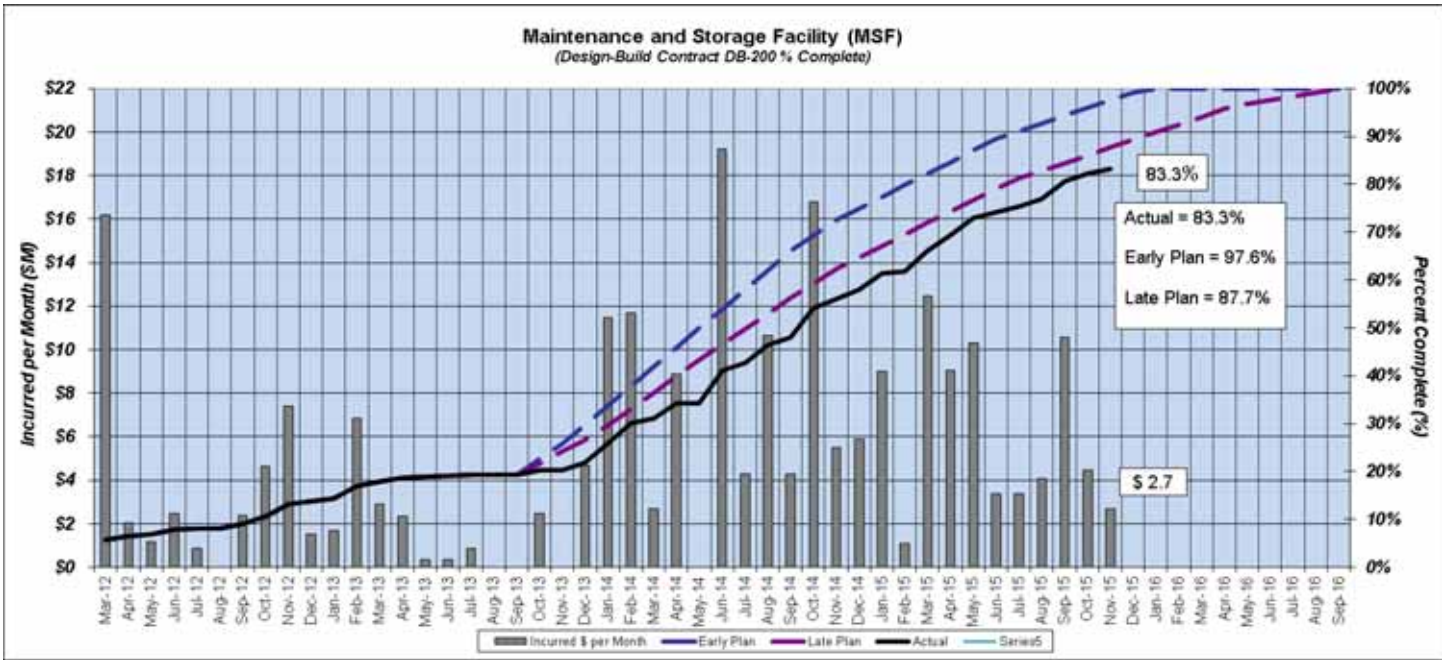
COST INFORMATION:

Original Contract: $195,258,000	Incurred-to-Date: $233,007,858
Current Contract Value[1]: $275,146,453	Incurred in November: $2,699,842

[1] *Current Contract Value = Original contract value (not including contingency) + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$388,923
DBE % Attained:	0.20%

November Change Orders		
Change No.	**Description**	**Amount ($)**
CCO 035	Flagpole, Changes to Color Scheme	$45,900
CCO 036	OSB, MOW, TWF Interior Bldg Systems Devices	$130,000
CCO 037	AIS Reconciliation Credit from CCO 0007	($785,304.32)
CCO 038	Unpaid Suspension Amounts	$271,374
CCO 39	Escalation of Additional Design Services Due to Schedule	$68,058
CCO 41	Rework of Site due to AIS	$537,653
	Cumulative to Date	**$79,888,453**



SCHEDULE:

CRITICAL PATH ISSUES:

- Scheduling work related to yard track and OSB to support program MSF completion date.
- Coordination with abutting WOFH main line contract for completion of track work in west yard, and utilities and site access in the east yard.

MSF Construction Status 86% Complete Overall as of 12/31/15	
Element	**% Complete***
OSB	93%
MOW Building	93%
WTB	97%
TWF	56%
Rail Procurement	98%

*Not including testing and commissioning.

WORK PROGRESS:

Activities this Month:

Earned Value: 85% [(Total Achieved to October ($230 million) + Projected November 2015 Period ($3.6 million))/Total Contract Including Executed Change Orders ($275 million)]. Planned Value: 90%

Yard/Utilities

- Installing conduit for systems, communications, train control, traction power, site electrical and exterior lighting.
- Yard lighting installation continues.
- Track drain, subballast, and ballast installation at East Yard Lead and West Yard Lead.
- Installation of fire pump foundation is complete.
- Paving for Driveway B and Driveway C commenced.

Operations and Servicing Building (OSB)

- Installation of mechanical/electrical/plumbing is ongoing.
- Elevator installation is ongoing for elevators 1 and 2.
- Installing service and emergency lighting.
- Installing interior and exterior building finishes.
- Installing framing for fixed ceilings.
- Installing metal door frames, doors and glazing.
- Installing power distribution cabinets.
- Commenced installation of refrigeration lines.
- Completed installation of raised tile floor in Operations Control Center (OCC).

Maintenance of Way (MOW)

- Completed pulling power distribution conductors.
- Completed HVAC installation, and commenced startup and testing of HVAC system.

Look Ahead:

Yard/Utilities

- Continue train wash, MOW, and ready track installation.
- Continue East Yard Lead track.
- Continue West Yard Lead track.
- Continue contact rail installation and testing.
- Continue testing of running rail.
- Continue installation of exterior yard and perimeter lighting.
- Complete Signal and Control Raceway.
- Complete turnover of Phase 3, 4 and 5 storage tracks to CSC.
- Complete paving of Driveways B and C.

OSB

- Installation of turntables and hydraulic lifts.
- Completion of interior finishes.
- Complete installation of HVAC.
- Continue elevator installation.
- Install floor tile and bathroom accessories.
- Energize distribution power.
- Complete installation of refrigeration lines.

MOW

- Interior and exterior finishes.

Activities this Month (continued):

- Installing mechanical/electrical/plumbing systems.
- Completed installing door hardware.
- Commenced installation of framing for storefront glazing.
- Application of polished floor finish continues.
- Continue installation of ceiling tiles.
- Commenced installation of bathroom tiles.

Wheel Truing Building (WTB)

- Floor finishing commenced.
- Installing plumbing trimout.

Train Wash Facility (TWF)

- Completed structural steel installation.
- Commenced roofing installation.
- Completed ground grid installation.

Rail Procurement and Installation

- Installation of contact rail is ongoing.
- Receiving materials and installing turnouts is ongoing.
- Distributing rail materials to WOFH is ongoing.
- Installation of pre-curved rail is ongoing.
- Installing subballast and ballast for ready tracks RL1 – 3 and W1 heading toward MOW and Train Wash.
- Continuity testing of running rail and conductivity testing of contact rail.
- Completed turnover of Phase 2 Storage Tracks to CSC.
- Preparing for turnover of Phase 3 Storage Tracks to CSC.

Administration

- Continue working with the CSC to resolve design interface issues and turned over raceways for CSC cable pulling activities.

Look Ahead (continued):

- Continue electrical, mechanical and plumbing.
- Complete installation of exterior doors and glazing.
- Tile floor and wall installation.
- Startup and testing of HVAC system.

WTB

- Testing of Wheel Lathe.
- Complete finishing of floors.
- Complete plumbing trim.
- Ceramic tile.
- Release Building Systems raceway to CSC.

Train Wash Facility

- Continue roofing installation.

KEY ISSUES:

- **Joint Occupancy with Core Systems Contractor –** weekly meetings are held and details are being worked out for systematic release of areas and infrastructure whereby the Core Systems Contractor can commence work.
- **Coordination with the abutting main line contract –** for completion of site access in the east and west yards, including rail, vehicular access and utility interconnection.
- **Train Car Delivery and Assembly –** Rail, access and building completion in support of train car delivery and assembly, including site access and internal movement of assembled rail cars.
- Orderly completion of traction power, train control and building services conduits.
- Resolution of outstanding Interface Control Documents (ICDs).

QUALITY MANAGEMENT:

- Overall quality of the contract is good.
- NCR 28 concerns application of fire stops and seals in rated walls.
- NCR 29 concerns a missing ground wire.
- NCR 30 concerns TWF sewer drain discrepancies.

MSF NCR Log		
Total NCRs Issued To Date	CLOSED	OPEN
30	27	3

PROJECT PICTURES:

Grading Dwy 'C' roadway subgrade.

Grading subballast on RL track.

OSB exterior window caulking.

MOW entry structural steel.

MOW ceiling tile installation.

TWF structural steel erection.

4.3 Section II – Kamehameha Highway: Pearl Highlands to Aloha Stadium

A. Kamehameha Highway Guideway (KHG)

Contract No.: DB-320
Contractor: Kiewit Infrastructure West Company (KIWC)
Contract Start Date: June 2011
Contract Substantial Completion: September 2016
Projected Substantial Completion: September 2017

Project Description: Kamehameha Highway Guideway DB Contract (KHG) consists of 3.9 miles and starts 400 feet east of the Pearl Highlands Station and terminates 1,400 feet beyond the Aloha Stadium Station. KHG is made up of utility relocations, highway widening, drilled shaft foundations, columns and aerial structure.

Project Overview: Construction of the drilled shafts has moved east of the H-1 overpass in order to maintain progress. Column construction has been completed from the WOFH project limits to Waimano Home Rd., with the exception of the Cantilever "C" piers at Acacia that are currently under construction. HART and KIWC continue to work at senior and executive management levels to ensure current utility relocation schedules are being maintained. Construction of the Balanced Cantilever System (BCS) pier table at Pier 306 up and down station has begun and KIWC continues construction on Pier 307 up and down station east of the H-1 overpass.

Per KIWC's progress schedule, as submitted with the application for payment, the contract is twelve months behind schedule, which includes the guideway structure completion in April 2017 and the remaining roadway civil work being completed by September 2017.

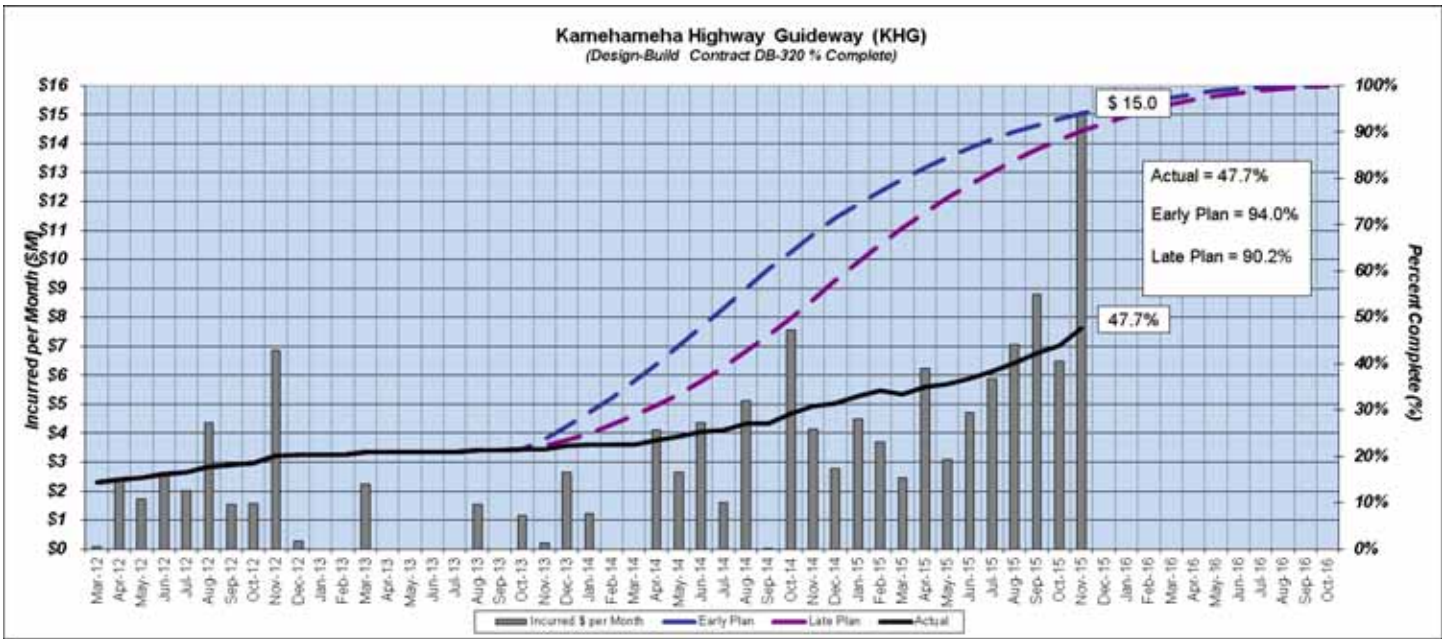
COST INFORMATION:

Original Contract: $372,150,000	Incurred-to-Date: $190,181,817
Current Contract Value[1]: $388,967,876	Incurred in November: $15,051,403

[1] *Current Contract Value = Original contract value (not including contingency) + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$297,631
DBE % Attained:	0.08%

November Change Orders		
Change No.	Description	Amount ($)
CCO 019	DSC Railroad Sec (922-58) Track profile change, HDOT Addtl	$57,891
	Cumulative to Date	**$16,817,876**



In December, KIWC submitted Pay Application #53 for the November 2015 billing and it is currently being reviewed by HART.

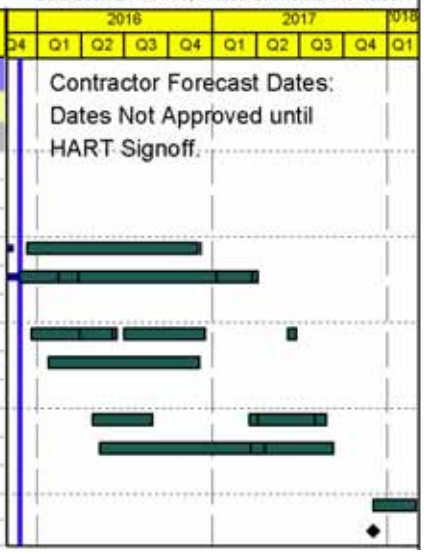
SCHEDULE:

KIWC submitted a schedule revision in December 2014 with a data date of October 2014, which showed a revised Substantial Completion date of April 4, 2017. HART provided review comments to the schedule and has requested re-submittal via Request for Change (RFC) due to the change to the contractual substantial completion date. Until then, the schedule is deemed unaccepted. Subsequently, KIWC submitted a revised schedule in September 2015 via an RFC for contract time extension. The re-sequencing of the guideway and road work contains significant changes in durations, logic, as well as activity modifications, and is currently being reviewed by HART. The revised schedule shows the guideway structure forecasted to be complete in April 2017 with completion of the roadway civil construction and the overall project in September 2017; this reflects a potential 12 month delay to the contractual substantial completion date.

KIWC continues to have challenges meeting schedule due to various factors including: weather, MOT restrictions, lower productivity, resource sharing between the KHG and WOFH projects, third-party utility relocation work, and lack of truss availability.

November 2015 Update — Data Date: 27-Nov-15, Printed On: 18-Nov-15 10:53

Activity Name	Start	Finish
Total	03-Nov-14 A	28-Feb-18
West Guideways & Structures	03-Nov-14 A	28-Feb-18
Kamehameha Highway (KH) - Section 2	03-Nov-14 A	28-Feb-18
Kamehameha Highway Guideway	03-Nov-14 A	28-Feb-18
Kiewit KHG Summary	03-Nov-14 A	28-Feb-18
Foundations	03-Nov-14 A	05-Apr-17
Drilled Shafts	03-Nov-14 A	07-Dec-16
Columns	14-Aug-15 A	05-Apr-17
Guideway	21-Dec-15	23-Jun-17
Precast Segment Erection	21-Dec-15	23-Jun-17
Cast BC Segments	25-Jan-16	05-Dec-16
Trackwork	26-Apr-16	28-Feb-18
Direct Fixation Trackwork	26-Apr-16	25-Aug-17
Third Rail	10-May-16	08-Sep-17
KHG Project Finish Work, Demob, Punchlist	01-Dec-17	28-Feb-18
KHG Project Finish Work, Demob, Punchlist	01-Dec-17	28-Feb-18
KHG Substantial Completion		01-Dec-17



CRITICAL PATH ISSUES:

- The KIWC third truss (Heading 3) is east bound heading toward the KHG alignment. KIWC's selection of the location of Heading 3, on the WOFH contract, has created a delay to the start of span by span segment erection for KHG related to allocation of staffing and equipment. Currently, the heading is officially erecting spans on KHG as of the week of Dec. 14, 2015.
- HECO schedule forecasts at utility conflicts 11-920-M1 and 8-860-M1 are affecting utility relocations work. HART is tracking this issue and notes that its criticality needs to be established.

WORK PROGRESS:

KHG Construction Status as of 12/11/15

Utility Status	Qty to Date	Final Qty	% Complete
Water Line	4,362	4,362	100%
Gas Line	12,641	12,641	100%
Sewer Line	492	492	100%
Drainage	705	1,469	48%
Elec/Telecom	15,639	19,455	80%
Signals/ITS/ Lights	13,587	18,486	74%

Structure Element	Total to Date	Planned to Date: Accepted Schedule*	Planned to Date: Revised Schedule**	Total Qty	% Complete
Shafts	92	141	99	186	49%
Columns	20	103	34	169	12%
Segment Casting	658	1,246	812	2,075	32%
Spans Stressed	0	89	4	166	0%

* Accepted Schedule was submitted in 2013.
** These quantities are based on KIWC's pending August 2015 schedule revision dated Sept. 23, 2015. Revised schedule reflects a 12 month delay in completion.

Activities this Month:

Earned Value: 50.9% [(Total achieved to November 2015 ($187.9 million) + December projection ($10.2 million))/Total contract including executed Change Orders ($389 million)]. Planned Value: 91.9%

Look Ahead:

Design Progress

- KIWC is working to complete final design. To date, 40 of 49 drawing packages have been issued for construction.

Activities this Month (continued):

Shaft/Column/Segments

- 92 of 186 shafts have been installed; 49% of all shafts have been completed on KHG.
- 20 of 169 columns have been constructed.
- 658 of 2,075 segments have been cast.
- Column construction has resumed on KHG, as of mid-December. Column crews have remobilized from WOFH, after completing 5 columns in November.
- Balanced Cantilever superstructure west of the H-1 overpass has started.
- Construction of Balanced Cantilever columns east of the H-1 overpass have continued.
- "C" pier footings have been completed.
- "C" pier columns at Shafts 277, 278 and 279 have been poured and are awaiting post-tensioning.

Utility Relocation Progress

- The relocation of HECO electrical lines and Hawaiian Telcom, Oceanic Time Warner and Intelligent Transportation Systems (ITS) duct banks is occurring in various phases along the alignment.
- Pile driving for traffic signal foundation has ceased due to crew reallocation to WOFH.
- Installation of Waimalu drain line in Phase 5 has been completed.

Roadway Widening

- Roadway widening has been placed on hold due to crews being moved to WOFH.

Look Ahead (continued):

Shaft/Column/Segments

- Construction of shafts will continue east of the H-1 overcrossing.
- Shaft construction in front of Pearl Kai Shopping Center will begin in January 2016.

Utility Relocation

- Acquisition of ROE for utility relocations is being pursued by HART and KIWC jointly, and meetings with property owners will continue.

Balanced Cantilever Structure

- Superstructure construction will continue at the BCS area.

Precast Yard

- KIWC will continue casting segments. Based on the current rate, the forecasted completion is June 2016.

Roadway Widening

- HART has issued RFCRs to the contractor for identified HDOT betterments. Work is anticipated to begin after issuance of a change order.

KEY ISSUES:

- **Night Noise Variance** – HART was notified by the Department of Health that backhoes and excavators will no longer be allowed for nighttime work due to improper use of the equipment at night and public complaints received. HART has requested reconsideration on behalf of the contractor and is awaiting a state DOH response. Additionally, permanent ITS work continues to be installed along the alignment, and traffic signal crews ceased construction due to nighttime noise restrictions.

- **HDOT Betterments** – HART has issued eight RFCRs to date covering HDOT betterments and have commenced negotiations with KIWC, simultaneously obtaining scope and cost concurrence from HDOT. HART and HDOT are working in partnership to identify the source of funding, which is being finalized via a separate agreement. HART has negotiated the cost for RFCR 32 (Traffic Signals), which is currently in the HART approval and execution process. The remainder of the betterment RFCR is still pending receipt of cost proposals from KIWC.

  KIWC notified HART on Dec. 10, 2015, that they have halted all construction work activities related to HDOT Betterments until HART issues an executed change order for the out of scope work. HART is tracking this issue and notes that its criticality needs to be established.

- **Third Party Utility Impacts** – HART and KIWC continue to work at senior and executive management levels to ensure current utility relocation schedules are being maintained.

- **KIWC Resource Allocations** – Column construction resumed again in November, but operations were again halted to support the WOFH project, while continuing to implement structures access MOT along Kamehameha Highway. KIWC continues to try and balance between the KHG and WOFH projects.

QUALITY MANAGEMENT:

- **Quality Process** – KIWC continues to follow an established quality process and have not encountered any significant findings through quality audits.
- **Latest Construction Plans** – Current shaft, column, and footing construction is proceeding with only minor quality issues.
- **Drilled Shaft Quality** – KIWC currently has 13 open NCRs due to velocity reduction exceeding 10%. KIWC has been reviewing their means and methods for placing concrete to reduce the issue with velocity reduction.

KHG NCR Log		
Total NCRs Issued To Date	CLOSED	OPEN
98	67	31

PROJECT PICTURES:

Forming pier 307, Phase 4.

Balanced cantilever 1st deck placement, Phase 4.

Shaft drilling, Phase 8.

Shaft reinforcing work, Phase 8.

Installing Oceanic Time Warner Cable (OTWC) duct bank, Phase 12.

B. Ramp H2R2

Contract No.: DBB-385
Contractor: Royal Contracting Co. Ltd.
Contract Start Date: May 2015
Contract Substantial Completion: June 2016
Projected Substantial Completion: November 2016

Project Description: Ramp H2R2 is a loop ramp which connects in-bound Farrington Highway to in-bound Kamehameha Highway. The loop terminates just west of the intersection of Kamehameha Highway and Waihona Street.

Project Overview: Royal Contracting was awarded this project on May 4, 2015, and issued NTP on May 18, 2015. Construction duration is anticipated to be 13 months. Royal has not yet started construction due to delays in obtaining required permits and submittal of required documentation. The contractor has projected a substantial completion of November 2016; HART has requested a revised schedule for review and analysis.

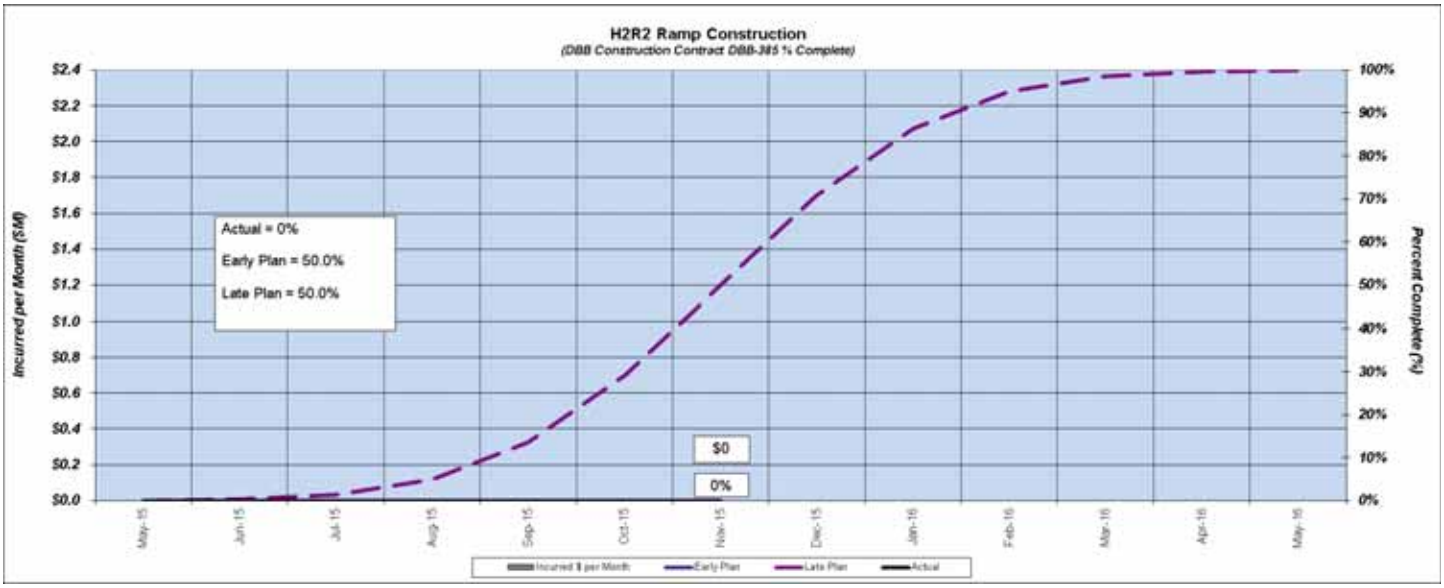
COST INFORMATION:

Original Contract: $5,203,646	Incurred-to-Date: $0
Current Contract Value[1]: $5,203,646	Incurred in November: $0

[1]*Current Contract Value = Original contract value (not including contingency) + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$0
DBE % Attained:	0%

November Change Orders/Amendments		
Change No./Amend	Description	Amount ($)
None	---	---
	Cumulative to Date	**$0**



The progress chart reflects early program expectations. When the overall schedule is rebaselined, the cost curve will be revised.

SCHEDULE:

CRITICAL PATH ISSUES:

- TMK 9-6-004:006 soils remediation area has been enlarged by DOH to now include approximately 200 cubic yards of soil remediation.

WORK PROGRESS:

Activities this Month:

Earned Value: 0%; Planned Value: 0%

- Required Forms, Reports and Certifications are not yet approved.
- Required submittals reviewed and returned for revision.

Look Ahead:

- Approval of all required submittals.
- Site clearing and grading, and placement of surcharge.

KEY ISSUES:

- Contractor to submit revised work schedule.

QUALITY MANAGEMENT:

Ramp H2R2 NCR Log		
Total NCRs Issued To Date	CLOSED	OPEN
0	0	0

C. Kamehameha Highway Station Group (KHSG)

Contract No.: FD-340
Contractor: Anil Verma Associates, Inc. (AVA), Final Design Consultant (Engineer of Record)
Contract Start Date: November 2012
Construction Docs Bid-Ready:
Ramp H2R2: January 2015 (in construction)
Kamehameha Highway Stations: August 2015 (bids received)

Project Description: The Kamehameha Highway Stations Group FD Contract (KHSG) consists of architectural and engineering services for the design of three (3) transit stations serving the Kamehameha Highway Guideway. The three (3) stations comprising the KHSG contract are the Pearl Highlands Station, the Pearlridge Station, and the Aloha Stadium Station. The Pearl Highlands Station also includes two highway ramps.

Project Overview: The KHSG design has incorporated value engineering changes and was advertised in a construction solicitation in August 2015. The corresponding bids received in November 2015 showed significant cost savings as compared to the prior solicitation for these same stations in 2014. In addition, the Ramp H2R2 was expedited under a separate Design-Bid-Build contract that was awarded in May 2015.

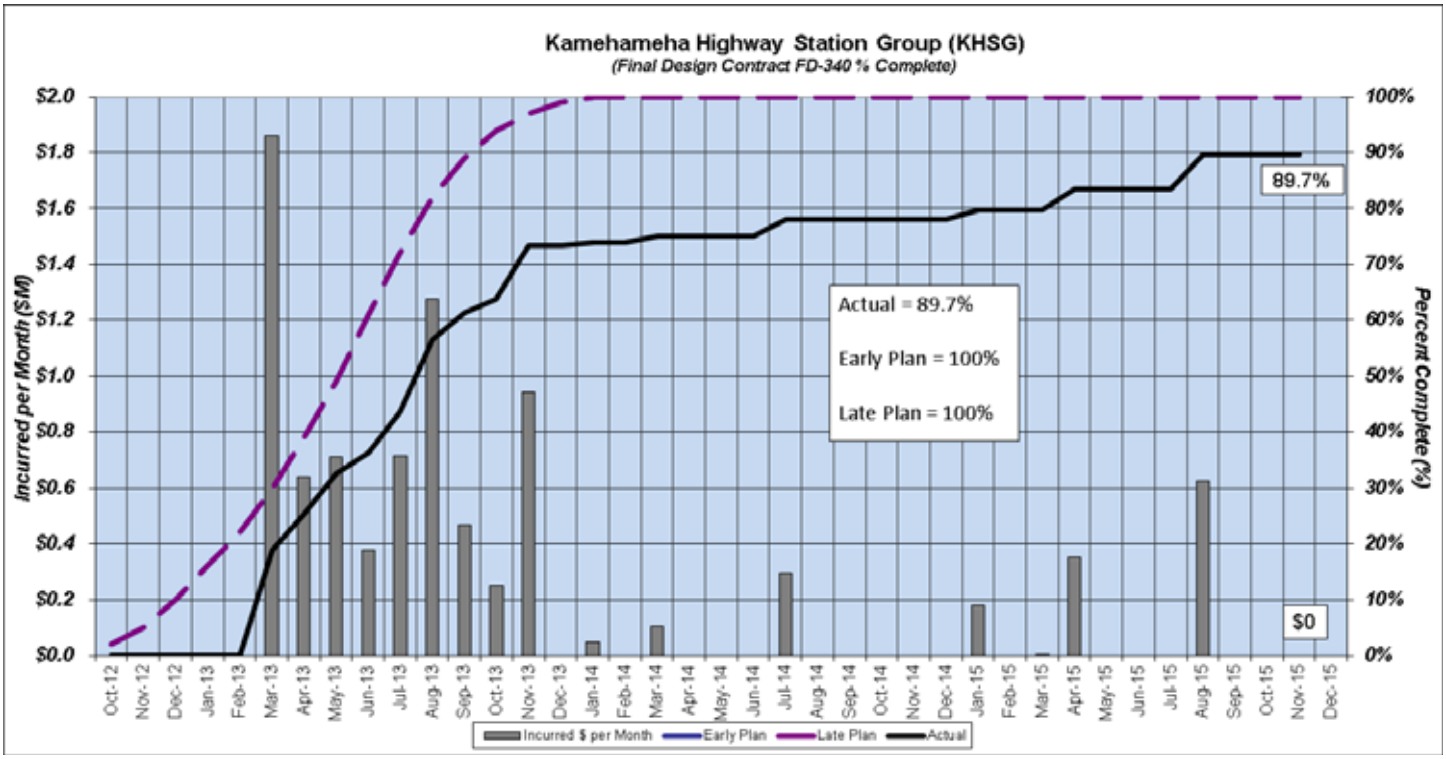
COST INFORMATION:

Original Contract: $8,702,592	Incurred-to-Date: $8,843,841
Current Contract Value[1]: $9,859,290	Incurred in November: $0

[1] *Current Contract Value = Original contract value (not including contingency) with Design Allowance + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$3,820,005
DBE % Attained:	43.9%

November Change Orders/Amendments		
Change No./Amend	Description	Amount ($)
None	---	---
	Cumulative to Date	**$1,199,698**



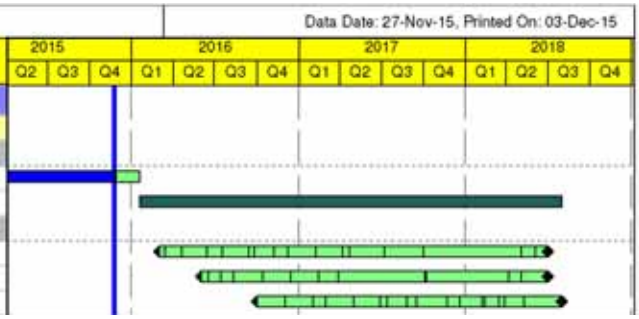
The progress chart reflects early program expectations. When the overall schedule is rebaselined, the cost curve will be revised.

The design phase of this contract is substantially complete.

SCHEDULE:

November 2015 Update — Data Date: 27-Nov-15, Printed On: 03-Dec-15

Activity Name	Start	Finish
Kamehameha Highway (KH) - Section 2	16-May-14 A	30-Jul-18
Kamehameha Highway Station Group	16-May-14 A	30-Jul-18
Design - Kamehameha Highway Station Group	16-May-14 A	30-Jul-18
Design - Bid Support	16-May-14 A	19-Jan-16
Design - Construction Support	20-Jan-16	30-Jul-18
Construction - Kamehameha Highway Station Group	01-Mar-16	30-Jul-18
Pearl Highlands - Station	01-Mar-16	29-Jun-18
Pearl Ridge Station	01-Jun-16	29-Jun-18
Aloha Stadium Station	03-Oct-16	30-Jul-18



CRITICAL PATH ISSUES:

- Obtaining final design approval from DPP.

WORK PROGRESS:

Activities this Month:

- Current earned value is approximately 99%.
- Conform drawings and specifications based on addenda issued during solicitation.
- Transition consultant's role from design support during bidding to design support during construction.

Look Ahead:

- Obtain final DPP approvals on final construction documents.

KEY ISSUES:

- Finalizing interface agreements with other HART contractors.

4.4 Section III – Airport: Aloha Stadium to Middle Street Transit Center Station

A. Airport Section Guideway and Utilities

Contract No.: FD-430
Contractor: AECOM Technical Services, Inc., Final Design Consultant (Engineer of Record)
Contract Start Date: January 2012
Currently in Construction:

- Airport Section Utilities (DBB-505 - Nan Inc.):
  - Construction NTP issued July 2014

Construction Completed:

- Airport 7-Piers (DBB-525 – Hawaiian Dredging):
  - Project acceptance on May 2, 2015; currently in project closeout

Project Description: The Airport Segment Guideway and Utilities contract consists of 5.2 miles of elevated transit guideway serving four (4) passenger stations, in addition to roadway widening, utility relocation, and other improvements to create space for these transit facilities. Two construction contracts have been split out and expedited from the larger Airport Section package. These two contracts are the expedited Airport Section Utilities (ASU) and expedited Airport 7-Piers (A7). For both of these expedited contracts, the design has been completed and construction is in progress (ASU) or completed (A7). The remaining scope of design has been terminated and will be completed under a design-build procurement.

Project Overview: The services under this contract are now limited to engineering support during construction, and support to HART during the design-build procurement.

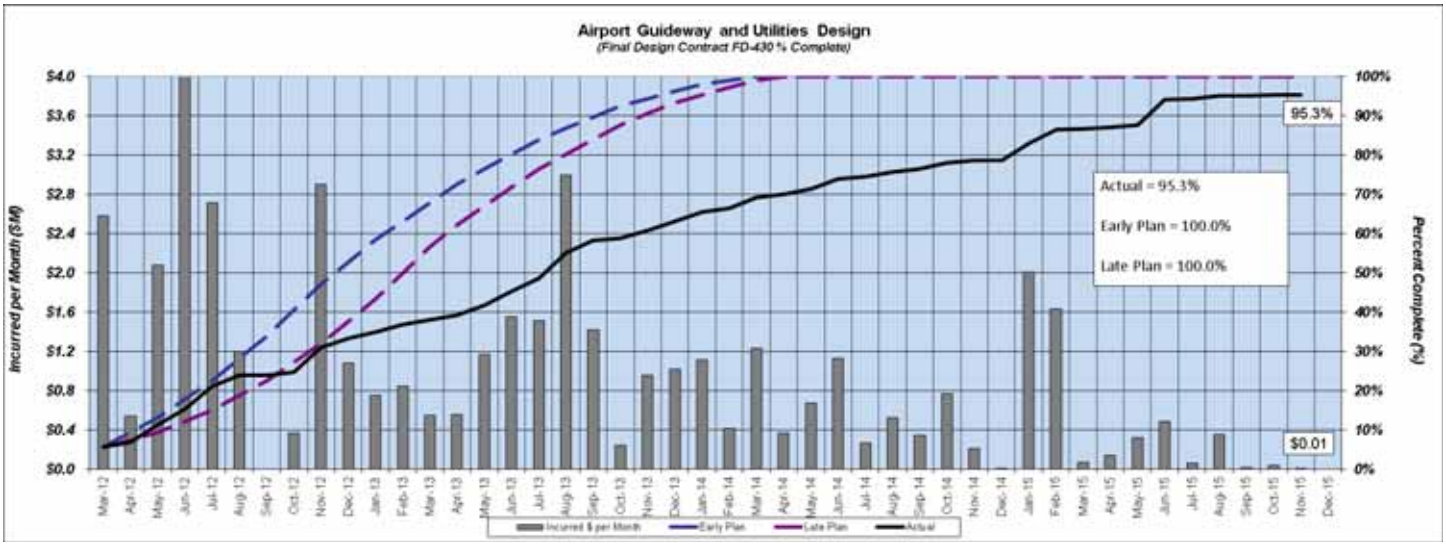
COST INFORMATION:

Original Contract: $38,840,960	Incurred-to-Date: $41,086,689
Current Contract Value[1]: $43,134,472	Incurred in November: $13,486

[1]*Current Contract Value = Original contract value (not including contingency) with Design Allowance + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$162,813
DBE % Attained:	0.42%

November Change Orders/Amendments		
Change No./Amend	Description	Amount ($)
None	---	---
	Cumulative to Date	**$4,293,512**



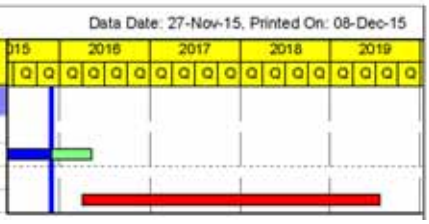
The progress chart reflects early program expectations. When the overall schedule is rebaselined, the cost curve will be revised.

Due to the change in delivery method from DBB to DB, the final design will not be completed under this contract.

SCHEDULE:

November 2015 Update — Data Date: 27-Nov-15, Printed On: 08-Dec-15

Activity Name	Start	Finish
Airport Section Guideway	09-Nov-11 A	19-Jul-19
Airport Programmatic	01-May-12 A	14-Feb-14 A
Airport Permits	09-Nov-11 A	09-May-16
Design - Airport Guideway & Utilities	05-Jan-12 A	27-Mar-15 A
Construction - Airport Guideway	04-Apr-16	19-Jul-19



CRITICAL PATH ISSUES:

- N/A.

WORK PROGRESS:

Activities this Month:

- Current earned value is approximately 97%.
- Supporting current construction contracts.
- Supporting AGS DB procurement.

Look Ahead:

- N/A.

KEY ISSUES:

- N/A.

B. Airport Section Utilities Construction

Contract No.: DBB-505
Contractor: Nan, Inc.
Contract Start Date: July 2014
Contract Substantial Completion: February 2016
Projected Substantial Completion: August/September 2016

Project Description: The Airport Utilities contract consists of relocation of a portion of utilities and some utility facilities that will be impacted by the construction of the HART aerial guideway and associated facilities between Aloha Stadium and Middle Street Transit Center. Specifically, the work involves construction of utility relocations affecting underground and overhead communications lines, Navy-owned electrical lines, fuel lines, gas lines, water lines, storm sewer lines, sanitary sewer lines and street light lines and poles/fixtures; HECO work is excluded from this contract. The work also includes installation of ITS (Intelligent Transportation Systems) facilities, to maintain traffic during construction, and other site improvements. Erosion control measures, temporary planting, permanent irrigation facilities and restoration of existing facilities are also incorporated into the contractor's scope of work.

Project Overview: Nan, Inc. continues with utility relocation work along Kamehameha Highway. ITS installation work along Kamehameha and Nimitz Highways is completed at 3 of the 4 sites. The 4th site needs power which is outside of this contract. Three of the 4 sites are operational and undergoing commissioning. Utility work was impacted due to lack of Navy ROE, however ongoing coordination with the Navy has allowed them to grant access. Details are still being finalized at this time. Meanwhile, Nan, Inc. continues to develop and submit outstanding submittals.

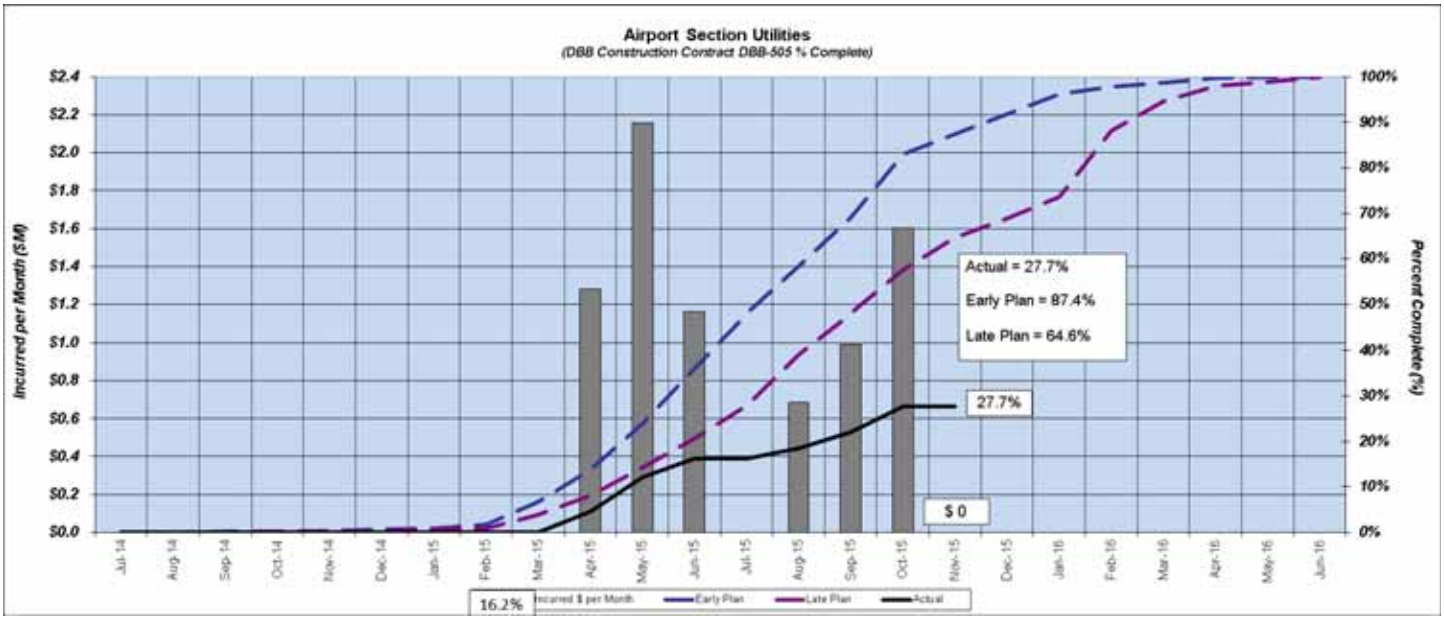
COST INFORMATION:

Original Contract:	$28,413,974	Incurred-to-Date:	$7,873,650
Current Contract Value[1]:	$28,413,974	Incurred in November:	$0

[1] *Current Contract Value = Original contract value (not including contingency) + executed Change Orders*

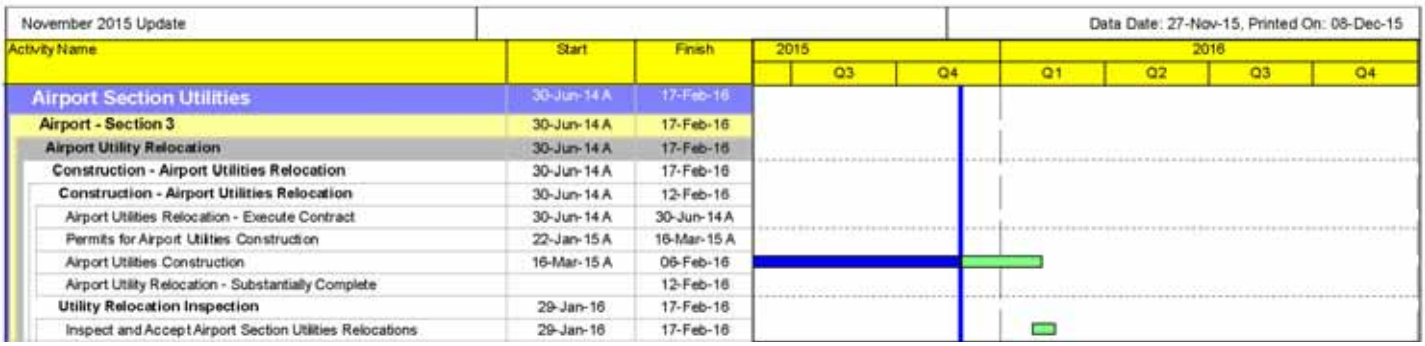
DBE Participation	
Actual DBE Participation:	$0
DBE % Attained:	0%

November Change Orders		
Change No.	Description	Amount ($)
None	---	---
	Cumulative to Date	**$0**



The progress chart reflects early program expectations. When the overall schedule is rebaselined, the cost curve will be revised.

SCHEDULE:



November 2015 Update — Data Date: 27-Nov-15, Printed On: 08-Dec-15

Activity Name	Start	Finish
Airport Section Utilities	30-Jun-14 A	17-Feb-16
Airport - Section 3	30-Jun-14 A	17-Feb-16
Airport Utility Relocation	30-Jun-14 A	17-Feb-16
Construction - Airport Utilities Relocation	30-Jun-14 A	17-Feb-16
Construction - Airport Utilities Relocation	30-Jun-14 A	12-Feb-16
Airport Utilities Relocation - Execute Contract	30-Jun-14 A	30-Jun-14 A
Permits for Airport Utilities Construction	22-Jan-15 A	16-Mar-15 A
Airport Utilities Construction	16-Mar-15 A	06-Feb-16
Airport Utility Relocation - Substantially Complete		12-Feb-16
Utility Relocation Inspection	29-Jan-16	17-Feb-16
Inspect and Accept Airport Section Utilities Relocations	29-Jan-16	17-Feb-16

CRITICAL PATH ISSUES:

- No critical path issues at this time.

WORK PROGRESS:

Activities this Month:

Earned Value: 27%; Planned Value: 30%

- Nan, Inc./CE&I are finalizing coordination's with DTS to bring the LPR's online by the end of the year.
- Nan, Inc. has submitted a baseline construction schedule, which has been approved. They are working on a revised baseline schedule based on deductive RFCRs that have been issued.
- Inspection and Testing Plan (ITP) has been submitted by Nan and returned by HART with comments.
- Tree relocation by On-Call (Royal Contracting) is ongoing.

Look Ahead:

- Ongoing utility work on Kamehameha Highway (30-inch and 24-inch waterline connection, telecom duct line and gas line).
- Installation of new sewer line.
- Coordinate with Navy and third party communications utilities to resolve duct/lines that were damaged.
- Summarizing descoped items to be added to the guideway contract.
- CE&I II team continues to review RFC and initiate plans to reduce the current outstanding RFCs.

KEY ISSUES:

- Nan has submitted a construction delay claim due to the delay in access to Navy right of entry to perform work. HART is currently reviewing the claim.
- Nan, Inc. is presently 7 months behind schedule; due to the delay in access to construction sites as well as other factors, such as differing site conditions.
- Determine status of telecom duct bank work and how to proceed with removal.
- Pending coordination with the Navy if a 30-inch waterline connection can be completed at the station site.
- Awaiting Nan's cost/schedule of work to relocate a section of 24-inch waterline.
- Comments to Nan's Noise Mitigation Plan have been sent back to be addressed.

QUALITY MANAGEMENT:

Airport Utilities NCR Log		
Total NCRs Issued To Date	CLOSED	OPEN
17	14	3

C. Airport Section Guideway Seven Pier Construction

Contract No.: DBB-525
Contractor: HDCC/CJA JV
Contract Start Date: September 2014
Contract Substantial Completion: April 24, 2015
Declared Substantial Completion: April 22, 2015

Project Description: The Airport 7-piers contract consists of seven drilled shaft foundations installed within the Honolulu International Airport Parking lot "J", where the new Interim Car Rental Facility (CONRAC) is also being constructed. The contractor has installed seven foundations for piers 546, 547, 548, 549, 550, 551R and 552R. This work involved close coordination with the HDOT Airport and Kiewit, who is the contractor for CONRAC. In addition to the pier work, existing utility relocations have been included at Piers 546, 548, 549 and 550, under Change Amendment 1.

Project Overview: HDCC/CJA JV substantially completed the project on April 22, 2015. The site, along with maintenance of existing BMPs and traffic control measures were turned over to the HDOT-A. Generated punch list items were completed and accepted as of May 2, 2015, by HDOT-A. Project is currently in a close out phase; final change orders are being processed.

COST INFORMATION:

Original Contract:	$3,973,000	Incurred-to-Date:	$3,796,241
Current Contract Value[1]:	$4,481,241	Incurred in November:	$0

[1]*Current Contract Value = Original contract value (not including contingency) + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$0
DBE % Attained:	0%

November Change Orders		
Change No.	Description	Amount ($)
None	---	---
	Cumulative to Date	**$508,241**

The progress chart reflects early program expectations. When the overall schedule is rebaselined, the cost curve will be revised.

CRITICAL PATH ISSUES:

- None - All construction work has been completed; currently two final Change Orders are in process. Project close out and final invoicing will follow upon execution.

WORK PROGRESS:

Activities this Month:

Earned Value: 100%; Planned Value: 100%

Look Ahead:

- HART is processing a change order for:
  - Change proposal for Temporary Fill at Piers 551R and 550.
  - Double handling of drilling spoils.
  - Additional core sample test to confirm Pier 551R concrete.
  - Force Account work for Pier 548 Utility Conflicts.
- HDCC/CJA JV has the following items to submit for Contract Closeout, pending execution of final Change Orders:
  - Provide Release of Liens.
  - Submit final DBE forms.
  - Submit final invoice.

KEY ISSUES:

- None.

D. Airport Station Group (ASG)

Contract No.: FD-440
Contractor: AECOM Technical Services, Inc., Final Design Consultant (Engineer of Record)
Contract Start Date: November 2012
Construction Docs Bid-Ready: N/A

Project Description: Architectural and engineering services for the design of four (4) transit stations serving the Airport Guideway. The four (4) stations comprising the ASG contract are the Pearl Harbor Naval Base Station, the Honolulu International Airport Station, the Lagoon Drive Station, and the Middle Street Station.

Project Overview: These four stations have been combined with the guideway into a single Airport Guideway and Stations Design-Build (DB) package.

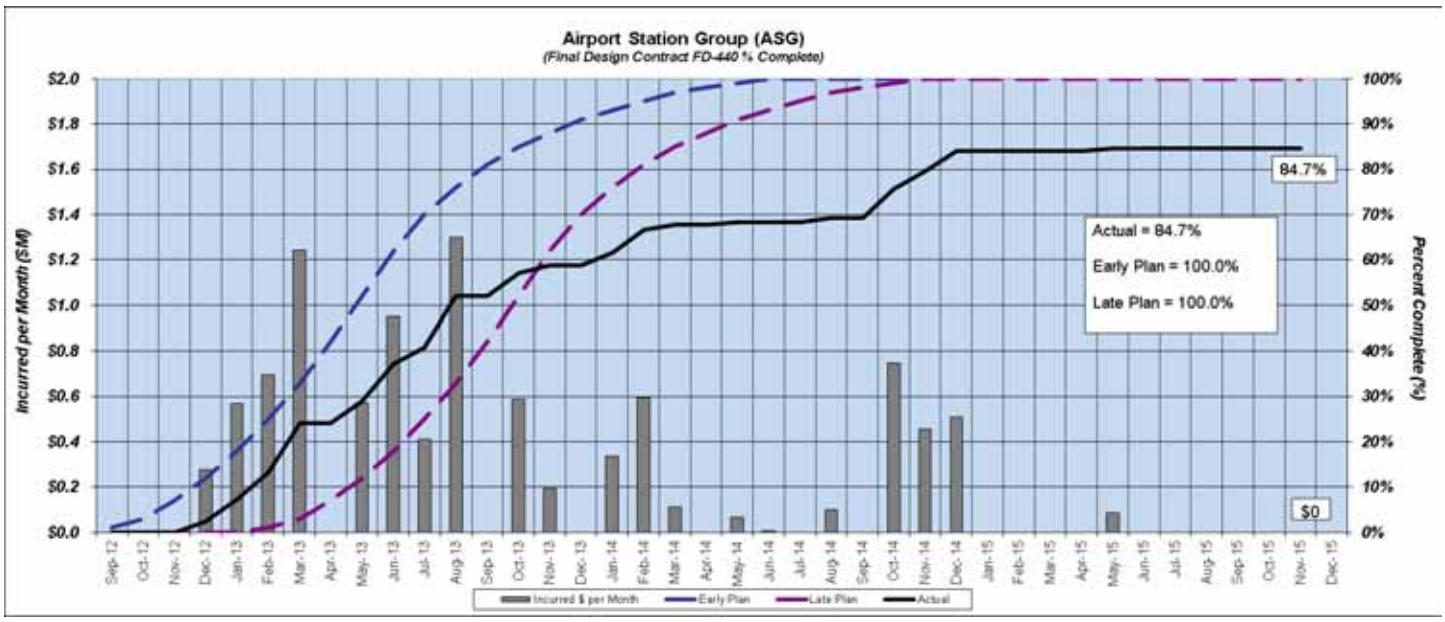
COST INFORMATION:

Original Contract: $10,177,365	Incurred-to-Date: $9,801,978
Current Contract Value[1]: $11,573,852	Incurred in November: $0

[1] *Current Contract Value = Original contract value (not including contingency) with Design Allowance + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$234,761
DBE % Attained:	2.31%

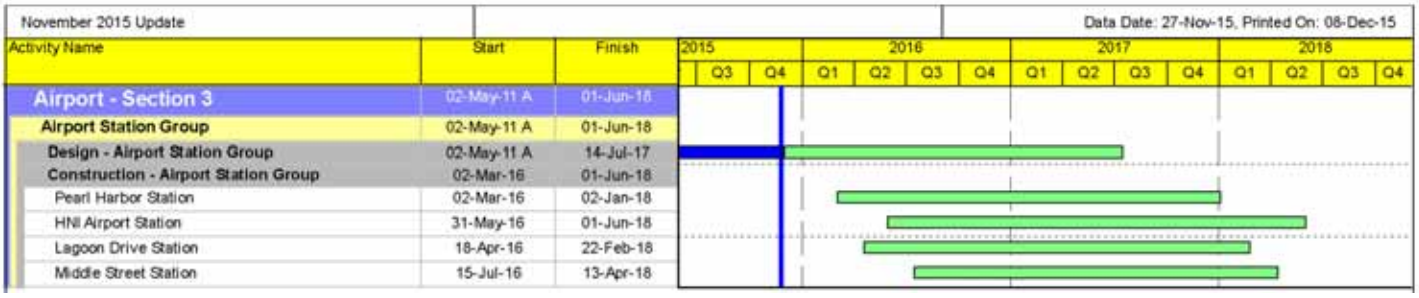
November Change Orders		
Change No.	Description	Amount ($)
None	---	---
	Cumulative to Date	**$1,416,487**



The progress chart reflects early program expectations. When the overall schedule is rebaselined, the cost curve will be revised.

Due to the change in procurement strategy from DBB to DB, the design of the Airport Stations Group will not be advanced to completion under this contract.

SCHEDULE:



November 2015 Update — Data Date: 27-Nov-15, Printed On: 08-Dec-15

Activity Name	Start	Finish
Airport - Section 3	02-May-11 A	01-Jun-18
Airport Station Group	02-May-11 A	01-Jun-18
Design - Airport Station Group	02-May-11 A	14-Jul-17
Construction - Airport Station Group	02-Mar-16	01-Jun-18
Pearl Harbor Station	02-Mar-16	02-Jan-18
HNI Airport Station	31-May-16	01-Jun-18
Lagoon Drive Station	18-Apr-16	22-Feb-18
Middle Street Station	15-Jul-16	13-Apr-18

CRITICAL PATH ISSUES:

- N/A.

WORK PROGRESS:

Activities this Month:

- Current earned value is approximately 88% and is not anticipated to increase significantly due to the suspension of design activities.

Look Ahead:

- N/A.

KEY ISSUES:

- N/A.

4.5 Section IV – City Center: Middle Street Transit Center Station to Ala Moana Center

A. City Center Section Guideway and Utilities

Contract No.: FD-530
Contractor: AECOM Technical Services, Inc., Final Design Consultant (Engineer of Record)
Contract Start Date: July 2012
Construction Docs Bid-Ready:

- Potential Expedited Utilities Package (DBB): TBD

Project Description: The City Center Guideway and Utilities final design contract consists of 4.2 miles of elevated transit guideway serving eight (8) passenger stations, in addition to roadway widening, utility relocation and other improvements to facilitate construction of the guideway.

Project Overview: This section of the guideway has been combined with eight (8) stations into a single City Center Guideway and Stations (CCGS) Design-Build package. The services remaining under this contract include preparation of an early utility relocation package and support to HART during design-build procurement.

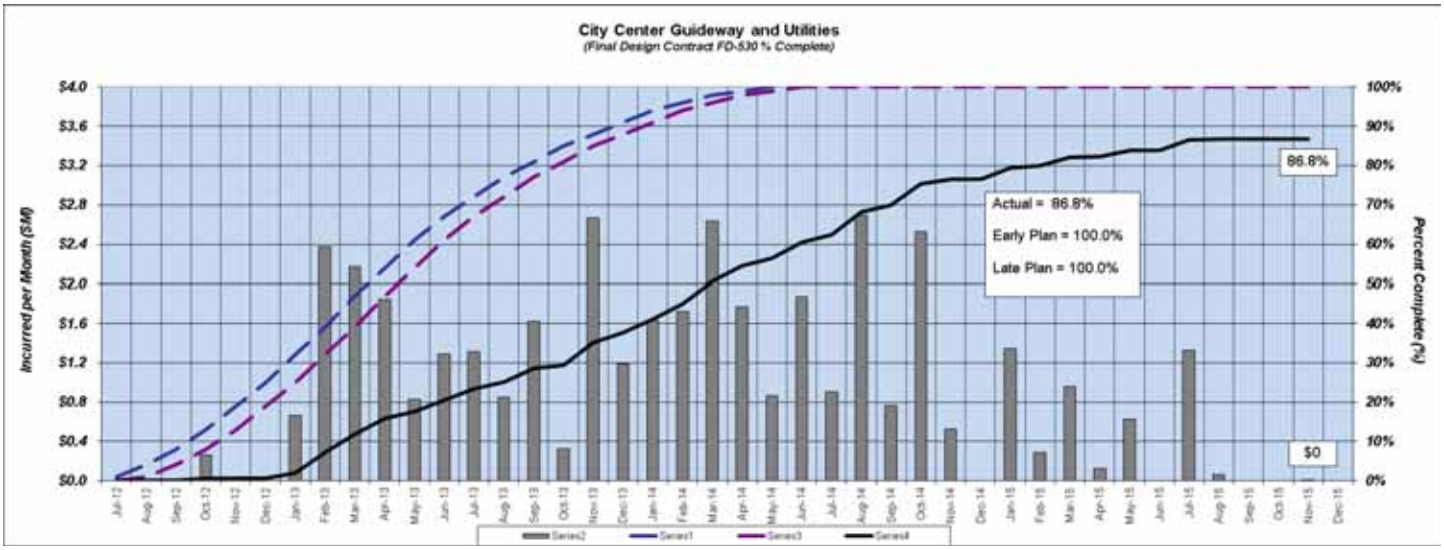
COST INFORMATION:

Original Contract: $43,948,220	Incurred-to-Date: $40,075,486
Current Contract Value[1]: $46,197,562	Incurred in November: $0

[1]*Current Contract Value = Original contract value (not including contingency) with Design Allowance + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$191,227
DBE % Attained:	0.44%

November Change Orders/Amendments		
Change No./Amend	Description	Amount ($)
CA 007	CC Repackaging GET Credit	$14,039
	Cumulative to Date	**$1,296,842**



The progress chart reflects early program expectations. When the overall schedule is rebaselined, the cost curve will be revised.

Due to the change in delivery method from DBB to DB, the final design will not be completed under this contract.

SCHEDULE:

CRITICAL PATH ISSUES:

- HART is evaluating the scope of utility work to be expedited in a separate DBB package.

WORK PROGRESS:

Activities this Month:

- Current earned value is approximately 92%.
- Supporting HART on DB procurement.

Look Ahead:

- Issue advanced utilities package.

KEY ISSUES:

- Coordinating with HECO on clearance requirements for overhead power lines.

B. Dillingham and Kaka'ako Station Group (DKSG)

Contract No.: FD-550
Contractor: Perkins+Will (P+W), Final Design Consultant (Engineer of Record)
Contract Start Date: August 2013
Construction Docs Bid-Ready: N/A

Project Description: Design of eight (8) stations for the fourth and final phase of the current project that will connect Dillingham Boulevard to Ala Moana Center.

Project Overview: The DKSG stations have been combined with the City Center Guideway into a single City Center Guideway and Stations Design-Build package.

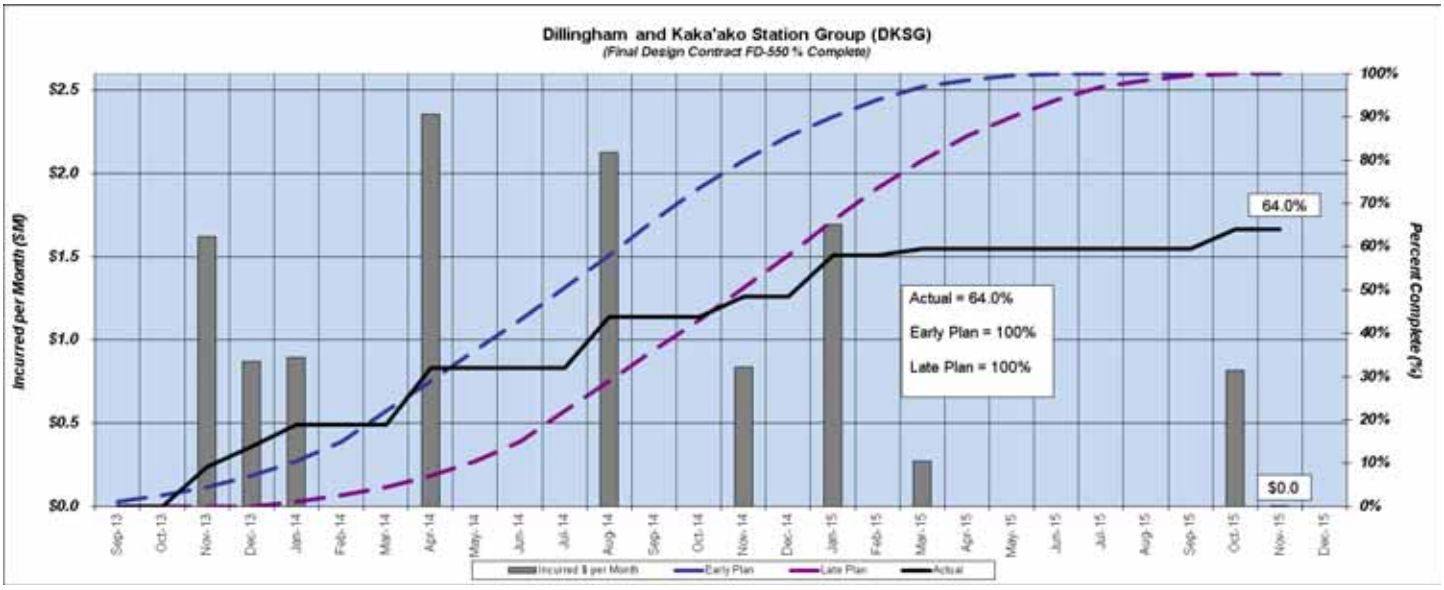
COST INFORMATION:

Original Contract:	$18,321,918	Incurred-to-Date:	$11,482,205
Current Contract Value[1]:	$19,308,042	Incurred in November:	$100

[1] *Current Contract Value = Original contract value (not including contingency) with Design Allowance + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$0
DBE % Attained:	0%

November Change Orders		
Change No.	Description	Amount ($)
None	---	---
	Cumulative to Date	**$1,046,743**



The progress chart reflects early program expectations. When the overall schedule is rebaselined, the cost curve will be revised.

Due to the change from a DBB to a DB delivery method, the design for these stations has been suspended and will not be completed under this contract.

SCHEDULE:

November 2015 Update — Data Date: 27-Nov-15, Printed On: 08-Dec-15

Activity Name	Start	Finish
City Center (CC) - Section 4	15-Oct-12 A	05-Dec-18
Dillingham Station Group	15-Oct-12 A	08-Mar-18
Design - Dillingham Station Group	15-Oct-12 A	08-Dec-15
Construction - Dillingham Station Group	25-Jan-16	08-Mar-18
Kalihi Station	25-Jan-16	20-Jul-17
Kapalama Station	07-Mar-16	27-Sep-17
Iwilei Station	27-Jan-16	08-Mar-18
Chinatown Station	11-Jul-16	21-Feb-18
Kaka'ako Station Group	15-Oct-12 A	05-Dec-18
Design - Kaka'ako Station Group	15-Oct-12 A	08-Dec-15
Construction - Kaka'ako Station Group	26-Apr-16	05-Dec-18
Downtown Station	26-Apr-16	21-Feb-18
Civic Center Station	06-Jun-16	28-Dec-17
Kaka'ako Station	01-Aug-16	02-Apr-18
Ala Moana Center Station	16-Sep-16	05-Dec-18

CRITICAL PATH ISSUES:

- N/A.

WORK PROGRESS:

Activities this Month:

- Current earned value is approximately 68% and is not expected to increase significantly due to the suspension of design activities on this contract.

Look Ahead:

- N/A.

KEY ISSUES:

- N/A.

4.6 Project-Wide

A. Program Management Support Consultant-2 (PMSC-2)

Contract No.: MM-901
Contractor: InfraConsult LLC
Contract Start Date: March 8, 2012
Contract Completion: March 7, 2016, with option to renew contract one additional year

Project Description: Provide program management support services in the areas of elevated guideway engineering, rail station design, construction management, project management, environmental planning, federal programmatic requirements, and other services for the Honolulu Rail Transit Project.

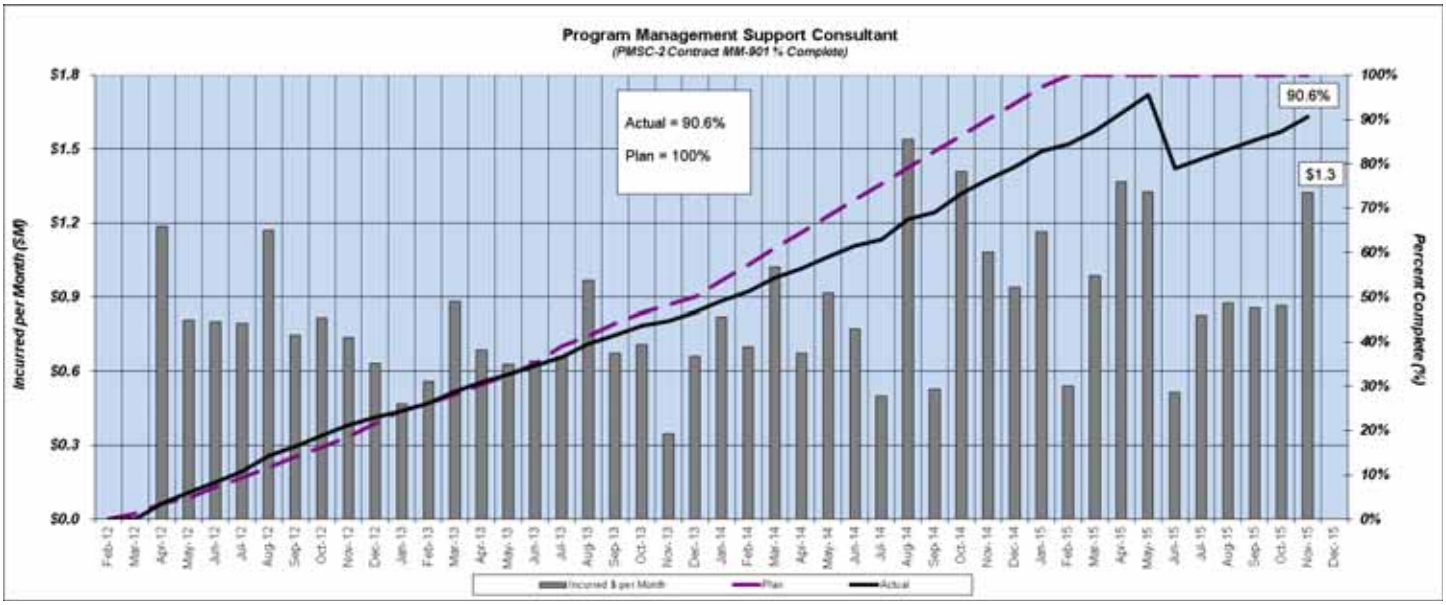
COST INFORMATION:

Original Contract: $33,376,897	Incurred-to-Date: $37,131,627
Current Contract Value[1]: $40,993,274	Incurred in November: $1,322,385

[1] *Current Contract Value = Original contract value (not including contingency) + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$0
DBE % Attained:	0%

November Change Orders		
Change No.	Description	Amount ($)
None	---	---
	Cumulative to Date	**$7,616,377**



KEY ISSUES:

- No issues.

B. General Engineering Consultant III (GEC-3)

Contract No.: MM-913
Contractor: CH2M HILL
Contract Start Date: December 2013
Contract Completion: April 2019, with option to extend for up to three (3) additional years

Project Description: HART GEC III support services include: schedule and estimating, interface coordination, environmental and planning, design management support services, and program management (aka GEC III contract project management).

Project Overview: The GEC III is supporting HART with procurement packages, review of independent cost estimates, evaluation of east segment schedules, and developing Hawaiian Electric Facility avoidance and minimization impact alternatives.

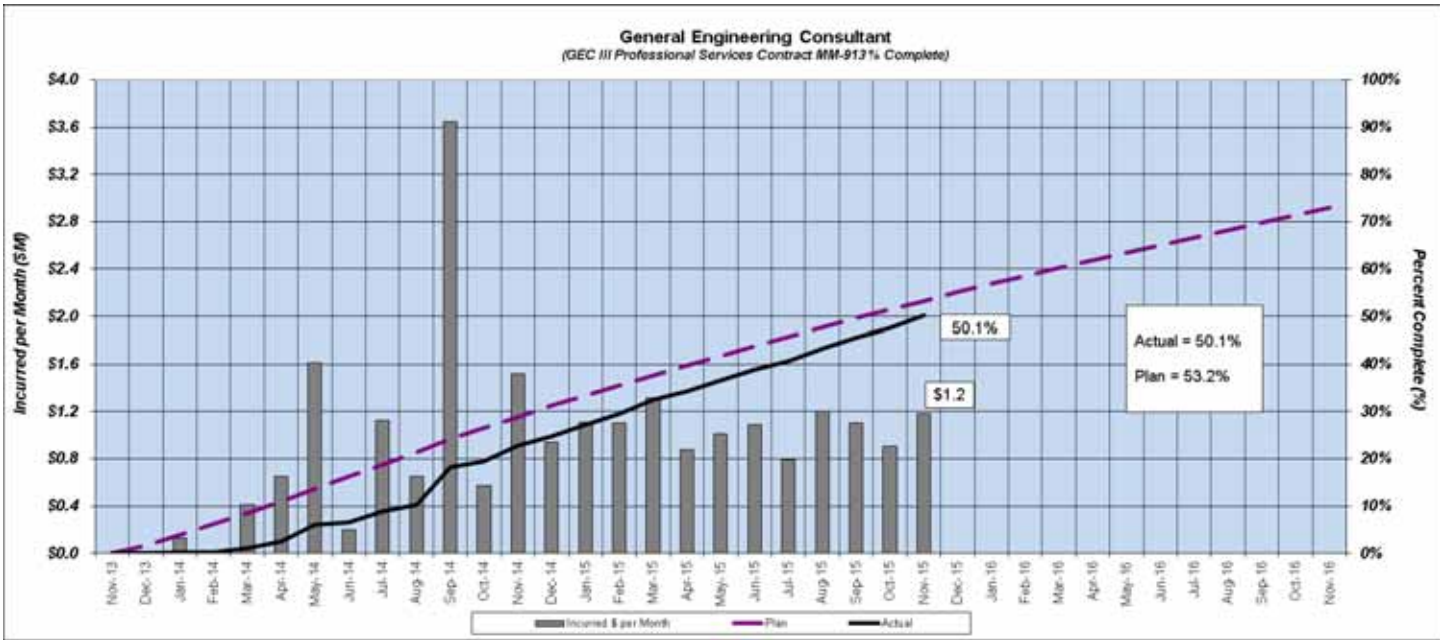
COST INFORMATION:

Original Contract: $46,143,277	Incurred-to-Date: $23,135,837
Current Contract Value[1]: $46,143,277	Incurred in November: $1,181,622

[1] *Current Contract Value = Original contract value (not including contingency) + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$1,970,775
DBE % Attained:	4.27%

November Change Orders		
Change No.	Description	Amount ($)
None	---	---
	Cumulative to Date	**$0**



KEY ISSUES:

- Integrating schedule estimates for interim opening and revenue service opening with financial forecast and estimate to complete of contracted work.
- Participate in task force to develop alternatives to meet clearance requirements for Hawaiian Electric facilities.
- Continue progress on Historic Context Studies and permits.
- Provide support to procurement for KHSG, Airport Guideway and Stations (AGS), and City Center Guideway and Stations (CCGS).

C. Construction Engineering & Inspection West Side Sections

Contract No.: MM-290
Contractor: PGH Wong Engineering, Inc.
Contract Start Date: January 2014
Contract Completion: January 2020
Projected Substantial Completion: December 2018

Project Description: The West Side Section CE&I (West CE&I) team is providing Construction Engineering and Inspection Services (CE&I) for the West Section, which includes aerial guideway, stations, maintenance & storage facility, and garage & transit center from East Kapolei in West O'ahu to Aloha Stadium, of the 20-mile Honolulu Rail Transit Project (HRTP) for the Honolulu Authority for Rapid Transportation (HART).

The West CE&I team provides HART staff augmentation for construction management and administration services to monitor and observe the design-build and design-bid-build construction work such that the projects are constructed in general conformity with the plans, specifications, and special provisions for the WOFH, KHG, MSF, west section station group's and PHGT contracts. These CE&I services also include: constructability review, resident engineering, on-site field oversight, project controls, scheduling review, change management, cost control, document controls, contract administration, construction cost estimating, environmental monitoring, surveying, material testing, interface coordination and claims analysis.

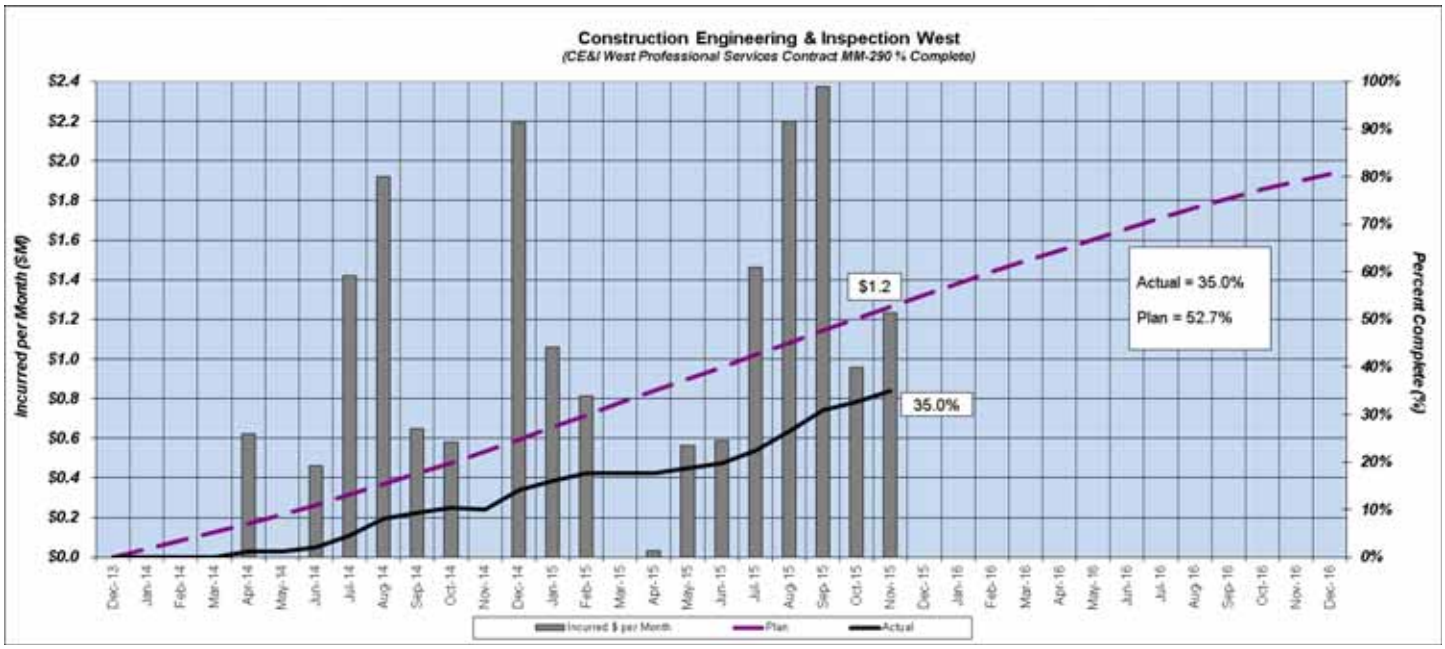
COST INFORMATION:

Original Contract:	$54,232,480	Incurred-to-Date:	$18,959,937
Current Contract Value[1]:	$54,232,480	Incurred in November:	$1,234,621

[1]*Current Contract Value = Original contract value (not including contingency) + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$2,102,266
DBE % Attained:	3.88%

November Change Orders		
Change No.	Description	Amount ($)
None	---	---
	Cumulative to Date	**$0**



KEY ISSUES:

- In the process of procuring a combined field office space to support the staffing requirements for the west section station group's multiple procurement contracts. A contract amendment will be required to increase the other direct cost reimbursement allowance.
- Recent schedule discussions on guideway and stations contracts need to be aligned with anticipated West CE&I staffing durations.

D. Construction Engineering & Inspection East Side Sections

Contract No.: MM-595
Contractor: URS Corporation
Contract Start Date: January 2014
Contract Completion: December 2015 (MOD no. 1)
Substantial Completion: October 2015

Project Description: The URS team provided Construction Engineering and Inspection Services (CE&I) for the east section of the Honolulu Rail Transit Project (HRTP) for the Honolulu Authority for Rapid Transportation (HART).

CE&I services included: constructability review, resident engineering, construction observation, project controls, scheduling, change management, cost control, document controls, contract administration, estimating, environmental monitoring, surveying, material testing, interface coordination, geographic information system (GIS) support and claims analysis. The primary role of the URS team was to inform the HART project manager of any significant omissions, substitutions, defects, and deficiencies noted in the work of the contractor and the corrective action that has been directed by HART to be performed by the contractor.

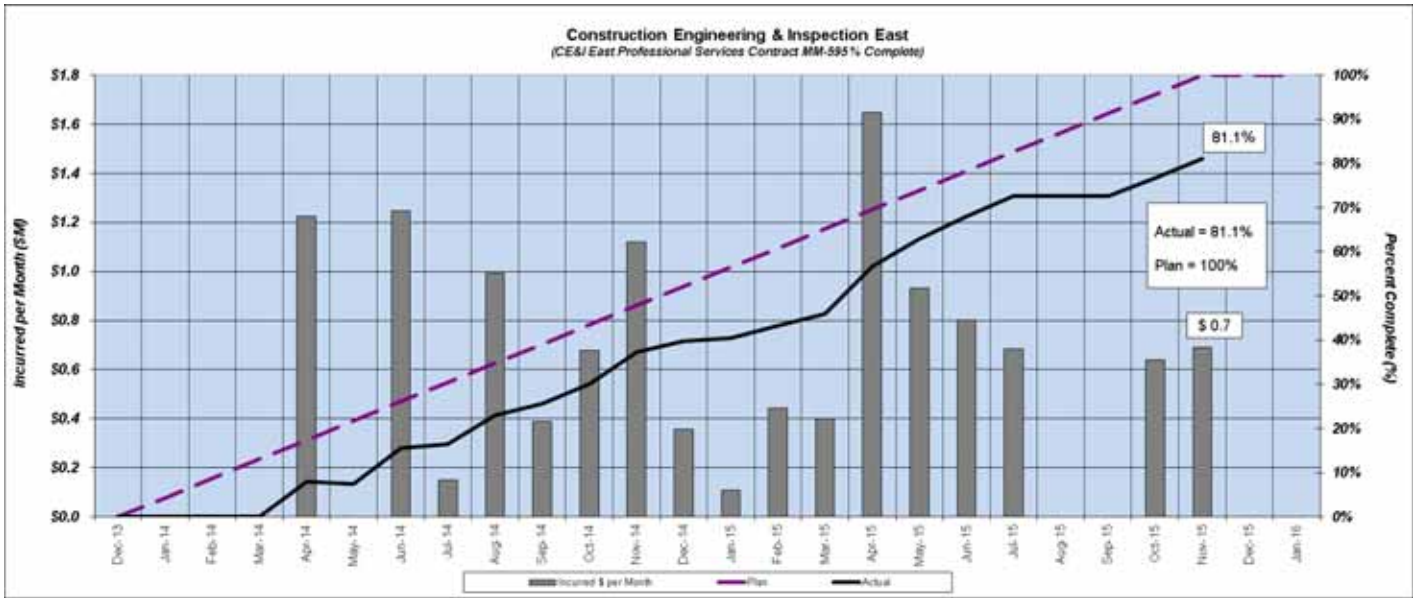
COST INFORMATION:

Original Contract: $63,083,417	Incurred-to-Date: $12,377,950
Current Contract Value[1]: $15,257,000	Incurred in November: $691,632

[1] *Current Contract Value = Original contract value (not including contingency) + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$1,578,800
DBE % Attained:	10.35%

November Change Orders		
Change No.	Description	Amount ($)
None	---	---
	Cumulative to Date	**-$47,826,417**



KEY ISSUES:

- The new CE&I consultant for the East Section was issued NTP in September 2015. All URS field staff was successfully transitioned off of the project in October 2015, and the final closeout of the URS contract is ongoing. Once the contract is closed, this contract page will be removed from the Progress Report.

E. Construction Engineering & Inspection (CE&I) II Contract

Contract No.: MM-596
Contractor: Stantec Consulting Services Inc.
Contract Start Date: September 2015
Contract Completion: December 2019
Projected Substantial Completion: December 2019

Project Description: The Stantec team has assumed the responsibility for Construction, Engineering and Inspection (CE&I) services for the East Section of the Honolulu Rail Transit Project (HRTP) for the Honolulu Authority for Rapid Transportation (HART). The Stantec team is providing services from the preconstruction phase through construction closeout. CE&I II services include: constructability review, resident engineering, construction observation, project controls, scheduling, change management, cost control, document controls, contract administration, estimating, environmental monitoring, surveying, material testing, interface coordination, geographic information system (GIS) support, and claims analysis for the Airport Guideway and Stations design-build contract, City Center Guideway and Stations design-build contract, Airport Section Utilities Construction contract, Dillingham Utilities and Roadway contract, Elevators and Escalators Design-Furnish-Install-Maintain contract (construction phase only) and Construction On-Call II work. The primary role of the Stantec team is to inform the HART Project Manager of any significant omissions, substitutions, defects, and deficiencies noted in the work of the contractor and the corrective action that has been directed by HART to be performed by the contractor.

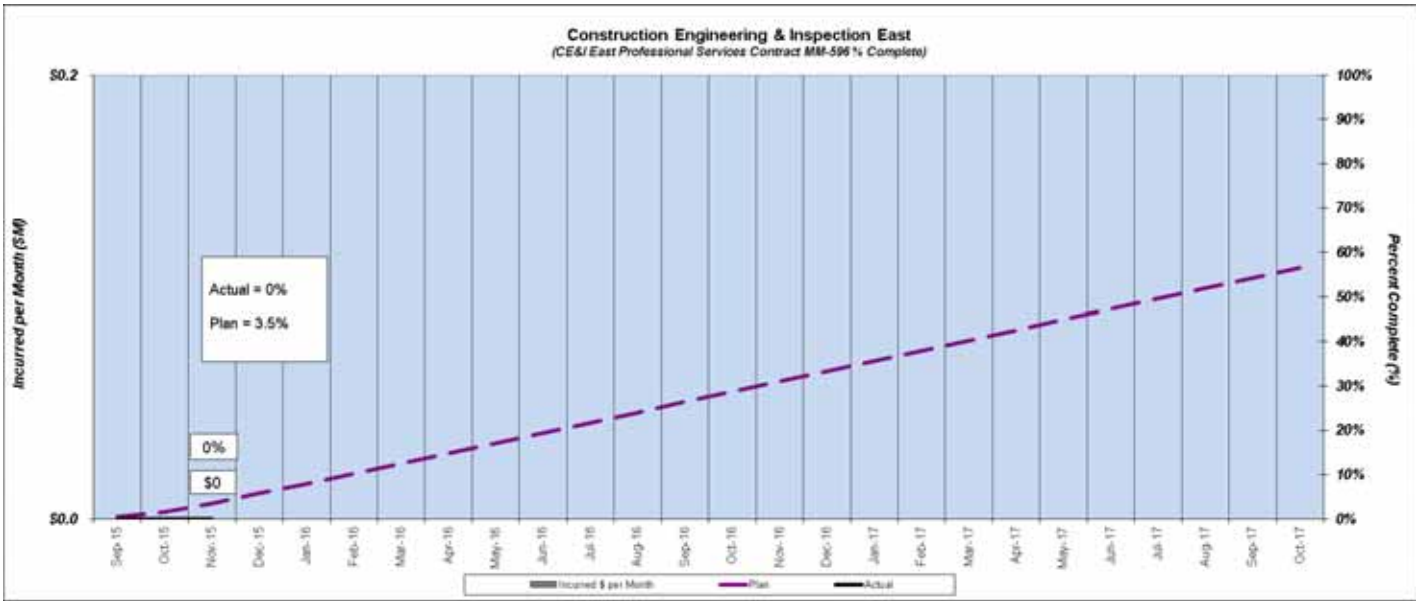
COST INFORMATION:

Original Contract:	$55,036,130	Incurred-to-Date:	$0
Current Contract Value[1]:	$55,036,130	Incurred in November:	$0

[1]*Current Contract Value = Original contract value (not including contingency) + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$0
DBE % Attained:	0%

November Change Orders		
Change No.	Description	Amount ($)
None	---	---
	Cumulative to Date	**$0**



KEY ISSUES:

- The East Section CE&I II team is completing the review and submittal of the NTP deliverables due (90) days after NTP (Sept. 14, 2015). The project team is completing the documents as planned, and is scheduled to have all documents submitted to HART for review and acceptance by January 2016.
- HART has requested an Independent Cost Estimate (ICE) be performed on the Airport Guideway and Stations DB contract, the Dillingham Utilities and Roadway DBB contract, and the City Center Guideway and Stations DB contract. The ICE's are currently in process, and scheduled to be delivered to HART in March 2016.

F. Core Systems Contract Oversight Consultant

Contract No.: MM-962
Contractor: Lea+Elliott, Inc.
Contract Start Date: February 2014
Contract Completion: August 2019
Projected Substantial Completion: N/A

Project Description: Provide professional services for design and construction management and testing/commissioning oversight of the Core Systems Design-Build-Operate-Maintain (DBOM) contract. The major systems of the Core Systems DBOM contract are the vehicles, automated train control (ATC) system, traction electrification system, communications system, and platform screen gate system (PSGS). Services include review and approval of design submittals, manufacturing oversight, installation oversight, operation/maintenance design oversight and support, system testing/acceptance, and contract close-out.

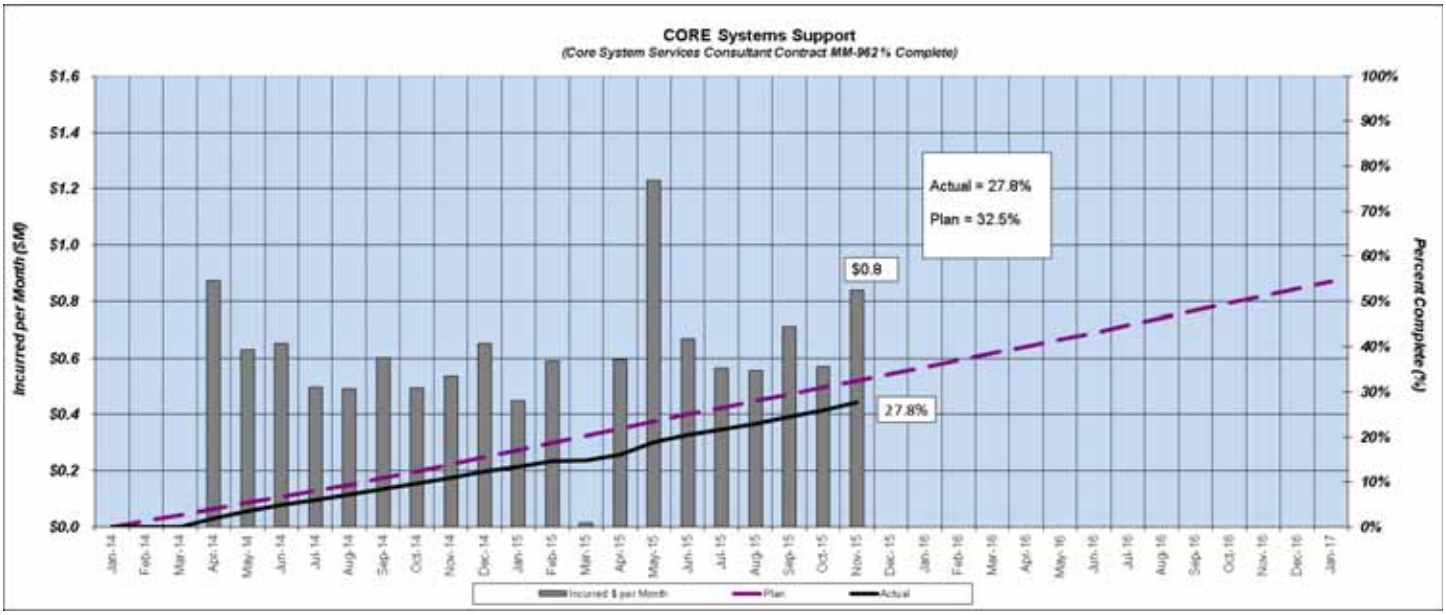
COST INFORMATION:

Original Contract: $43,988,989	Incurred-to-Date: $12,221,628
Current Contract Value[1]: $43,988,989	Incurred in November: $838,680

[1]*Current Contract Value = Original contract value (not including contingency) + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$294,308
DBE % Attained:	0.67%

November Change Orders		
Change No.	Description	Amount ($)
None	---	---
	Cumulative to Date	**$0**



KEY ISSUES:

- Coordination with other contractors on construction access milestones.
- Review and acceptance of procedures for factory acceptance tests.
- Design review completion with respect to manufacturing fabrication and test schedule.

G. On-Call Construction Contractor

Contract No.: MM-945
Contractor: Royal Contracting Co. Ltd.
Contract Start Date: August 2014
Contract Completion: July 2019
Projected Substantial Completion: The On-Call Contract is Task Order based with each Task Order having a specific Substantial Completion date.

Project Description: The On-Call Contract performs tasks not generally covered in the general construction contracts. These activities include demolition of structures; repairs to existing HART facilities; relocation of trees and other minor facilities such as bus stops, street lighting, etc.; minor civil/utility work, and repair of third-party facilities such as road repair/patching as requested by HDOT in the HART right-of-way and as allowed by third-party agreements. The intent of the On-Call Contract is to provide HART a contractual tool to address those required work items not easily addressed by the general contractors working to specific scopes.

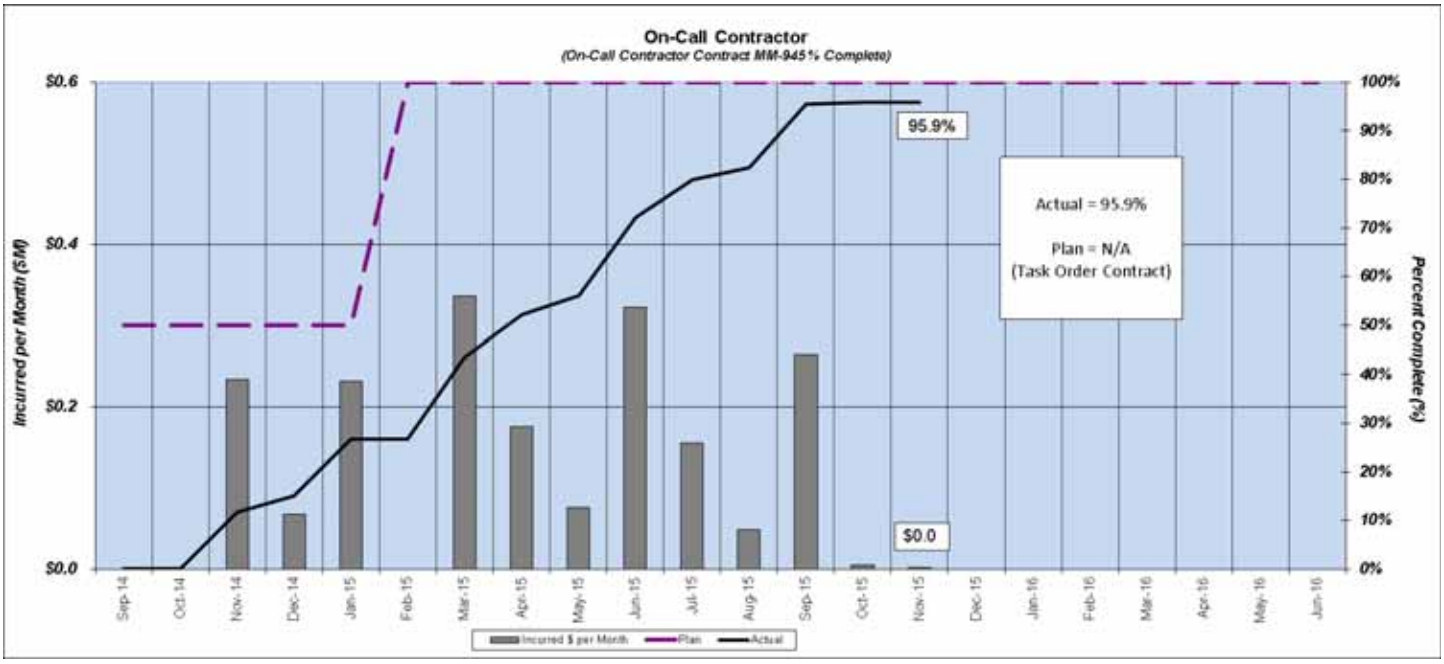
COST INFORMATION:

Original Contract:	$1,000,000	Incurred-to-Date:	$1,918,233
Current Contract Value[1]:	$2,000,000	Incurred in November:	$1,588

[1]*Current Contract Value = Original contract value (not including contingency) + executed Change Orders*

DBE Participation	
Actual DBE Participation:	$460,024
DBE % Attained:	23%

November Change Orders		
Change No.	Description	Amount ($)
None	---	---
	Cumulative to Date	**$1,000,000**



KEY ISSUES:

- To date, the On-Call Contractor has successfully:
  - demolished twenty-six buildings located in the WOFH, KHG and City Center right-of-way.
  - relocated/removed more than 70 trees in the Airport right-of-way, and four trees located along Dillingham.
  - repaired/protected multiple facilities owned by HART.
- The On-Call Contractor is in the process of working with HART's right-of-way group and owners in providing cost to cure solutions to properties which will need modification in achieving cleared right-of-way in the Airport and City Center sections of the guideway.
- As of December, 26 of the 28 buildings targeted for demolition were completed. All demolition work includes the abatement of any hazardous materials identified prior to demolition. Two remaining structures are scheduled for demolition in January 2016, as the current tenant has not yet relocated from the building.
- Maintenance of landscaping along Kamehameha Highway continued during the month of December.
- Continued to support the Core Systems contractor for work at MSF.
- Continued to support the Airport Utility contractors work by performing asbestos abatement.

5 OVERALL PROJECT-WIDE ACTIVITIES

Permits (Section 5.1)

OVERVIEW

- HART and Kiewit have minimized the use of excavators/backhoes to address resident concerns about noise levels in construction areas along the West O'ahu/Farrington (WOFH) and Kamehameha Highway Guideway (KHG) sections.

KEY ISSUES

- HART has begun an ambient noise study in the airport section to establish the baseline noise levels.

Hawai'i Department of Transportation (HDOT) Agreements (Section 5.2)

OVERVIEW

- Ongoing coordination for Intelligent Transportation Systems (ITS), Maintenance of Traffic (MOT) and final operational expectations. Temporary ITS is fully operational and temporary Closed Circuit Cameras are in place to observe traffic and make appropriate adjustments to signal timing as necessary. Signal timing, in most cases, is maximized in the westbound direction during the afternoon peak. HART has been coordinating with DTS on adjustments.

KEY ISSUES

- Discussions begin with HDOT to include project funding for betterments being requested by HDOT. An MOU is drafted and being transmitted for HDOT comment.
- Ensure all agreement requirements have been met for HDOT Airports.

Utility Agreements (Section 5.3)

OVERVIEW

- Draft City Center Construction Agreements have been issued to HTI, TW telecom, and Oceanic for review and comment. Awaiting information from the Utilities to finalize the outstanding agreements.

KEY ISSUES

- HART continues to address multiple issues with HECO that may affect the design and construction of planned work. HART is continuing to meet with HECO on a weekly basis to resolve the issues. Executive meetings continue to include HART's Executive Director and CEO, and HECO's President.

Right-of-Way (Section 5.4)

(Data as of Dec. 14, 2015)

OVERVIEW

- Currently, there are no ROW actions impeding construction work. Site control has been obtained for nearly 14 million square feet or nearly 93% of the total square footage that is required for the project. The ROW team continues to seek site access or complete acquisitions to ensure construction is not delayed. The process is continuing for parcels that may require eminent domain proceedings, although HART is simultaneously negotiating with owners to obtain access.

KEY ISSUES

- Working to resolve third-party agreement with UH Honolulu Community College in order to allow construction to proceed without delay.
- Working to obtain right of entry from Aloha Stadium for station park-and-ride construction.
- HART proposed the use of irrevocable right of entry documents (Right-of-Entry, Possession and Use Agreement) to gain control of a parcel prior to eminent domain. However, the use of the irrevocable right of entry has been delayed due to concerns expressed by owners regarding liability arising from third parties. This approach is a modification of the current procedures, and HART has updated the Real Estate Acquisition and Relocation Management Plan (RAMP) to include this approach. HART is refining the proposal to address the owners' concerns.
- The Honolulu City Council process has been completed for the following eminent domain cases. While the HART Board has proceeded by approving the resolutions authorizing eminent domain, the HART staff is still striving to reach an agreement with each owner.
  - Five (5) cases were initiated in May 2015, to support the schedule for the Airport Guideway and Stations Design-Build (DB) contract.
  - Twenty (20) cases were initiated in June 2015, primarily to support the schedule for the City Center Guideway and Stations DB contract.
  - Four (4) cases were initiated in July 2015, primarily to support the schedule for the City Center Guideway and Stations DB contract. One case was not submitted because of design refinements, and the Honolulu City Council rejected one of the cases.
  - Seven (7) cases were initiated in August 2015, primarily to support the schedule for the City Center Guideway and Stations DB contract and five of the cases were forwarded to the Honolulu City Council. Two cases required amendments and were withheld.
  - Four (4) cases were initiated in September 2015, to support the schedule for the Airport, and the City Center Guideway and Stations DB contracts. The Honolulu City Council rejected one of the cases.
  - One (1) case was initiated in November 2015, to support the schedule for the City Center Guideway and Stations DB contract.
  - HART continues to negotiate with each property owner in an attempt to reach mutual agreement. However, several more parcels may be proposed to the HART Board of Directors for eminent domain to support east DB contracts.

5.1 Permits

- **Permits Submitted and In-Progress**
  - HART submitted a Stream Channel Alteration Permit (SCAP) application for Kalihi Stream.
  - HART submitted a request for determination of permit required to the US Army Corps of Engineers (USACE) and the 404 application for Nuuanu Stream.
  - HART submitted the 404 application for Kalihi Stream to the USACE.
  - HART will continue consultation with FTA regarding Essential Fish Habitat for City Center segment streams.

- **Permits and Approvals Granted**
  - HART received approval from the HDOH for the Farrington Highway Station Group (FHSG) National Pollutant Discharge Elimination System construction permit, which enables the discharge of storm water from the project to receiving state waters.
  - HART received an extension for the KHG Noise Variance permit, which enables night work activities until July 8, 2016.
  - HART received an approved floodway permit, which allows for construction of a transit station within Waiawa Stream.
  - HART received a provisional nationwide permit from the USACE for proposed work at Nuuanu Stream. The USACE also determined that the application for the Kapalama Canal was complete.

- **Look Ahead**
  - Upcoming significant permit activity:
    - HART will submit the Noise Permit Variance application for the City Center construction activities.
    - HART will submit a renewal of the KHG Community Noise permit for continued construction from Pearl Highlands to Aloha Stadium.
    - HART will conduct an ambient noise study in the City Center section of the project.

5.2 Hawai‘i Department of Transportation (HDOT) Agreements

- **Activities this month**
  - Alignment-wide, the HDOT Traffic Management Consultant (contract MM-915) continues to review traffic signals, ITS and construction Maintenance of Traffic (MOT) for HDOT.
  - Kiewit is responsible for maintenance of Farrington Highway and Kamehameha Highway as part of the Master Agreement.
  - The HDOT Design Coordination Consultant for the WOFH section (contract MM-920), AECOM Technical Services, Inc. (AECOM), continues to review design submittals for HDOT.
  - AECOM, the HDOT Design Consultant for the KHG section (contract MM-921), continues to review design submittals for HDOT.
  - SSFM, the HDOT Design Coordination Consultant for the Airport and City Center Guideway sections (contract MM-922), is reviewing guideway design submittals for HDOT.

- **Look Ahead**
  - Execution of the City Center Joint Use and Occupancy.

5.3 Utility Agreements

Utility Agreements Status Matrix

Utility Owner	Status	WOFH		KHG		Airport		City Center	
		ESA	UCA	ESA	UCA	UCA	COMBINED ESA		UCA
AT&T (Corporation)	*Executed*	5/11/11	12/20/11	5/18/12	Including with Airport	Combining with KHG & City Center	12/26/13		Including with Airport
	NTP	5/12/11	12/21/11						
	Amd 01	7/1/11	HRS Ch 104			HRS Ch 104			Temp Poles
AT&T (Government Solutions)	*Executed*			12/26/13	Pending	Combined with AT&T Corp	12/26/13		Combined with AT&T Corp
	NTP								
Chevron	*Executed*	12/4/09		11/4/11					
	NTP	12/22/09		11/15/11					
	Amd 01	7/1/11							
Hawaiian Telcom	*Executed*	5/20/10	11/17/14	5/10/12	12/31/14	5/28/15	9/27/13		Draft sent to HTI Temp Poles
	NTP	6/14/10	11/18/14						
	Amd 01	7/1/11		4/13/15					Temp Poles
	Amd 02	5/10/12							
HECO	*Executed*	4/20/12 Agreement superseded by Design & Construction Services Agreements - CLOSED		7/12/12 Agreement superseded by Design & Construction Services Agreements - CLOSED			Airport (1 of 2) and City Center Bridging Agreements superseded by Design Services Agreements - CLOSED; 2nd Airport pending final payment		
	NTP								
		Pre-Construction - CLOSED		Pre-Construction – CLOSED					
	Executed	10/30/13		10/4/13					
	Expired	11/29/13		11/29/13					
		Design Services	Construction Services	Design Services	Construction Services	Design Services	Construction Services	Design Services	Construction Services
	Executed	11/20/13	11/29/13	11/20/13	11/29/13	11/20/13	Clarifying Schedule	11/25/13	Clarifying Schedule Temp Poles
	NTP	11/20/13	11/29/13	11/20/13	11/29/13	11/20/13		11/25/13	
	Amd 01								Temp Poles
	Memorandums of Understanding	8/7/14 – Construction Drawings							
		5/1/15 - Access							
		5/15/15 - Derrick Truck							
		6/23/15 - Master Agreement							
		6/9/15 - MSF Advanced Construction							
		9/16/15 - Right of Entry							
		10/12/15 – Clearance (West)				Dillingham Blvd Materials-with HECO for signature			
		Power Quality Pending							
Oceanic Time Warner Cable	*Executed*	12/8/09	12/21/11	1/9/12	6/2/14	12/19/14	4/3/13		Draft sent to Oceanic Temp Poles
	NTP	12/22/09					4/4/13		
	Amd 01	7/1/11	2/27/14		HRS Ch 104	HRS Ch 104			Temp Poles
	Amd 02	10/7/13	HRS Ch 104						HRS Ch 104
Pacific Lightnet/ Wavecom	*Executed*	4/28/10	3/12/12	2/15/12					
	NTP	4/29/10	3/13/12	2/16/12					
	Amd 01	7/1/11	HRS Ch 104						
Sandwich Isle Communications	*Executed*	5/20/10		4/20/12					
	NTP	6/8/10							
	Amd 01	7/1/11							
Hawai'i GAS	*Executed*	12/18/09	6/30/11	6/1/12	4/14/14	8/19/14	9/27/13		5/8/15
	NTP	12/22/09	7/12/11			8/20/14			5/11/15
	Amd 01	7/1/11	10/17/14		8/28/14	HRS Ch 104			HRS Ch 104
	Amd 02		HRS Ch 104		10/23/15				
	Amd 03				HRS Ch 104				

Utility Agreements Status Matrix									
Utility Owner	*Status*	WOFH		KHG		Airport		City Center	
		ESA	UCA	ESA	UCA	UCA	COMBINED ESA		UCA
TW telecom	*Executed*	12/2/09		2/14/12	Oceanic to relocate for TW telecom		10/11/12		Draft sent to TW telecom Temp Poles
	NTP	12/22/09		2/16/12					
	Amd 01	7/1/11							Temp Poles
	Amd 02								HRS Ch 104
Tesoro	*Executed*			2/15/12	9/12/13		8/27/13		
	NTP			2/16/12			9/3/13		
	Amd 01				9/12/14				
	Amd 02				5/13/15				
	Amd 03				HRS Ch 104				

Legend: = Action this month; = Not applicable

COR = Corporation Counsel
ESA = Engineering Services Agreement
UCA = Utility Construction Agreement
UFRCRA = Combined Engineering and Construction Utility Agreement

WOFH

- All WOFH agreements have been executed.

KHG

- All KHG agreements have been executed.

AIRPORT

- All engineering utility agreements for the Airport section have been executed.
- HART is reviewing AT&T comments to the draft Construction Agreement. It is not necessary for this agreement to be in place for the Airport Segment utility construction.

CITY CENTER

- All engineering utility agreements for the City Center section have been executed.
- HART reviewed AT&T comments and the revised draft Construction Agreement was sent back to AT&T for review.
- HART has submitted the Utility Construction Agreement for City Center to OTWC for review/comments.
- HART has submitted a draft of the Utility Construction Agreement to TW telecom for review/comments.
- Looking Ahead:
  - Execute Oceanic City Center UCA.
  - Execute Hawaiian Telcom City Center UCA.
  - Execute AT&T City Center UCA.

HECO

- **Davis-Bacon requirements –** HECO has established a collective bargaining agreement – which does not align with Davis-Bacon requirements – for which HART on behalf of HECO has submitted a conformance request to the Department of Labor. HART is coordinating to resolve this with HECO.
- **HECO 46kV Substation near MSF area –** HECO indicates a need in the 2018-2019 timeframe for a new 46kV substation to feed the MSF area due to requirements in HECO Rule 13. Initial planning indicates that a currently un-used location on the MSF property may be suitable for this facility. HECO is investigating a 'system' substation, which would also feed the area surrounding the MSF.
- **Additional Clearances –** HECO indicates the need for additional horizontal working clearances from overhead pole alignments and additional buffer radial clearances from the actual overhead high-voltage lines.
  - ***Horizontal Working Clearances Analysis –*** HECO is reviewing the current overhead pole and line locations to identify areas where accessibility for HECO maintenance is a concern. HART is currently reviewing the results of HECO's analysis. Additional HECO re-evaluation is ongoing for pole locations with sub-optimal clearance. HART will also be setting up meetings to further discuss and resolve this with HECO.
  - ***Bronto Bucket Truck Rental/Testing –*** To allow for increased accessibility for HECO maintenance personnel when considering horizontal working clearances, HECO identified a bucket truck with a telescoping boom (versus a knuckle) and with extendable outrigger supports (versus swinging outrigger supports). The truck allows for greater accessibility and less required setup space than the current larger HECO bucket trucks. HART has agreed to reimburse HECO for 3 months of rental for an un-insulated model of the proposed Bronto Bucket Truck. HART is currently reviewing the HECO Horizontal Working Clearance study. HART will also be setting up meetings to further discuss and resolve this with HECO.

- **New Service Connections –** HECO service requests are required for new electrical services for the MSF, Passenger Stations and Systems Sites (traction power facilities). The Passenger Station designers are providing the service request for the stations and the Core Systems Contractor is providing the service request for the systems sites.
  - ***MSF –*** Service request approved via receipt of HECO Final Cost Letter and HECO design drawings. Installation of the MSF service is complete, buildings are energized.
  - ***Passenger Stations and Systems Sites –*** HECO service request reviews are in progress and approvals are anticipated for the west side stations and systems sites. HECO is working to finalize its designs and cost estimates.

5.4 Right-of-Way (data as of Dec. 14, 2015)

BUDGET

	Baseline Budget	Expended	Remaining Budget Balance	Estimate to Completion	Forecast Variance
Acquisition	$ 201.70	$ 79.90	$ 121.80	$ 109.30	$ 12.50
Relocation	$ 20.50	$ 9.70	$ 10.80	$ 16.80	$ (6.00)
Total (Million)	$ 222.20	$ 89.60	$ 132.60	$ 126.10	$ 6.50

Note

* Administrative overhead costs aggregated with the Acquisition and Relocation numbers

* Estimate to complete based on offers, appraisals or assessed values

ACQUISITIONS

Figure 13. Right-of-Way Status for the Parcels [data provided by Real Estate Acquisition database (READ)]

	Current No. of Parcels Needed	Appraisals In Process	(a) Appraisals Completed or N/A	Letters of Offer Sent or N/A	Offers Accepted or N/A	Possession Granted For Condemnation	Agreements Completed	Site Control Obtained	Relocations Completed	Properties Available for Contractor	(b) Acquisitions Completed
Full Acquisition											
W.Oahu\Farrington	16		16	16	15	1	2	16	13	16	15
Kamehameha	3		3	3	3			3	1	3	3
Airport	5		5	5	5	1		5	3	4	4
City Center	18		18	18	18			16	14	16	16
TOTAL	*42*		*42*	*42*	*41*	*2*	*2*	*40*	*31*	*39*	*38*
Partial Acquisition											
W.Oahu\Farrington	3		3	3	3			3		3	2
Kamehameha	4		4	3	2	1		3		3	1
Airport	11		11	11	7		1	7		4	1
City Center	77		76	76	37	2		11		4	6
TOTAL	*95*		*94*	*93*	*49*	*3*	*1*	*24*		*14*	*10*
Easement											
W.Oahu\Farrington	16		16	15	15		6	16		10	6
Kamehameha	6		6	6	6		1	6		6	1
Airport	34		34	34	28		4	28		27	4
City Center	30		30	30	10		1	1		1	1
TOTAL	*86*		*86*	*85*	*59*		*12*	*51*		*44*	*12*
GRAND TOTAL	*223*		*222*	*220*	*149*	*5*	*15*	*115*	*31*	*97*	*60*

During design development, the real estate requirements have been adjusted to accommodate the design refinements. Parcel requirements are adjusted as design is finalized.

Footnotes: a) 'Appraisals Completed' include appraisals for privately-owned parcels and government parcels.
b) 'Acquisitions Completed' include 45 privately-owned parcels, and 15 'Agreements Completed' for the transfer or joint use of government-owned parcels.

KAMEHAMEHA

- Issues:
  - Negotiating with Aloha Stadium Authority to obtain right of entry for the construction of the station park-and-ride. HART has obtained the right of entry to construct the guideway.
  - In order to support the relocation of utility easements in the Kamehameha section, eminent domain proceedings have been initiated for one case. The HART Board approved the resolution to notify the Honolulu City Council of eminent domain. The City Council approved eminent domain, but negotiations are still continuing with the private property owner in an attempt to reach mutual agreement.

AIRPORT

- Issues:
  - Continuing negotiations with TMK 1-1-002-001.
  - Closely monitoring the Airport Station mapping process.
  - Reviewing design changes for TMKs 1-2-013-020 and 1-2-013-021.
  - In order to support the upcoming procurement for the Airport Guideway and Station DB contract, eminent domain proceedings have been initiated. Negotiations are still continuing with all private property owners in the Airport section in an attempt to reach mutual agreement. Through November, the HART Board approved the resolutions to notify the Honolulu City Council of eminent domain. The City Council approved eminent domain and the status of these cases are:
    - 1 Order of Possession obtained
    - 3 in escrow
    - 7 in negotiations
- Look Ahead:
  - Working towards completing Post Office acquisition and Airport agreements.

CITY CENTER

- Issues:
  - Continuing to place priority on obtaining site control and acquiring parcels in the Dillingham section.
  - Negotiating with UH Honolulu Community College to secure construction right of entry for the City Center guideway.
  - Working to resolve issues with TMKs 1-2-009-011 and 1-2-009-098.
  - Negotiating with the owner of fifteen parcels which have complex issues, as well as TMK 2-1-031-030.
  - Reviewing current design for TMK 2-3-039-011.
  - In order to support the upcoming procurement for the City Center Guideway and Station DB contract, eminent domain proceedings have been initiated. Negotiations are still continuing with all private property owners in the City Center section in an attempt to reach mutual agreement. Through November, the HART Board approved the resolutions to notify the Honolulu City Council of eminent domain. The City Council approved eminent domain for most of the cases and the status of the cases are:
    - 2 obtained by Order of Possession
    - 5 acquired
    - 5 in escrow
    - 14 in negotiations
    - 2 rejected by the Honolulu City Council
    - 1 withdrawn due to design changes
  - Other parcels may be presented to the HART Board for eminent domain in the coming months, to ensure that the construction schedule is maintained. HART continues to negotiate with each property owner in an attempt to reach mutual agreement.
- Look Ahead:
  - Evaluate and address the need to advance additional recommendations for eminent domain in order to achieve the Project's schedule.
  - Closely monitor the acquisitions in relation to construction schedules for City Center.
  - HART has received a counteroffer with contingencies from an owner of thirteen parcels, which HART is addressing.

RELOCATIONS

Figure 14. Relocation Status for the Occupants (data provided by READ)

Section	Residential Relocations (a)	Business Relocations (b)	Not-For-Profit Relocations (c)	Total Relocations (a+b+c)	Relocation Assessment Completed	90-Day Notice Sent	30-Day Notice Sent	Relocations Completed for Occupants
W.Oahu\Farrington	18	6	1	25	12	12	8	25
Kamehameha		4		4	4	3	3	4
Airport		13		13	5	10		7
City Center	16	66		82	31	55	22	53
Grand Total:	***34***	***89***	***1***	***124***	***52***	***80***	***33***	***89***

WEST O'AHU/FARRINGTON

- Look Ahead:
  - The Phase II Environmental Site Assessment report has been received for TMK 9-6-004-006. A tentative settlement has been reached and is subject to FTA concurrence.

AIRPORT

- Issue:
  - Continuing relocation for TMK 1-1-016-006.
- Look Ahead:
  - Plans are continuing for several relocations.

CITY CENTER

- Issue:
  - Continuing negotiations with TMK 2-3-002-059.
- Look Ahead:
  - Planning and monitoring the relocation of several commercial tenants.

THIRD-PARTY AGREEMENTS

Figure 15. Third-Party Agreement Status

Third-Party Agreements				
Agreement	**Status**	**Target**	**Section**	**Notes/Remarks**
City Agreements				
City Joint Use Memorandum of Understanding	Pending	March 2016	WOFH, KHG, Airport, City Center	In process.
DFM – Dept. of Facility & Maintenance (Kamehameha Hwy/Makalapa Manor)	Executed		Airport	Jurisdictional transfer from DFM to HART in place.
DPR - Dept. of Parks & Recreation (MSF drainage)	Executed		WOFH	Consent to construct in place.
State Agreements				
UH - University of Hawai'i Master Agreement	Pending	April 2016	WOFH, KHG, City Center	Final negotiations are ongoing. Will secure Right of Construction as not to delay the project.
UH -West O'ahu (UHWO) Pre-Construction Right of Entry	Executed		WOFH	Consent to construct in place.
UH - West O'ahu (UHWO) Construction Right of Entry for Station	Executed		WOFH	Consent to construct in place to be followed by execution of the UH Master Agreement.
UH - Leeward Community College (LCC) Pre-Construction Right of Entry	Executed		WOFH	Consent to construct in place.

Third-Party Agreements				
Agreement	Status	Target	Section	Notes/Remarks
UH - Leeward Community College (LCC) Construction Right of Entry for Guideway	Executed		WOFH	Consent to construct in place to be followed by execution of the UH Master Agreement.
UH - Leeward Community College (LCC) Construction Right of Entry for Station	Executed		WOFH	Consent to construct in place to be followed by execution of the UH Master Agreement.
UH - Urban Garden Pre-Construction Right of Entry	Executed		KHG	Consent to construct in place.
UH - Urban Garden Construction Right of Entry	Executed		KHG	Consent to construct in place to be followed by execution of the UH Master Agreement.
UH - Urban Garden Kiewit Construction Right of Entry	Executed		KHG	Consent to construct in place.
UH - Honolulu Community College (HCC) Pre-Construction Right of Entry	Executed		City Center	Consent to construct in place.
UH - Honolulu Community College (HCC) Construction Right of Entry for Guideway & Station	Pending	April 2016	City Center	In negotiations. Concerted effort is being made to finalize.
DLNR – Dept. of Land and Natural Resources Kapolei Right of Entry	Executed		WOFH	Consent to construct in place to be followed by execution of the easement agreement.
DLNR – Kapolei Easement	Pending	March 2016	WOFH	Easement agreement in process.
DLNR – Keehi Lagoon Right of Entry	Executed		Airport	Consent to construct in place to be followed by execution of the easement agreement.
DLNR – Keehi Lagoon Easement	Pending	March 2016	Airport	Process Easement Agreement.
DOE – Dept. of Education Master Agreement and Consent to Construct (Waipahu H.S.)	Executed		WOFH	Consent to construct in place. Jurisdictional Transfer in process.
Aloha Stadium / Department of Accounting & General Services (DAGS) MOU for guideway & station	Executed		KHG	MOU in place.
Aloha Stadium / Department of Accounting & General Services (DAGS) Right of Entry for guideway (for Kiewit)	Executed		KHG	Limited ROE granted for staging for Kiewit for KHG contract.
Aloha Stadium / Department of Accounting & General Services (DAGS) Right of Entry for guideway	Executed		KHG	Consent to construct in place to be followed by execution of the easement agreement.
Aloha Stadium / Department of Accounting & General Services (DAGS) Easement for guideway	Pending	March 2016	KHG	Easement Agreement in process.
Aloha Stadium / Department of Accounting & General Services (DAGS) Right of Entry for station park and ride	Pending	February 2016	KHG	In negotiations.
Aloha Stadium / Department of Accounting & General Services (DAGS) Easement for station park and ride	Pending	March 2016	KHG	Process Easement Agreement.
HDOT(H) – Dept. of Transportation Highways Master Agreement	Executed		WOFH	Master Agreement in place.
HDOT(H) - Master Agreement for KHG, Airport and City Center	Executed		KHG, Airport, City Center	Master Agreement in place.
HDOT(H) – Joint Use & Occupancy (JU&O) Sub-agreement	Executed		WOFH	Consent to construct in place.
HDOT(H) – Joint Use & Occupancy (JU&O) Sub-agreement	Executed		KHG	Consent to construct in place.
HDOT(A) – Dept. of Transportation Airports Joint Use & Occupancy (JU&O) Sub-agreement for Airport Division parcels	Executed		Airport	Consent to construct in place.
HDOT(A) – Dept. of Transportation Airports Joint Use & Occupancy (JU&O) Sub-agreement for Airport leased/revenue parcels	Pending	February 2016	Airport	Sub-agreement in process for leased/revenue parcels.

Third-Party Agreements				
Agreement	Status	Target	Section	Notes/Remarks
HDOT(A) - Joint Use & Occupancy (JU&O) Sub-agreement	Pending	February 2016	City Center	Sub-agreement in process for leased/revenue parcels.
HDOT(A) - Easement Agreement for Airport Division parcels	Pending	February 2016	Airport	Process Easement Agreement.
DHHL - Dept. of Hawaiian Home Lands Master Agreement	Executed		WOFH, MSF	Master Agreement in place.
DHHL – Dept. of Hawaiian Home Lands License	Executed		WOFH, MSF	Consent to construct in place.
OCCC - Dept. of Public Safety, Oahu Correctional facility Agreement Dillingham Blvd.	Pending	April 2016	City Center	Finalizing requirements.
HCDA -HI Community Development Agreement	Pending	June 2016	City Center	Coordination is ongoing.
DAGS – Dept. of Accounting & General Services / HHFDC Right of Entry	Pending	March 2016	City Center	Consent to construct in process to be followed by execution of the Easement Agreement.
DAGS – Dept. of Accounting & General Services / HHFDC Easement	Pending	March 2016	City Center	Process Easement Agreement.
Federal Agreements				
U.S. Navy Licenses	Executed		WOFH, KHG, Airport	Consent to construct in place. Formal notification is forthcoming, however, immediate access is granted.
U.S. Navy Licenses	Pending	March 2016	WOFH, KHG, Airport	Land court documents processed and awaiting recordation and filing.
U.S. Navy Pearl Harbor Station Acquisition of Fee Transfer	Adopted	February 2016	Airport	Congressional approval received and immediate access is granted. Conveyance documents are in process.
U.S. Post Office Honolulu Processing Center acquisition	Pending	April 2016	Airport	In negotiations.
U.S. Gov't/GSA/Federal Courthouse Agreement & Landscape Plan	Pending	February 2016	City Center	Draft agreement is under review and discussions are ongoing.
Other Agreements				
D.R. Horton Agreement for Construction	Executed		WOFH	Consent to construct in place to be followed by execution of the easement agreement.
D.R. Horton Final Easement Agreement	Pending	March 2016	WOFH	Easement Agreement in process.

6 MANAGEMENT AND ADMINISTRATIVE UPDATES

Safety and Security (S&S) (Section 6.1)

OVERVIEW

- **S&S Certification Program**
  - **Certification documents:** (See status chart in Section 6.1)
  - **Design Criteria Conformance Checklists (DCCC) development and verification:** (See status chart in Section 6.1)
  - **Civil – Construction Spec Conform Checklist (CSCC) development/verification:** (See status chart in Section 6.1)
  - **Core Systems – Spec/Testing Conform Checklist (STCC) development/verification:** (See status chart in Section 6.1)
  - **Base Operational Readiness Conformance Checklists (ORCC):** Verification underway.
  - **PHAs and Core Systems SSHAs/O&SHAs:** The following Core Systems HA are ready for January 2016 SSRC review/approval:
    - Vehicle/ATC SSHA; UPS O&SHA; FDAS O&SHA
  - **TVA:** No change, on hold - pending Airport Guideway/Stations and City Center Guideway/Stations re-design.
  - **Open Items List (OIL):** (See status chart in Section 6.1)
  - **Hazard Tracking Log:** The HTL has been updated and transmitted.
  - **Interim Certification Requirements:**
    - The Base Interim Certification Conformance Checklists are under review and programed for January 2016 SSRC review/approval for the following interim certification requirements:
      - The delivery of 3-MOW Vehicles – Vehicle Mover, Multi-Purpose Vehicle, and Enclosed Trailer
      - The delivery of Passenger Vehicle (PV-001)
  - **Key S&S Certification related meetings held in December 2015**:
    - Passenger Vehicle Certification meeting: 12/3/2015
    - PMOC monthly review meeting: 12/9/2015
    - Fire Life Safety Working Group (FLSWG) meeting: 12/8/2015
    - Safety and Security Review Committee Meeting: 12/9/2015
    - Safety and Security Certification Working Group: 12/15/2015
    - Interim Certification Working Group meetings: 12/17/2015
    - Bi-weekly and/or monthly project coordination meetings with Core Systems, MSF, WOFH and KHG
    - HART Safety and Security weekly meeting with HDOT
- The SSRC approved the following certification documents on 12/8/2015:
  - FHSG - LCC and West Loch Stations DCCC verification
  - WOSG - UH West O'ahu, Ho'opili, and East Kapolei Stations DCCC verification
  - Two (2) Passenger Vehicle (PV) Base STCCs
    1) General requirements – Applies to all Vehicles, 2) Interim Certification to enter Dynamic Testing
  - The base ORCC.
- **S&S Certification Certificates:** See status chart in Section 6.1: The 12 month milestone projection is updated.
- **Construction Safety and Security:** Please see status chart in Section 6.1.

KEY ISSUES

- The rail plinths remain an outstanding issue. A proposed plan by the contractor was reviewed by HART Engineering. The contractor will proceed at risk for the work. The extended fasteners beyond the Compendium of Design Criteria (CDC) requirement must be approved and signed off by the RE's prior to HART Safety and Security acceptance.
- The CDC lighting levels for the MSF complex remains an issue. The lighting levels are inadequate to support rail yard operations and basic security concerns, and are under internal review based on PHA and TVA results.
- The zoning of the MSF complex as "Parks and Recreational" remains an issue. An internal review is on-going to determine if the zoning needs to be modified to an industrial zone to better support rail system operations and maintenance.
- HART Safety is developing a certification document collection point through CMS to SharePoint for easy access to publish certification certificates with a link to all supporting documentation. This change will facilitate any audit requirements as the Project progresses through each lifecycle.
- Safety and Security is presently lacking one (1) position (Safety Specialist). Staff has divided the work in the interim.

Quality Management (Section 6.2)

OVERVIEW

- The HART QMP and HART-approved QAPs of contractors, consultants and suppliers have been assimilated by their respective employees and are being implemented as standard operating procedures. Therefore, less and less Nonconformance Reports (NCR) are reported or encountered.
- Overall quality of the Project is good.
- There are two (2) major NCRs remaining on the WOFH contract and one (1) major NCR on the KHG contract that need to be addressed and corrected to prevent recurrence and mitigate impact on the overall progress of the project. These NCRs are discussed in more detail in the Key Issues of Section 6.2.
- Reviewing KIWC responses to the audit findings on Public Information for WOFH and KHG.
- Reviewing PGH Wong (CE&I West) responses to the audit findings for WOFH, KHG, MSF and EE contracts.
- Issued QA audit report to AHJV on the Core System Configuration Management Plan held on Nov. 5, 2015.
- Performed Combined Internal QA and Safety Audit of HART on Dec. 1-8, 2015.
- Performed Joint (KKJV, AHJV and HART) Final Walkdown of Phase 2 Tracks (S1-S6 and T1) at the MSF Yard. A HART Punchlist was issued to KKJV for completion.

KEY ISSUES

- Erection and finishing of spans (12-segments) and installation of permanent "shear keys" between the WOFH guideway columns and both ends of the spans.
- Construction of KHG drilled shafts, columns and segments (Casting Facility).
- Resolution of two (2) major WOFH NCRs: cracked segments 1, 2, 11 and 12 of Span 17 repair, and Direct Fixation Shims Tolerances.
- Resolution of one (1) major KHG NCR: Drilled Shafts (Crosshole Sonic Logging Reports) quality and repairs.
- Construction of MSF Yard Ballasted Track: Alignment, Profile, Geometry, Sub-ballast, Drainage, Ballast, Grade Crossings, Welding, Stress Relieving, Concrete Ties, Contact Rail, Switches, etc.
- Installation and welding of rails and turnouts on top of the WOFH guideway.
- Construction of WOFH and KHG Balanced Cantilever Segmental Spans.
- Manufacturing of Carbody(s) at Hitachi Rail Italy and its subcontractor manufacturing facilities in Italy.
- Final Assembly of passenger vehicles at Hitachi Rail Italy facility in Pittsburg, CA.
- Pre-shipment, Inspection & Testing (I&T) and First Article Inspections (FAI) of wayside core system and passenger vehicles materials, parts and components.

Buy America Compliance (Section 6.3)

OVERVIEW and KEY ISSUES

- HART is reviewing the issue involving the variable refrigerant flow (VRF) HVAC system for the train control and communications rooms at the stations.

Disadvantaged Business Enterprise (Section 6.4)

OVERVIEW

- $31,557,347 = total dollar participation for all DBEs on all HART contracts from 9/24/07 to 12/31/15.

Planning and Environment (Section 6.5)

OVERVIEW

- HART's Planning and Environmental team continues to collaborate with city, state, and federal agencies to ensure proper environmental review occurs in advance of procurement and construction activities. Monitoring and compliance efforts regarding the Programmatic Agreement are ongoing.

KEY ISSUES

- HART is completing final review of environmental documentation and requirements for Airport and City Center Stations and Guideway bid packages as well as completing final Post-Record of Decision (Post-ROD) documentation of project design refinements and needs.

Risk Management (Section 6.6)

OVERVIEW

- There are a total of 138 risks in the December 2015 risk register, compared to 208 a year ago. The City Center Guideway and City Center Stations risks were combined this month. And for tracking purposes, the HECO Clearance issues were combined and are now being tracked at a Program Wide level. The issue has escalated significantly and goes well beyond the scope of what a project manager can manage in a single project. The net effect is there were 13 risks deleted and 6 new risks added for the month. During the month, risk reviews were focused on the West Section and conducted for WOFH, KHG, WOSG, FHSG, MSF, H2R2, KHSG, and Pearl Highlands Garage, Transit Center and Ramp H2R1.

KEY ISSUES – West Side

- HECO Clearance requirements will have significant impacts on WOFH and KHG in addition to those already anticipated on the Dillingham portion of City Center.
- WOFH is substantially complete with their underground work giving rise to schedule predictability and risk reduction of changed site condition.
- KHG utility related work is keeping up with requests and is about 50% complete with subsurface work. Utility easement requirements are still ongoing.
- WOSG related third party coordination is nearing completion with respect to the Hoʻopili Station area.
- The protest on FHSG will likely have a schedule impact to the program related to access dates and substantial completion.
- The MSF is progressing toward completion. As other downstream works connect and catch up, there may be interface assumptions that do not work out as smoothly as coordinated at this time. The site will be ready to receive vehicle delivery.
- H2R2 grading permit related issues are resolved, but not without some delay to schedule.

Community Outreach (Section 6.7)

OVERVIEW

- HART expands its business outreach program with the launch of its Shop, Dine & Shuttle program designed to assist local businesses impacted by construction.
- HART's outreach team participated in nearly a dozen presentations, meetings and events this month, including holiday events along the alignment.

KEY ISSUES

- Traffic management continues to be a key issue surrounding construction work in the project's corridor. HART's public outreach team responded to more than 125 public inquiries this month. Inquiries were related to traffic, construction and business outreach programs.
- Business mitigation remains a priority for HART's outreach team. Meetings with businesses and stakeholders in the urban core also continued this month.

Staffing (Section 6.8)

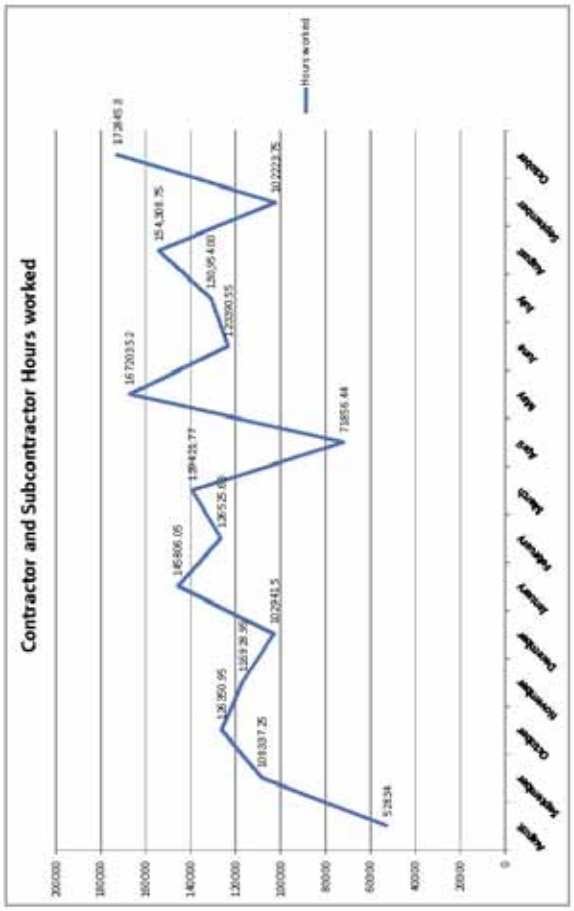
OVERVIEW

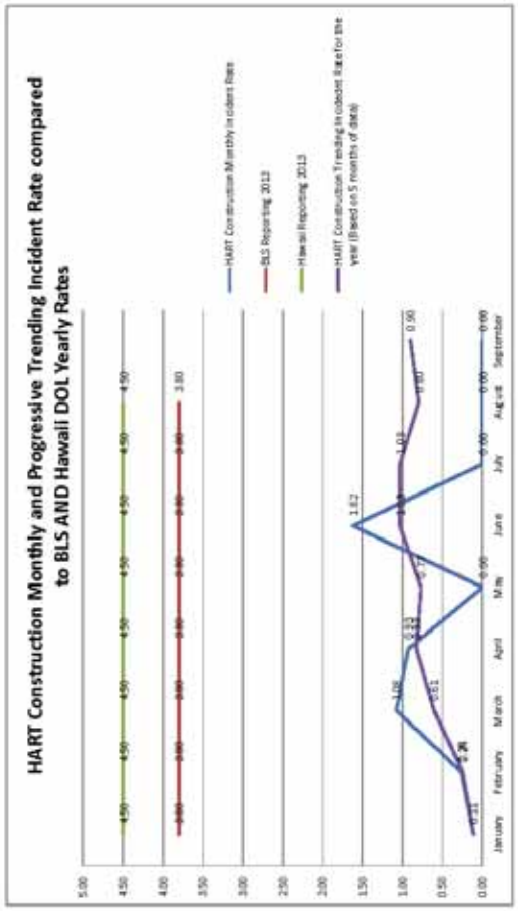
- The Assistant Project Manager of the ROC has been selected for the KHSG/H2R2 Project Manager position as a promotional opportunity.
- Both Information Specialist positions in Public Information have been filled.
- The Assistant Deputy of Transit Property Acquisition and Relocation will be transitioned from a Project Management Consultant (PMC) employee to a City employee in January.
- A full-time position dedicated to monitoring contractor weekly payroll submissions for timeliness and non-compliance with the Davis-Bacon Act has been established and filled.
- HART prioritizes filling all vacancies with City employees and supplements the City staff with PMC when required and appropriate.

KEY ISSUES

- The organization chart has been updated to reflect personnel changes. There are no major structural changes to the current chart. The current chart is dated Dec. 11, 2015.

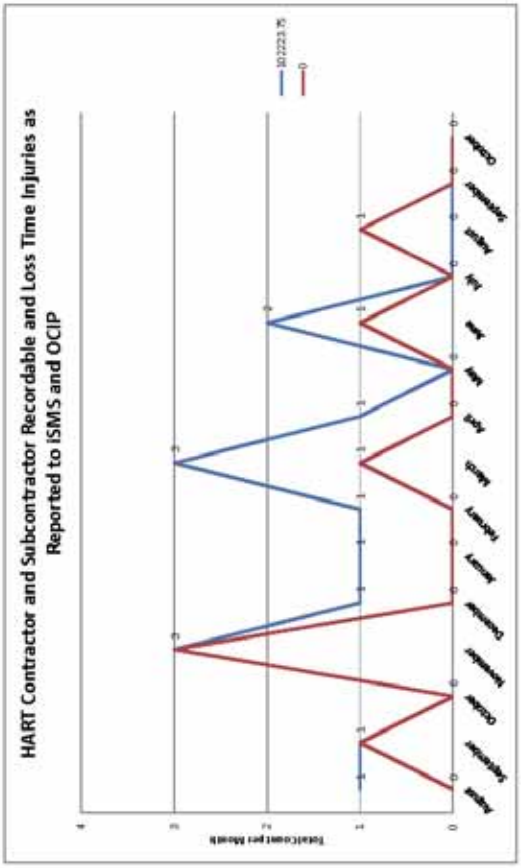
6.1 Safety and Security





	2014			2015		
	Hours worked	No. of Recordable	No. of Loss Time	Hours worked	No. of Recordable	No. of Loss Time
January				145806.05	1	0
February				126525.65	1	0
March				139421.77	3	1
April				71856.44	1	0
May				167203.52	0	0
June				123,380.66	2	1
July				130954.00	2	1
August	52834	1	0	154300.0	0	0
September	108337.25	1	1	102223.75	0	1
October	126350.95	0	0	172845.3	0	0
November	118928.99	3	0			
December	102941.5	1	0			
Total	507392.69	6	1	1617162.41	8	3

Work Hours for WOFH, HHS, MSF, Air Port, CORE System as reported to OCIP and certified



Project-Wide Incident Activity					
Event Type	Total Number of Events since 1/1/2007	Total Number of Events for December 2015	Loss Type	Date	Event Description
Environment	15	0			
Loss or Damage	32	2	a) Minor Damage b) Minor Damage to multiple vehicles	a) 12/4/15 b) 12/21/15	a) CORE Systems: Watts forklift struck a doorframe with a skid of cable tray. B) WOFH: Grout line on span 252 of balanced cantilever broke, causing grout to spray onto the H-1 causing minor damage to several 3rd party vehicles.
*Reportable Occupational Injury/Illness	0	0			
Security	56	0			
**Loss Time Occupational Injury/Illness	6	0			
Road/Vehicle - Driving	84	1	a) Minor Damage	a) 12/18/15	a) MSF: Company truck was damaged driving over ground rod on site.
Service Strike	70	5	a) Minor Damage b) Minor Damage c) Minor Damage d) Minor Damage e) Minor Damage	a) 12/3/15 b) 12/4/15 c) 12/14/15 d) 12/22/15 e) 12/30/15	a) Airport Utilities: Excavator struck an abandoned 16" pipe. b) Airport Utilities: Excavator struck an unmarked 3" steel pipe. c) Airport Utilities: An unmarked direct bury cable was struck during excavation d) Airport Utilities: Struck an unidentified 2" conduit containing 2 wires while potholing. e) Airport Utilities: While milling for a sewer line, a traffic signal conduit was struck.

*Reportable incidents: Requires OSHA to be notified within 8 hours, and includes the death of an employee or hospitalization of three or more employees.
**Loss Time Injury: Time away from work due to injury.

HART S&S Certification "Open Items List" *Last 6 Months Status*						
"Open Items" - Design/Construction and Verification Issues						
Month - 2015	Total #	Total # Open	Total # Closed	% Closed Overall	# closed In Month	% Closed In Month
July	**143**	81	62	**43%**	48	33%
August	**154**	88	66	**42%**	4	3%
September	**154**	88	67	**44%**	1	1%
October	**193**	85	108	**56%**	41	18%
November	**205**	55	150	**73%**	44	21%
December	**205**	48	157	**77%**	07	3%

Note: Total #s are carried over from month to month

Key HART S&S Certification Documents *Update & Approval Status*			
S&S Project Plans, PHAs, Core Systems SSHA & O&SHA, and TVA			
Documents	Revision #	Date Approved	Comments
Safety and Security Management Plan (SSMP)	Rev 5	10/16/2015	SSMP signed
Safety and Security Certification Plan (SSCP)	Rev 4.B	12/14/2015	SSCP signed
WOFH SSCP	Rev 0	10/22/2014	SSRC approved - No future updates: HART SSCP is in affect
Construction Safety & Security Plan (CSSP)	Rev 2	10/16/2015	
Security Sensitive Information (SSI) Plan	Rev 0	12/15/2015	SSI plan signed
Project Preliminary Hazard Analysis (PHAs)	Rev 2.A	Pending	Rev 2A – DRAFT annual update completed 9/3/2015
- MSF – Yard and Shop	Rev 2.A	-	11/06/2015 HART Safety internal review/update
- Alignment	Rev 2.A	-	11/06/2015 HART Safety internal review/update
- Tracks	Rev 2.A	-	11/06/2015 HART Safety internal review/update
- Stations	Rev 2.A	-	11/06/2015 HART Safety internal review/update
- Traction Power	Rev 2.A	-	Update on-hold - Pending approval of TES SSHA and O&SHA
- Train Control	Rev 2.A	-	Update on-hold - Pending approval of ATC related SSHA & O&SHA
- Vehicles	Rev 2.A	-	Update on-hold - Pending approval of PV related SSHA & O&SHA
- Communications	Rev 2.A	-	Update on-hold - Pending approval of Comms SSHA and O&SHA
Core Systems Contract (CSC) PHAs (DBOM)	Rev E	-	11/30/2015 – Under HART Review
- Technologies PHAs	Rev C	-	10/29/2015 – CSC R&R
- Central ATC O&SHA	Rev C	9/23/2015	SSRC approved
- Wayside ATC SSHA	Rev B	-	11/14/2014 – CSC Revise & Re-submit (R&R)
- Wayside ATC O&SHA	Rev D	9/23/2015	SSRC approved
- Wayside/ATC SHA	Rev C	-	1/6/2015 – CSC R&R
- SCADA O&SHA	Rev D	-	7/14/2015 – CSC R&R
- SCADA SSHA	Rev C	-	3/10/2015 – CSC R&R
- Vehicle Fire Hazard Analysis (FHA)	Rev B	-	8/28/2015 – CSC R&R
- Vehicle SSHA	Rev A	-	8/31/2015 – CSC R&R
- Vehicle O&SHA	Rev A	-	10/26/2015 – CSC R&R
- Vehicle/ATC SSHA	Rev E	-	HART Accepted (ACC) - 11/02/2015 – ready for Jan SSRC approval
- Vehicle/ATC O&SHA	Rev F	-	12/17/2015 – Under HART Review
- TES SSHA	Rev B	-	11/03/2015 – CSC R&R
- TES O&SHA	Rev B	-	11/03/2015 – CSC R&R
- PSGS PHAs	Rev A	-	Under development
- PSGS O&SHA	Rev A	-	12/8/2014 – CSC R&R
- PSGS SSHA	Rev B	-	10/05/2015 – CSC R&R
- UPS O&SHA	Rev C	-	HART Accepted (ACC) - 11/04/2015 – ready for Jan SSRC approval
- Communications SSHA	Rev B	-	11/30/2015 – Under HART Review
- Communications O&SHA	Rev B	-	11/24/2015 – CSC R&R
- FDAS SSHA	Rev B	-	11/03/2015 – CSC R&R
- FDAS O&SHA	Rev B	-	HART Accepted (ACC) - 11/24/2015 – ready for Jan SSRC approval
- MOW Support Vehicles O&SHA	Rev A	-	Under development
Project Threat & Vulnerability Assessments (TVAs)	Rev 1	1/16/2015	On hold pending contract restructure & re-design

S & S Design Criteria Conformance Checklist (DCCC) Civil and Core Systems Contracts Verification Status						
Design Phase				Construction / Installation /Testing		
Contracts: FD, DB, DBOM	% Verified	+ / - % Change	Comments: Design SSRC Approval Date	% Verified	+ / - % Change	Comments: C/I/T SSRC Approval Date
Civil Contracts Under Construction						
FD-430, Airport Section 7-Piers	100%	N/A	6/17/2015	100%	N/A	8/26/2015
FD-430, Airport Utilities	100%	N/A	6/25/2014			
FD-340, H2R2 Ramps	100%	N/A	5/27/2015			
DB-200, MSF	96%	-	1/28/2015			
DB-120, WOFH Guideway - 38 total – Sub CEL/CIL Packages	99%	-	35 Sub - CELs/CILs SSRC approved	20%		
DB-320, KHG Guideway - 40 total – Sub CEL/CIL Packages	97%	-	34 - Sub CELs/CILs, SSRC approved			
FD-240, Farrington Hwy Station Group	99%	-	3- station- 12/09/2015			
FD-140, West Oahu Station Group	99%	-	3 stations 12/09/2015			
FD-340, Kamehameha Highway Station Grp	100%		3 Stations – 8/26/2015			
MI-930, Elevators & Escalators	-	-	Base DCCC 8/26/15			
Civil Contracts Under Design or in Pre-bidding Status						
FD-530, City Center Utilities	-	-	On hold – re-designing			
AP00 Art-in-Transit, 23 artists/contracts	-	-	Base DCCC under review			
MI-900 Fare Collection System	-	-	Under Development			
DB-275, Pearl Highlands PS/BTC	-	-	Base DCCC under review			
FD-600, West O'ahu Park & Ride	-	-	Base DCCC under review			
DB-xxx, Traction Power Generator System	-	-	Base DCCC under review			
DB-450, AG & Stations Group (AGS)	-	-	2016 Redesign			
DB-550, CCG & Stations Group (CCGS)	-	-	2016 Redesign			
DBOM-920 Core Systems Contracts Under Procurement - Production - Manufacture - Installation						
DBOM-920, Core Systems						
- Passenger Vehicles (PV)	-	-	Designer input underway			
- Traction Electrification System (TES)	-	-	Designer input underway			
- MOW Vehicles	-	-	Base DCCC 9/23/2015			
- Yard Control Bungalow (YCB) Civil CSC	48%	-	DCCC under review			
DBOM-920 Core Systems Contracts Under Design						
DBOM-920, Core Systems						
- Traction Power Generator Back-up System	-	-	Base DCCC under review			
- Communication System	-	-	Designer input underway			
- Fire Detection Alarm System (FDAS)	-	-	Designer input underway			
- Train Control System (TCS)	-	-	Designer input underway			
- SCADA	-	-	Designer input underway			
- Platform Screen Gate System (PSGS)	-	-	Designer input underway			

S & S Construction Specification Conformance Checklists (CSCC) Civil - Contracts Verification Status			
Construction - Installation – Start-up & Testing Phases			
Contracts	% Verified	+ / - % Change	Comments
Civil Contracts Under Construction			
DBB-525, Airport Section, 7 - Drilled Shafts	100%	N/A	8/26/2015 SSRC approved –Certification Completed
DB-200, MSF	37%	+2%	Verification underway
DB-120, WOFH Guideway	44%	-	Verification underway
DB-320, KHG Guideway	8%	+4%	Verification underway
DBB-505, Airport Utilities - Construction	28%	-	Verification underway
DBB-385, Ramp H2R2	-	-	Base CSCC approved, 5/27/2015
DBB-271, Farrington Hwy Station Group	-	-	Base CSCC approved, 7/22/2015
DBB-171, West O'ahu Station Group	-	-	Draft Base CSCC updated, 8/6/2015 under PM review
MI-930, Elevators & Escalators, WOSG	-	-	Base CSCC SSRC approved, 8/26/2015
MI-930, Elevators & Escalators, FHSG	-	-	Base CSCC SSRC approved, 8/26/2015
MI-930, Elevators & Escalators, KHSG	-	-	Base CSCC SSRC approved, 8/26/2015
Civil Contracts Under Design or in Bidding - Pre-bidding Phases			
DBB-371, Kamehameha Hwy Stations Grp	-	-	Draft Base CSCC Updated 8/20/2015 under PM review
MI-930, Elevators & Escalators, AP/CC Stations	-	-	Base CSCC SSRC approved 8/26/2015
AP00 Art-in-Transit, 23 Artists/contracts	-	-	Draft Base CSCC under review
DBB-510, Dillingham Utilities & Roadway	-	-	Draft Base CSCC in hand
DB-275, Pearl Highlands PS/ Bus Transit Center	-	-	TBD
MI-900 Fare Collection System	-	-	Under Development
DBB-600, West O'ahu Park & Ride	-	-	TBD
DB-450, AG & Stations Group (AGS)	-	-	On hold pending re-design
DB-550, CCG & Stations Group (CCGS)	-	-	On hold pending re-design

S & S Specification/Testing Conformance Checklists (STCC) Core Systems - Contracts Verification Status			
Procurement - Production - Manufacture - Installation - Start-up & Testing Phases			
Contracts	% Verified	+ / - % Change	Comments
DBOM-920 Core System Contracts under Procurement - Production - Manufacture - Installation - STCC			
Passenger Vehicles/Cars			
1) General Requirements – Applies to all PVs	-	-	SSRC approved, 12/09/2015
2) Vehicle - Interim Cert – for Dynamic Testing	-	-	SSRC approved, 12/09/2015
3) Train/4-PV Cert for Pre-revenue Service	-	-	Base STCC under development
Traction Electrification System (TES)	-	-	
1) General Requirements – Project Wide	-	-	Draft base STCC under review
2) MSF – Rail Yard	-	-	Draft base STCC under review
3) Functional Track – WOFH Guideway	-	-	Draft base STCC under review
4) WOFH and KHG Guideways	-	-	Draft base STCC under review
5) Airport and City Center Guideways	-	-	Draft base STCC under review
Yard Control Bungalow (YCB) Civil	-	-	Base STCC pending 12/09/2015 SSRC approval
MOW Vehicles	-	-	Draft base STCC under review
Operational Requirements			
- Operational Readiness Conformance Checklists	5%	-	SSRC approved 12/09/2015
DBOM-920 Core Systems Contracts Under Design- STCC			
- System Integration Testing (SIT)	-	-	Draft base STCC updated & under review – 5 - STCCs
- Traction Power Generators Back-up System	-	-	Draft base STCC under review
- Communication Systems	-	-	Draft base STCC under review
- Fire Detection Alarm System (FDAS)	-	-	Base STCC under development
- Train Control System (TCS)	-	-	Base STCC under development
- Supervisory Control & Data Acquisition (SCADA)	-	-	Base STCC under development
- Platform Screen Gate System (PSGS)	-	-	Base STCC under development

S & S Certification Certificates *Issued to Date and 12 Month Milestones*		
Certification Certificates Issued	***Date Signed***	***Comments***
FD-430 & DBB-525 Airport Section 7-Piers Contracts & Certifiable Element *"Guideway"*	**9/21/2015**	None – No open Items
Projected Certification Certificates & Interim Certifications next 12 Months	***Milestone Dates***	***Comments***
1. YCB Civil Contract - Core Systems	**February 2016**	Civil only
2. MOW Vehicles - Interim Certification (Hard Certification Date)	**2/1/2016**	3 - MOW vehicles & tracks
3. PV-001 Delivery - Interim Certification (Hard Certification Date)	**3/31/2016**	MSF/Tracks/PV-001/IT/Ops
4. DB-200, MSF Contract & Certifiable Element	**May 2016**	Civil Only
5. DBB-505, Airport Utilities Contract and Certifiable Element	**September 2016**	Civil Only
6. PV-001, Interim Certification to enter Dynamic Testing	**September 2016**	PV-001 only
7. Rail Yard Test Track # 1 – Interim Certification	**September 2016**	Civil-Track, TES, PV-001,IT, Ops
8. Functional Track – WOFH Guideway – Interim Certification – Test Track # 2	**October 2016**	Civil and Core Systems
9. PV-002, Interim Certification to enter Dynamic Testing	**November 2016**	PV-002 only
10. DBB-385, H2R2 Contract and Certifiable Element	**December 2016**	Civil only
11. DB-120, WOFH Guideway Contract and Certifiable Element	**December 2016**	Civil Only

6.2 Quality Management

- **Overview**
  - The HART QMP and HART-approved QAPs of contractors, consultants and suppliers have been assimilated by their respective employees and are being implemented as standard operating procedures. Therefore, less and less Nonconformance Reports (NCR) are reported or encountered.
  - Overall quality of the Project is good.
  - Review and approve contractors, consultants and suppliers new and updated QAPs including Inspection and Test Plans (ITP). Completed review of QAP of Nan, Inc. for the WOSG contract, QAP of Royal Contracting on Ramp H2R2, and QAP of Hawaiian Dredging for the FHSG contract.
  - Conducted biweekly Quality Task Force (QTF) meetings with CE&I, contractors and consultants QA teams to discuss the status of: design and construction activities; procurement activities; inspection and testing; NCRs; Corrective Actions (CARs) and Preventative Actions (PARs); quality compliance; various process improvements; quality economics, and Buy America compliance.
  - Participated in Pre-Activity Meetings for scheduled construction activities: CSC (EK TPSS and SCADA Racks [WY, WLO, LCC], MSF (Traction Power Cable Installation and Drilling of 3rd Rail); and KHG (Guideway Span by Span Erection).
  - Performed Combined QA and Safety Internal Audit of HART on Dec. 1-8, 2015.
  - Performed Joint (HART, KKJV, AHJV) Final Walkdown of Phase 2 Tracks (S1-S6 and T1) at the MSF Yard. A Punchlist was created and issued to KKJV by HART for completion.
  - Witnessed and checked the concrete pouring of the joining segments of Balance Cantilever Span 254 (top of H-2 On-Ramp).
  - Perform Management System Audits (QA, Environmental and Buy America); 2015 Combined Management System Audit Schedule as shown below:

HONOLULU AUTHORITY for RAPID TRANSPORTATION

COMBINED MANAGEMENT SYSTEM AUDIT SCHEDULE

YEAR: 2015 Rev 13

KEY	Local Audit	Remote Audit	Continental U.S. Audit	International Audit

CONTRACT PACKAGE NUMBER	DESCRIPTION	CONTRACTOR / CONSULTANT / SUPPLIER	AUDIT NUMBER	DATE SCHEDULED	DATE PERFORMED	DATE CLOSED
CCH-100	Honolulu Authority for Rapid Transportation (HART)	HART	15-009 QA	12/01 - 12/08	12/01 - 12/08	
	Honolulu Authority for Rapid Transportation (HART) -Security & Safety Only		15-009 SS	12/01 - 12/08	12/01 - 12/08	
CT-HRT-10HO137	West O'ahu/Farrington Highway Guideway Design-Build (WOFH)	KIWC - HI	15-001 QA	2/17 - 2/19	2/17 - 2/18	4/17/15
CT-HRT-11HO195	Kamehameha Highway Guideway Design-Build (KHG)		15-001 BA	2/17 - 2/19	2/17 - 2/18	4/17/15
CH-HRT-10HO449	Maintenance and Storage Facility Design-Build (MSF)	KKJV - HI	15-003 QA	2/25 - 2/26	2/25 - 2/26	4/14/15
			15-003 BA	2/25 - 2/26	2/25 - 2/26	8/4/15
CT-HRT-10HO137	WOFH Public Information	KIWC - HI	15-008	10/21 - 10/22	10/22 - 10/23	
CT-HRT-11HO195	KHG Public Information					
CT-HRT-10HO137	WOFH & KHG Casting Facility	KIWC - HI	15-011	7/15-7/16	7/15 - 7/16	9/30/15
CT-HRT-11HO195						
CH-HRT-10HO449	WOFH Surveying, KHG and MSF Audit and Alignments	KIWC/KKJV - HI	15-013	8/20- 8/21	8/20	9/1/15
CT-HRT-11HO195						
CT-HRT-10HO137						
CT-HRT-1200106	Core Systems Contract (CSC) & AB Design-Build-Operate-Maintain	ASTS Italy	TBD	2016		
		AB Italy	TBD	2016		
		AB USA	TBD	2016		

HART

HONOLULU AUTHORITY for RAPID TRANSPORTATION

COMBINED MANAGEMENT SYSTEM AUDIT SCHEDULE

YEAR: 2015 Rev 13

KEY	Local Audit	Remote Audit	Continental U.S. Audit	International Audit

CONTRACT PACKAGE NUMBER	DESCRIPTION	CONTRACTOR / CONSULTANT / SUPPLIER	AUDIT NUMBER	DATE SCHEDULED	DATE PERFORMED	DATE CLOSED
CT-HRT-1200106	Core Systems Contract (CSC)	AHJV - HI	15-010	7/06 - 7/07	7/6	7/14/15
	Configuration Management Plan (CMP)	AHJV - HI	15-017	11/5/2015	11/5	
SC-HRT-1200116	West O'ahu Station Group Final Design (WOSG)	AECOM - HI	15-005	3/18 - 3/19	3/18 -3/19	5/18/15
SC-HRT-1200111	Kamehameha Highway Station Group Final Design (KHSG) PH, PR, AS	AVA - HI AVA - CA	15-002	6/3 - 6/04	6/3	6/8/15
SC-HRT-1200111	H2R2 Final Design	AVA - HI AVA - CA	15-004	1/28	1/28	2/3/15
SC-HRT-1400049	CSC Support Services	L + E	TBD	2016		
DB	Pearl Highlands Parking Structure/Bus Transit Center Construction	TBD	TBD	2016		
CR-HRT-1500309	H2R2 Ramp Construction	Royal Contracting	TBD	2016		
CR-HRT-1500503	West Oahu Station Group Construction	NAN, Inc	TBD	2016		
CT-HRT-1500236	Farrington Hi-way Station Group Construction FHSG	Hawaiian Dredging	TBD	2016		
DB	Kamehameha Hi-way Station Group Construction	TBD	TBD	2016		
SC-HRT-14000323	Airport Section Utilities Construction	NAN, Inc	15-012	8/13 - 8/14	8/13 - 8/14	9/22/15

HONOLULU AUTHORITY for RAPID TRANSPORTATION

COMBINED MANAGEMENT SYSTEM AUDIT SCHEDULE

YEAR: 2015 Rev 13

KEY	Local Audit	Remote Audit	Continental U.S. Audit	International Audit

CONTRACT PACKAGE NUMBER	DESCRIPTION	CONTRACTOR / CONSULTANT / SUPPLIER	AUDIT NUMBER	DATE SCHEDULED	DATE PERFORMED	DATE CLOSED
CT-HTR-1500080	Airport Section Guideway Seven Pier Construction	HDCC/CJA JV	15-006 QA	3/11	3/11 - 3/24	3/31/15
			15-006 BA	3/11	3/11 - 3/24	3/31/15
DB-	Airport Section Guideway and Stations	TBD	TBD	2016		
DB-	City Center Section Guideway and Stations	TBD	TBD	2016		
DB	UH West O'ahu Park-and-Ride and Ho'opili Station Finishes Construction	TBD	TBD	2016		
CT-HRT-1300316	Elevator and Escalator - Manufacture, Install and Maintain	US Schindler - HI US Schindler - NJ	15-015	9/10 - 9/11	9/10	11/4/15
SC-HRT-1400050	West Side Station Group CE&I	PGH Wong - HI	TBD	2016		
	West Oahu Farrington Highway and Kamehameha Highway Guideways CE&I		15-014	10/28 - 10/30	10/28 -10/29	
	MSF CE&I			10/28 - 10/30	10/28 -10/29	
	Elevator and Escalator - CE&I			10/28 - 10/30	10/28 -10/29	
	Pearl Highlands Parking Structure/Bus Transit Center CE&I		TBD	2016		
	UH West O'ahu Park-and-Ride and Ho'opili Station Finishes CE&I		TBD	2016		

HART

HONOLULU AUTHORITY for RAPID TRANSPORTATION

COMBINED MANAGEMENT SYSTEM AUDIT SCHEDULE

YEAR: 2015 Rev 13

KEY	Local Audit	Remote Audit	Continental U.S. Audit	International Audit

CONTRACT PACKAGE NUMBER	DESCRIPTION	CONTRACTOR / CONSULTANT / SUPPLIER	AUDIT NUMBER	DATE SCHEDULED	DATE PERFORMED	DATE CLOSED
SC-HRT-1600008	Airport Section Guideway & Stations CE&I	Stantec	TBD	2016		
	City Center Secion Guideway & Stations CE&I		TBD	2016		
SC-HRT-1400027	General Engineering Consultant Final Design and Construction (GEC 3)	CH2M Hill	15-007	5/20 - 5/21	5/20 -5/21	7/14/15

- **Key Issues**

HART NCR Log		
Total NCRs Issued To Date	CLOSED	OPEN
37 (Audits)	33	4
1 (Construction)	1	0

- Continue updating, reviewing and approval of appropriate HART Project Baseline Plans and Procedures due to new policies, re-organization, process improvement and lessons learned from the internal audits. Upon approval of revised plans and procedures, training of HART employees must be performed in order to assure competency and proficiency.
- Resolution of two (2) major WOFH NCRs that need to be addressed and corrected to prevent recurrence and to mitigate impact on the overall progress of the project. The following are the major NCRs identified :
  - **Span 17 – NCR 00314:** The procedure for lowering a heavier and wider span was not followed during the setting of the span to the columns. The result of the error was cracked segments 17-1, 17-2, 17-11 and 17-12. KIWC has evaluated the damages, disposition and the proposed corrective actions. KIWC has submitted a Remediation Plan to HART, which was approved by HART (CE&I, Design and Construction Department, and GEC-3). Therefore, the disposition on the NCR is Repair. KIWC continued the repair of the cracked segments. Repair completion of Span 17 is expected by January 2016.
  - **Direct Fixation Shims Tolerances – NCR 00398:** KIWC shims shall exceed the 9/16 inches specified requirements. HART and KIWC continue discussions on the direct fixation shim tolerances. KIWC has decided to halt installation of shims until the issue is resolved. HART is currently reviewing the KIWC NCR Disposition and Corrective Actions.
- Resolution of one (1) major KHG NCR that needs to be addressed and corrected to prevent recurrence and to mitigate impact to the overall progress of the project. The major NCR identified:
  - **Drilled Shafts:** To date there are 13 Open NCRs (closed four), which are related to the CSL Reports, and 90 Drilled Shafts completed (added one). The CSL anomalies were found to be 10”-24” on top of the shafts, therefore correction/fixing will be quicker and easier.
- Erection and finishing of spans (12-segments) and construction of “shear keys” between columns and spans on WOFH and KHG guideways.
- Resolution of two (2) major WOFH NCRs: cracked segments 1, 2, 11 and 12 of Span 17 repair, and Direct Fixation Shims Tolerances.
- Resolution of one (1) major KHG NCR: Drilled Shafts (Crosshole Sonic Logging Reports) quality and repair.
- Construction of MSF Yard Ballasted Track: Alignment, Profile, Geometry, Sub-ballast, Drainage, Ballast, Grade Crossings, Welding, Stress Relieving, Concrete Ties, Contact Rails, Switches, etc.
- Installation and welding of rails and turnouts on top of the WOFH guideway.
- Construction of WOFH and KHG Balanced Cantilever Segmental Spans.
- Manufacturing of Carbody(s) at Hitachi Rail Italy and its subcontractor manufacturing facilities in Italy.
- Final Assembly of Passenger Vehicles in Hitachi Rail Italy facilities in Pittsburg, CA.
- Pre-shipment, I&T and FAI of wayside core system and passenger vehicles materials, parts and components.

6.3 Buy America Compliance (49 CFR 661 and 49 CFR 663)

- **Look Ahead**
  - HART will provide updates on any new construction agreements HART enters into with a utility company.
  - HART will provide updates regarding the variable refrigerant flow (VRF) issue.

6.4 Disadvantaged Business Enterprise (DBE)

- **Activities this month**
  - $31,557,347 = total dollar participation for all DBEs on all HART contracts from 9/24/07 to 12/31/15
    - 6.62% = DBE utilization on total disbursed FTA funds received to date ($31,557,347 divided by $476,509,166)
    - 1.79% = DBE utilization to date on total Project FTA funds ($31,557,347 divided by $1,763,903,901)

Total DBE Participation = $31.6M
(previous report = $29.5M)

Figure 16. DBE Participation this Month

DBE Participation in December		
DBE Firm	**Contract Number**	**Participation**
Lawson & Associates	SC-HRT-1400061 MM-964	$57,521
ADS System Safety Consulting	SC-HRT-1400061 MM-964	$88,599
AMR Estimating Services	SC-HRT-1400027 MM-913	$54,358
The Solis Group	SC-HRT-1400027 MM-913	$119,093
PAC Electric	CT-HRT-10H0137 DB-120	$447,917
Pacific Preferred	CT-HRT-10H0137 DB-120	$25,162
Dovetail	MOU-11-SO-1 MM-930	$22,745
PSC Consultants	SC-HRT-1400050 MM-290	$355,899
Element Environmental	SC-HRT-1400050 MM-290	$761,995
Bow Construction	SC-HRT-1400050 MM-290	$2,610
LKG-CMC	SC-HRT-1400049 MM-962	$12,868
FIC, LLC	SC-HRT-1400051 MM-595	$66,031
LKG-CMC	SC-HRT-1400051 MM-595	$21,489
PSC Consultants	SC-HRT-1400051 MM-595	$3,836
TOTAL FOR THE MONTH		**$2,040,123**

Note: For a full listing of DBE participation to date, please see Appendix F.

6.5 Planning and Environment

- **Activities this month**
  - Programmatic Agreement Activities:
    - HART entered into a contract with Honua Consulting on Dec. 8, 2015 for Section 106 Programmatic Agreement Project Manager (Kākoʻo "II").
    - HART's Programmatic Agreement (PA) team met with the Hawaiʻi State Historic Preservation Division (SHPD) on Monday, Nov. 30, 2015, as part of ongoing consultation with the division.
    - HART's two Makalapa National Register of Historic Places (NRHP) nominations that were withdrawn from the Nov. 13, 2015 hearing of the Hawaiʻi Historic Places Review Board, will be sent to the Keeper of the National Register in Washington, D.C. for concurrence on the boundaries, per recommendations of the PA Consulting Parties.
    - Graffiti removal tests were completed in November at the Armstrong Building (175 N. King Street) as well as tests at 1, 15/19, and 25 North Hotel Street, and 1024-1034 and 1111 Nuuanu Avenue. Graffiti abatement is awaiting owners' consent to proceed with work.
    - HART has compiled a status update on Historic Preservation Fund progress to date, which will be presented to PA Consulting Parties.
    - The second draft of the Pearl Harbor National Historic Landmark (NHL) Update was submitted for comments to the Navy, SHPD, and National Park Service on Oct. 8, 2015. Comments were received only from SHPD by the established due date of Dec. 8, 2015.
    - A Notice of National Park Service (NPS) acceptance of Historic American Buildings Survey (HABS) Documentation for the Dillingham Boulevard Residences, Genet House, Higa Four-Plex, and Teixeira House was received on Nov. 19, 2015. NPS transferred archival copies of this documentation to SHPD on Nov. 6, 2015. Final notice was sent to FTA and HART on Dec. 2, 2015.

  - Planning, Environmental, and Cultural Activities:
    - HART continues to assist the Oahu Metropolitan Planning Organization (OMPO) in updating the regional long-range travel demand forecasting model.
    - HART, City and County Department of Transportation Services (DTS), and DTS' contractor Oahu Transit Services (OTS) are collaborating on bus-to-rail interface planning using a new software package called Remix. This software enables planners to quickly cost out multiple routing scenarios with awareness of socioeconomic implications on Honolulu's transit ridership.
    - HART submitted a draft archaeological data-recovery report to SHPD for the Waipahu Transit Center area.
    - HART consulted with the Oʻahu Island Burial Council (OIBC) on Wednesday, Dec. 9, 2015.
    - HART staff completed training in Remix Software, which is a planning tool that allows for bus-rail transit network planning.
    - Filming took place in and around the Holau Market site between Dec. 16 and 18, 2015. HART staff, in consultation with and with approval from FTA and SHPD, approved the work at the site that included construction of a film set beginning Dec. 7, 2015, and mitigations to historic elements of the property. HART staff monitored the work to ensure both the historic elements and the overall building were not compromised during the filming.

  - Sustainability:
    - Staff presented an organizational sustainability policy to the HART Board of Directors on Nov. 24, 2015.
    - HART formally included photovoltaic panels into the City Center Guideway and Stations (CCGS) package.

- **Looking Ahead**
  - Ongoing coordination with DTS to ensure consistent planning of seamless bus and rail services focusing on rail's interim opening date.
  - Conduct regular monthly HART/SHPD consultation meetings.
  - HART to draft sustainability policy document and present to the HART Board Chair.
  - HART to present purchase power agreement vs. photovoltaic ownership evaluation to the HART Board.
  - HART to develop Sustainability Focus Group with to-be-identified stakeholders.
  - Attend monthly scheduled Kākoʻo Meetings with Programmatic Agreement Signatory and Consulting Parties.

- Continue coordination with DPP, the State, and HCDA regarding transit-oriented development.
- Continue development of HART's sustainability program.
- Continue development of the photovoltaic RFP for the Rail Operations Center (ROC).

6.6 Risk Management

The primary strategy of risk management is to maintain a reserved contingency balance throughout the life of the Project that is acceptable to HART and the FTA. Effective management of project risks is necessary to significantly increase the likelihood of delivering a successful project. Risk management is the systematic process of identifying, analyzing, and responding to risk in a timely manner. Risk management is integral to all phases leading up to revenue service opening including: planning, design, construction, systems testing, system operation start up, safety and security certification, and ultimately to project construction closeout.

Risk assessments are performed to identify, assess, prioritize, manage and mitigate risk exposure, and develop prudent contingency plans. The Project Risk Register (RR) is the depository for all risks identified for the Project. Every month, risks contained in the RR are reviewed to confirm risks are appropriately identified, identify new risks, and close out risks that no longer pose an issue.

Maintaining the RR includes assessing the potential for a risk to happen as well as the cost and schedule impacts should the risk occur in isolation. The cost and time impacts to the Project are assessed based on a "most likely scenario" rather than the maximum or the minimum impact. Not all risks (known and unknown) will occur with the same frequency or probability as estimated in isolation. In addition, risks can be eliminated due to design best practices as well as through the implementation of safe alternative means and methods of construction to avoid the occurrence.

This report includes a listing of the top project wide risks which is an aggregate of the individual contract risks. Key metrics for probability of occurrence and cost and schedule impacts are subject to change as more is learned about the risks. At the same time, HART is implementing mitigation of avoidance, transfer, and acceptance/minimization.

NOTES OF SIGNIFICANCE

- Additional focus is being placed on Hawaiian Electric Co. coordination and clearance issue resolution.
- Discussions of project schedule and estimated costs at completion are being evaluated to provide the most accurate information possible.
- Risk refresh will be scheduled when the PMOC and HART are in agreement that budget and schedule approach are in alignment. This process will be used to identify and recommend appropriate budget contingency and schedule float for the revised Revenue Service Date.

ADDITIONAL BACKGROUND

The narrative below provides additional background on the mitigation actions being taken to control and contain cost and schedule impacts to the Project. Provided below are the risk category and specific actions being taken. Dates are tracked separately. Based on the effectiveness of the mitigation efforts, more actions may be required to further contain cost and schedule impacts in future months. The major risks covered this month are: A) Market Conditions, B) Utilities, and C) Right-of-Way.

A) Market Conditions – The construction market in Hawai'i is similar to the conditions experienced in 2005-07. The year 2015 is expected to set a new record for construction in the state. This translates to increased escalation of about 1% per month for late 2014 and through 2016, according to the Rider Levett Bucknall, Quarterly Construction Cost Report. These conditions may impact the supply of experienced craft labor which will in turn affect contractor productivity rates and traffic mobility issues.

Mitigation Progress:

- HART contractor outreach efforts have been successful with respect to the West Side Stations. The net benefit of Value Engineering, revisions to the General Terms and Conditions and repackaging have resulted in a savings of $40M.

- HART's continuous improvement in estimating methodology has led to more confidence in the likely construction pricing.
- The combined guideway and station packages on the East are still in active procurement.

B) Utilities – Utilities continue to be an issue for the project, as they are for most Transit and Rail projects.

Mitigation Progress:

- Resources to relocate HECO facilities are now keeping up with scheduled requests to resolve utility conflicts through improved coordination efforts between agencies at all levels from project management to executive levels.
- Clearance of HECO overhead facilities and HART Guideway and Stations is undergoing evaluation for site specific solutions with respect to the 138kV, 46kV and 12kV. The range of solutions to meet physical separation are extraordinary in cost, requiring further study prior to reaching an agreeable solution that is functional and affordable.

C) Right-of-Way – There are parcels on the east and west segments that are still under active procurement. Lack of access by the contractor has been partially mitigated through re-sequencing the work on the west. The goal is to provide site access to the contractors on the east to avoid associated inefficiencies related to re-sequencing the work plan which would have a negative impact to the revenue service date.

Mitigation Progress:

- West property transactions have been elevated and accomplished.
- East Side – there are a number of third-party agreements needed on the Airport Section and private parcels on the City Center Section. The revised Delivery and Procurement Plan takes into account the Right-of-Way Acquisition Plan. Cost to cure partial property improvement impacts were delayed initially. The majority have now been resolved.

Note: Risks by Contract Package and a Comparison of Risk Ratings can be found in Appendix G.

Figure 17. Risk Matrix

RISK MATRIX					
Legend	Low (1)	Med (2)	High (3)	Very High (4)	Significant (5)
Probability	< 10%	10><50%	50><75%	75%><90%	>90%
Cost	< $250K	$250K><$1M	$1M><$3M	$3M><$10M	>$10M
Schedule	< 1 Mths	1><3 Mths	3><6 Mths	6><12 Mths	>12 Mths
Rating	< =3	3.1-9.49		> =9.5	

The risk matrix is used to score and rank identified risks. The rating is the average cost and schedule impact score multiplied by the probability score.

Figure 18. Top Project Risks

Top Risks December 2015								
Current Risk ID	Contract Package	Risk Description	Probability	Prob Rating	Cost Impact	Time Impact	Dec '15 Risk Rating	Nov '15 Risk Rating
111.16	Pearl Highlands Garage	Cost estimates for Parking Structure and Transit Center FFGA Budget may be low compared to current market conditions.	90%	5	5	4	22.5	
111.19	Airport Guideway and Stations	Estimates for remaining guideway contracts may be low compared to current market conditions.	90%	5	5	4	22.5	22.5
111.06	City Center Guideway & Stations	Cost estimates for remaining guideway contracts may be low due to adjustments using pricing from WOFH Bid.	90%	5	5	4	22.5	22.5
184.17	Elevator/ Escalator	There is a potential for cost escalation and extended OH for delay of manufacturing and installing elevator/escalator.	90%	4	4	5	18	18.0
110.06	City Center Guideway & Stations	Real Estate market could rebound before purchase of all needed properties, greatly increasing cost of property and delaying construction if legal actions are pursued.	75%	4	5	4	18	18
6.06	City Center Guideway & Stations	Insufficient utility company resources available to resolve conflicts and meet the design, approvals, and/or construction schedule. (Dillingham bottleneck)	75%	4	4	5	18	18
6.04	Kamehameha Highway Guideway	Insufficient utility company resources available to meet the design, approvals, and/or construction schedule.	75%	4	5	4	18	18
68.14	City Center Guideway & Stations	Downtown Station planned to be integrated into Pacific Guardian Center; agreement with owner yet to be proposed. PGC demands could extend negotiations and delay construction or increase construction costs.	75%	4	5	3	16	16
36.01	Project Wide	HECO Clearance - Cost exposure from unexpected utility replacements.	90%	5	5	1	15	
186.17	Elevator/ Escalator	Increase/decrease in escalator requirements.	90%	5	3	3	15	15
37.19	Airport Guideway and Stations	Additional utility easements may be required for private utility companies.	50%	3	5	5	15	15
37.06	City Center Guideway & Stations	Additional utility easements may be required for private utility companies.	50%	3	5	5	15	15
37.04	Kamehameha Highway Guideway	Additional utility easements may be required for private utility companies.	50%	3	5	5	15	15

Risks are placed in order based on highest risk rating for the month. The Top Risks listed represents those that could have a major impact on the Project and require additional focus by management. There are other high rated risks that are not listed and are also in the process of being mitigated by HART staff.

Figure 19. Risks Added

Risks Added in December 2015							
Risk ID	Contract Package	Risk Description	Probability	Prob Rating	Cost Impact	Time Impact	Risk Rating
36.01	Project Wide	HECO Clearance - Cost exposure from unexpected utility replacements.	90%	5	5	1	15
111.16	Pearl Highlands Garage	Cost estimates for Parking Structure and Transit Center FFGA Budget may be low compared to current market conditions.	90%	5	5	4	22.5
178.07	MSF	Disputed items escalated for resolution results in overturning field determination of no merit.	25%	2	3	0	3
195.01	Project Wide	Core Systems design delays impacting construction details of peripheral connections, door hardware and platform screengates.	25%	2	2	1	3
196.03	WOFH	Casting Yard lease expiration.	90%	5	3	0	7.5
197.10	FHSG	Contract design document complexity and award delay due to protest could delay revenue service date.	50%	3	3	3	9

Figure 20. Risks Deleted

Risks Deleted in December 2015					
Current Risk ID	Contract Package	Risk Description	Comments	Risk Rating	
				Dec. '15	Nov. '15
36.19	Airport Guideway and Stations	HECO Clearance - Cost exposure from unexpected utility clearance issues. (Ex. HECO 138kV Line undergrounding, delay in resources).	Risk is now being tracked and mitigated as a program risk.	13.5	13.5
36.06	City Center Guideway	HECO Clearance - Cost exposure from unexpected utility clearance issues.	Risk is now being tracked and mitigated as a program risk.	18	18
8.04	Kamehameha Highway Guideway	Old electrical and other utilities may contain asbestos which will require HAZMAT disposal.	Duplication with Change Log as a changed site condition.	6	6
36.04	Kamehameha Highway Guideway	HECO Clearance - Cost exposure from unexpected utility replacements and/or relocations.	Risk is now being tracked and mitigated as a program risk.	9	9
40.12	KHSG	With guideway previously constructed at Pearl Highlands Station, constructability issues could arise for Bus Transit Center and Parking Garage.	The contracts have sufficient separation to mitigate risk.	0	2
146.12	KHSG	HART Service Connection - HECO and other utility service hook up requests may cause potential delay.	Requests have been made and scheduled.	0	3
119.07	Maintenance & Storage Facility Contract	Coordination of yard space versus vehicle delivery could cause schedule issues.	Area for receiving vehicles has been sufficiently coordinated and is proceeding ahead of schedule.	0	1
2.03	West Oahu/Farrington Highway Guideway	Discovery of unanticipated archeological findings could result in construction delay and/or design modification to relocate columns and foundations.	Subsurface work is substantially complete.	0	1.5
6.03	West Oahu/Farrington Highway Guideway	Insufficient utility company resources available to meet the design, approvals, and/or construction schedule.	Subsurface work and overhead other than HECO clearance has been resolved.	0	10.5
35.03	West Oahu/Farrington Highway Guideway	Differing geotechnical conditions encountered may result in schedule delays and additional costs.	Subsurface work is substantially complete.	0	4
36.03	West Oahu/Farrington Highway Guideway	HECO Clearance - Cost exposure from unexpected utility replacements.	Risk is now being tracked and mitigated as a program risk.	15	9
38.03	West Oahu/Farrington Highway Guideway	Conflict Resolution - Costs for utility relocations may increase if utility plans have deviations greater than contract stipulation.	Relocations are substantially complete for WOFH.	0	1.5
39.03	West Oahu/Farrington Highway Guideway	Extensive rain could, because of potential flooding of the work site, affect construction schedule at the Pearl Highlands Station area.	Weather delays in this area did not materialize.	0	3

6.7 Community Outreach

To date, HART's outreach team has participated in:
- *1,909 presentations and events*
- *1,034 Neighborhood Board meetings*

- **Activities this month**
  - HART's public outreach included nearly a dozen presentations to business organizations, schools, and community groups. During the holiday season, HART's outreach staff participated in several holiday events, including Kapolei City Lights.
  - HART released the latest photos of the four rail cars now in full production in Pittsburg, California. The photos were unveiled on Hawaii News Now's Sunrise morning show.

- **Construction Outreach**
  - Responding to feedback from businesses along the rail corridor, HART launched its free shuttle service as part of its Shop & Dine on the Line program. The new Shop, Dine & Shuttle program will feature an open-air trolley and a minibus that will provide free shuttle service for people who want to visit local businesses along the Kamehameha Highway corridor. The inaugural shuttle run ties in with the Aloha Stadium swap meet, and riders can board on the shuttle at the stadium or anywhere along the listed route. All riders will be given Shop & Dine on the Line brochures, which list special offers and discounts from 100 businesses along the route. HART partnered with Move Oahu Forward and E Noa Tours for the inaugural shuttle service and is looking for sponsors to continue the service for the duration of construction.

  - HART held two Business Alliance meetings this month, one in Waipahu and a second one in the Pearl City area. These regular meetings are designed to provide businesses along the rail corridor with updated information about construction work and upcoming traffic changes in their area. The meetings are also designed to provide businesses with the opportunity to provide feedback that helps shape some of HART's business outreach programs. HART's Business Alliance partnership continues to provide businesses in the construction corridor with tailored construction briefings, free business development workshops, and other programs to assist local businesses during construction.

Figure 21. HART shared the most recent photos of its rail cars in production.

Straight from the factory floor: The public got a glimpse of HART's first four-car train under production in Pittsburg, California.

Figure 22. HART's Shop, Dine & Shuttle launched Sunday, Dec. 13.

Shop, Dine & Shuttle riders enjoy the open-air trolley ride to Pearlridge Center.

- **Community Input**
  - HART's public information team responded to more than 125 inquiries and requests in December that came in via the agency's website, email and 24-hour hotline. Inquiries this month primarily focused on traffic, construction activities, and HART's Shop & Dine on the Line program.

- **Look Ahead**
  Coming in January:
  - HART's outreach and construction teams prepare to break ground at some of its west side stations.
  - HART continues its Business Outreach program, and expands its Shop & Dine on the Line program to assist businesses along the rail route during construction.

6.8 Staffing

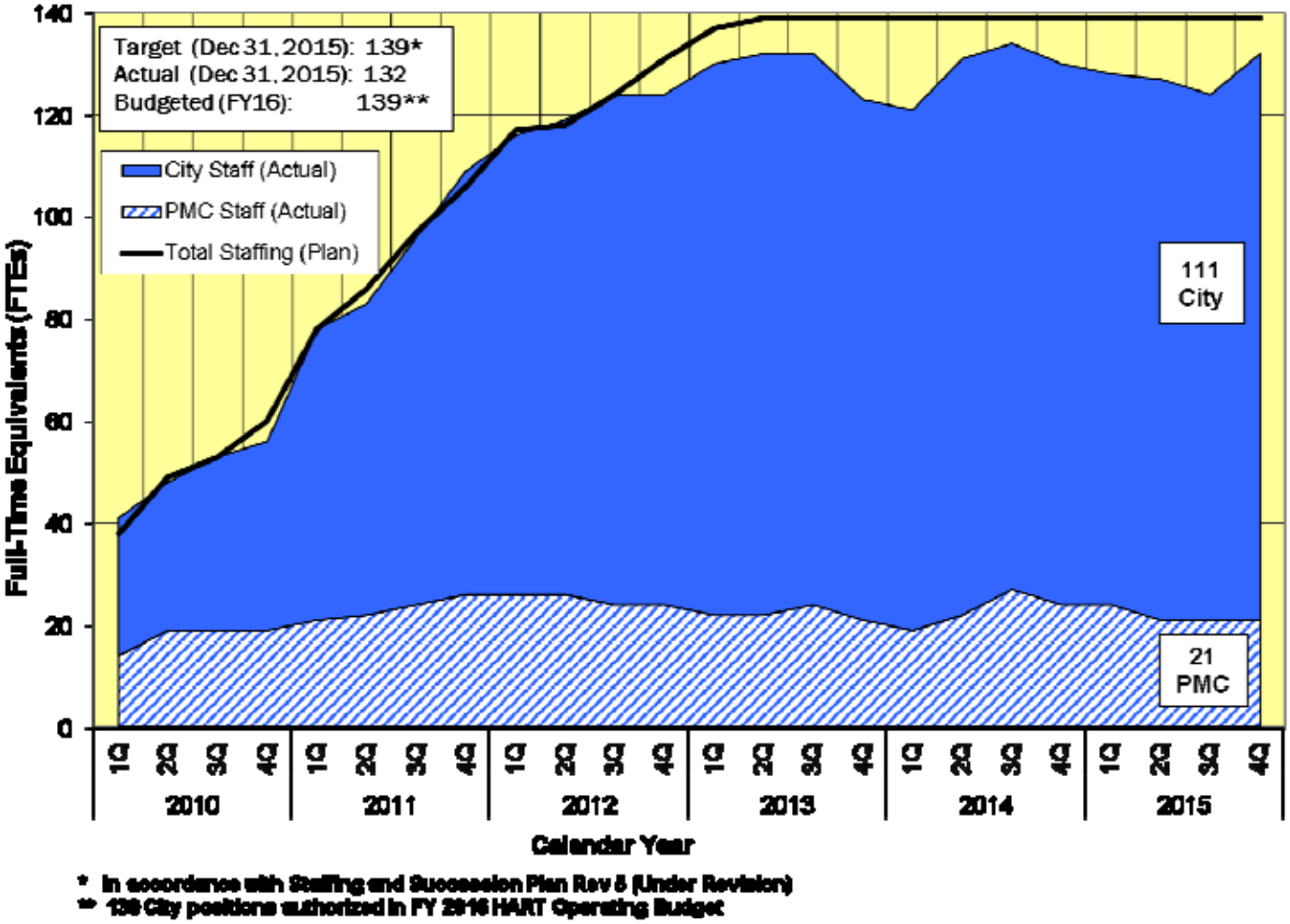
Figure 23. Staffing Activities

Staffing Activities				
Title	Group	New/Existing HART position (City or PMC)	Position Status	Start Month
Design and Construction				
West Area Construction Manager	Construction	New (City)	Recruiting	
Project Manager (KHSG/H2R2 Ramp)	Construction	New (City)	Filled	Dec
Project Manager (FHSG)	Construction	New (City)	Filled	Jan
Assistant Project Manager (City Center DB)	Construction	New (City)	Recruiting	
Project Manager (WOFH & KHG)	Construction	Existing (City)	Recruiting	
Electrical Engineer	Core Systems	Existing (City)	Recruiting	
Planning, Permits & Right-of-Way				
Planner III* (Environmental)	Planning	Existing (City)	Recruiting	
Land Document Technician	ROW	New (City)	Filled	Jan
Operations and Maintenance				
Director of Operations & Maintenance	Operations & Maintenance	Existing (PMC)	Recruiting/Interviewing	
Quality Assurance				
Quality Assurance Engineer * (Civil)	Quality Assurance	Existing (City)	Recruiting	
Administrative Services				
Personnel Clerk	Administrative Services	New (City)	Recruiting via Civil Service	
Public Information				
Information Specialist II	Public Information	Existing (City)	Filled	Dec
Project Controls				
Scheduler	Project Controls	Existing (City)	Recruiting	
Civil Rights				
Senior Clerk	Certified Payroll	New (City)	Filled	Dec
Procurement				
Contracts Officer	Procurement & Specifications	Existing (City)	Recruiting	

*Actual hiring level will be commensurate with candidate's qualifications.

HART currently receives direct project support in centralized functions from the following city departments: Honolulu Police Department (HPD), Department of Information Technology (DIT), Department of Budget and Fiscal Services (BFS), Department of Design and Construction (DDC), Corporation Counsel (COR) and Department of Human Resources (DHR); and from the State of Hawai'i Department of Transportation (HDOT) on Consultant Services Contracts. HART is currently working with the Department of Facility Maintenance (DFM) on creating a Memorandum of Understanding (MOU).

Figure 24. Project Staffing (Actual vs. Planned)



The actual number of employees reflects employees hired during this period as well as employees who left the project from both HART and the PMC staffs.

Note: For a project organization chart, see Appendix H.

APPENDICES

Appendix A. Action Items

The following are Action Items for HART and/or the PMOC, which are reviewed and discussed on a monthly basis.

Action Items						
Item No.	Item	Responsible Party	Date Identified	Date Due	Date Completed	Status
1	Resolve HECO issue with Davis-Bacon requirements	HART/FTA	Mar-14	On-going		Open – HECO waiver is pending. HART provided MOU to PMOC.
2	**Updates resulting from Risk Refresh:**					
2a	Update the Contract Packaging Plan	HART	Aug-14	TBD		In progress – Draft provided to PMOC but changes may be incorporated on updated estimate and schedule
2b	Re-baseline Financial Plan	HART	Apr-14	TBD		Pending final update of budget and schedule
2c	Re-baseline budget	HART	Apr-14	TBD		In progress
2d	Re-baseline MPS	HART	Apr-14	TBD		In progress – HART has provided MPS update for review
2f	Update RCMP (including Hold Points and Secondary Mitigation Measures)	HART	Sept-13	TBD		In progress – PMOC provided review comments on early draft, but updated draft will be prepared to reflect revised budget and schedule.
3	HART to provide target date for Federal Courthouse resolution/sign-off	HART	Sep-15	Jan-16		
4	HART to provide a matrix of ROW parcels	HART	Nov-15	Jan-16		

Appendix B. Project Contingency Management General Background and Clarifications

Current Contingency Balance = $488.2M

Current Known Changes Contingency = $0M

The FFGA Baseline Budget for Project Contingency is approximately $643.6M and consists of the following elements:

1) Unallocated Contingency – Reserve contingency to address unknown changes to the Project and not currently allocated to a particular work package.
2) Project Allocated Contingency – Contingency allocated to each work package to address potential uncertain changes within each respective work package.
3) Allowance – A reserve designated for Final Design contracts and committed under the contracts.

The $643.6M Baseline Budget for Total Project Contingency does not include amounts for Known Changes yet to be finalized at the time the Bottom-Up Estimate (BUE) was prepared.

As the project progresses, budget transfers will be executed, moving budgeted project scope and budgeted contingencies as appropriate to reflect either a realized cost savings, cost overruns, or a transfer of scope. It is expected that project contingency will continue to be drawndown as the overall design is further developed, risks are identified, and construction progress continues to advance. The following list details ways in which project contingency can either increase or decrease:

1) The budgeted amount for a contract package is either lower or higher than the actual executed contract amount. Contingency will increase if the budgeted amount is higher than the actual contract amounts which results in a budget surplus, and vice versa if the budgeted amount is lower.
2) Increase of a contract amount through the execution of a change order or contract amendment. Contingency is decreased and transferred to the appropriate SCC.
3) Transfer of work scope, e.g. utility relocation, between contract packages through a change order. The scope value from one contract is decreased and transferred to Contingency. Contingency is then decreased by the same scope value and transferred to the other contract. Contingency is used as a "holding account" in this instance.
4) Revisions to contract packaging. Further evaluation of contract packages may be considered to seek budget savings and/or to mitigate cost or schedule impacts. Budget savings, if any, would be transferred to Contingency.
5) Utilization of allowance in design contracts. The allowance amount to be utilized will decrease this contingency category and will be transferred to the appropriate SCC.

Changes Identified and Project Performance

HART and the PMOC continue to hold a monthly breakout session to review cost containment strategies and changes being considered for each contract. Changes are tracked by three categories which are determined by how well defined a change is and are summarized as Changes Identified in Project Cost reports. HART continually manages the strategy to avoid or mitigate as well as plan the timing of any potential changes. Breakout session discussions focus on opportunities to reduce costs and accelerate contract-scheduled activities to attain key milestones earlier than targeted. The session concludes with an overview of the cost and schedule drawdown curves, if and when changes might occur, in order to assess project performance against total project contingencies and buffer float.

The Risk and Contingency Management Plan (RCMP), Contract Packaging Plan (CPP), Master Project Schedule (MPS), Project Budget and Financial Plan updates are all in progress. The RCMP includes updates to the cost and schedule contingency drawdown curves, which establish minimum and buffer zone levels of cost and schedule contingency in accordance with FTA recommendations. Over the course of the project, if the cost or schedule contingency enter into the buffer zone (the area above the minimum contingency), Project Management will immediately implement actions to maintain the level of contingency appropriate for the project stage.

Known Changes Contingency

Known Changes, though tracked separately from the Project Contingency established under the FFGA, functions like contingency and is designated as SCC 90.07 on project cost reports. In re-baselining the Project Budget for FFGA, a bottoms-up estimate (BUE) was developed for each work package identified in the CPP based on the level of design and current pricing of material, equipment, construction labor, professional services, real estate and all other costs. These revised estimates took into account the reduction of contingency to reflect the advancement of Final Design since the Preliminary Engineering phase. Contingency was then allocated in accordance with FTA guidelines and current risk modeling methodologies. The net effect was a reduction of approximately $170M of contingency between the previous Final Design Project Budget and the FFGA Project Budget. Included in the base costs of the BUE were elements that were considered "Known" or pending changes that were still subject to final negotiations with contractors and the execution of change orders. The estimated costs for Known Changes were applied to work packages established under the FFGA. Based on the level of risk, the estimated costs for Known Changes were either classified as base cost or as separate contingency for specific work packages (contingencies eventually convert to base costs via change order). Of the total $170M estimated for Known Changes, $97M was classified as base cost and allocated to multiple contracts. The remaining $74M was classified as "contingency" in order to process all changes using a consistent methodology of transferring budget from contingency to the appropriate base cost code when a change order is executed. As it was intended for this reserve, this line item has been debited to zero as all changes contemplated to draw-down against "known" contingency has been executed.

HART Project Contingency Drawdown with Details

Date as of 11/27/15

#	Project No.	Project Desc.	Budget Transfer/Change Description	Contingency Drawdown (+/-)	Contingency Code
July '12 (Bottoms-Up Estimate)			**Beg. Balance:**	**$643.6**	
1)	FD-240	Farrington Highway Stations Group FD	Budget Transfer at Bottoms-Up estimate from Project Scope to Contingency (contract allowance)	$56,440	90.03 - Contract Allowance
2)	FD-430	Airport Section Guideway Utilities FD	Budget Transfer for Contract Award less than the ASGU FD contract budget	$2,054,106	90.02 - Allocated Contingency
3)	MM-975	LEED Commissioning Services	Budget Transfer for Contract Award above the LEED Comm. Services contract budget	($35,622)	90.02 - Allocated Contingency
4)	DB-320	Kamehameha Highway Guideway DB	Budget Transfer for Contract Award above the KHG DB contract budget	($720,683)	90.02 - Allocated Contingency
5)	DB-120	West Oahu Farrington Highway Guideway DB	Budget Transfer for Ins. Covg per executed CO No. 004	$3,095,230	90.02 - Allocated Contingency
			July '12 Contingency Drawdown	**$6,851,273**	
			July '12 - Ending Contingency Balance	**$649.4**	
August '12			**Beg. Balance:**	**$649.4**	
1)	FD-140	West Oahu Stations Group FD	Budget Transfer for Contract Awarded under WOSG FD contract budget	$1,808,200	90.02 - Allocated Contingency
2)	FD-530	City Center Guideway Utilities FD	Budget Transfer for Contract Awarded under CCGU FD contract budget	$5,917,945	90.02 - Allocated Contingency
3)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 17 - Procure and install Portable Buildings	($2,670,000)	90.02 - Allocated Contingency
			August '12 Contingency Drawdown	**$6,056,145**	
			August '12 - Ending Contingency Balance	**$654.5**	
September '12			**Beg. Balance:**	**$654.5**	
	N/A	N/A	No Contingency Drawdown	$0	
			September '12 Contingency Drawdown	**$0**	
			September '12 - Ending Contingency Balance	**$654.5**	
October '12			**Beg. Balance:**	**$654.5**	
1)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 21 - Builders Risk Insurance Coverage	($56,688)	90.02 - Allocated Contingency
			October '12 Contingency Drawdown	**($56,688)**	
			October '12 - Ending Contingency Balance	**$654.4**	
November '12			**Beg. Balance:**	**$654.4**	
1)	FD-440	Airport Stations Group FD	Budget Transfer for Contract Award under ASG FD the contract budget	$227,784	90.03 - Contract Allowance
2)	FD-340	Kamehameha Highway Stations Group FD	Budget Transfer for Contract Award under KHSG FD the contract budget	$202,469	90.03 - Contract Allowance
3)	MM-905	General Engineering Consultant	Budget Transfer to align contract budget with Committed value	($120,630)	90.02 - Allocated Contingency
			November '12 Contingency Drawdown	**$309,623**	
			November '12 - Ending Contingency Balance	**$654.7**	
December '12			**Beg. Balance:**	**$654.7**	
1)	FD-430	Airport Section Guideway Utilities FD	Executed Contract Amendment No. 01 - Design & Engineering Cost Estimates	($275,000)	90.02 - Allocated Contingency
			December '12 Contingency Drawdown	**($275,000)**	
			December '12 - Ending Contingency Balance	**$654.4**	
January '13			**Beg. Balance:**	**$654.4**	
1)	DB-320	Kamehameha Highway Guideway DB	Executed Change Order No. 01 - Acacia Rd alternative analysis	($15,981)	90.02 - Allocated Contingency
			January '13 Contingency Drawdown	**($15,981)**	
			January '13 - Ending Contingency Balance	**$654.4**	
February '13			**Beg. Balance:**	**$654.4**	
1)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 26 - Ins. Covg Requirements/ Additional BGGV at Ft. Weaver Rd	($1,870,178)	90.02 - Allocated Contingency
			February '13 Contingency Drawdown	**($1,870,178)**	
			February '13 - Ending Contingency Balance	**$652.8**	
March '13			**Beg. Balance:**	**$652.8**	
1)	FD-240	Farrington Highway Stations Group FD	Executed Contract Amendment No. 09 - Waipahu Station sewer	($3,895)	90.03 - Contract Allowance
2)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 06 - Ins. Covg Requirements/ Dbl Crossovers insulated Joints	($484,866)	90.02 - Allocated Contingency
			March '13 Contingency Drawdown	**($488,761)**	
			March '13 - Ending Balance	**$652.3**	
April '13			**Beg. Balance:**	**$652.3**	
1)	FD-140	West Oahu Stations Group FD	Executed Contract Amendment No. 01 - Second elevator provision	($51,013)	90.03 - Contract Allowance
2)	DB-120	West Oahu Farrington Highway Guideway DB	Budget Transfer to offset Ins. Covg Requirement for Change Order No. 26	$1,870,178	90.02 - Allocated Contingency
3)	DB-200	Maintenance & Storage Facility DB	Budget Transfer to offset Ins. Covg Requirement for Change Order No. 06	$434,000	90.02 - Allocated Contingency
4)	DB-320	Kamehameha Highway Guideway DB	Budget Transfer to Align current budget to contract Schedule of Milestones	$600	90.02 - Allocated Contingency
			April '13 Contingency Drawdown	**$2,023,765**	
			April '13 - Ending Contingency Balance	**$654.3**	
May '13			**Beg. Balance:**	**$654.3**	
	N/A	N/A	No Contingency Drawdown	$0	
			May '13 Contingency Drawdown	**$0**	
			May '13 - Ending Contingency Balance	**$654.3**	
June '13			**Beg. Balance:**	**$654.3**	
	N/A	N/A	No Contingency Drawdown	$0	
			June '13 Contingency Drawdown	**$0**	
			June '13 - Ending Contingency Balance	**$654.3**	

HART Project Contingency Drawdown with Details

Data as of 11/27/15

#	Project No.	Project Desc.	Budget Transfer/Change Description	Contingency Drawdown (+/-)	Contingency Code
		July '13	**Beg. Balance:**	**$654.3**	
1)	FD-430	Airport Section Guideway Utilities FD	Executed Contract Amendment No. 04 - Antenna Engineering Design Services	($484,114)	90.02 - Allocated Contingency
2)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 07 - Archeological Inventory Survey (AIS) Provisional Sum Part 2	($3,000,000)	90.02 - Allocated Contingency
3)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 08 - Maintenance & Storage Facility Yard Switch Machines	($553,000)	90.02 - Allocated Contingency
4)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 09 - Yard Layout Revisions	($514,429)	90.02 - Allocated Contingency
5)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 10 - Train Configuration	($27,700)	90.02 - Allocated Contingency
6)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 11 - Preliminary Design & Supplemental Project Mgt	($594,858)	90.02 - Allocated Contingency
			July '13 Contingency Drawdown	**($6,254,106)**	
			July '13 - Ending Contingency Balance	**$649.1**	
		August '13	**Beg. Balance:**	**$649.1**	
1)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 30 - Archeological Inventory Survey (AIS) Provisional Part 2	($5,600,000)	90.02 - Allocated Contingency
2)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 32 - Kalo Channel Station Mod Concept	($72,361)	90.02 - Allocated Contingency
3)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 34 - Traditional Cultural Property Construction Partial Suspension	($1,135,094)	90.02 - Allocated Contingency
4)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 36 - Hoopili Station Relocation Design	($490,615)	90.02 - Allocated Contingency
5)	DB-320	Kamehameha Highway Guideway DB	Executed Change Order No. 06 - Archeological Inventory Survey (AIS) Provisional Part 2	($1,500,000)	90.02 - Allocated Contingency
6)	FD-140	West Oahu Stations Group FD	Executed Contract Amendment No. 02 - Canopy Redesign	($504,388)	90.03 - Contract Allowance
7)	MI-930	Elevator & Escalator Install/Maint	Budget Transfer for Contract Awarded under T&E VM contract budget	$3,736,472	90.02 - Allocated Contingency
			August '13 Contingency Drawdown	**($6,024,004)**	
			August '13 - Ending Contingency Balance	**$643.2**	
		September '13	**Beg. Balance:**	**$643.2**	
1)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 33 - Provisional Sum HDOT Joint Use and Occupancy	($4,500,000)	90.02 - Allocated Contingency
2)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 35 - Aesthetic Column Design Conflict	($120,872)	90.02 - Allocated Contingency
3)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 12 - HNTB Design Escalation	($523,500)	90.02 - Allocated Contingency
4)	FD-240	Farrington Highway Stations Group FD	Executed Contract Amendment No. 10 - NTP 2 Delay/Design Delay from Core Systems Contract & West Oahu Farrington Highway DB Contract	($270,885)	90.02 - Allocated Contingency
			September '13 Contingency Drawdown	**($5,115,297)**	
			September '13 - Ending Contingency Balance	**$637.1**	
		October '13	**Beg. Balance:**	**$637.1**	
1)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 13 - Ins. Covg Requirements/ Roof Access Modification	($387,165)	90.02 - Allocated Contingency
2)	DB-200	Maintenance & Storage Facility DB	Budget Transfer for Change Order No. 13 for Ins. Covg Requirements	$296,500	90.02 - Allocated Contingency
3)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 37 - Ala Ike Street Mod/ W36 at DR Horton & Farrington HWY	$24,615	90.02 - Allocated Contingency
4)	DBOM-920	Core Systems Design Build O/M	Executed Change Order No. 05 - Platform Screen Gates Systems	($23,301,657)	90.02 - Allocated Contingency/ 90.01 - Unallocated Contingency
5)	FD-350	Dillingham and Kaka'ako Stations Group FD	Budget Transfer for Contract awarded under DKSG FD contract budget	$1,132,280	90.02 - Allocated Contingency
			October '13 Contingency Drawdown	**($22,134,737)**	
			October '13 - Ending Contingency Balance	**$615.0**	
		November '13	**Beg. Balance:**	**$615.0**	
1)	DB-120	West Oahu/Farrington Highway Guideway DB	Executed Change Order No. 38 - Insurance Coverage Requirement Q4 2013	($1,600,000)	90.02 - Allocated Contingency
2)	DB-120	West Oahu/Farrington Highway Guideway DB	Budget Transfer for Change Order No. 038 for Ins. Covg. Requirements	$1,600,000	90.02 - Allocated Contingency
3)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 014 - Preliminary Design & Supplemental Project Management 2	($214,649)	90.02 - Allocated Contingency
4)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 015 - Yard Layout Revisions/RFP Structural Steel Modification	($1,723,000)	90.02 - Allocated Contingency
5)	DB-200	Maintenance & Storage Facility DB	Budget Transfer for Change Order No. 015 for Ins. Covg. Requirements	$225,000	90.02 - Allocated Contingency
6)	FD-330	City Center Guideway Utilities FD	Executed Contract Amendment No. 01 - Archeological Inventory Survey (AIS) Suspension	($532,800)	90.02 - Allocated Contingency
7)	FD-240	Farrington Highway Station Group FD	Budget Transfer for Contract Award for FHSG FD II	($2,700,200)	90.01 - Unallocated Contingency
			November '13 Contingency Drawdown	**($4,847,851)**	
			November '13 - Ending Contingency Balance	**$610.0**	
		December '13	**Beg. Balance:**	**$610.0**	
1)	FD-430	Airport Section Guideway Utilities FD	Executed Contract Amendment No. 05 - Uiena St redesign scope impact	($249,958)	90.02 - Allocated Contingency
2)	FD-140	West Oahu Station Group FD	Executed Contract Amendment No. 03 - Design relocation of HECO 46kV and fiber optic lines	($23,928)	90.02 - Allocated Contingency
			December '13 Contingency Drawdown	**($272,886)**	
			December '13 - Ending Contingency Balance	**$609.8**	
		January '14	**Beg. Balance:**	**$609.8**	
1)	FD-430	Airport Section Guideway Utilities FD	Executed Contract Amendment No. 06 - Archeological Inventory Survey (AIS) Suspension	($3,306,450)	90.02 - Allocated Contingency
2)	FD-330	City Center Guideway Utilities FD	Executed Contract Amendment No. 02 - Soil Resistance Test and Max Sag Calculation	($406,153)	90.02 - Allocated Contingency
3)	MM-290	Construction Engineering & Inspection West	Budget Transfer for Contract Award less than CE&I West contract budget	$181,065	90.02 - Allocated Contingency
4)	MM-595	Construction Engineering & Inspection East	Budget Transfer for Contract Award less than CE&I East contract budget	$1,102,817	90.02 - Allocated Contingency
			January '14 Contingency Drawdown	**($1,428,719)**	
			January '14 - Ending Contingency Balance	**$608.3**	
		February '14	**Beg. Balance:**	**$608.3**	
1)	FD-430	Airport Section Guideway Utilities FD	Executed Contract Amendment No. 07 - Reset & Sag Geotech Investigation	($132,900)	90.02 - Allocated Contingency
2)	HRT-201	HART ODC	Budget Transfer for Contract Award - Archeological & Cultural Monitoring contract	($11,487)	90.02 - Allocated Contingency
3)	MM-910	GEC II	Budget Transfer for Contract Award - Archeological & Cultural Monitoring & Core Systems Support contracts	($4,424,173)	90.02 - Allocated Contingency
4)	MM-990	Archeological & Cultural Monitoring	Budget Transfer for Contract Award - Archeological & Cultural Monitoring contract	$36,761	90.02 - Allocated Contingency
5)	MM-992	Core Systems Support	Budget Transfer for Contract Award - Core Systems Support contract	$4,536,899	90.02 - Allocated Contingency
			February '14 Contingency Drawdown	**($132,900)**	
			February '14 - Ending Contingency Balance	**$608.2**	

HART Project Contingency Drawdown with Details

Data as of 11/27/15

#	Project No.	Project Desc.	Budget Transfer/Change Description	Contingency Drawdown (+/-)	Contingency Code
		March '14	**Beg. Balance:**	**$608.2**	
	N/A	N/A	No Contingency Drawdown	$0	
			March '14 Contingency Drawdown	**$0**	
			March '14 - Ending Contingency Balance	**$608.2**	
		April '14	**Beg. Balance:**	**$608.2**	
1)	FD-140	West Oahu Stations Group FD	Executed Contract Amendment No. 04 - East Kapolei Staff Room Pre-Final Submittal	($90,745)	90.03 - Contract Allowance
2)	FD-430	Airport Section Guideway Utility FD	Executed Contract Amendment No. 05 - Notice to Proceed 4&5/Provisional Sum for Design Support during bid	($1,598,014)	90.03 - Contract Allowance
3)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 016 - Rail Lubrication	($132,000)	90.02 - Allocated Contingency
4)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 017 - Yard Layout Reconfiguration/Automated Train Operation Design	($2,125,000)	90.02 - Allocated Contingency
5)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 018 - Rail Material Storage Plan	($370,000)	90.02 - Allocated Contingency
6)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 019 - Train Wash Facility Shortening	$0	90.02 - Allocated Contingency
7)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 040 - Precast Yard Alternative Site	($12,400,636)	90.02 - Allocated Contingency
8)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 041 - Revised Track Alignment and Profile	($46,000)	90.02 - Allocated Contingency
9)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 042 - Sandwich Isles Communications Utility Relocation @ North South Rd	($739,040)	90.02 - Allocated Contingency
10)	DB-320	Kamehameha Highway Guideway DB	Executed Change Order No. 005 - Rebar Clear Spacing Design Criteria	$0	90.02 - Allocated Contingency
			April '14 Contingency Drawdown	**($17,490,762)**	
			April '14 - Ending Contingency Balance	**$590.7**	
		May '14	**Beg. Balance:**	**$590.7**	
1)	FD-140	West Oahu Stations Group FD	Budget Transfer for Executed Contract Amendment No. 05 - Final Design for relocated Hoopili Station	$220,123	90.02 - Allocated Contingency
2)	DB-320	Kamehameha Highway Guideway DB	Executed Change Order No. 003 - AHEC work restrictions/abandoned utilities removal	($305,674)	90.02 - Allocated Contingency
3)	DB-320	Kamehameha Highway Guideway DB	Executed Change Order No. 002 - Emergency walkway/insurance covg. Requirements 2013	($139,020)	90.02 - Allocated Contingency
4)	DBOM-920	Core Systems Contract Design Build O/M	Executed Change Order No. 007 - Relocate TPSS to system site #3	$867,054	90.02 - Allocated Contingency
5)	MM-915	HDOT MOT Consultant	Budget Transfer for Executed Contract Amendment No.002 - Increase T&M contract value	$297,391	90.02 - Allocated Contingency
6)	MM-975	MSF LEED Consultant	Budget Transfer for Executed Contract Amendment No. 001 - LEED measurement and verification plan	($9,910)	90.02 - Allocated Contingency
7)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 020 - OSC consolidated changes construction	($22,500,000)	90.01 - Unallocated Contingency
8)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 025 - OSB reconfiguration	$170,000	90.02 - Allocated Contingency
			May '14 Contingency Drawdown	**($22,310,016)**	
			May '14 - Ending Contingency Balance	**$568.4**	
		June '14	**Beg. Balance**	**$568.4**	
1)	DB-200	Maintenance & Storage Facility DB	Board Approved RFCC 00010 - Amendment 1 Non-Rail Excavation	($5,000,000)	90.02 - Allocated Contingency
			June '14 Contingency Drawdown	**($5,000,000)**	
			June '14 - Ending Contingency Balance	**$563.4**	
		July '14	**Beg. Balance**	**$563.4**	
1)	DBOM-920	Core Systems Contract Design Build O/M	Executed Change Order No. 008 - Platform Screen Gates Mobilization	($939,194)	90.02 - Allocated Contingency
2)	ROW	Real Estate/Right-of-Way	Budget Transfer for Contract Award above the Real Estate Map & Survey budget	($1,344,612)	90.02 - Allocated Contingency
3)	DB-200	Maintenance & Storage Facility DB	Budget Transfer to Project Contingency from remaining "known" Changes balance	$1,000,000	90.02 - Allocated Contingency
4)	DB-120	West Oahu Farrington Highway Guideway DB	Budget Transfer to Project Contingency from remaining "known" Changes balance	$1,556,707	90.02 - Allocated Contingency
			July '14 Contingency Drawdown	**$321,161**	
			July '14 - Ending Contingency Balance	**$563.7**	
		August '14	**Beg. Balance**	**$563.7**	
1)	DB-320	Kamehameha Highway Guideway DB	Executed Change Order No. 010 - Delay in issuance of Notice-to-Proceed 2 & 3	($1,626,000)	90.02 - Allocated Contingency
2)	FD-140	West Oahu Stations Group FD	Executed Amendment No. 006 - Passenger screen gates	($89,230)	90.02 - Allocated Contingency
3)	DBB-505	Airport Section Utility Construction DBB	Budget Transfer for Contract Award above Airport Section Utility Construction original budget	($2,755,321)	90.02 - Allocated Contingency
4)	MM-946	On Call Hazmat Removal Consultant	Budget Transfer due to scope transfer from ROW to Hazmat consultant	$470,823	90.02 Allocated Contingency
5)	MM-945	On Call Contractor	Budget Transfer for Contract Award above On Call Contractor original budget	($190,435)	90.02 - Allocated Contingency
			August '14 Contingency Drawdown	**($4,233,166)**	
			August '14 - Ending Contingency Balance	**$559.4**	
		September '14	**Beg. Balance**	**$559.4**	
1)	MM-950	OCIP Consultant Contract	Budget Transfer to unallocated contingency as estimate at completion is less than current budget	$750,000	90.02 - Allocated Contingency
2)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 027 - Traditional Cultural Properties (TCP) Suspension	($473,000)	90.02 - Allocated Contingency
3)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 026 - Insurance Coverage Requirements 2014	($1,112,000)	90.02 - Allocated Contingency
4)	DB-320	Kamehameha Highway Guideway DB	Executed Change Order No. 011 - Revised Vehicle Criteria/Construction Safety Security Plan	($231,500)	90.02 - Allocated Contingency
5)	DB-320	Kamehameha Highway Guideway DB	Executed Change Order No. 012 - Insurance Coverage Requirements 9/1/13 - 6/30/14	($1,400,000)	90.02 - Allocated Contingency
6)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 045 - Standard Specification Revision 2.0	($2,950,000)	90.02 - Allocated Contingency
7)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 046 - Insurance Coverage Requirements 2014	($3,400,000)	90.02 - Allocated Contingency
8)	FD-530	City Center Guideway Utilities FD	Executed Contract Amendment 004 - Aesthetic Station Column	($271,850)	90.02 - Allocated Contingency
9)	FD-530	City Center Guideway Utilities FD	Executed Contract Amendment 005 - City Center Section Rescue Cart Scope Impact	($72,000)	90.02 - Allocated Contingency
10)	FD-340	Kamehameha Highway Stations Group FD	Executed Contract Amendment 001 - Special Provisions Update/Shear Wave Analysis	($27,932)	90.03 - Contract Allowance
11)	FD-340	Kamehameha Highway Stations Group FD	Executed Contract Amendment 003 - Historic Architect/Replace Highway Sign	($71,811)	90.03 - Contract Allowance
12)	FD-340	Kamehameha Highway Stations Group FD	Executed Contract Amendment 005 - Added Bus Shelters at Aloha Stadium Station	($26,850)	90.03 - Contract Allowance
13)	FD-430	Airport Section Guideway Utility FD	Executed Contract Amendment 010 - Aesthetic Station Column and Pearl Harbor Station Redesign	($756,750)	90.02 - Allocated Contingency
14)	FD-430	Airport Section Guideway Utility FD	Executed Contract Amendment 011 - Airport Section Rescue Cart Scope Impact	($48,000)	90.02 - Allocated Contingency
15)	FD-140	West Oahu Stations Group FD	Executed Contract Amendment 007 - Traffic Signal Conflict UHWO/Hoopili Access Road	($92,722)	90.03 - Contract Allowance
			September '14 Contingency Drawdown	**($9,336,151)**	
			September '14 - Ending Contingency Balance	**$550.1**	
		October '14	**Beg. Balance**	**$550.1**	
1)	DBOM-920	Core Systems Contract Design Build O/M	Executed Change Order No. 009 - WOFH Guideway Alignment for OSC	($145,000)	90.02 - Allocated Contingency
2)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 028 - Escalation due to Schedule Impacts	($8,500,000)	90.01 - Unallocated Contingency

HART Project Contingency Drawdown with Details

Data as of 11/27/15

#	Project No.	Project Desc.	Budget Transfer/Change Description	Contingency Drawdown (+/-)	Contingency Code
5)	DB-320	Kamehameha Highway Guideway DB	Executed Change Order No. 013 - Station Load & Configuration Mods	($1,350,000)	90.02 - Allocated Contingency
6)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 047 - Station Load & Configuration Mods	($4,400,000)	90.02 - Allocated Contingency/ 90.01 - Unallocated Contingency
5)	PD-440	Airport Stations Group PD	Executed Contract Amendment No. 002 - Extension of PM Services	($190,000)	90.02 - Allocated Contingency
6)	PD-440	Airport Stations Group PD	Executed Contract Amendment No. 003 - Add Pedestrian Bridges to HIA Stations	($434,840)	90.02 - Allocated Contingency
7)	PD-240	Farrington Highway Stations Group-2 PD	Executed Contract Amendment No. 001 - Extension of PM Services	($297,600)	90.03 - Contract Allowance
8)	PD-240	Farrington Highway Stations Group-2 PD	Executed Contract Amendment No. 002 - Incorporation of Comments	($156,150)	90.01 - Unallocated Contingency
9)	PD-240	Farrington Highway Stations Group-2 PD	Executed Contract Amendment No. 003 - Value Engineering	($472,707)	90.01 - Unallocated Contingency
10)	PD-240	Farrington Highway Stations Group-2 PD	Executed Contract Amendment No. 004 - EOR/AOR	($740,539)	90.01 - Unallocated Contingency
11)	PD-140	West Oahu Stations Group PD	Executed Contract Amendment No. 010 - Temporary Parking Lot Near UHWO/UHWO & Ho'opili Sewage Holding Tank	($102,291)	90.03 - Contract Allowance
12)	PD-140	West Oahu Stations Group PD	Executed Contract Amendment No. 011 - Extension of PM Services	($297,600)	90.02 - Allocated Contingency
			October '14 Contingency Drawdown	**($18,367,138)**	
			October '14 - Ending Contingency Balance	**$531.8**	
November '14			**Beg. Balance**	**$531.8**	
1)	DBOM-920	Core Systems Contract Design Build O/M	Executed Change Order No. 012 - Delete Ticket Vending Machines	$10,350,000	90.02 - Allocated Contingency
2)	PD-550	Dillingham Kaka'ako Stations Group PD	Executed Contract Amendement No. 002 - General Excise Tax credit	$385,686	90.02 - Allocated Contingency
			November '14 Contingency Drawdown	**$10,735,686**	
			November '14 - Ending Contingency Balance	**$542.5**	
December '14			**Beg. Balance**	**$542.5**	
1)	DBOM-920	Core Systems Contract Design Build O/M	Executed Change Order No. 013 - HRT Train Mock-up Shipment/Delivery	($63,713)	90.02 - Allocated Contingency
3)	DBOM-920	Core Systems Contract Design Build O/M	Executed Change Order No. 013 - HECO Connection Charges	($150,000)	90.02 - Allocated Contingency
4)	DB-320	Kamehameha Highway Guideway DB	Executed Change Order No. 014 - Escalation due to Schedule Impacts	($3,300,000)	90.02 - Allocated Contingency
5)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 048 - Escalation due to Schedule Impacts	($15,000,000)	90.01 - Unallocated Contingency
			December '14 Contingency Drawdown	**($18,713,713)**	
			December '14 - Ending Contingency Balance	**$523.8**	
January '15			**Beg. Balance**	**$523.8**	
1)	DBOM-920	Core Systems Contract Design Build O/M	Executed Change Order No. 011- Eliminate Station Manager Booths	$310,000	90.02 - Allocated Contingency
2)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 050 - Escalation due to Schedule Impacts Subcontractor Ameron Aggregate	($494,413)	90.01 - Unallocated Contingency
3)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 051 - Escalation due to Schedule Impacts Subcontractor Anti-Graffiti Paint	($21,475)	90.01 - Unallocated Contingency
4)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 052 - Escalation due to Schedule Impacts Subcontractor HPO Spec Duty Officer	($156,123)	90.01 - Unallocated Contingency
5)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 053 - Escalation due to Schedule Impacts Subcontractor MUSA Blocks	($71,683)	90.01 - Unallocated Contingency
6)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 054 - Escalation due to Schedule Impacts Subcontractor Road Builder	($718,655)	90.01 - Unallocated Contingency
7)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 055 - Escalation due to Schedule Impacts Subcontractor Post Tension Strand Accessories	($787,177)	90.01 - Unallocated Contingency
8)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 056 - Escalation due to Schedule Impacts Subcontractor Ameron Rolled Drilled Shaft Casings	($102,675)	90.01 - Unallocated Contingency
9)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 057 - Escalation due to Schedule Impacts Subcontractor PAC Electric	($777,883)	90.01 - Unallocated Contingency
10)	DBOM-920	Core Systems Contract Design Build O/M	Executed Change Order No. 014 - Eliminate Secondary Emergency Access at MSF	$90,000	90.02 - Allocated Contingency
11)	PD-430	Airport Section Guideway Utilities PD	Executed Contract Amendement No. 012 - Contaminated Soil, 7 Piers, Wayside Lubrication	($38,700)	90.02 - Allocated Contingency
12)	PD-550	Dillingham Kaka'ako Stations Group PD	Executed Contract Amendement No. 003 - Scope for Downtown Sta/Civic Center Sta/Kapiolani Sta & bike Ramps	($490,017)	90.02 - Allocated Contingency
13)	PD-550	Dillingham Kaka'ako Stations Group PD	Executed Contract Amendement No. 004 - Ala Moana Transit Ctr-Chinatown Sta Geotech Expedited Station Loads	($518,717)	90.02 - Allocated Contingency
14)	PD-240	Farrington Highway Stations Group-2 PD	Executed Contract Amendement No. 005 - Addition of Bike Ramps to HRSG Stations	($17,744)	90.02 - Allocated Contingency
15)	PD-240	Farrington Highway Stations Group-2 PD	Executed Contract Amendement No. 006 - Addition of 30' Guideway Section West Loch and Waipahu Stations	($37,000)	90.03 - Contract Allowance
16)	PD-240	Farrington Highway Stations Group-2 PD	Executed Contract Amendement No. 007 - WOCS to West Loch and Waipahu Girder Design	($38,000)	90.03 - Contract Allowance
			January '15 Contingency Drawdown	**($3,988,343)**	
			January '15 - Ending Contingency Balance	**$519.8**	
February '15			**Beg. Balance**	**$519.8**	
1)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 058 - Kalo Drainage Channel Geotechnical	($957,821)	90.02 - Allocated Contingency
2)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 059 - Revision of Waipahu Guideway, LCC Station & Pedestrian Violation Criteria	($331,092)	90.02 - Allocated Contingency
3)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 060 - Waiawa Scour Design Actuals	($266,494)	90.02 - Allocated Contingency
4)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 061 - Kalo Scour Design Actuals	($936,511)	90.02 - Allocated Contingency
5)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 062 - West Loch and UHWO Station Revisions of Guideway	($64,210)	90.02 - Allocated Contingency
6)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 063 - Procurement & Delivery LCC Modular Bldg	($1,919,021)	90.01 - Unallocated Contingency
			February '15 Contingency Drawdown	**($4,196,061)**	
			February '15 - Ending Contingency Balance	**$515.6**	
March '15			**Beg. Balance**	**$515.6**	
1)	DBOM-920	Core Systems Contract Design Build O/M	Executed Change Amendment No. 015 - Test and Storage Track Changes at MSF	($2,510,000)	90.02 - Allocated Contingency
2)	PD-140	West Oahu Stations Group PD	Executed Change Amendment No. 013 - WOSG Rebid and VE Items, 466 Stay Station Canopy Roofs, Change to CSC Dev location	($390,000)	90.02 - Allocated Contingency
3)	PD-140	West Oahu Stations Group PD	Executed Change Amendment No. 013 - WOSG Rebid and VE Items, 466 Stay Station Canopy Roofs, Change to CSC Dev location	($240,000)	90.03 - Contract Allowance
4)	PD-030	City Center Guideway Utilities PD	Executed Change Amendment No. 006 - Management Extension thru October 2014	($952,500)	90.02 - Allocated Contingency
5)	DBB-705	Airport Section Guideway 7 Pier Construction	Executed Change Order No. 001 - HDOT & Utility Relocation at Piers	($490,000)	90.02 - Allocated Contingency
6)	PD-340	Kamehameha Highway Stations Group PD	Executed Change Amendment No. 006 - Misc RFI's Interface items	($339,176)	90.02 - Allocated Contingency
7)	PD-340	Kamehameha Highway Stations Group PD	Executed Change Amendment No. 006 - Aloha Stadium Low Impact Development Requirement	($40,000)	90.03 - Contract Allowance
			March '15 Contingency Drawdown	**($4,910,638)**	
			March '15 - Ending Contingency Balance	**$510.7**	
April '15			**Beg. Balance**	**$510.7**	
1)	PD-140	West Oahu Stations Group PD	Executed Contract Amendment No. 014 - Redesign of East kapolei Escalator	($66,000)	90.02 - Allocated Contingency
2)	PD-140	West Oahu Stations Group PD	Executed Contract Amendment No. 014 - Hoopili Grading	($175,000)	90.03 - Contract Allowance
3)	PD-140	West Oahu Stations Group PD	Executed Contract Amendment No. 015 - Redesign of TPSS Trench at SBS and CSC Cabinets at East Kapolei	($28,000)	90.02 - Allocated Contingency
4)	DBB-705	Airport Section Guideway 7 Pier Construction	Executed Change Order No. 002 - Contractor to Perform OSL Testing	($17,378)	90.02 - Allocated Contingency
5)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Change Order No. 049 - Hazmat Assessment for LCC Portables	($8,174)	90.02 - Allocated Contingency

HART Project Contingency Drawdown with Details

Data as of 11/27/15

#	Project No.	Project Desc.	Budget Transfer/Change Description	Contingency Drawdown (+/-)	Contingency Code
			April '15 Contingency Drawdown	($298,562)	
			April '15 - Ending Contingency Balance	$510.4	
		May'15	Beg. Balance	$510.4	
1)	FD-140	West Oahu Stations Group FD	Executed Contract Amendment No. 016 - PSG/Rev to Canopy Design/Power to Hoopili Sta/Scour Countermeasures	($130,000)	90.03 - Contract Allowance
2)	FD-240	Farrington Highway Stations Group-2 FD	Executed Contract Amendment No. 009 - West Loch Generator	($2,000)	90.03 - Contract Allowance
3)	FD-440	Airport Stations Group FD	Executed Contract Amendment No. 004 - HA Obstruction Investigation	($20,000)	90.03 - Contract Allowance
4)	DB-320	Kamehameha Highway Guideway DB	Executed Change Order No. 016 - Delay to Method Shaft 6	($121,000)	90.02 - Allocated Contingency
5)	DBOM-920	Core Systems Contract Design Build O/M	Executed Change Order No. 016 - Delete Passenger Counters Onbrd Time - Wi Provisions on Veh	$114,161	90.02 - Allocated Contingency
6)	DB-200	Maintenance & Storage Facility DB	Executed Change Order No. 030 - OSB 1st Fl Bldg Int Exit System Design Rev	($450,000)	90.02 - Allocated Contingency
			May '15 Contingency Drawdown	($615,839)	
			May '15 - Ending Contingency Balance	$509.8	
		Jun'15	Beg. Balance	$509.8	
1)	MM-923	HDOT Coordination Consult City Center	Budget Transfer from Inactive CPP, HDOT Airport consultant took on City Center scope	$1,084,782	90.01 - Unallocated Contingency
2)	MM-960	Archeological & Cultural Monitoring	Budget Transfer to Provide funding for FY2015	($501,000)	90.01 - Unallocated Contingency
3)	MM-923	HDOT cordi	Executed Contract Amendment No. 013 - Airport Design Build Package	($5,734,640)	90.02 - Allocated Contingency
4)	MM-901	Program Management Support Consit(PMSC 2)	Budget Transfer for exercised option for one year extension of services	($7,816,377)	90.01 - Unallocated Contingency
5)	DBOM-920	Core Systems Contract Design Build O/M	Budget Transfer for On Call Contractor performing CSC related scope at the ROC	($300,000)	90.02 - Allocated Contingency
			June '15 Contingency Drawdown	($8,168,327)	
			June '15 - Ending Contingency Balance	$501.7	
		Jul'15	Beg. Balance	$501.7	
1)	OOH-100	City and County of Honolulu	Inactive CPP, (DTS costs), reduces budget to incurred costs	$410,598	90.01 - Unallocated Contingency
2)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Contract Change Order No. 065 - Relocation of LCC Portables/Park Lot	($460,979)	90.01 - Unallocated Contingency
3)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Contract Change Order No. 066 - Revise Offset LT Lane at Kahualii	($795,083)	90.01 - Unallocated Contingency
4)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Contract Change Order No. 067 - Revised West Yard Lead	($124,608)	90.01 - Unallocated Contingency
5)	DB-200	Maintenance & Storage Facility DB	Executed Contract Change Order No. 031 - MOW Interior Bldg. Systems Devices	($180,000)	90.02 - Allocated Contingency
6)	DB-200	Maintenance & Storage Facility DB	Executed Contract Change Order No. 032 - Deletion of Vegetative Roof Request	$153,415	90.02 - Allocated Contingency
			Jul '15 Contingency Drawdown	($997,456)	
			July '15 - Ending Contingency Balance	$500.7	
		Aug'15	Beg. Balance	$500.7	
1)	DB-120	West Oahu Farrington Highway Guideway DB	Executed Contract Change Order No. 068 - Delay NTP1, 2 & 4 - ICMC Escalation	($6,226,445)	90.01 - Unallocated Contingency
2)	DB-200	Maintenance & Storage Facility DB	Executed Contract Change Order No. 033 - FOB Foundation	($44,170)	90.02 - Allocated Contingency
3)	DB-320	Kamehameha Highway Guideway DB	Executed Change Order No. 017 - Relocate Sewer Near 935+00 to 947+00	($151,267)	90.02 - Allocated Contingency
4)	FD-140	West Oahu Stations Group FD	Executed Contract Amendment No. 017 - Power to UHWO Station and Electrical Bonding	($40,000)	90.03 - Contract Allowance
5)	FD-240	Farrington Highway Stations Group-2 FD	Executed Contract Amendment No. 010 - Pedestrian Bridge Modifications	($18,750)	90.03 - Contract Allowance
6)	FD-340	Kamehameha Highway Stations Group FD	Executed Change Amend No. 007 - Value Engineering Reduce Stn Cost and P1, P8 and A5 New Platform Canopy Coordination	($824,522)	90.02 - Allocated Contingency
7)	FD-440	Airport Stations Group FD	Executed Contract Amendment No. 005 - Design Build Bridging Documents	($270,000)	90.02 - Allocated Contingency
8)	DBOM-920	Core Systems Contract Design Build O/M	Executed Change Order No. 017 - Voltage Flicker Study	($37,850)	90.02 - Allocated Contingency
10)	FD-990	Dillingham Kaka'ako Stations Group FD	Executed Change Amend No. 00005 - Scope of Change - Schedule Extension	($333,595)	90.02 - Allocated Contingency
			Aug '15 Contingency Drawdown	($7,786,632)	
			Aug '15 - Ending Contingency Balance	$492.9	
		Sept'15	Beg. Balance	$492.9	
1)	DB-320	Kamehameha Highway Guideway DB	Executed Contract Change Order No. 018 - Unknown Subsurface at Boring 422R Utility Varying from RFP	($92,331)	90.02 - Allocated Contingency
			Sept '15 Contingency Drawdown	($92,331)	
			Sept '15 - Ending Contingency Balance	$492.8	
		Oct'15	Beg. Balance	$492.8	
1)	FD-340	Kamehameha Highway Stations Group FD	Executed Change Amend No. 008 - Interface Coordination	($160,000)	90.02 - Allocated Contingency
2)	FD-340	Kamehameha Highway Stations Group FD	Executed Change Amend No. 009 - Replenish of NTP4	($30,000)	90.02 - Allocated Contingency
3)	FD-240	Farrington Highway Stations Group-2 FD	Executed Change Amend No. 011 - NTP2 Extention	($30,000)	90.02 - Allocated Contingency
4)	FD-240	Farrington Highway Stations Group-2 FD	Executed Change Amend No. 012 - WL Switchgear Pad & TPSS Foundation	($34,000)	90.02 - Allocated Contingency
5)	FD-140	West Oahu Stations Group FD	Executed Contract Amendment No. 018 - NTP 4 Replenishment	($30,000)	90.02 - Allocated Contingency
6)	FD-140	West Oahu Stations Group FD	Executed Contract Amendment No. 019 - East Kapolei Bent Deflections	($40,000)	90.03 - Contract Allowance
7)	FD-440	Airport Stations Group FD	Executed Contract Amendment No. 006 - General Excise Tax Credit	$98,353	90.02 - Allocated Contingency
8)	DBOM-920	Core Systems Contract Design Build O/M	Executed Change Order No. 018 - Settlement of RHCC 00002(Spiro, Delay Claim resubmittal)	($8,700,000)	90.02 - Allocated Contingency
9)	DBOM-920	Core Systems Contract Design Build O/M	Executed Change Order No. 019 - Credit for four car Consists, eliminates the requirements for mixed fleet operations	$6,200,000	90.02 - Allocated Contingency
			Oct '15 Contingency Drawdown	($3,794,647)	
			Oct '15 - Ending Contingency Balance	$489.0	
		Nov'15	Beg. Balance	$489.0	
1)	DB-200	Maintenance & Storage Facility DB	Executed Contract Change Order No. 035 - Flagpole, Changes to Color Scheme	($45,900)	90.02 - Allocated Contingency
2)	DB-200	Maintenance & Storage Facility DB	Executed Contract Change Order No. 037 - AIS Reconciliation Credit from CCO 0007	$785,304	90.02 - Allocated Contingency
3)	DB-200	Maintenance & Storage Facility DB	Executed Contract Change Order No. 038 - Unpaid Suspension Amounts	($271,374)	90.02 - Allocated Contingency
4)	DB-200	Maintenance & Storage Facility DB	Executed Contract Change Order No. 039 - Escalation of Additional Design Services Due to Schedule	($36,058)	90.02 - Allocated Contingency
5)	MM-970	Fare Collection Consultant	Budget Transfer for Contract Award - MM-970 Fare Collection Consultant	($1,176,303)	90.03 - Contract Allowance
			Nov '15 Contingency Drawdown	($778,329)	
			Nov '15 - Ending Contingency Balance	$488.2	

Appendix C. Project Cost Reports (data as of Nov. 27, 2015)

Cost reports are run from the HART Contract Management System (CMS)

Project Costs by Contract

HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: November 2015

Project Monthly Cost Report by Contract - One Line Summary

Page: 1 of 3

CPP No	Title		A COMMITTED Original	B COMMITTED Changes	C=A+B COMMITTED Current *	D AFE AFE**	E INCURRED Incurred To Date	F PERCENT %
ART	ART Contracts	T&M	0	0	0	0	0	0%
CCH-000	Operating/Maintenance Contracts	FFF	280,970	-58,970	222,000	141,000	199,030	90%
CCH-100	Inactive Hart/City CCH		15,348,443	0	15,348,443	0	14,925,228	97%
CCH-101	HART/ City Dept of BFS		105,092	0	105,092	0	0	0%
CCH-102	HART/ City DDC Land Division		256,201	0	256,201	0	173,182	68%
CCH-107	HART/ City Corporation Counsel (COR)		1,669,151	0	1,669,151	0	152,899	9%
CCH-108	HART / Board of Water Supply (BWS)		928,325	0	928,325	0	928,325	100%
DB-120	West Oahu/Farrington Hwy Guideway DB	SOM	482,924,000	148,482,384	631,406,384	631,406,384	493,585,870	78%
DB-200	Maintenance & Storage Facility DB	SOM	195,258,000	79,888,453	275,146,453	208,177,187	233,007,858	85%
DB-320	Kamehameha Hwy Guideway DB	SOM	372,150,000	16,817,876	388,967,876	388,967,876	190,181,817	49%
DBB-171	West Oahu Station Group DBB	SOV	56,088,470	0	56,088,470	56,088,470	0	0%
DBB-185	SPCD - West Side SG Construction	SOV	0	0	0	0	0	0%
DBB-271	Farrington Highway Station Group DBB	SOV	78,999,000	0	78,999,000	78,999,000	0	0%
DBB-275	SPCD-Pearl Highlands Pkg. Str Cnstr.	SOV	0	0	0	0	0	0%
DBB-385	H2R2 Ramp	SOV	9,413,292	0	9,413,292	5,203,646	0	0%
DBB-470	SPCD-Airport Station Group Cnstr.	SOV	0	0	0	0	0	0%
DBB-505	Airport Section Utilities Cnstr. DBB	SOV	28,413,974	0	28,413,974	28,413,974	7,873,650	28%
DBB-510	City Ctr Section Util Cnstr DBB	SOV	0	0	0	0	0	0%
DBB-520	SPCD-Airport-City Center Gdway Cntr.	SOV	0	0	0	0	0	0%
DBB-525	Airport Section Guideway 7 Pier DBB	SOV	3,973,000	508,241	4,481,241	4,481,241	3,796,241	85%
DBB-580	SPCD-Dillingham/Kaka'ako S G Cntr.	SOV	0	0	0	0	0	0%
DBB-600	Park-and-Ride Lots Construction	SOV	0	0	0	0	0	0%
DBOM-920	Core Systems Design Build O/M	SOM	573,782,793	24,780,894	598,563,687	582,648,675	165,783,508	28%
FD-140	West Oahu Station Group FD	SOM	7,789,000	2,275,307	10,064,307	9,883,311	9,199,096	91%
FD-240	Farrington Highway Stations Group FD	SOM	9,300,696	4,981,349	14,282,045	13,939,393	12,577,157	88%
FD-245	SPCD-Pearl Highlands Pkg. Str. FD	SOM	0	0	0	0	0	0%
FD-340	Kamehameha Hwy Station Group FD	SOM	8,702,592	1,156,698	9,859,290	9,828,016	8,843,841	90%
FD-430	SPCD-Airport Sect. Guideway/Util FD	SOM	38,840,960	4,293,512	43,134,472	43,134,472	41,086,689	95%
FD-440	SPCD-Airport Station Group FD	SOM	10,177,365	1,396,487	11,573,852	10,635,793	9,801,978	85%
FD-530	SPCD - City Center Guideway/Util FD	SOM	43,948,220	2,249,342	46,197,562	43,581,241	40,075,486	87%
FD-550	SPCD - Dillingham and Kaka'ako S G FD	SOM	18,321,918	986,124	19,308,042	15,732,737	11,482,205	59%
FD-600	Park-and-Ride Lots Final Design	SOM	0	0	0	0	0	0%
HRT-200	HART Labor		43,951,942	0	43,951,942	0	43,274,903	98%

*** Current Committed = Original Contract + CCO/Amendment**

**** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)**

m_cw_pmoc_monthly_contract_one_line - No. 19

Print 12/11/15 9:30

HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: November 2015

Project Monthly Cost Report by Contract - One Line Summary

Page: 2 of 3

CPP No	Title		A COMMITTED Original	B COMMITTED Changes	C=A+B COMMITTED Current *	D AFE AFE**	E INCURRED Incurred To Date	F PERCENT %
HRT-201	HART ODC Contracts		15,859,154	0	15,859,154	130,100	17,682,563	111%
MI-900	Fare Collection DFI	MI	0	0	0	0	0	0%
MI-930	Elevators & Escalators Install/Maint	SOM	50,982,714	0	50,982,714	5,442,108	4,925,631	10%
MM-280	SPCD-WOFH/KHSG CE&I(REPACKAGED)	CPFF	0	0	0	0	0	0%
MM-290	Construction Engrg & Insp CEI West	CPFF	54,232,480	0	54,232,480	16,650,000	18,959,937	35%
MM-385	SPCD-Pearl Highlands Garage Rmps CEI	CPFF	0	0	0	0	0	0%
MM-500	SPCD-By MM959 CEI East	CPFF	0	0	0	0	0	0%
MM-525	SPCD-By MM959 CEI East	CPFF	0	0	0	0	0	0%
MM-590	SPCD-By MM959 CEI East	CPFF	0	0	0	0	0	0%
MM-595	SPCD - Const. Engrg & Insp. CEI East	CPFF	63,083,417	-47,826,417	15,257,000	(32,569,417)	12,377,950	81%
MM-596	Construction Engrg & Insp CEI East 2	CPFF	55,036,130	0	55,036,130	55,036,130	0	0%
MM-600	SPCD-UHWO Pkg-Hoopili Stn Fnsh CEI	CPFF	0	0	0	0	0	0%
MM-900	Program Mgt Support Consit (PMSC-1)	CPFF	15,952,569	0	15,952,569	20,700,000	0	0%
MM-901	Program Mgt Support Consit (PMSC-2)	CPFF	33,376,897	7,616,377	40,993,274	34,297,167	37,131,627	91%
MM-905	MM-905 Gen Engrg Consit EIS/PE	CPFF	0	78,564,942	78,564,942	78,564,942	74,157,822	94%
MM-910	MM-910 Gen Engrg Consit FD-Construct	CPFF	150,000,000	0	150,000,000	150,000,000	149,446,962	100%
MM-913	MM-913 Gen Engrg Recompete	CPFF	46,143,277	0	46,143,277	13,078,208	23,135,837	50%
MM-915	HDOT Traffic Mgmt. Consult.	T&M	1,600,000	1,400,000	3,000,000	4,000,000	2,865,148	96%
MM-920	HDOT Coordination Consit WOFH	T&M	3,000,000	7,500,000	10,500,000	10,000,000	6,554,186	62%
MM-921	HDOT Coordination Consit KHG	T&M	10,000,000	-1,400,000	8,600,000	5,000,000	3,908,475	45%
MM-922	HDOT Coordination Consit. Airport	T&M	12,000,000	-5,600,000	6,400,000	3,000,000	2,423,851	38%
MM-923	HDOT Coordination Consit City Center	T&M	0	0	0	0	0	0%
MM-925	HDOT Labor - WOFH/KHG Agreements	T&M	550,000	1,265,633	1,815,633	3,081,266	1,627,153	90%
MM-926	HDOT Labor - Airport Agreements	T&M	0	0	0	0	0	0%
MM-930	HDOT State SOA Manager & Consultant	T&M	1,272,400	583,142	1,855,542	843,167	832,095	45%
MM-935	Real Estate Consultant	T&M/TI	3,000,000	4,227,665	7,227,665	5,717,665	5,594,529	77%
MM-937	Real Estate Consultant - Maps/Surv.	CPFF	2,998,000	0	2,998,000	1,500,000	508,128	17%
MM-940	Kako'o Consultant	T&M/TI	1,000,000	0	1,000,000	500,000	519,906	52%
MM-941	Kako'o Consultant II	CPFF	0	0	0	0	0	0%
MM-945	On-Call Contractor	T&M/TI	1,000,000	1,000,000	2,000,000	1,800,000	1,918,233	96%
MM-946	On-Call Hazmat Removal Contractor	T&M/TI	3,075,000	0	3,075,000	1,000,000	2,456,356	80%
MM-947	On-Call Contractor 2	T&M/TI	7,500,000	0	7,500,000	4,500,000	2,138,316	29%
MM-950	OCIP Consultant	FFF	1,250,000	0	1,250,000	1,250,000	955,156	76%

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

m_cw_pmoc_monthly_contract_one_line - No. 19

Print 12/11/15 9:30

HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: November 2015

Project Monthly Cost Report by Contract - One Line Summary

Page: 3 of 3

CPP No	Title		A COMMITTED Original	B COMMITTED Changes	C=A+B COMMITTED Current *	D AFE AFE**	E INCURRED Incurred To Date	F PERCENT %
MM-951	Owner-Controlled Insurance Program	FFF	41,000,000	0	41,000,000	0	26,494,012	65%
MM-960	Archeological & Cultural Monitoring	T&M	1,010,609	0	1,010,609	1,010,609	967,161	96%
MM-962	Core Systems Support	CPFF	43,988,989	0	43,988,989	3,600,000	12,221,628	28%
MM-964	Safety and Security Consultant	FFF	4,699,573	112,751	4,812,324	4,012,751	2,587,796	54%
MM-970	Fare Collection Consultant	MM	1,178,300	0	1,178,300	1,178,300	0	0%
MM-975	LEED Commissioning Services for MSF	T&M	278,630	9,910	288,540	288,540	102,145	35%
OTHER	All Project Wide Documents		0	0	0	0	0	0%
PA-101	Programmatic Agreement Humanities	PA	0	0	0	0	0	0%
PA-102	Programmatic Agreement HPC	T&M/TI	400,000	0	400,000	200,000	172,325	43%
PA-103	Programmatic Agreement HPC Park Impr	PA	0	0	0	0	0	0%
ROW	Real Estate / Right-of-Way		89,885,511	0	89,885,511	121,992	92,693,792	103%
UTIL	Utility Company Contracts	T&M	96,126,631	13,644,575	109,771,206	87,368,516	42,085,947	38%
Total Project:			**2,812,103,685**	**348,856,274**	**3,160,959,959**	**2,612,564,458**	**1,834,393,632**	

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

m_ow_pmoc_monthly_contract_one_line - No. 19

Print 12/11/15 9:30

Project Costs by SCC – Summary

HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: November 2015

Project Monthly Cost Report by SCC Summary

Page: 1 of 1

SCC	Title	A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
		Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
1. Subtotal 10 - 80 SCC Costs										
10.	Guideway & Track Elements	1,114,215,147	46,008,500	1,160,223,647	550,992,093	37,178,532	(2,966,153)	1,160,223,647	0	281,719,689
20.	Stations,Stops,Terminals,Intermodal	421,804,740	(3,205,951)	418,598,789	186,070,184	0	0	418,598,789	0	4,925,631
30.	Support Facilities;Yards,Shops,Admin	92,535,015	22,319,178	114,854,193	114,998,024	18,654,360	0	114,854,193	0	86,534,317
40.	Sitework & Special Conditions	983,178,121	22,933,209	1,006,111,330	739,281,277	167,625,598	21,303,422	1,006,111,330	0	522,374,183
50.	Systems	221,284,301	27,474,531	248,758,832	233,598,619	27,038,099	0	248,758,832	0	37,000,560
60.	ROW, Land, Existing Improvements	197,397,947	528,621	197,926,568	94,115,331	1,229,820	4,986,995	197,926,568	0	98,596,466
70.	Vehicles	186,829,020	4,645,501	191,474,521	191,474,521	1,446,224	0	191,474,521	0	34,051,880
80.	Professional Services	1,087,830,119	34,620,900	1,122,451,019	1,043,331,143	96,111,742	5,480	1,122,451,019	0	765,757,629
	A.C. Provisional Pay Requests	0	0	0	0	0	0	0	0	2,892,318
Subtotal:		4,305,074,410	155,324,489	4,460,398,899	3,153,861,192	349,284,375	23,329,744	4,460,398,899	0	1,833,852,673
2. NTP										
	NTP Authorized For Expediture	0	0	0	0	2,259,282,795	0	0	0	0
Subtotal:		0	0	0	0	2,259,282,795	0	0	0	0
3. Contingency										
	CNTR Allocated Contingency	541,689,343	(99,101,584)	442,587,759	7,098,767	3,997,289	251,429,435	442,587,759	0	540,959
	PRJ Unallocated Contingency	101,871,170	(56,222,905)	45,648,265	0	0	0	45,648,265	0	0
Subtotal:		643,560,513	(155,324,489)	488,236,024	7,098,767	3,997,289	251,429,435	488,236,024	0	540,959
4. Finance Charges - Eligible										
	OTH Finance Charges	173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
Subtotal:		173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
FTA TOTAL PROJECT COSTS		5,121,693,166	(0)	5,121,693,166	3,160,959,959	2,612,564,458	274,759,179	5,121,693,166	0	1,834,393,632
4. Finance Charges -Ineligible Costs										
	FINC Finance Charges	42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
Subtotal:		42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
INELIGIBLE COSTS		42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
Total Project:		5,163,693,166	(0)	5,163,693,166	3,160,959,959	2,612,564,458	274,759,179	5,163,693,166	0	1,834,393,632

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

*** Changes Identified= Pending + Probable + Potential Changes

**** Est. At Completion = Original Contract + CCO/Amendments + Changes Identified

Report M_CW_pmoc_monthly_Scc_summary - No. 22

Print Date: 2/11/15 9:44

Project Costs by SCC – Level 2

HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: November 2015

Project Monthly Cost Report by SCC Details

Page: 1 of 3

		A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
SCC	Title	Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
1. Subtotal 10 - 80 SCC Costs										
10.	Guideway & Track Elements	1,114,215,147	46,008,500	1,160,223,647	550,992,093	37,178,532	(2,966,153)	1,160,223,647	0	281,719,689
10.02	Guideway: At-grade semi-exclusive	0	17,378	17,378	17,378	17,378	0	17,378	0	17,378
10.04	Guideway: Aerial Structure	1,022,380,671	43,014,961	1,065,395,632	465,671,878	27,499,427	(2,646,153)	1,065,395,632	0	230,405,882
10.08	Guideway: Retained Cut or Fill	7,492,944	(1,056,688)	6,436,256	6,436,256	0	0	6,436,256	0	0
10.09	Track: Direct Fixation	79,347,205	3,097,822	82,445,027	74,637,831	9,630,851	(320,000)	82,445,027	0	51,296,429
10.11	Track: Ballasted	3,293,724	(595,849)	2,697,875	2,697,875	0	0	2,697,875	0	0
10.12	Track: Special (Switches, turnouts)	1,700,603	1,530,876	3,231,479	1,530,876	30,876	0	3,231,479	0	0
20.	Stations, Stops, Terminals, Intermodal	421,804,740	(3,205,951)	418,598,789	186,070,184	0	0	418,598,789	0	4,925,631
20.01	At-grade station, stop, shelter,..	6,111,332	(6,111,332)	0	0	0	0	0	0	0
20.02	Aerial Station, stop, shelter,mall	294,563,457	6,643,853	301,207,310	135,087,470	0	0	301,207,310	0	0
20.06	Automobile parking multi-story str	66,408,765	0	66,408,765	0	0	0	66,408,765	0	0
20.07	Elevators, Escalators	54,721,186	(3,738,472)	50,982,714	50,982,714	0	0	50,982,714	0	4,925,631
30.	Support Facilities; Yards, Shops, Admin	92,535,015	22,319,178	114,854,193	114,998,024	18,654,360	0	114,854,193	0	86,534,317
30.01	Administration Bldg: Office, sales	0	191,435	191,435	205,266	205,266	0	191,435	0	0
30.02	Light Maintenance Facility	7,591,888	(5,095)	7,586,793	7,586,793	0	0	7,586,793	0	4,351,177
30.03	Heavy Maintenance Facility	38,099,138	4,978,668	43,077,806	43,207,806	5,350,776	0	43,077,806	0	27,428,259
30.04	Storage or Maintenance of Way Buil	7,797,460	819,670	8,617,130	8,617,130	881,220	0	8,617,130	0	6,129,584
30.05	Yard and Yard Track	39,046,529	16,334,500	55,381,029	55,381,029	12,217,098	0	55,381,029	0	48,625,297
40.	Sitework & Special Conditions	983,178,121	22,933,209	1,006,111,330	739,281,277	167,625,598	21,303,422	1,006,111,330	0	522,374,183
40.01	Demolition, Clearing, Earthwork	29,980,158	(9,880,363)	20,099,795	11,839,349	1,229,005	0	20,099,795	0	2,539,412
40.02	Site Utilities, Utility Relocation	299,449,756	(522,285)	298,927,471	213,041,443	20,265,599	3,503,271	298,927,471	0	110,277,823
40.03	Haz. mat'l, contam'd soil removal	9,199,237	(5,288,631)	3,910,606	3,434,088	149,088	(391,304)	3,910,606	0	2,605,444
40.04	Environmental Mitigation	26,979,122	4,983,249	31,962,371	16,557,672	16,864	0	31,962,371	0	10,816,505
40.05	Site structures, retaining walls,	7,998,960	6,540,840	14,539,800	11,229,628	274,780	4,647,403	14,539,800	0	4,618,004
40.06	Pedestrian/bike access/landscaping	41,073,897	(6,105,894)	34,968,003	5,199,868	(4,566)	478,020	34,968,003	0	50,000
40.07	Auto, bus, van accessways	181,979,367	(18,478,464)	163,500,903	38,724,758	1,577,242	1,324,858	163,500,903	0	5,472,264
40.08	Temporary Facilities/Indirect Cost	386,517,624	51,684,757	438,202,381	439,254,473	144,117,586	11,741,174	438,202,381	0	385,994,731
50.	Systems	221,284,301	27,474,531	248,758,832	233,598,619	27,038,099	0	248,758,832	0	37,000,560
50.01	Train control and signals	81,982,556	24,381,140	106,363,696	106,363,696	23,961,050	0	106,363,696	0	2,250,972
50.02	Traffic signals and crossing prot.	10,458,226	(206,890)	10,251,336	0	0	0	10,251,336	0	0
50.03	Traction power supply: substation	29,500,926	1,379,880	30,880,806	30,880,806	(87,485)	0	30,880,806	0	4,751,819

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

*** Changes Identified= Pending + Probable + Potential Changes

**** Est. At Completion = Original Contract + CCO/Amendments + Changes Identified

Report M_CW_pmoc_monthly_Scc_details - No. 23

Print Date: 12/11/15 10:59

HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: November 2015

Project Monthly Cost Report by SCC Details

Page: 2 of 3

SCC	Title	A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
		Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
1. Subtotal 10 - 80 SCC Costs										
50. Systems		221,284,301	27,474,531	248,758,832	233,598,619	27,038,099	0	248,758,832	0	37,000,560
50.04	Traction power distribution: cate	32,878,150	5,059,838	37,937,988	33,029,111	7,941,115	0	37,937,988	0	16,860,895
50.05	Communications	53,691,339	6,133,477	59,824,816	59,824,816	5,573,419	0	59,824,816	0	14,268,775
50.06	Fare collection system and equipme	9,159,277	(9,112,878)	46,399	46,399	(10,350,000)	0	46,399	0	(1,131,901)
50.07	Central Control	3,613,827	(160,036)	3,453,791	3,453,791	0	0	3,453,791	0	0
60. ROW, Land, Existing Improvements		197,397,947	528,621	197,926,568	94,115,331	1,229,820	4,986,995	197,926,568	0	98,596,466
60.01	Purchase or lease of real estate	179,360,664	250,821	179,611,485	86,269,854	52,020	4,986,995	179,611,485	0	88,579,684
60.02	Relocation of existing households	18,037,283	277,800	18,315,083	7,845,477	1,177,800	0	18,315,083	0	10,016,782
70. Vehicles		186,829,020	4,645,501	191,474,521	191,474,521	1,446,224	0	191,474,521	0	34,051,880
70.01	Light Rail	166,721,386	5,847,191	172,568,577	172,568,577	1,446,224	0	172,568,577	0	26,259,419
70.06	Non-revenue vehicles	14,346,923	(1,320,375)	13,026,548	13,026,548	0	0	13,026,548	0	7,792,461
70.07	Spare parts	5,760,711	118,685	5,879,396	5,879,396	0	0	5,879,396	0	0
80. Professional Services		1,087,830,119	34,620,900	1,122,451,019	1,043,331,143	96,111,742	5,480	1,122,451,019	0	765,757,629
80.01	Preliminary Engineering	94,055,262	24,644,185	118,699,447	109,567,127	20,905,682	0	118,699,447	0	103,435,648
80.02	Final Design	228,321,632	(7,125,848)	221,195,784	204,525,054	29,610,628	(6,576,720)	221,195,784	0	161,487,032
80.03	Project Management Design & Cons	363,849,768	(28,315,655)	335,534,113	413,099,163	73,572,239	(17,055,450)	335,534,113	0	308,323,643
80.04	Constr. Admin. & Management	199,656,728	(35,798,681)	163,858,047	110,767,170	(43,617,462)	768,374	163,858,047	0	81,425,006
80.05	Professional Liability & other Ins	46,549,724	28,781,938	75,331,662	43,174,657	700,500	0	75,331,662	0	28,408,468
80.06	Legal; Permits,Review Fees ect..	67,641,005	(3,206,464)	64,434,541	36,806,424	3,782,053	0	64,434,541	0	20,933,156
80.07	Surveys, Testing, Investigation, I	21,759,336	47,172,110	68,931,446	67,822,570	1,496,194	0	68,931,446	0	28,945,885
80.08	Start up	65,996,664	8,469,316	74,465,980	57,568,977	9,661,909	(775,809)	74,465,980	0	32,798,793
80.09		0	0	0	0	0	23,645,085	0	0	0
A.C. Provisional Pay Requests		0	0	0	0	0	0	0	0	2,892,318
ACR	Provisional Request For Payment	0	0	0	0	0	0	0	0	2,892,318
Subtotal:		4,305,074,410	155,324,489	4,460,398,899	3,153,861,192	349,284,375	23,329,744	4,460,398,899	0	1,833,852,673
2. NTP										
NTP Authorized For Expediture		0	0	0	0	2,259,282,795	0	0	0	0
NTP	Notice To Proceed	0	0	0	0	2,259,282,795	0	0	0	0
Subtotal:		0	0	0	0	2,259,282,795	0	0	0	0

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

*** Changes Identified= Pending + Probable + Potential Changes

**** Est. At Completion = Original Contract + CCO/Amendments + Changes Identified

Report: M_CW_pmoc_monthly_Scc_details - No. 23

Print Date: 12/11/15 10:59

HONOLULU AUTHORITY for RAPID TRANSPORTATION

Costs Reported as of Month Ending: November 2015

Project Monthly Cost Report by SCC Details

Page: 3 of 3

SCC	Title	A	B	C=A+B	D	E	F	G	H=C-G	I
		BUDGET			COMMITTED	AFE	ESTIMATE AT COMPLETION			INCURRED
		Baseline	Transfers	Current	Current *	AFE**	Changes ID'd***	Est. At Completion****	Variance	Incurred To Date
3. Contingency										
CNTR	Allocated Contingency	541,689,343	(99,101,584)	442,587,759	7,098,767	3,997,289	251,429,435	442,587,759	0	540,959
90.02	Allocated Contract Contingency	540,101,329	(101,275,313)	438,826,016	3,997,289	3,997,289	246,482,489	438,826,016	0	540,959
90.03	Allowances	1,588,014	2,173,729	3,761,743	3,101,478	0	4,946,946	3,761,743	0	0
90.07	Known Change Contingency	0	0	0	0	0	0	0	0	0
PRJ	Unallocated Contingency	101,871,170	(56,222,905)	45,648,265	0	0	0	45,648,265	0	0
90.01	Unallocated Project Contingency	101,871,170	(56,222,905)	45,648,265	0	0	0	45,648,265	0	0
Subtotal:		643,560,513	(155,324,489)	488,236,024	7,098,767	3,997,289	251,429,435	488,236,024	0	540,959
4. Finance Charges - Eligible										
OTH	Finance Charges	173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
100.1	Finance Charges:Project-Eligible	173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
Subtotal:		173,058,243	0	173,058,243	0	0	0	173,058,243	0	0
FTA TOTAL PROJECT COSTS		**5,121,693,166**	**(0)**	**5,121,693,166**	**3,160,959,959**	**2,612,564,458**	**274,759,179**	**5,121,693,166**	**0**	**1,834,393,632**
4. Finance Charges -Ineligible Costs										
FINC	Finance Charges	42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
100.2	FTA Non-Eligible Costs	42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
Subtotal:		42,000,000	0	42,000,000	0	0	0	42,000,000	0	0
INELIGIBLE COSTS		**42,000,000**	**0**	**42,000,000**	**0**	**0**	**0**	**42,000,000**	**0**	**0**
Total Project:		**5,163,693,166**	**(0)**	**5,163,693,166**	**3,160,959,959**	**2,612,564,458**	**274,759,179**	**5,163,693,166**	**0**	**1,834,393,632**

* Current Committed = Original Contract + CCO/Amendment

** AFE = Authorized For Expenditure (Latest NTP Amounts or equal to current commitment Plus Executed Change Orders/Amendments)

*** Changes Identified= Pending + Probable + Potential Changes

**** Est. At Completion = Original Contract + CCO/Amendments + Changes Identified

Report M_CW_pmoc_monthly_Scc_details - No. 23

Print Date: 12/11/15 10:59

Appendix D. Procurement and Contract Status

Awarded Contracts						
Contract Code	Contract Name	Contractor Name	Advertise Date	Contract Date	Issue NTP	Contract Substantial Completion Date
DB-120	West O'ahu/Farrington Highway Guideway (WOFH)	Kiewit Infrastructure West Company (KIWC)	Apr 03 '09	Nov 11 '09	Dec 01 '09	Jul 04 '16
DB-200	Maintenance and Storage Facility (MSF)	Kiewit / Kobayashi Joint Venture (KKJV)	Jul 24 '09	June 30 '11	Jul 25 '11	Apr 15 '16
DB-320	Kamehameha Guideway (KHG)	Kiewit Infrastructure West Company (KIWC)	Mar 19 '10	June 30 '11	Jul 12 '11	Sep 16 '16
DBOM-920	Core Systems Contract	Ansaldo Honolulu JV	Aug 17 '09	Nov 28 '11	Jan 13 '12	Mar 31 '19
MI-930	Elevators and Escalators	Schindler Elevator Corporation	Dec 18 '12	Jul 31 '13	Aug 02 '13	May 31 '18
FD-140	West O'ahu Station Group Final Design and Support	URS Corporation	Jun 14 '10	Jun 14 '12	Jun 15 '12	Jun 30 '16
FD-240	Farrington Highway Station Group Final Design and Support -2	URS Corporation	Jun 10 '13	Sep 27 '13	Sep 30 '13	Nov 14 '16
FD-340	Kamehameha Highway Station Group Final Design (includes H2/R2 Ramp) and	Anil Verma Associates, Inc.	Jun 28 '11	Nov 16 '12	Nov 26 '12	Jun 14 '17
FD-430	Airport Section Guideway and Utilities Final Design and Support	AECOM Technical Services, Inc.	Jan 26 '11	Dec 22 '11	Jan 05 '12	Jun 30 '17
FD-530	City Center Section Guideway and Utilities Final Design and Support	AECOM Technical Services, Inc.	Dec 16 '11	Jul 30 '12	Jul 31 '12	Apr 30 '18
FD-440	Airport Station Group Final Design and Support	AECOM Technical Services, Inc.	Mar 30 '12	Nov 7 '12	Nov 14 '12	Jul 15 '17
FD-550	Dillingham and Kaka'ako Station Groups "East Side Stations" Final Design and	Perkins+Will	Nov 16 '12	Aug 15 '13	Aug 19 '13	Jul 30 '18
MM-290	Construction Engineering & Inspection West Side Sections	PGH Wong Engineering, Inc.	Jul 26 '13	Jan 9 '14	Jan 09 '14	Mar 01 '19
MM-595	Construction Engineering & Inspection East Side Sections	URS Corporation	Jul 26 '13	Jan 07 '14	Jan 09 '14	Oct 09 '15
MM-901	Program Management Support Consultant - 2 (PMSC-2)	InfraConsult LLC	Aug 03 '11	Feb 28 '12	Mar 08 '12	Mar 07 '16
MM-910	General Engineering Consultant II (GEC-2) (Final Design and Construction)	Parsons Brinckerhoff	Sep 03 '09	Jun 30 '11	Aug 02 '11	Dec 31 '14
MM-913	General Engineering Consultant III (GEC-3)	CH2M HILL	Jul 26 '13	Dec 5 '13	Dec 05 '13	Apr 5 '19
MM-935	Real Estate Consultant	Paragon Partners, Ltd.	Apr 01 '11	Mar 14 '12	Mar 14 '12	Mar 13 '17
MM-937	Real Estate Mapping & Surveying	R.M. Towill Corporation	Nov 15 '13	May 22 '14	May 23 '14	Dec 30 '17
MM-940	Kāko'o Consultant	Pacific Legacy, Inc.	May 20 '11	Mar 29 '12	Mar 30 '12	Feb 14 '17
MM-941	Section 106 Programmatic Agreement Project Manager Kāko'o II	Honua Consulting	Jun 26 '15	Dec 08 '15	Jan 04 '16	2 years + option to extend up to 4 years
MM-950	Owner-Controlled Insurance Program (OCIP) Consultant	Marsh USA, Inc.	Jan 31 '12	May 18 '12	Jun 05 '12	May 09 '17
MM-951	Owner-Controlled Insurance Program (OCIP) Brokerage Services	Aon Risk Services, Inc., of Hawaii	Jun 04 '13	Apr 09 '14	Apr 09 '14	Mar 30 '19
MM-960	Archaeological & Cultural Monitoring	Cultural Surveys Hawai'i	Sep 10 '13	Jan 15 '14	Jan 15 '14	May 30 '18
MM-962	CORE Systems Support	Lea+Elliott, Inc.	Sep 13 '13	Feb 10 '14	Feb 11 '14	Mar 01 '19
MM-964	Safety / Security Support	Lawson & Associates, Inc.	Oct 23 '13	Apr 23 '14	May 01 '14	Dec 14 '17
MM-975	LEED Commissioning Services for the Maintenance and Storage Facility (MSF)	Enovity, Inc.		Oct 6 '10	Oct 07 '10	Jan 14 '16
PA-102	Historic Architecture Design Services	Fung Associates, Inc.	Mar 15 '13	Aug 1 '13	Aug 01 '13	May 01 '16
MM-915	HDOT Traffic Management Coordination Consultant	ICX Transportation Group, Inc.	Aug 15 '11	Jun 5 '12	Jun 12 '12	Jun 11 '17
MM-920	HDOT Design Coordination Consultant - West O'ahu/Farrington Highway	AECOM Technical Services, Inc.		Jun 7 '11	Jun 08 '11	Jun 07 '16
MM-921	HDOT Design Coordination Consultant - Kamehameha Highway Guideway Section	AECOM Technical Services, Inc.		Jun 28 '12	Jun 29 '12	Jun 28 '17
MM-922	HDOT Design Coordination Consultant - Airport and City Center Guideway	SSFM International, Inc.		Jun 8 '12	Jun 12 '12	Jun 11 '17
MM-925	HDOT Labor Master Agreement WOFH	HDOT		Oct 27 '10	Oct 27 '10	Oct 27 '19
MM-945	On-Call Construction Contractor	Royal Contracting Co. Ltd.	Jun 02 '14	Aug 6 '14	Aug 14 '14	Mar 03 '19
MM-946	On-Call Hazardous Materials (HazMat) Removal Contractor	CH2M HILL		Aug 23 '12	Sep 07 '12	Feb 15 '17
MM-947	On-Call Construction Contractor II	Royal Contracting Co. Ltd.	Mar 17 '15	May 21 '15	May 21 '15	May 21 '20
MM-596	Construction Engineering and Inspection (CE&I) "II" Contract	Stantec Consulting Services	Mar 25 '15	Sep 10 '15	Sep 14 '15	Dec 31 '19
MM-970	Fare Collection System Technical Support Consultant	CH2M HILL	Mar 24 '15	Oct 22 '15	Oct 23 '15	Dec 31 '19
DBB-385	Ramp H2R2	Royal Contracting Co. Ltd.	Jan 30 '15	May 18 '15	May 18 '15	Jun 17 '16
DBB-505	Airport Section Utilities Construction	Nan, Inc.	Dec 17 '13	Jun 30 '14	Oct 6 '14	Feb 05 '16
DBB-525	Airport Section Guideway Seven (7) Pier Construction Contract	HDCC / CJA JV	Jul 09 '14	Sep 18 '14	Sep 18 '14	Apr 22 '15
DBB-271	Farrington Hwy Stations Group Construction	Hawaiian Dredging Construction Company, Inc.	Dec 19 '14	Jun 22 '15	Aug 17 '15	NTP+ 29 months
DBB-171	West O'ahu Stations Group Construction	Nan, Inc.	Apr 13 '15	Jul 29 '15	Oct 13 '15	NTP+ 29 months

Remaining Contracts						
Contract Code	Contract Name	Advertise Date	Bids Due/Part 1 Proposals Due	RFP Part 2 Proposals Due	Issue NTP	Projected Contract Substantial Completion Date
AP00	Art-in-Transit	May 9 '13	-	-	TBD	TBD
DB-450	Airport Guideway and Stations	Apr 07 '15	Aug 11 '15	Feb 23 '16	Apr 06 '16	NTP + 53 months
DB-550	City Center Guideway and Stations	Aug 04 '15	Nov 18 '15	TBD	TBD	TBD
MI-900	Fare Systems Contract	Aug 11 '15	Nov 13 '15	-	Feb 12 '16	NTP + 120 months + 2 year option
DBB-371	Kamehameha Hwy Stations Group Construction	Aug 18 '15	Nov 17 '15	-	TBD	NTP + 32 months
	Independent Financial Auditor "II" Contract	Oct 26 '15	Dec 01 '15	-	Feb 10 '16	NTP + 48 months
DBB-510	Dillingham Utilities and Roadway	TBD	TBD	-	TBD	TBD
DBB-600	East Kapolei and UH/West O'ahu Park and Ride Lots	Nov 14 '16	Feb 15 '17	-	Apr 03 '17	Mar 01 '19

Appendix E. Vehicle Carshell Progress Tracker

HONOLULU AB R.C. FABRICATION TRACKER

CAR SHELL SERIAL NUMBER	CENTER ROOF ASSY & WELDING	CENTER FLOOR ASSY & WELDING (3 PANEL SET)	CENTER ROOF MACHINING	CENTER FLOOR MACHINING (2 PANEL SET)	ROOF ASSY & WELDING	ROOF WELDING PARTS	FINAL ROOF INSPECTION	UNDER FRAME ASSY & WELDING	UNDERFRAME WELDING PARTS	UNDERFRAME INSPECTION	UNDER FRAME CLEANING AND PAINTING	CAR SHELL ASSY & WELDING Station #7	CAR SHELL ASSY & WELDING Station #8	CAR SHELL CALIBRATION & TESTING	WATER TEST	PAINTING	INSULATION	FLOORING	FRONT MASK (1 CAR ONLY)	CAR SHELL FINAL INSPECTION	COMPLETED CAR SHELL	FAI	CABLES INSTALLED	DATE SHIPPED FROM BC	DATE OF PORT DEPARTURE	DATE OF ETA TO PITTSBURG
M/001 (CAR 1)															N/A				N/A							
L/001 (CAR 2)															N/A					N/A						
M/002 (CAR 3)															N/A				N/A	PARTIAL		N/A				
L/002 (CAR 4)	L/001		L/001												N/A							N/A				
M/003 (CAR 5)															N/A				N/A			N/A				
L/003 (CAR 6)	USED FOR L/2		USED FOR L/2												N/A							N/A				
M/004 (CAR 7)															N/A	12/16/2015	12/17/2015	12/21/2015	N/A	12/21/2015	12/22/2015	N/A	12/22/2015	12/22/2015	12/31/2015	
L/004 (CAR 8)															N/A		12/16/2015	12/16/2015	12/15/2015	12/16/2015	12/16/2015	N/A	12/18/2015	12/18/2015	12/31/2014	
L/005 (CAR 9)											After nonconformance test		12/16/2015	12/17/2015	N/A	After nonconformance test	After nonconformance test	After nonconformance test	After nonconformance test	12/21/2015	12/22/2015	N/A	12/22/2015	12/22/2015		
M/005 (CAR 10)								12/17/2015	12/21/2015	12/21/2015					N/A				N/A			N/A				
L/006 (CAR 11)						12/17/2015	12/18/2015								N/A							N/A				
M/006 (CAR 12)															N/A				N/A			N/A				
L/007 (CAR 13)															N/A							N/A				
M/007 (CAR 14)															N/A				N/A			N/A				
L/008 (CAR 15)															N/A							N/A				
M/008 (CAR 16)															N/A				N/A			N/A				
L/009 (CAR 17)															N/A							N/A				
M/009 (CAR 18)															N/A				N/A			N/A				
L/010 (CAR 19)															N/A							N/A				
M/010 (CAR 20)															N/A				N/A			N/A				
L/011 (CAR 21)															N/A							N/A				
M/011 (CAR 22)															N/A				N/A			N/A				
L/012 (CAR 23)															N/A							N/A				
M/012 (CAR 24)															N/A				N/A			N/A				
L/013 (CAR 25)															N/A							N/A				
M/013 (CAR 26)															N/A				N/A			N/A				
L/014 (CAR 27)															N/A							N/A				
M/014 (CAR 28)															N/A				N/A			N/A				
L/015 (CAR 29)															N/A							N/A				
M/015 (CAR 30)															N/A				N/A			N/A				
L/016 (CAR 31)															N/A							N/A				
M/016 (CAR 32)															N/A				N/A			N/A				
L/017 (CAR 33)															N/A							N/A				
M/017 (CAR 34)															N/A				N/A			N/A				
L/018 (CAR 35)															N/A							N/A				
M/018 (CAR 36)															N/A				N/A			N/A				
L/019 (CAR 37)															N/A							N/A				
M/019 (CAR 38)															N/A				N/A			N/A				
L/020 (CAR 39)															N/A							N/A				
M/020 (CAR 40)															N/A				N/A			N/A				
L/021 (CAR 41)															N/A							N/A				

COMPLETE	
IN-PROCESS OR NEXT STATION	
CHANGED	
TEST UNIT	
DATES	ESTIMATED TIME OF COMPLETION OR SHIPPING

* Notes: Carshell Type 1 JS to FT intermodetic Test

Date: 14/12/2015

Appendix F. DBE Participation

HART has established a Disadvantaged Business Enterprise (DBE) program in accordance with the regulations of the U.S. Department of Transportation (USDOT), Title 49, Code of Federal Regulations, Part 26 (49 CFR Part 26). To be certified as a DBE, a firm must be small business owned and controlled by socially and economically disadvantaged individuals.

FTA funds totaling approximately $1.764 billion in year of expenditure dollars ($1.550 billion New Starts funds plus $0.214 billion Section 5307/ARRA funds) will be expended for Project related goods and services. A project goal of 13% or approximately $229 million dollars has been established for awards to DBEs through Federal Fiscal Year 2018.

It is the policy of HART to ensure that DBEs as defined in 49 CFR Part 26 have an equal opportunity to receive and participate in USDOT-assisted contracts.

DBE Participation (9/24/07 to 12/31/15)						
DBE Firm	NAICS Code	Race	Sex	Contract Number	Participation to Date	Total DBE Participation
David's Fencing	238990	APA	M	CT-HRT-10H0137 DB-120	$6,800	
				CT-DTS-1100195 DB-320	$129,816	
				CT-HRT-1000449 DB-200	$68,082	$204,698
Glad's Landscaping	561730	APA	M	CT-HRT-10H0137 DB-120	$303,790	$303,790
Don's Makiki	484110	APA	M	CT-HRT-10H0137 DB-120	$537,031	
				CT-HRT-10H0449 DB-200	$75,391	
				CT-DTS-1100195 DB-320	$60,714	$673,136
Pacific Preferred Contractors Corp.	237310	APA	M	CT-HRT-10H0137 DB-120	$85,043	$85,043
PAC Electric	238210	APA	F	CT-HRT-10H0137 DB-120	$5,836,436	$5,836,436
PMJ Builders	238310	APA	M	CT-HRT-10H0137 DB-120	$43,866	
				CT-DTS-1100195 DB-320	$107,100	$150,966
Standard Sheetmetal & Mechanical	236220	APA	M	CT-HRT-10H0449 DB-200	$6,105	$6,105
LP&D Hawaii	541320	APA	M	SC-DTS-1100013 FD-240	$219,911	$219,911
Ace Land Surveying	541370	NA	M	SC-DTS-1100013 FD-240	$38,700	$38,700
Integrated Security Tech.	561621	O	F	CT-HRT-1200106 DBOM-920	$105,180	$105,180
LKG-CMC	541618	O	F	SC-HRT-11H0131 MM-905	$2,600,462	
				SC-DTS-0700001 **** MM-910	$2,783,277	
				SC-HRT-1400051 MM-595	$271,047	
				SC-HRT-1400049 MM-962	$294,308	$5,949,094
Lawson & Associates	541690	O	F	SC-HRT-11H0131 MM-905	$740,962	
				SC-DTS-0700001 **** MM-910	$150,141	
				SC-HRT-1400061 MM-964	$1,010,578	$1,901,681
Gary K. Omori	541618	APA	M	SC-HRT-11H0131 MM-905	$388,609	

DBE Participation (9/24/07 to 12/31/15)						
DBE Firm	NAICS Code	Race	Sex	Contract Number	Participation to Date	Total DBE Participation
				SC-DTS-0700001 **** MM-910	$392,920	$781,529
Pat Lee & Assoc.	541618	APA	M	SC-HRT-11H0131 MM-905	$402,791	
				SC-DTS-0700001 **** MM-910	$374,110	$776,901
212 Harakawa	541430	APA	F	SC-HRT-11H0131 MM-905	$358,141	
				SC-DTS-0700001 **** MM-910	$354,758	$712,899
JAD & Associates	541330	APA	M	SC-DTS-0700001 **** MM-910	$508,355	$508,355
Pacific Architects	541310	APA	M	SC-DTS-0700001 **** MM-910	$39,273	$39,273
Nagame Okawa*	541310	APA	M	SC-DTS-0700001 MM-910	$67,014	$67,014
Consulting Structural Hawaii	541330	APA	M	SC-DTS-0700001 **** MM-910	$298,557	$298,557
Bright Light Marketing Group	541613	APA	F	SC-HRT-1200038 FD-430 SC-HRT-1200149 FD-530	$162,813 $191,227	
				SC-HRT-1300022 FD-440	$134,912	$488,952
Ki Concepts	541320	APA	M	SC-HRT-1200077 MM-922/923	$26,550	$26,550
Miyabara Associates	541320	APA	M	SC-HRT-1300022 FD-440	$99,850	$99,850
Anil Verma Associates, Inc.**	541350	HA	M	SC-HRT-1200111 FD-340	$3,820,005	$3,820,005
AMR Estimating Services ***	541330	HA	M	SC-HRT-11H0131 MM-905	$135,281	
				SC-HRT-1400027 MM-913	$817,270	$952,551
The Nakoa Companies	541620	NA	M	CT-HRT-1200106 DBOM-920	$3,843	$3,843
Hawaiya Technologies	238210	APA	F	CT-HRT-10H0449 DB-200	$27,514	
				CT-HRT-1200106 DBOM-920	$20,142	$47,656
Element Environmental	541620	APA	M	SC-HRT-1400050 MM-290	$1,436,551	$1,436,551
PSC Consultants	541330	APA	M	SC-HRT-1400050 MM-290 SC-HRT-1400051 MM-595	$544,183 $9,899	$554,082
Bow Construction Management	541330	APA	M	SC-HRT-1400050 MM-290	$121,532	$121,532
FIC, LLC	541611	APA	M	SC-HRT-1400051 MM-595	$1,297,854	$1,297,854
The Solis Group	541620	O	F	SC-HRT-1400027 MM-913	$1,153,505	$1,153,505
Island Hauling	484110	APA	M	CT-HRT-1000449 DB-200	$211,831	$211,831
ADS System Safety Consulting *****	541620	BA	M	SC-HRT-1400061 MM-964	$1,417,212	$1,417,212
Dovetail Consulting	541330	BA	F	MOU-11-SO-1 MM-930	$806,080	$806,080
Amazon Construction Co.	238990	APA	F	CT-HRT-1500056 MM-945	$446,558	$446,558

DBE Participation (9/24/07 to 12/31/15)						
DBE Firm	NAICS Code	Race	Sex	Contract Number	Participation to Date	Total DBE Participation
Aloha Steel	238120	APA	M	CT-HRT-1500056 MM-945	$176	$176
Carol Kwan Consulting	561730	O	F	CT-HRT-1500056 MM-945	$13,291	$13,291
Total						**$31,557,347**

** Nagame Okawa's countable participation is limited to the period from 1/2/09 to 2/16/10. The company graduated from the DBE program on 2/16/10.*
*** Anil Verma Associates, Inc. is a prime contractor and was certified as a DBE effective 6/26/13.*
**** AMR Estimating Services, Inc. was certified as a DBE effective 10/25/13.*
***** DBE participation from 9/24/07 to 9/17/13.*
****** ADS System Safety Consulting was certified as a DBE effective 8/7/14.*

Race Categories

APA	Persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands, (Republic of Palau), the Commonwealth of the Northern Marianas Islands, Macao, Fiji, Tonga, Kiribati, Juvalu, Nauru, Federated States of Micronesia or Hong Kong
BA	Persons having origins in any of the black racial groups of Africa
HA	Persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin regardless of race
NA	Persons who are American Indians, Eskimos, Aleuts, or Native Hawaiians
SAA	Persons whose origins are from India, Pakistan, Bangladesh, Bhutan, the Maldives Islands, Nepal or Sri Lanka
O	Any other group whose members are designated as socially and economically disadvantaged by the SBA

Appendix G. Risk

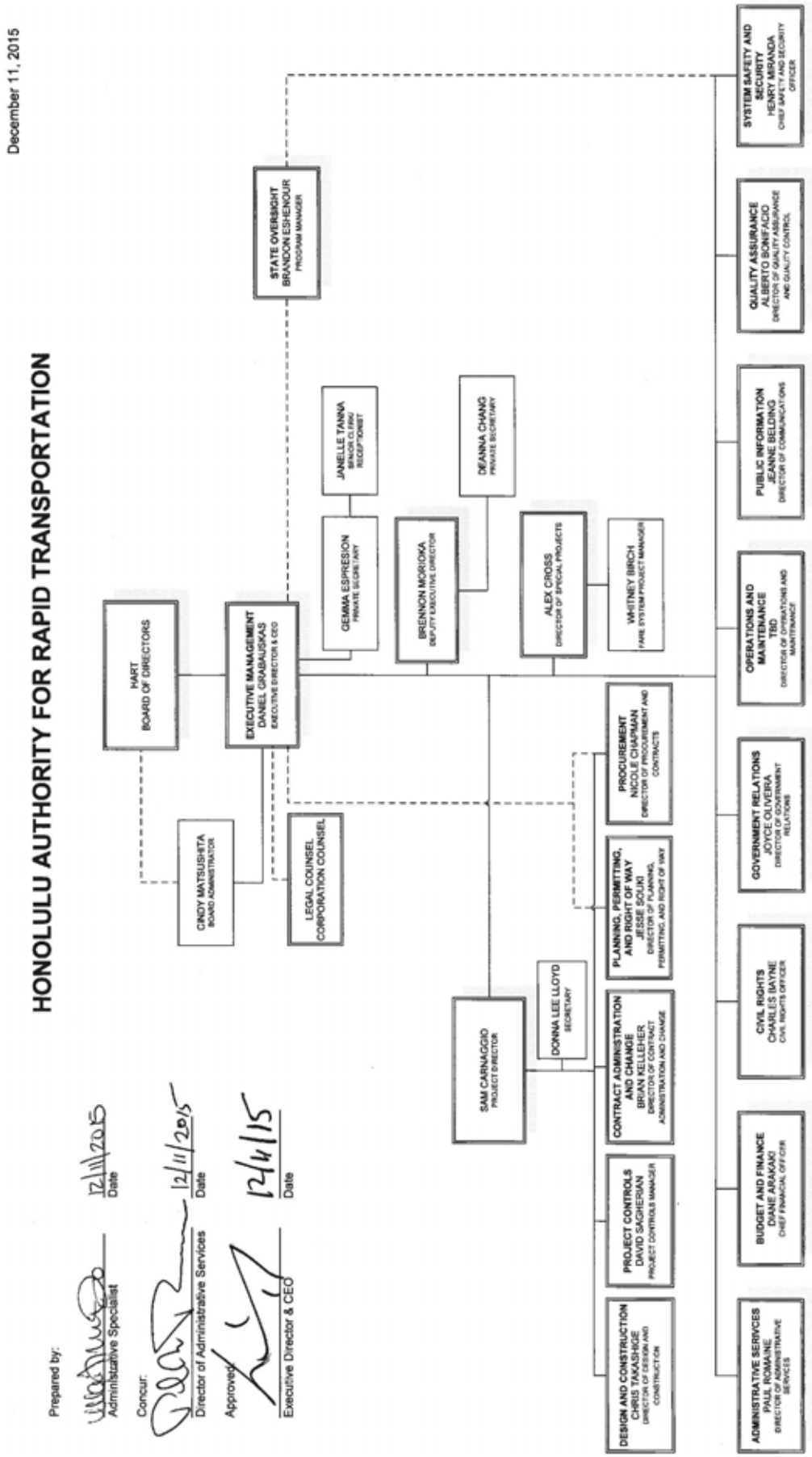
Risk by Contract Package				
Contract Packages	Nov. 2015 # of Risks	December 2015 Update		
		Total # of Risks	New Risks	Deleted Risks
Project Wide	4	6	2	0
WOFH Guideway	20	15	1	6
Pearl Highlands Garage	3	4	1	0
Maintenance and Storage Facility	4	4	1	1
Kamehameha Highway Guideway	17	15	0	2
Core Systems Contract	9	9	0	0
Elevator/Escalator	4	4	0	0
Airport Utilities	5	5	0	0
Farrington Highway Stations	4	5	1	0
H2R2 Ramp	1	1	0	0
West Oahu Stations	5	5	0	0
Kam. Highway Stations	7	5	0	2
Airport Guideway & Stations	28	27	0	1
City Center Guideway & Stations		33	33	0
City Center Guideway	25	0	0	25
City Center Section Stations	9	0	0	9
Total	**145**	**138**	**39**	**46**

Notes of Significance:
The City Center Guideway and City Center Stations Group were combined in the Risk Registry this month.

Comparison of Risk Ratings								
Contract Package/Section	November 2015 Update # of Risks				December 2015 Update # of Risks			
	Total	High	Medium	Low	Total	High	Medium	Low
Project Wide	4	1	2	1	6	2	2	2
WOFH Guideway	20	1	14	5	15	1	12	2
Pearl Highlands Garage	3	0	3	0	4	1	3	0
Maintenance and Storage Facility	4	0	1	3	4	0	1	3
Kamehameha Highway Guideway	17	2	10	5	15	2	8	5
Core Systems Contract	9	1	5	3	9	1	6	2
Elevator/Escalator	4	2	2	0	4	2	2	0
Airport Utilities	5	1	3	1	5	1	3	1
Farrington Highway Stations	4	0	4	0	5	1	4	0
H2R2 Ramp	1	0	1	0	1	0	1	0
West Oahu Stations	5	0	5	0	5	0	5	0
Kam. Highway Stations	7	0	4	3	5	0	4	1
Airport Guideway & Stations	28	5	21	2	27	4	21	2
City Center Guideway & Stations					33	9	20	4
City Center Guideway	25	9	12	4				
City Center Stations	9	1	8	0				
Total	**145**	**23**	**95**	**27**	**138**	**24**	**92**	**22**

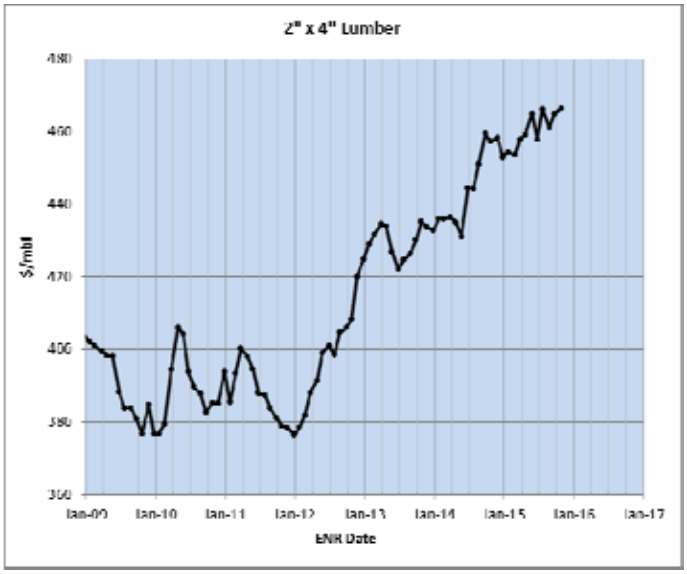
Note: The City Center Guideway and City Center Stations Group were combined in the Risk Registry this month.

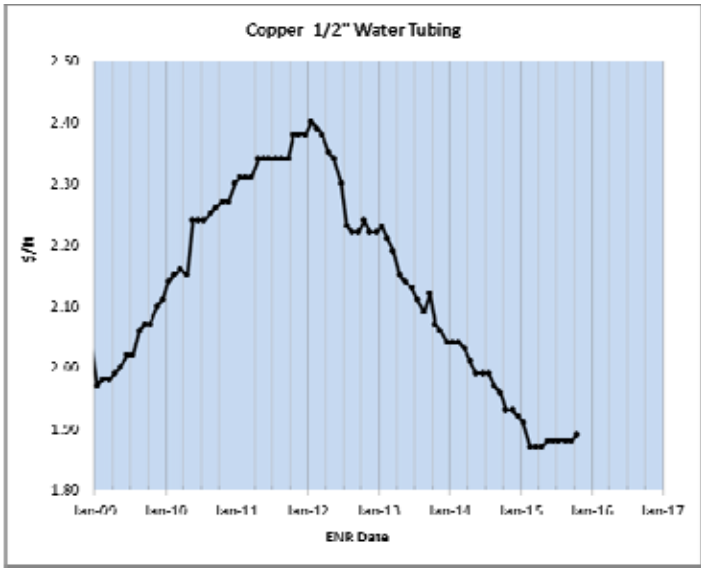
Appendix H. Project Organization Chart

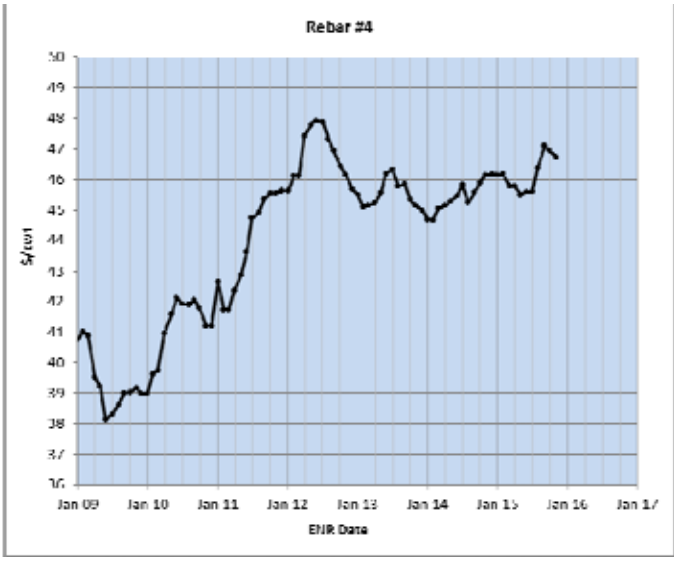


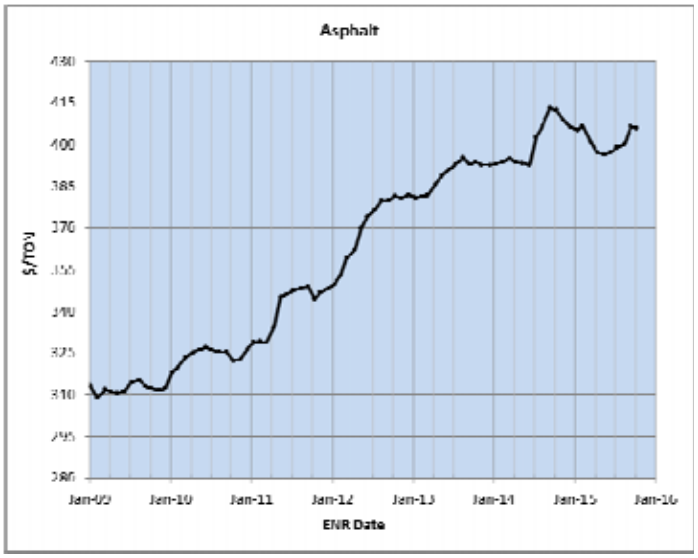
Appendix I. Indices on Key Commodities

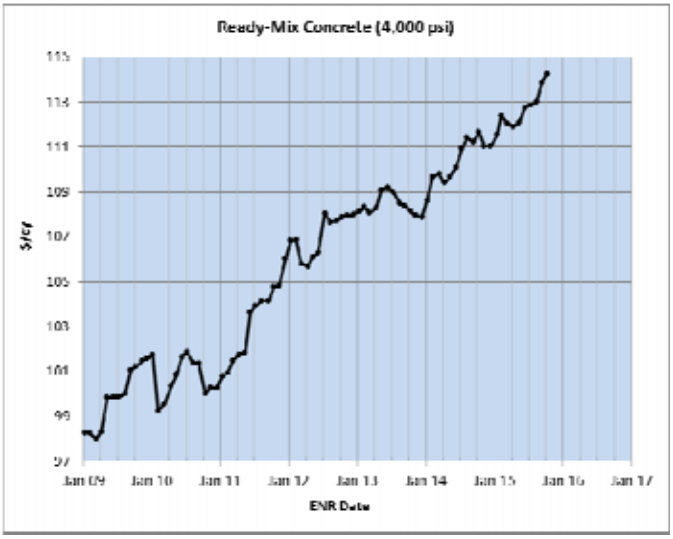
The following charts represent the cost trends on some of the key materials used in the program.

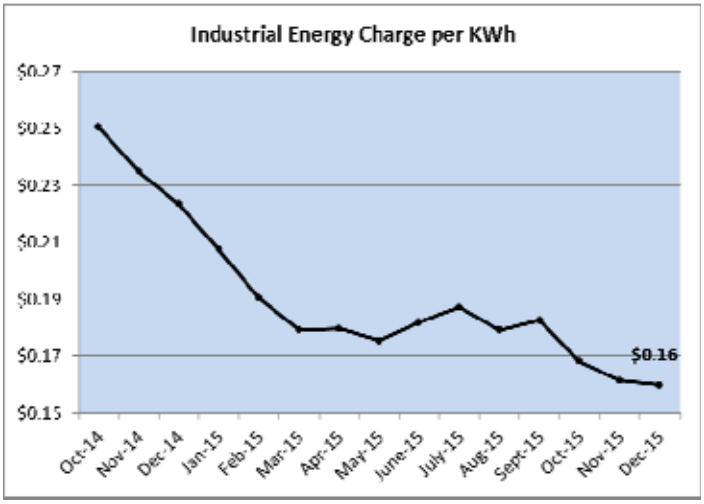












Source: HECO: Effective Rate Summary for P Rate

Appendix J. Project Photos

Guideway construction in West O'ahu.

Equipment storage site.

Balanced Cantilever construction near the H-1/H-2 Freeway merge.

Construction near the H-1/H-2 Freeways.

Construction along Kamehameha Highway.

Future Aloha Stadium Station.

Operations and Servicing Building (OSB).

Wheel Truing Building and OSB.

Maintenance of Way Building.

Casting Yard.

PMOC MONTHLY REPORT

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

December 2015 (FINAL)

PMOC Contract Number: DTFT60-14-D-00012
Task Order No. 3: Honolulu Rail Transit Project
Project No: DC-27-5288
Work Order No. 1
OPs Referenced: OP 1 and 25

Jacobs Engineering Group, Inc.
319 E. Warm Springs Road, Suite 200, Las Vegas, Nevada 89119
William Tsiforas, (702) 938-5400, william.tsiforas@jacobs.com
Length of Time Assigned: Five Years (February 18, 2015 through February 17, 2020)

TABLE OF CONTENTS

1.0 EXECUTIVE SUMMARY 2
1.1 Project Description 2
1.2 Project Status 2
1.3 Core Accountability Items 3
1.4 PMOC Issues or Concerns 3

2.0 BODY OF REPORT 7
2.1.1 Project Status 7
2.1.2 Status of Procurement 7
2.1.3 Status of Primary Construction Contracts 8
2.1.4 Status of Core Systems Contract 10
2.1.5 Real Estate Acquisition 12
2.1.6 Third Party Agreements and Coordination 12
2.1.7 Environmental mitigation measures 13
2.2 Project Management Plan (PMP) and Sub-Plans 13
2.3 Management Capacity and Capability (MCC) 13
2.4 Project Cost 14
2.4.1 Contingency 16
2.4.2 Funding Sources 17
2.5 Project Schedule 17
2.6 Quality Assurance/Quality Control (QA/QC) 18
2.7 Safety and Security 19
2.8 Project Risk 19
2.9 Action Item Table 21

3.0 APPENDICES 22

LIST OF APPENDICES

Appendix A: Acronym List
Appendix B: Contract Status
Appendix C: PMOC Team
Appendix D: Project Overview and Map (Transmitted as a separate file)
Appendix E: 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. The Project will include 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/6 stations)
  - Segment II (Kamehameha Highway) – Pearl Highlands to Aloha Stadium (4 miles/3 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 – 104,300 (2020); 119,600 (2030)

1.2 Project Status

- Overall project is approximately 40.6% complete as of October 2015. The planned completion at this time is approximately 61.0% (based on HART's S-curve late plan).
- Overall design of the project is approximately 87.3% complete as of October 2015. The planned completion at this time is approximately 98.1% (based on HART's S-curve late plan). However, this percent complete may change as a result of utilizing DB procurement strategy for the Airport and City Center guideway and stations sections.
- Overall construction of the project is approximately 32.2% complete as of October 2015. The planned completion at this time is approximately 53.4% (based on HART's S-curve late plan). Section 2.1.3 and Appendix B of this report provide the status of the current design and construction contracts. The following table provides the summary level status of the primary construction contracts:

Description	% Complete*		Schedule Status
	Actual	Planned	
West Oahu /Farrington Highway (WOFH) DB Contract	76%	86%	6 months behind
Kamehameha Highway Guideway (KHG) DB Contract	46%	90%	12 months behind
Maintenance and Storage (MSF) DB Contract	84%	87%	On time
Core Systems Design-Build-Operate-Maintain (DBOM) Contract	29%**	35.8%	6 months behind***
Airport Advanced Utilities Construction Contract	27.7%	28%	7 months behind
Farrington Highway Station Group Construction Contract	0%	0%	On time
West Oahu Station Group Construction Contract	0%	0%	On time

*As of September 2015
**Based on expenditures. All others are based on Earned Value.
***Contract schedule is to be re-baselined to incorporate new milestone dates due to re-procurement of Westside Stations Group and use of DB for the eastside guideway and stations.

1.3 Core Accountability Items

Project Status: FFGA		Original at FFGA	Current Estimate
Cost	Cost Estimate	$5,122,000,000	$5,122,000,000**
Contingency	Unallocated Contingency	$101,900,000	$11,500,000
	Total Contingency (Allocated plus Unallocated)	$643,600,000	$303,000,000
Schedule	Revenue Service Date (RSD)	1/31/2020	1/31/2020***
Total Project Percent Complete	Based on Expenditures	40.6% (as of October 30, 2015)	
	Based on Earned Value*	40.6%	

*Overall project progress is based on the weighted value progress of the individual construction and design contracts.
**Does not reflect HART's current EAC, which has not been validated and does not include all known potential costs.
***Does not reflect changes to Master Project Schedule, which is under revision.

Major Issues	Status	Comments/Planned Action
Cost Increase & Schedule Delays	HART has experienced delays and has incurred costs as a result of the state and federal lawsuits as well as protested procurements.	See PMOC Monthly Report Section 1.4 for status.
Funding Shortfall	Section 5307 funds will not be made available and GET receipts continue to be an issue.	See PMOC Monthly Report Section 1.4 for status.
Post-Rod Changes	HART is considering several proposed design changes that may require additional environmental review.	FTA and HART hold bi-weekly meetings to discuss the status of any potential changes. HART has submitted or will submit information on each proposed change for FTA to determine the level of documentation required to assess impacts and subsequent mitigation measures.
Hawaii Electric Company (HECO)	50-foot clearance requirement for facility maintenance including pole replacement	See PMOC Monthly Report Section 1.4 for status.
Next Quarterly Meeting:	To be determined	

1.4 PMOC Issues or Concerns

- HART staff presented the status of the program budget and schedule to the Board of Directors at the October and November 2015 monthly meetings. Forecasts indicated an increase to project costs and extension of the overall completion date for the project:
  - GET Revenue Growth Rate Discussion – HART staff proposed the use of a 4% growth rate in the updated Financial Plan, which would add $1.524 billion through the 5-year extension of the GET.
  - Master Project Schedule – Staff provided the following preliminary targets for Revenue Service Dates (RSD):
    - Phase 1 Milestone Ready for Revenue Service to Aloha Stadium – 3rd Quarter 2018
    - Phase 2 Milestone Ready for Revenue Service (full system) – 4th Quarter 2021
  - Project Cost Update – Staff provided the following preliminary information:

        - Updated Estimate at Completion (EAC) – $6.5 billion
        - Updated EAC includes $240 million in Allocated Contingency and $299 million in Unallocated Contingency. The allocated contingency is primarily for the new contracts. The unallocated contingency is for both the existing and new contracts. These amounts differ from the FFGA and still must be reconciled through a risk refresh.
        - Updated finance costs are $310 million.
    - HART staff has begun providing supporting documentation for the updated cost and schedule. This included an updated MPS that will be used for the Risk Refresh. However, there were several cost-related items discussed with HART during the November 2015 Project Controls Meeting that the PMOC believes may not be fully addressed in the EAC. Some of these items include:
        - Cost for full buildout of Pearl Highlands Parking Garage
        - HECO clearance issue
        - Real estate adjustments
        - Full exposure of WOFH, KHG, and CSC delays
        - OCIP adjustment for time extensions
        - Elevator/Escalator Contract escalation

- GET Extension - The Hawaii State Legislature passed House Bill 134, which would extend the City and County of Honolulu's current 0.5% surcharge on the state's General Excise Tax (GET) for the rail transit project for an additional five years through 2027. Initial estimates indicated that the GET extension could generate approximately $1.8 billion in revenue at a 5 percent growth rate. However, as noted above, more current (and conservative) forecasts indicate that the additional revenue will be closer to $1.5 billion.

  The Governor signed the bill on July 14, 2015. The City Council will need to amend an ordinance to enact the tax extension. The City Council cannot enact the measure before July 1, 2015 (start of Fiscal Year) but must take action by July 1, 2016. If passed by the City Council, the Mayor must then sign the measure. It is anticipated that the City Council will take action on Bill 23 to extend collection of the GET in January 2016.

- Cost Containment/Cost Reduction Measures – The PMOC has discussed the project cost on a monthly basis with HART in an effort to ensure that cost issues are proactively addressed. HART has recently implemented Cost Containment and Cost Reduction measures in an effort to mitigate the cost increase. These efforts include:
    - Review of contract general terms and conditions to eliminate unique conditions and ambiguities that result in added costs
    - Significant revision of the project's contract packaging strategy to simplify interface and create cost reduction opportunities through contractor proposed innovations
    - Development of a detailed cost reduction matrix that focuses on the remaining construction contracts (Value Engineering)
    - Review of interface milestones to help relieve schedule compression where possible

- Review of various options related to financing of the project
- Identification of items that could be considered Operations & Maintenance costs
- Development of a HART Decision Milestone Matrix.

The PMOC will continue to hold Cost Containment Workshops with HART on a monthly basis to review the Cost Reduction Measures Matrix and HART's Decision Milestone Matrix. Nevertheless, it is still anticipated that the Project cost will most exceed the FFGA budget. Therefore, in addition to the matrices, HART should initiate plans that identify a course of action, such as Secondary Mitigation Measures, and start to implement them.

- HART intends to build an interim park-and-ride facility at the University of Hawaii West Oahu Station. This facility would be in use until the developer completes the structure over the Kaloi Channel that allows for access to the permanent location of the park-and-ride facility. HART is evaluating the issue to determine whether to use federal or local funds to build the interim facility. UH-West Oahu intends to use the interim facility for campus parking after HART no longer has need for the facility. However, it is not known how long the interim facility will be in use before the permanent facility can be constructed. If federal funds are to be used, clarification is needed to determine the anticipated period that the facility would be utilized by HART.

- Hawaiian Electric Companies (HECO)
  - HECO has a collective bargaining agreement that has different wage scales and allows payment to its labor forces biweekly, which does not satisfy Davis-Bacon. HECO has requested a waiver that has so far been denied by the Department of Labor (DOL), although HECO has appealed. Meanwhile, HECO is still paying a wage scale that is less than the prevailing wages required by the DOL. HART may have to pay for HECO prevailing wages if the appeal is denied by DOL. The potential HECO prevailing wage costs are not reflected in HART's revised EAC. If the appeal is denied, it is unclear whether HART would be required to pay HECO's prevailing wage costs retroactively to cover any field work that has been completed by HECO for the project. HART and HECO met with DOL officials in September 2015. DOL submitted several questions, which will be responded to by HECO. The USDOL ruling for compliance is pending receipt of HECO's responses.

  - 50-foot Clearance Issue – HART has acknowledged that under-grounding of portions of the overhead power lines will likely be required along limited lengths of the guideway. HART has assembled a Task Force Committee to review all options to help mitigate clearance issues.

    HART has made the determination that they will underground HECO lines along a section of the Airport Segment and on a portion of Dillingham Boulevard within the City Center Segment. However, HART has not resolved several issues including design responsibility, sequencing, milestone dates, etc. The MPS also does not contain sufficient detail to assess the impact of undergrounding the lines.

The PMOC has recommended that HART defer issuance of the RFP Part II for the City Center Guideway and Stations until they have more resolution on the undergrounding of the HECO lines.

If HART is required to underground all affected lines, it would have a significant impact on the project costs and schedule. HART has indicated that they have incorporated some exposure into their EAC and MPS for this, but not enough to cover the full cost and time if the HECO clearance preferred solution requires complete undergrounding. This is currently HART's most significant risk to the project.

2.0 BODY OF REPORT

2.1.1 Project Status

- Overall project is approximately 40.6% complete as of October 2015. The planned completion at this time is approximately 61.0% (based on S-curve late plan).
- Overall design of the project is approximately 87.3% complete as of October 2015. The planned completion at this time is approximately 98.1% (based on S-curve late plan). However, this percent complete may change as a result of utilizing DB procurement strategy for the Airport and City Center guideway and stations sections.
- Overall construction of the project is approximately 32.2% complete as of October 2015. The planned completion at this time is approximately 53.4% (based on S-curve late plan).
- Section 2.1.3 and Appendix B of this report provide the status of the current design and construction contracts. Section 2.1.3 and Appendix B of this report provide the status of the current design and construction contracts.

2.1.2 Status of Procurement

- Kamehameha Highway Station Stations Group – Bids were received November 17, 2015. Engineers Estimate was $108M. Watts Construction was the apparent low bidder with $112.7M. HART was in the process of evaluating the bids. However, Watts Construction submitted two contradictory certificates – one indicating full compliance and one indicating non-compliance. Watts subsequently submitted an appeal to FTA. HART is awaiting a determination from FTA before awarding the contract.
- Airport Guideway and Stations DB Contract – Final date for submission of Alternate Technical Concepts is December 18, 2015. RFP Part II responses (price and technical) are due February 23, 2015. A Best and Final Offer (BAFO) is possible, but HART does not intend to utilize. If BAFO is used, it could affect schedule.
- City Center Guideway and Stations DB Contract – RFP Part I responses were received November 18, 2015. RFP Part II is to be issued December 17, 2015. However, HART has elected to defer issuance of Part II until after action is taken by the City Council on the GET Extension. This also will allow HART time to resolve several critical issues related to this contract (e.g. HECO clearance issue).
- Dillingham Utilities and Road Widening – IFB to be issued in January 2016 with bids due in March 2016. Originally this work was to begin well in advance of the City Center Guideway and Stations DB Contract. However, the contracts are now overlapping. Therefore, the PMOC has recommended that HART consider incorporating the Dillingham Utilities and Road Widening scope into the City Center Guideway and Stations DB Contract. HART is reviewing their packaging strategy.
- Pearl Highlands Parking Structure DB Contract – HART is reviewing various options including partial buildout to support RSD and full buildout under a Public Private Partnership (PPP). HART staff will begin updating a DB package that could be advertised in summer 2016.
- Fare Collection System – Request for Proposal (RFP) was issued August 11, 2015. Bids were received on November 13, 2015 and are being evaluated.

2.1.3 Status of Primary Construction Contracts

- West Oahu/Farrington Highway (WOFH) Design-Build (DB) Contract –
  - Contract is approximately 76% complete based on earned value (design and construction activities). The planned earned value at this time is approximately 86%.
  - The contract is approximately six months behind schedule. The delay is the result of lower-than-planned production rates and lack of site access. HART and KIWC have been working to mitigate impacts to critical path activities. A revised baseline schedule was submitted by the contractor in August 2015 and is under review by HART. It is anticipated that the substantial completion milestone will be modified to reflect the delay.
  - Approximately five miles of guideway have been erected.
  - Overall quality of the contract is good, but there are some issues as discussed in Section 2.6 of this report.
- Kamehameha Highway Guideway (KHG) DB Contract –
  - The contract is approximately 46% complete based on earned value (design and construction activities). The planned earned value at this time is approximately 90%.
  - The contract is approximately 12 months behind schedule. HART has indicated that the delay is the result of lower-than-planned production rates, weather, and third-party construction of utility relocation work. A revised schedule was submitted in September 2015, re-sequencing the guideway and road work. That schedule is currently being reviewed by HART. Guideway is currently forecasted to be complete in April 2017. However, the completion of the overall contract has been pushed out to September 2017.
  - Guideway erection began in September 2015.
  - KIWC has mobilized a third guideway erection truss to help mitigate the WOFH and KHG delays.
- Maintenance and Storage (MSF) DB Contract –
  - The contract is approximately 84% complete based on earned value (design and construction activities). The planned earned value at this time is approximately 87%.
  - Building structures are essentially complete with interior buildout continuing.
  - Contract substantial completion is essentially on time and scheduled to be completed in April 2016.
  - Overall quality of the contract is good.
- Airport Advanced Utilities Construction Contract –
  - Contract is approximately 28% complete based on Earned Value. The planned earned value at this time is approximately 28%.
  - The contract is approximately six months behind schedule. The delay was due to issues with Navy right of entry (ROE) for construction. The planned earned value has been adjusted as a result of the delayed access.
- Farrington Highway Station Group Construction Contract –
  - The contract is approximately 0% complete based on earned value. The planned earned value at this time is approximately 0%.

    - The baseline schedule has been approved.
    - Construction is anticipated to begin in January 2016.
- West Oahu Station Group Construction Contract –
    - The contract is approximately 0% complete based on earned value. The planned earned value at this time is approximately 0%.
    - The baseline schedule has been approved.
    - Construction is anticipated to begin during the First Quarter of 2016.

2.1.4 Status of Core Systems Contract

Core System Description	Status
General	
Overall	Contract is approximately 29% complete based on expenditures (design, manufacturing, and construction activities). The planned completion at this time is approximately 36% (based on late plan S-curve). Hitachi, LTD completed its acquisition of Ansaldo Breda and Ansaldo STS on November 2, 2015. HART met with Hitachi representatives and was told that there would be no immediate changes in management or staffing of AHJV.
Design	Following are the approximate levels of design completion • LRVs – 100% (Interim Design), 59% (Final Design) • Train Control – 88% (Interim Design), 94% (Final Design) • Traction Power – 100% (Interim Design), 100% (Final Design) • Communications – 100% (Interim Design), 44% (Final Design) • Fire Detection – 100% (Interim Design), 56% (Final Design) • PSG, UPS, MPV – N/A (Interim Design), 78% (Final Design) (Note: HART reports earned value only for the overall contract, not for design of the individual components.)
Testing	Initial testing of the PSG mockup was scheduled for November 2015 but has been postponed until March 2016 due to mechanical issues. The PSG are not on the critical path.
Construction	Construction activity will not begin along guideway until 1Q16.
Schedule	AHJV revised baseline contract schedule was approved. However, re-procurement of Westside Stations Group and use of DB for the eastside guideway and stations will result in another revision to the CSC schedule. Revisions to the station and guideway Construction Access Milestone (CAM) dates will affect substantial completion of the AHJV work. HART anticipates that AHJV will submit a change request for extended overhead and escalation due to delay as a result. HART wants to ensure that the milestone dates it provides AHJV for its schedule update will not change.
Staffing	HART is satisfied with the current staffing levels provided by AHJV.
System Performance Design	There are some concerns with AHJV's method for calculating headways and round-trip times. Alignment changes from Airport and City Center Fixed Facility Contractors may affect system performance. A full analysis was completed by AHJV and approved by HART in September 2015. The System Performance Analysis is under review by the PMOC.
Vehicle Subsystem	
Vehicle Schedule	Shipment of the first LRV to Honolulu is scheduled for March 2016. AHJV is having issues with truck supplier (DRS). AHJV has had engineers from Italy onsite to mitigate concerns.
Buy America	HART performed a Buy America Audit of the LRVs. HART intends to report the percentage based on the trainset, not type of car (End and Middle). Based on the trainset, the US content is 63%. Based on the type of car, the percentages are 64% (E car) and 62% (M car), which satisfy the minimum 60% US content for rail vehicles under Buy America.

Core System Description	Status
Ship America	AHJV is negotiating terms with a carrier to transport the LRVs from Italy to US mainland and from US mainland to Hawaii. Once that agreement is finalized, HART will provide confirmation to FTA. AHJV received approval from the US Maritime Agency to ship the first 4 vehicles from a non-US carrier.
Traction Electrification Subsystem	
Middle Street AM Antenna	HART has identified an alternate location to relocate the AM Antenna. ROW is working to execute the agreement and relocate. Shielding is no longer necessary.
O&M Subsystem	
MSF O&M	AHJV has provided preliminary MSF Operations Plans, but will resubmit to better follow HART's O&M Plan and FTA guidelines.
Hawaiian Electric Companies (HECO)	
Activation Dates	HART and HECO are coordinating project schedule and HECO activation start dates for power.
Service Requests	AHJV has submitted HECO service requests for all system sites. Design coordination is progressing.

2.1.5 Real Estate Acquisition

- Currently, there are no ROW actions impeding construction work, although the ROW team continues to seek site access or full acquisition to ensure no delay to construction. HART is working to obtain all ROW and parcels that are necessary for construction. The PMOC will continue to closely monitor progress of the ROW actions to help avoid any impacts to construction.
    - HART has completed 68 of 223 acquisitions. The PMOC is concerned that the costs for acquisition may creep since many of the parcels have not been settled.
    - HART has completed 222 of 223 appraisals.
    - HART has site control of 107 parcels out of 223 parcels needed.
- HART has requested authorization for eminent domain of 44 parcels:
    - 5 parcels have been filed with the court – 2 have been settled; 2 are friendly condemnations; and 1 is disputed.
    - 37 parcels received no objection from the City Council.
    - 2 parcels have been initially rejected by the City Council. HART is reviewing these parcels to determine the next steps for negotiation.
- All private property site access for the guideway is complete for KHG. KIWC has identified three permanent easement locations for relocated utilities. HART is working with KIWC to resolve these easements, and while they are critical, there is not currently an impact on construction work or schedule.
- HART has provided an updated EAC for real estate to the PMOC.

2.1.6 Third Party Agreements and Coordination

The following agreements are critical and will impact the project if not completed in the near term:

- Aloha Stadium Construction Right of Entry (CROE) – DRAFT Agreement has been routed for review. Department of Accounting and General Services (DAGS), Stadium Authority and HART are scheduled to meet week of January 14, 2015 to discuss the agreement, which must be in place by mid-2016 to not impact the schedule.
- University of Hawaii Right of Entry – Construction Rights of Entry are pending.
- GSA – An MOU is pending with the GSA for all work adjacent to the Federal courthouse. This will include any protective measures (e.g. barriers) along the station and guideway. The PMOC inquired whether GSA will have the right to review the final design since this work will now be completed under a DB contract. HART was uncertain, but will review the terms of the MOU and will provide clarification. The HDOT SOA is aware of the issue and is waiting for HART to resolve the issue. The MOU is not on the critical path, but if this issue is not resolved in the next 3 to 6 months, it may become critical.
- US Post Office – HART and USPS are in disagreement on the value of property. HART has engaged their congressional delegation to assist in advancing negotiations.
- US Navy – The Current Base Commander would like to finalize the license agreement prior to change of Base Command staff, which will occur spring 2016.
- The outstanding third party agreements may affect construction contracts if not resolved in the next 3 to 6 months.

2.1.7 Environmental mitigation measures

- Proposed Design Changes/Refinement – HART is considering several proposed design refinements that may require additional environmental review. FTA and HART hold bi-weekly meetings to discuss the status of any potential changes. HART has submitted or will submit information on each proposed change for FTA to determine the level of documentation required to assess impacts and subsequent mitigation measures.

2.2 Project Management Plan (PMP) and Sub-Plans

HART is in the process of updating several of its procedures and management plans. These updates are necessary due to HART organizational changes and the contract packaging changes that are being implemented. It is critical for HART to update these plans and procedures soon. Following is the status of the key management plan updates:

Plan	Status	Note
Project Management Plan (PMP)	Approved for FFGA but plan is being updated.	Draft PMP submitted to the PMOC for review in July 2015 without detailed budget and schedule information. HART will incorporate this information when it becomes available (tentatively 4th Quarter of 2015). PMOC comments were provided to HART.
Contract Packaging Plan (CPP)	Approved for FFGA but update is pending	CPP must still be updated to reflect MPS and EAC changes.
Risk and Contingency Management Plan (RCMP)	Approved for FFGA but update is pending	Update is pending outcome of Risk Refresh
Financial Plan	Approved for FFGA. Draft Financial Plan submitted to FTA/PMOC for review.	Draft Financial Plan submitted to FTA/PMOC on August 14, 2015, which is based on HARTs preliminary EAC and MPS. HART needs to await final action on the GET extension and approval of a revised FFGA budget by the FTA before it can update the plan.
Real Estate Acquisition and Management Plan (RAMP)	Approved for FFGA.	FINAL DRAFT RAMP submitted on September 1, 2015.
Operations and Maintenance Plan (OMP)	Under PMOC review	Draft OMP submitted to the PMOC for review in September 2015. Comments were provided to HART on December 17, 2015.
Rail Fleet Management Plan (RFMP)	Under PMOC review	Draft RFMP submitted to the PMOC for review in September 2015. Comments were provided to HART on December 17, 2015.
Safety and Security Management Plan (SSMP)	Under PMOC review	Draft SSMP submitted to the PMOC for review in November 2015.
Safety and Security Certification Plan (SSCP)	Under PMOC review	Draft SSCP submitted to the PMOC for review in November 2015.

2.3 Management Capacity and Capability (MCC)

HART has gone through a considerable number of organizational changes since the FFGA was executed in December 2012. The PMOC has recommended that HART review its staffing and consider changes to streamline the organization. HART has begun reviewing the project

organization to determine if changes can be made to be more effective. Project staff has also begun updating the project's numerous plans and procedures to reflect these changes. HART's update of the management plans must incorporate any organizational changes that are proposed or already accomplished. It has become critical that any changes be documented in the various management plans immediately.

The following is a summary of key open positions:

- Director of Planning & Right-of-Way (Existing Position) – Position has been filled.
- Director of Operations & Maintenance (Existing Position) – Recruiting is ongoing.
- West Area Construction Manager (New Position) – Target 1Q16 to fill position.
- WOFH/KHG Project Manager (Existing Position) – Construction Manager will work as interim Project Manager until a replacement is recruited.
- Project Manager Kamehameha Highway Station Group (KHSG)/H2R2 Ramp (New Position) – Target 1Q16 to fill position.
- Assistant Project Manager City Center (New Position) – target December 2015 to fill position.

HART Executive Director and Project Director are to review the staffing plan through completion of project to determine if agency and consultant staffing levels can be optimized as a cost reduction measure.

2.4 Project Cost

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

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

Total Expenditures to Date – $1.773 billion (through October 2015)

The following table presents the FFGA budget and expenditures to date. The Estimate at Completion (EAC) for each SCC will be provided once HART re-baselines its budget.

SCC	SCC Description	FFGA Budget	Base Cost	Allocated Cont.	Incurred
10	**GUIDEWAY & TRACK ELEMENTS**	**1,275,328,962**	**1,114,305,144**	**161,023,818**	**254,715,910**
10.04	Guideway: Aerial structure	1,175,328,184	1,022,380,670	152,947,514	17,378
10.08	Guideway: Retained cut or fill	8,077,393	7,492,943	584,450	203,730,753
10.09	Track: Direct fixation	86,332,027	79,437,204	6,894,823	50,967,779
10.11	Track: Ballasted	3,550,634	3,293,724	256,910	0
10.12	Track: Special (switches, turnouts)	2,040,724	1,700,603	340,121	0
20	**STATIONS, STOPS, TERMINALS, INTERMODA**	**506,165,689**	**421,804,742**	**84,360,947**	**4,784,807**
20.01	At-grade station, stop, shelter, mall, terminal, platform	7,333,599	6,111,333	1,222,266	0
20.02	Aerial station, stop, shelter, mall, terminal, platform	353,476,148	294,563,457	58,912,691	0
20.06	Automobile parking multi-story structure	79,690,518	66,408,765	13,281,753	0
20.07	Elevators, escalators	65,665,424	54,721,187	10,944,237	4,784,807
30	**SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS**	**99,425,456**	**92,535,013**	**6,890,443**	**86,726,793**
30.02	Light Maintenance Facility	8,161,279	7,591,887	569,392	4,514,214
30.03	Heavy Maintenance Facility	40,906,889	38,099,138	2,807,751	27,428,259
30.04	Storage or Maintenance of Way Building	8,382,270	7,797,460	584,810	6,159,023
30.05	Yard and Yard Track	41,975,018	39,046,528	2,928,490	48,625,297
40	**SITEWORK & SPECIAL CONDITIONS**	**1,103,867,264**	**980,569,426**	**123,297,838**	**515,837,461**
40.01	Demolition, Clearing, Earthwork	34,695,802	29,980,157	4,715,645	2,522,102
40.02	Site Utilities, Utility Relocation	350,694,801	299,449,755	51,245,046	107,531,225
40.03	Haz. mat'l, contam'd soil removal/mitigation, ground water treatments	7,228,935	6,590,542	638,393	2,399,955
40.04	Environmental mitigation, e.g. wetlands, historic/archeologic, parks	30,841,906	26,979,122	3,862,784	10,532,681
40.05	Site structures including retaining walls, sound walls	8,637,582	7,998,960	638,622	4,323,004
40.06	Pedestrian / bike access and accommodation, landscaping	48,262,816	41,073,897	7,188,919	50,000
40.07	Automobile, bus, van accessways including roads, parking lots	212,536,181	181,979,369	30,556,812	4,535,519
40.08	Temporary Facilities and other indirect costs during construction	410,969,241	386,517,624	24,451,617	383,942,975
50	**SYSTEMS**	**247,460,781**	**221,284,483**	**26,176,298**	**34,856,568**
50.01	Train control and signals	91,492,532	81,982,556	9,509,976	2,250,972
50.02	Traffic signals and crossing protection	12,524,011	10,458,227	2,065,784	0
50.03	Traction power supply: substations	32,873,934	29,500,927	3,373,007	4,601,819
50.04	Traction power distribution: catenary and third rail	36,426,286	32,878,150	3,548,136	16,860,895
50.05	Communications	59,889,234	53,691,339	6,197,895	12,274,783
50.06	Fare collection system and equipment	10,221,753	9,159,277	1,062,476	(1,131,901)
50.07	Central Control	4,033,031	3,614,007	419,024	0
	Construction Subtotal (10 - 50)	**3,232,248,152**	**2,830,498,808**	**401,749,344**	**896,921,539**

SCC	SCC Description	FFGA Budget	Base Cost	Allocated Cont.	Incurred
60	**ROW, LAND, EXISTING IMPROVEMENTS**	**222,188,386**	**197,397,947**	**24,790,439**	**89,170,988**
60.01	Purchase or lease of real estate	201,658,907	179,360,664	22,298,243	79,296,996
60.02	Relocation of existing households and businesses	20,529,479	18,037,283	2,492,196	9,873,992
70	**VEHICLES**	**208,501,186**	**186,829,020**	**21,672,166**	**29,150,290**
70.02	Heavy Rail	186,061,066	166,721,385	19,339,681	21,357,829
70.06	Non-revenue vehicles	16,011,166	14,346,923	1,664,243	7,792,461
70.07	Spare parts	6,428,954	5,760,712	668,242	0
80	**PROFESSIONAL SERVICES**	**1,183,826,026**	**1,090,438,814**	**93,387,212**	**757,459,117**
80.01	Preliminary Engineering	95,120,484	94,055,262	1,065,222	102,945,648
80.02	Final Design	257,934,908	228,321,632	29,613,276	161,174,786
80.03	Project Management for Design and Construction	385,825,694	366,458,463	19,367,231	304,700,718
80.04	Construction Administration & Management	218,155,752	199,656,728	18,499,024	79,383,833
80.05	Professional Liability and other Non-Construction Insurance	52,138,030	46,549,724	5,588,306	28,391,124
80.06	Legal; Permits; Review Fees by other agencies, cities, etc.	76,135,125	67,641,006	8,494,119	20,506,227
80.07	Surveys, Testing, Investigation, Inspection	24,955,327	21,759,335	3,195,992	28,208,638
80.08	Start up	73,560,706	65,996,664	7,564,042	32,148,143
90	**Subtotal (10 - 80)**	**4,846,763,750**	**4,305,164,589**	**541,599,161**	**1,772,701,934**
	UNALLOCATED CONTINGENCY	101,871,170	0	101,871,170	0
100	**Subtotal (10 - 90)**	**4,948,634,920**	**4,305,164,589**	**643,470,331**	**1,772,701,934**
	FINANCE CHARGES	173,058,242			0
	Total Project Cost (10 - 100)	**5,121,693,162**	**4,305,164,589**	**643,470,331**	**1,772,701,934**
	Provisional Request for Payment				0
	Total Project Cost (10 - 100)	**5,121,693,162**	**4,305,164,589**	**643,470,331**	**1,772,701,934**

HART's current Estimate at Completion (EAC) indicates that the Project cost will most likely exceed the FFGA budget primarily due to the AIS, federal lawsuit delays, subsequent impact of current market conditions, and several other items that are anticipated to be an additional cost to the project. HART is continuing to review the project budget and will update the EAC accordingly.

2.4.1 Contingency

HART staff presented the status of the program budget and schedule to the Board of Directors at the October and November 2015 monthly meetings. Forecasts indicated an increase to project costs and extension of the overall completion date for the project:

- Updated Estimate at Completion (EAC) – $6.5 billion
- Updated EAC includes $240 million in Allocated Contingency and $299 million in Unallocated Contingency.
- Updated finance costs include $310 million.

The HART Joint Finance/Project Oversight Committee did not take action on the preliminary information that was presented. It is anticipated that additional discussions will occur during the November 2015 Board meetings.

HART staff has begun providing supporting documentation for the updated cost and schedule. However, there were several items discussed with HART during the November 2015 Project

Controls Meeting that the PMOC believes may not be fully addressed in the EAC. Some of these items include:

- Cost for full buildout of Pearl Highlands Parking Garage
- HECO clearance issue
- Real estate adjustments
- Full exposure of WOFH, KHG, and CSC delays
- OCIP adjustment for time extensions
- Elevator/Escalator Contract escalation

Once the EAC is finalized, HART must also then update the contingency drawdown curve for inclusion in the Risk and Contingency Management Plan and Monthly Reports.

2.4.2 Funding Sources

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

Source	Amount
General Excise Tax (GET)	$3.358 billion
Section 5309	$1.550 billion
Section 5307	$0.210 billion
American Recovery and Reinvestment Act (ARRA)	$0.004 billion
Total	**$5.122 billion**

Following is the status of HART's GET receipts:

- HART has received approximately $1.586 billion in GET funds since 2007.
- HART has received approximately $1.208 billion in GET funds since Preliminary Engineering, which began in October 2009.

HART has indicated that it will not have access to $210 million in Section 5307 funds for the project. The Hawaii State Legislature passed House Bill 134, which would extend the City and County of Honolulu's current 0.5% surcharge on the state's General Excise Tax (GET) for the rail transit project for an additional five years through 2027. Initial estimates indicated that the GET extension could generate approximately $1.8 billion in revenue at a 5 percent growth rate. However, more current (and conservative) forecasts indicate that the additional revenue will be closer to $1.5 billion.

The Governor signed the bill on July 14, 2015. The City Council will need to amend an ordinance to enact the tax extension. The City Council cannot enact the measure before July 1, 2015 (start of Fiscal Year) but must take action by July 1, 2016. If passed by the City Council, the Mayor must then sign the measure. It is anticipated that the City Council will take action on Bill 23 to extend collection of the GET in January 2016.

2.5 Project Schedule

HART staff presented the status of the program budget and schedule to the Board of Directors at the October and November 2015 monthly meetings. HART staff provided the following preliminary targets for Revenue Service Dates (RSD):

- Phase 1 Milestone Ready for Revenue Service to Aloha Stadium – 3rd Quarter 2018
- Phase 2 Milestone Ready for Revenue Service (full system) – 4th Quarter 2021

HART provided the PMOC with an updated MPS in November 2015 that indicates a RSD for the full system in December 2021. This version of the MPS will be used for the Risk Refresh. However, HART has elected to defer issuance of RFP Part II of the City Center Guideway and Stations DB Contract until after action is taken by the City Council on the GET Extension. This may impact the Phase 2 Milestone of full system RSD. PMOC also has concerns that MPS does not fully account for HECO undergrounding activities along Dillingham Boulevard, which would affect the critical path.

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

Period: January 2015 – March 2016		
Activity	**Responsibility**	**Date**
Monthly Progress Meeting	FTA, HART and PMOC	January 20, 2016
Risk Refresh	FTA, HART and PMOC	February 9, 2016
Monthly Progress Meeting	FTA, HART and PMOC	February 10, 2016
Quarterly Meeting	FTA, HART and PMOC	To be determined

2.6 Quality Assurance/Quality Control (QA/QC)

- WOFH Span 17 Damage and Repair – During the erection in March 2015, three segments were damaged due to unbalanced support from the temporary bearings. KIWC has submitted a repair procedure, which was approved by HART. KIWC has ordered special forms to complete the repairs, which are not on the critical path.
- Plinthless Track – KWC had proposed fabrication of precast guideway segments to eliminate the need for plinths. However, KIWC had issues with geometry control in casting and erection that have resulted in deviations in vertical and horizontal alignment that exceeds tolerances in several locations. KIWC and HART are discussing options for these locations. It should be noted that KIWC's geometry control on more recent segments are within tolerances. HART engaged technical staff from other transit agencies to complete a Peer Review of the situation and provide some recommendations. Initial indications are that HART will accept shimming of the track and may receive a credit from KIWC.
- Following is a summary of Non-Conformance Reports (NCR) that have been issued:

Contract	Description	NCRs		
		Issued	**Closed**	**Open**
DB-120	West Oahu/Farrington Highway	476	416	60
DB-200	Maintenance and Storage Facility	29	27	2
DB-320	Kamehameha Highway Guideway	96	63	33
DBOM-920	Core Systems Contract	302	217	85

It should be noted that the increase in Open NCRs for the WOFH DB Contract is primarily the result of items identified in the precast yard and the concrete consolidation issues with drilled shafts. KHG DB contract is experiencing similar concrete

consolidation issues with the drilled shafts. However, KIWC has developed measures to correct these NCRs and help prevent issues in the future.

2.7 Safety and Security

- HART Design Conformance Checklists, including CELs/CILs for active projects, are going through the Safety and Security Review Committee (SSRC) for approval. However, Construction Conformance and Testing Verification are lagging.
- HART provided the PMOC with its updated Safety and Security Management Plan (SSMP), Safety and Security Certification Plan (SSCP) in November 2015 to conform to the update of the PMP which was submitted on August 4, 2015. The PMOC is reviewing both plans and will provide comments in January 2016. HART has not submitted the updated Construction Safety and Security Plan (CSSP) yet.
- HART will be receiving LRVs during the 1st Quarter of 2016. Prior to any dynamic testing, HART must provide HDOT with all design, construction, and inspection verification and meet the requirements of its SOA Program Plan before HDOT will approve HART for interim testing. HART is working on vehicle certification planning activities to comply with the HART Certification Plan.
- HART submitted an updated Safety and Security Roadmap that incorporates input from HDOT State Oversight Agency.
- HART provided the PMOC with the DRAFT MOU with the GSA for all work adjacent to the Federal courthouse. This will include any protective measures (e.g. barriers) along the station and guideway. The MOU does not indicate whether GSA will have the right to review the final design since this work will now be completed under a DB contract. HART Project Director indicated that he will pursue the issue to determine what review authority GSA will have.
- HART and the PMOC will be performing a field review of the MSF Safety and Security Certification process in January 2016. The Safety and Security Certification is proposed to be performed in 2 phases. The first phase will be for the buildings and the second phase will be for the core systems.
- HART submitted an updated the Roadmap that incorporates input from HDOT SOA PM.

2.8 Project Risk

The PMOC has discussed the project cost on a monthly basis with HART in an effort to ensure cost issues are proactively addressed. HART has recently implemented Cost Containment and Cost Reduction measures in an effort to mitigate the cost increase. These efforts include:

- Significant revision of HART's contract packaging strategy
- Development of a detailed cost reduction matrix that focuses on the remaining construction contracts (Value Engineering)
- Review of interface milestones to help relieve schedule compression where possible
- Review of various options related to financing of the project
- Identification of items that could be considered Operations & Maintenance costs
- Development of a HART Decision Milestone Matrix.

HART will continue to update the Cost Reduction Measures matrix and Decision Milestone Matrix on a regular basis (at least monthly). The PMOC will continue to hold Cost Containment Workshops with HART on a monthly basis to review the Cost Reduction Measures Matrix and HART's Decision Milestone Matrix. Nevertheless, it is still anticipated that the Project cost will exceed the FFGA budget.

It is anticipated that another Risk Refresh will be performed in March 2016.

2.9 Action Item Table

Item No.	Item	Responsible Party	Date Identified	Date Due	Date Completed	Status
1	Resolve HECO issue with Davis-Bacon requirements	HART/FTA	Mar-14	On-going		Open – HECO waiver is pending. HART provided MOU to PMOC.
2	**Updates resulting from Risk Refresh:**					
2a	Update the Contract Packaging Plan	HART	Aug-14	Dec-15		In progress – Draft provided to PMOC but changes may be incorporated on updated estimate and schedule
2b	Re-baseline Financial Plan	HART	Apr-14	TBD		Pending final update of budget and schedule
2c	Re-baseline budget	HART	Apr-14	Dec-15		In progress
2d	Re-baseline MPS	HART	Apr-14	TBD		In progress – HART has provided MPS update for review
2f	Update RCMP (including Hold Points and Secondary Mitigation Measures)	HART	Sept-13	TBD		In progress – PMOC provided review comments on early draft, but updated draft will be prepared to reflect revised budget and schedule.
3	Provide OP 54 (Readiness for Revenue Operations) checklist/roadmap	FTA/PMOC	Apr-15	Nov-15	Nov-15	Complete – OP 54 provided to HART; PMOC to provide sample report
4	Provide list of HART procedures that are to be updated	HART	Aug-15	Nov-15	Dec-15	Complete – HART to continue updates of procedures.
5	Provide EAC in SCC format	HART	Aug-15	Dec-15	Dec-15	Complete
6	HART to provide target date for Federal Courthouse resolution/sign-off	HART	Sep-15	Dec-15		
7	HART to provide two letters regarding Hitachi's acquisition of Ansaldo Breda and Ansaldo STS	HART	Nov-15	Nov-15	Nov-15	Complete
8	HART to monthly provide a matrix of ROW parcels	HART	Nov-15	Dec-15		
9	HART to provide Buy America email to FTA on HVAC controls	HART	Nov-15	Nov-15	Nov-15	Complete
10	HART to provide white paper on HDOT betterments	HART	Nov-15	Nov-15	Dec-15	Complete

3.0 APPENDICES

Appendix A: Acronym List

- AHJV ▪ Ansaldo Honolulu Joint Venture
- AIS ▪ Archeological Inventory Survey
- APS ▪ Adjusted Project Schedule
- ARRA ▪ American Recovery and Reinvestment Act
- ASG ▪ Airport Station Group
- ATC ▪ Alternative Technical Concept
- AUG ▪ Airport Utilities Group
- AVI ▪ Automatic Vehicle Indication
- AVL ▪ Automatic Vehicle Location
- BCE ▪ Base Cost Estimate
- BFMP ▪ Bus Fleet Management Plan
- CCUG ▪ City Center Utilities Group
- CE&I ▪ Construction Engineering and Inspection
- CMP ▪ Construction Management Plan
- CPM ▪ Critical Path Method
- CPP ▪ Contract Packaging Plan
- CROE ▪ Construction Right of Entry
- CSC ▪ Core Systems Contract
- CSSO ▪ Chief Safety and Security Officer
- DAGS ▪ Department of Accounting & General Services
- DB ▪ Design-Build
- DBB ▪ Design-Bid-Build
- DBOM ▪ Design-Build-Operate-Maintain
- DCCA ▪ Department of Commerce and Consumer Affairs
- DHHL ▪ Department of Hawaiian Home Lands
- DLIR ▪ Department of Labor and Industrial Relations
- DLNR ▪ Department of Land and Natural Resources
- DOE ▪ Department of Education
- DOT ▪ Department of Transportation
- EAC ▪ Estimate at Completion
- EIS ▪ Environmental Impact Statement
- FD ▪ Final Design
- FEIS ▪ Final Environmental Impact Statement
- FFGA ▪ Full Funding Grant Agreement
- FHSG ▪ Farrington Highway Station Group
- 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
- HCC ▪ Honolulu Community College
- HCDA ▪ Hawaii Community Development Authority
- HDOT ▪ Hawaii Department of Transportation
- HECO ▪ Hawaiian Electric Company
- IFB ▪ Invitation to Bid
- ITP ▪ Inspection Test Plans
- JU&O ▪ Joint Use & Occupancy
- KHG ▪ Kamehameha Highway Guideway
- KHSG ▪ Kamehameha Highway Stations Group

KIWC	▪ Kiewit Infrastructure West Company
KKJV	▪ Kiewit Kobayashi Joint Venture
LCC	▪ Leeward Community College
LEED	▪ Leadership in Energy and Environmental Design (LEED)
MMP	▪ Mitigation Monitoring Program
MOA	▪ Memorandum of Agreement
MOT	▪ Maintenance of Traffic
MOW	▪ Maintenance of Way
MPS	▪ Master Project Schedule
MSF	▪ Maintenance and Storage Facility
NCR	▪ Non-Compliance Report
NEPA	▪ National Environmental Policy Act
NTP	▪ Notice to Proceed
OCCC	▪ Oahu Community Correctional Center
OCIP	▪ Owner Controlled Insurance Program
OP	▪ Oversight Procedure
PA	▪ Programmatic Agreement
PE	▪ Preliminary Engineering
PM	▪ Project Manager
PMC	▪ Project Management Consultant
PMOC	▪ Project Management Oversight Contractor
PMP	▪ Project Management Plan
PSG	▪ Platform Screen Gate
PW	▪ Project-wide
QA	▪ Quality Assurance
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
RFB	▪ Request for Bids
RFP	▪ Request for Proposals
RFQ	▪ Request for Qualifications
ROD	▪ Record of Decision
ROE	▪ Right of Entry
ROW	▪ Right of Way
RSD	▪ Revenue Service Date
SCC	▪ Standard Cost Category
SHPD	▪ State Historic Preservation Division
SOA	▪ State Oversight Agency
SS	▪ Safety and Security
SSCM	▪ Safety and Security Certification Manager
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
UH	▪ University of Hawaii
UPS	▪ Uninterruptible Power Supply
VE	▪ Value Engineering
WOFH	▪ West Oahu/Farrington Highway
WOSG	▪ West Oahu Stations Group
WSSG	▪ Westside Stations Group
YOE	▪ Year of Expenditure

Appendix B: Contract Status

Contract	Description	Contractor	Base Contract Value	Change Orders	Change Order %	Current Contract Value	Expended	% Exp.	DBE	Award Date	Compl. Date
MM-901	Program Management Support Consultant (PMSC·2)	HDR/InfraConsult LLC	$33,376,897	Amendment No. 4d. 3/18/14		$40,993,274	$35,809,242	87.4%	0%	Mar 2012	Mar 2016
	Notes/Issues:										
MM-910	General Engineering Consultant (GEC II)	Parsons Brinkerhoff	$300,000,000				$132,000,000		0%	Jun 2011	Pending
	Notes/Issues:	Contract closeout is pending.									
MM-913	General Engineering Consultant (GEC III)	CH2M Hill	$46,143,277			$46,143,277	$21,954,215	47.5%	3.90%	Dec 2013	Mar 2019
	Notes/Issues:	▪ None at this time									
MM-290	Construction Engineering and Inspection (West)	PGH Wong Engineering, Inc	$54,232480			$54,232480	$17,725,316	32.7%	1.81%	Jan 2014	Jan 2020
	Notes/Issues:	▪ None at this time.									
MM-595	Construction Engineering and Inspection (East)	AECOM/URS Corporation	$63,083,417	($47,826,417)		$15,257,000	$11,686,318	76.6%	2.36%	Jan 2014	Dec 2018
	Notes/Issues:	▪ The new CE&I consultant for the East Section was issued NTP in September. The AECOM/URS team immediately began a transition that will occur from NTP through October 9, 2015. The AECOM/URS project closeout is ongoing.									
MM-596	Construction Engineering and Inspection II (East)	Stantec Consulting Services Inc.	$55,036,130			$55,036,130				Sep 2015	Dec 2019
	Notes/Issues:	▪ HART requested an Independent Cost Estimate (ICE) be performed on the Airport Guideway and Stations DB contract, the Dillingham Utilities and Roadway DBB contract, and the City Center Guideway and Stations DB contract. These ICE's will be completed over the next five months and in advance of the bid opening dates. ▪ Transition with the previous CE&I staff was successfully completed.									
MM-962	Core System Contract Oversight Consultant	Lea + Elliott, Inc	$43,988,989			$43,988,989	$11,382,948	25.9%	0.64%	Feb 2014	Aug 2019
	Notes/Issues:	▪ None at this time.									
MM-945	On-Call Construction Contractor	Royal Contracting Co. Ltd	$1,000,000	$999,951	99.99%	$1,999,951	$1,916,645	95.8%	23%	Aug 2014	Jul 2019
	Notes/Issues:	▪ None at this time.									
DB-120	West Oahu/Farrington Highway DB	KIWC	$482,924,000	$148,282,384	30.7%	$631,206,384	$478,279,230	75.8%	1.31%	Nov 2009	Jul 2016

Contract	Description	Contractor	Base Contract Value	Change Orders	Change Order %	Current Contract Value	Expended	% Exp.	DBE	Award Date	Compl. Date
	Notes/Issues:	▪ Progress is lagging from the approved baseline schedule. KIWC has notified HART that a 6 month time extension beyond substantial completion is needed to complete work at LCC due to these impacts. HART is currently working with the contractor to mitigate delays and is evaluating the merit of KIWC's request for change to the substantial completion date.									
DB-200	Maintenance and Storage Facility DB	Kiewit/Kobayashi JV	$195,258,000	$79,620,772	40.77%	$274,878,772	$230,308,016	82.3%	0.20%	Jun 2011	Apr 2016
	Notes/Issues:	▪ None at this time.									
DB-320	Kamehameha Highway Guideway DB	KIWC	$372,150,000	$16,759,985	4.3%	$388,909,985	$175,130,414	42.1%	0.08%	Jun 2011	Sep 2016
	Notes/Issues:	▪ Contract is approximately 12 months behind schedule. KIWC submitted revised schedule in September 2015 via RFC, re-sequencing the guideway and road work. The schedule is currently being reviewed by HART. The revised schedule shows the guideway structure forecasted to be complete in April 2017 with completion of the roadway civil construction and the overall project in September 2017.									
DBOM-920	Core Systems Contract	Ansaldo/Honolulu JV	$573,782,793	$24,780,894	4.3%	$595,063,687	$157,005,259	26.4%	0.029%	Nov 2011	Mar 2019
	Notes/Issues:	▪ AHJV revised their baseline contract schedule, and it has been approved. However, re-procurement of Westside Stations Group and use of DB for the eastside guideway and stations will result in another revision to CSC schedule. Revisions to the station and guideway Construction Access Milestone (CAM) dates might affect substantial completion of the AHJV work. HART anticipates that AHJV will submit a change request for extended overhead and escalation due to delay as a result. HART wants to ensure that they provide AHJV with milestone dates for their schedule update that should not change. ▪ Hitachi, LTD completed its acquisition of Ansaldo Breda and Ansaldo STS on November 2, 2015. HART met with Hitachi representatives and was told that there would be no immediate changes in management or staffing of AHJV.									
MI-930	Elevators and Escalators Install & Maintain	Schindler Elevator Corporation	$50,982,714	$0	0%	$50,982,714	$4,784,807	9.4%	0%	May 2013	Jul 2018
	Notes/Issues:	▪ None at this time.									
FD-140	West Oahu Station Group Construction FD	URS, Inc.	$7,789,000	$2,825,305	36.2%	$10,014,305	$9,093,096	91.7%	0%	Jun 2012	Dec 2016
	Notes/Issues:	▪ None at this time.									
FD-240	Farrington Highway Station Group FD	HDR, Inc. / URS	$9,300,696	$5,017,093	54%	$14,198,045	$12,546,293	89.4%	4.7%	Jan 2011	Dec 2016

Contract	Description	Contractor	Base Contract Value	Change Orders	Change Order %	Current Contract Value	Expended	% Exp.	DBE	Award Date	Compl. Date
	Notes/Issues:	▪ Bids were received on March 3, 2015. ▪ FFGA budget for this stations group was $55 million, and the current Engineers Estimate was $76 million. The apparent low bid was $78.9 million. ▪ HART received a bid protest notification from the second low bidder on March 11, 2015. HART rejected the protest and the bidder filed an appeal with the DCCA. A hearing is scheduled for May 28, 2015. HART is proceeding with award of the contract in June 2015 and issuing NTP in July 2015.									
FD-340	Kamehameha Highway Station Group Construction FD	Anil Verma, Inc.	$8,702,592	$1,199,698	12.2%	$9,859,290	$8,843,841	98.1%	43.9%	Nov 2012	Dec 2016
	Notes/Issues:	▪ Revised engineer's estimate exceeds the FFGA budget. ▪ Kamehameha Highway Station Stations Group – IFB will be issued in August 2015.									
FD-430	Airport Section Guideway and Utilities FD	AECOM	$38,840,960	$4,293,512	11.0%	$41,073,203	$41,028,823	95.2%	0.42%	Dec 2011	Jun 2017
	Notes/Issues:	▪ Airport Guideway was combined with Airport Stations into a DB Contract.									
FD-440	Airport Station Group Construction FD	AECOM	$10,177,365	$1,514,840	14.88%	$11,672,205	$9,801,978	86.0%	2.31%	Nov 2012	Jul 2017
	Notes/Issues:	▪ HART has limited the designers' activity to supporting preparation of the eastside DB contracts.									
FD-530	City Center Section Guideway and Utilities FD	AECOM	$43,948,220	$1,282,803	2.9%	$46,183,523	$40,284,180	87.2%	0.44%	Jul 2012	May 2018
	Notes/Issues:	▪ City Center Guideway will be combined with Dillingham/Kaka'ako Stations Group into a DB Contract. This contract will include a two-RFP. Part I will be issued August 2015. Part II will be issued in October 2015. NTP is anticipated for June 2016. ▪ Revised engineer's estimate exceeds the FFGA budget. ▪ The PMOC strongly recommends that HART does not issue NTP for this contract unless the HECO clearance issues are resolved.									
FD-550	Dillingham and Kaka'ako Station Group Construction FD	Perkins & Will	$18,321,918	$1,046,743	5.71%	$19,308,042	$10,677,500	59.5%	0%	Jun 2013	Jul 2018
	Notes/Issues:	▪ HART has limited the designers' activity to supporting preparation of the eastside DB contracts.									
DBB-505	Airport Section Utilities Construction	Nan	$28,413,973	$0	0%	$28,413,973	$7,873,650	22.7%	0%	Jul 2014	Jun 2016
	Notes/Issues	▪ The contract is approximately seven months behind schedule. The delay is due to issues with Navy right of entry (ROE) for construction.									

Contract	Description	Contractor	Base Contract Value	Change Orders	Change Order %	Current Contract Value	Expended	% Exp.	DBE	Award Date	Compl. Date
DBB-525	Airport Section Guideway Seven Pier Construction	HDCC/CJA JV	$3,973,000	$508,241	12.7%	$4,481,241	$3,796,241	85.0%	0%	Sep 2014	Feb 2015
Notes/Issues		▪ Construction is complete. Closeout is ongoing.									
DBB-271	Farrington Highway Station Group Construction	Hawaiian Dredging Construction Company, Inc.	$78,999.000	$0	0%	$78,999,000	$0	0%	0%	Aug 2015	Sep 2017
Notes/Issues		▪ None at this time.									
DBB-385	Ramp H2R2	Royal Contracting Co. Ltd	$5,203,646	$0	0%	$5,203,646	$0	0%	0%	May 2015	Jun 2016
Notes/Issues		▪ None at this time.									

Appendix C: PMOC Team

Name	Position	Background
Tim Mantych, PE	Program Manager	Overall responsibility for the Jacobs PMO program. He has spent 16 years in key management roles on the PMO program, including Program Manager and Task Order Manager, effectively managing oversight services for major capital projects in Regions V and IX.
Bill Tsiforas	Task Order Manager	Responsible for oversight of this task order. He has over 25 years of experience and has served as Task Order Manager and as a systems integration manager in the PMO Program since 2008. His project management experience covers a wide range of transit projects including BRT, monorail, streetcar, light rail, and heavy rail systems. In rail projects and other transportation modes, he has experience in management of project planning, engineering, and architecture service contract, engineering design, and construction management.
Keith Konradi, PE	Civil Engineer	Has extensive over 40 years of experience as a civil engineer and trackwork expert who can provide informed reviews of all issues regarding the design and construction of civil, railroad, and transit. He has specialized in railroad and transit projects, designing new alignments, realignments, profiles, yard, and maintenance facility layouts, connections, and interlockings.
Charles Neathery	Construction Management Manager	Responsible for oversight of construction management activities and project scheduling. He has served on the PMO Program since 1995 in various key positions: Deputy Program Manager, Task Order Manager, Construction Manager, Risk Manager, and Technical Specialist. His heavy civil construction background as a construction contractor Project Manager and as Program and Controls Director combines experience on both sides of the industry as a builder and a manager.
Tim Morris	Cost Estimating Manager	Responsible for oversight of cost estimating and cost control. He brings 34 years of experience in cost estimating. His background includes: construction and project management of heavy civil projects; cost estimating; field engineering; scheduling; project controls; change order negotiations; and procurement.
Brian Carpenter	Project Scheduling Manager	Responsible for oversight of project scheduling. Has over 25 years of experience project controls including schedule development and management. Well versed with following: Primavera Project Planner (P3), Primavera 7.0, Suretrak, M.S. Project, Schedule Analyzer, Claim Digger, Private Investigator, and PertMaster (Monte Carlo Risk Analyzer), as well as document management tools: Prolog, ProjectWise, and Contract Manager (Expedition).
Dorothy Schulz, PhD	Systems Safety Manager	Responsible for oversight of safety and security activities. She has been Director of Transit Security Practice at Interactive Elements for more than 20 years. She performs safety and security studies and oversights for various agencies. She also performs FTA State Oversight Agency (SOA) audits as well as Safety and Security Readiness Reviews (SSRRs). Dr. Schulz has written and/or reviewed numerous TVAs, PHAs, SSPPs, and SSPs; all require comprehensive understanding of the 882C Standard.
Arun Virginkar	Rail Equipment Engineer	Responsible for oversight of rail vehicle engineering and Buy America compliance. He has been involved with the PMOC Program since 1994. He has experience in contract management, vehicle and systems equipment engineering, operations and maintenance planning, system integration and testing, safety certification plans, and quality and system assurance. He also has specialized experience in Buy America Pre-Award and Post-Delivery audits of car builders.
Bob Merryman	Real Estate Manager	Responsible for oversight of real estate activities on the project. He has 35 years of practical experience in the implementation of the Uniform Act in federally funded projects. In addition, he has written three text books used by FHWA, as well as the one additional course text used by the FTA discussing the implementation of the Uniform Act. He also served as lead investigator on the business retrospective study for the Federal Highway Administration. The information gleaned from this investigation was to develop the most recent revisions to 49 CFR Part 24.

David Sillars, PhD	Risk Assessment Manager	Responsible for oversight of the risk management activities for the project. He has over 35 years of experience in risk and management consulting and transportation research. He assisted FTA with editing and developing the updated MAP-21 Risk and Contingency Management Oversight Procedure (OP 40) and updated FTA risk workbook. He has co-developed and delivered the New Starts risk management training program for the National Transit Institute on behalf of the FTA.
David Nelson	Transit Operations Manager	Responsible for oversight of the transit operations planning for the project Has more than 30 years of experience with in-depth, working knowledge of North American public transportation agencies. Was previously assistant director and project manager of planning and manager of transit applications for the Massachusetts Bay Transportation Authority and the manager of planning and administration for the Boston & Maine Railroad.

Appendix D: Project Overview and Map (Transmitted as a separate file)

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

Appendix D: Project Overview and Map

Date:	December 2015
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	104,300 weekday boardings in 2019; 119,600 weekday boardings in 2030

SCHEDULE

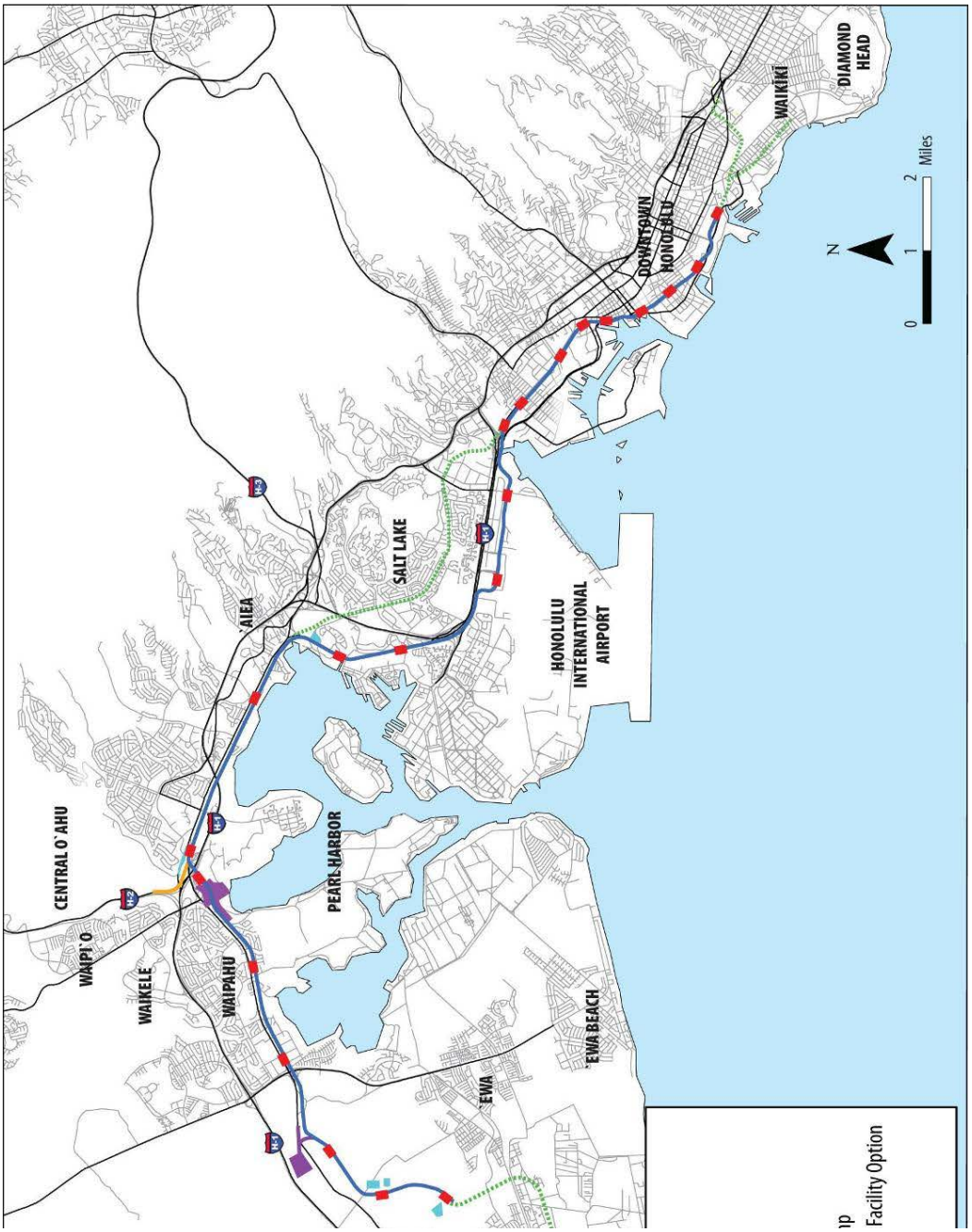
10/09 Approval Entry to PE	03/19 Estimated RSD at Entry to PE
12/11 Approval Entry to FD	03/19 Estimated RSD at Entry to FD
06/12 Request for FFGA	03/19 Estimated RSD at Request for FFGA
12/12 FFGA	01/20 RSD at FFGA

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

$1.773B Amount of Expenditures at date of this report
40.6% complete (Total Project Expenditures/Total Project Cost)

Honolulu Rail Transit Project Map



Appendix E: Safety and Security Checklist

Project Overview			
Project Name	Honolulu Rail Transit Project		
Project mode (Rail, Bus, BRT, Multimode)	Rail		
Project phase (Preliminary Engineering, Final Design, Construction, or Start-up)	FD		
Project Delivery Method (Design/Build, Design/Build/Operate Maintain, CMGC, etc.)	DB, DBB and DBOM		
Project Plans	**Version**	**Review by FTA**	**Status**
Safety and Security Management Plan	3.0	Y	Complete
Safety and Security Certification Plan	2.0	Y	Complete
System Safety Program Plan			Submittal date Mar-13
System Security Plan or Security and Emergency Preparedness Plan (SSEPP)		N	TBD
Construction Safety and Security Plan	1.0	Jun-11	Submitted in Mar-11
Safety and Security Authority	**Y/N**		**Status**
Is the grantee subject to 49 CFR Part 659 state safety oversight requirements?	Y		
Has the state designated an oversight agency as per Part 659.9	Y		Executive Order 10-04 effective April 6, 2010
Has the oversight agency reviewed and approved the grantee's SSPP as per Part 659.17?	N		Submission/Approval in 2013
Has the oversight agency reviewed and approved the grantee's Security Plan or SEPP as per Part 659.21?	N		Submission/Approval in 2013
Did the oversight agency participate in the last Quarterly Program Review Meeting?	Y		April 16, 2014
Has the grantee submitted its safety certification plan to the oversight agency?	N		SOA information
Has the grantee implemented security directives issues by the Department Homeland Security, Transportation Security Administration?	N		None issued to date
SSMP Monitoring			
Is the SSMP project-specific, clearly demonstrating the scope of safety and security activities for this project?	Y		
Grantee reviews the SSMP and related project plans to determine if updates are necessary?	Y		
Does the grantee implement a process through which the Designated Function (DF) for Safety and DF for Security are integrated into the overall project management team? Please specify.	Y		
Does the grantee maintain a regularly scheduled report on the status of safety and security activities?	Y		Reported Monthly
Has the grantee established staffing requirements, procedures and authority for safety and security activities throughout all project phases?	Y		
Does the grantee update the safety and security responsibility matrix/organization chart as necessary?	Y		
Has the grantee allocated sufficient resources to oversee or carry out safety and security activities?	Y		
Has the grantee developed hazard and vulnerability analysis techniques, including specific types of analysis to be performed during different project phases?	Y		

Does the grantee implement regularly scheduled meetings to track to resolution any identified hazards and/or vulnerabilities?	Y	
Does the grantee monitor the progress of safety and security activities throughout all project phases? Please describe briefly.	Y	
Does the grantee ensure the conduct of preliminary hazard and vulnerability analyses? Please specify analyses conducted.	Y	
Has the grantee ensured the development of safety design criteria?	Y	
Has the grantee ensured the development of security design criteria?	Y	
Has the grantee verified conformance with the safety and security requirements in the design?	N	Will be done during FD/Construction
Has the grantee identified conformance with safety and security requirements in equipment and materials procurement?	N	Will be done during FD/Construction
Has the grantee verified construction specification conformance?	N	Will be done during construction
Has the grantee identified safety and security critical tests to be performed prior to passenger operations?	N	Will be done during Rail Activation phase
Has the grantee verified conformance with safety and security requirements during testing, inspection and start up phases?	N	Will be done during Rail Activation phase
Does the grantee evaluated change orders, design waivers, or test variances for potential hazards and/or vulnerabilities?	N	Will be done during FD/Construction
Has the grantee ensured the performance of safety and security analyses for proposed work-arounds?	N	Will be done during Rail Activation phase
Has the grantee demonstrated through meetings or other methods, the integration of safety and security in the following: • Activation Plan and Procedures • Integrated Test Plan and Procedures • Operations and Maintenance Plan • Emergency Operations Plan	N	Will be done during Rail Activation phase
Has the grantee issued final safety and security certification?	N	Will be done after completion of Rail Activation phase
Has the grantee issued the final safety and security verification report?	N	Will be done during Rail Activation phase
Construction Safety		
Does the grantee have a documented/implementation Contractor Safety Program with which it expects contractors to comply?	Y	CSP development is included in construction contracts
Does the grantee's contractor(s) have a documented company-wide safety and security program plan?	TBD	Is a requirement of CSSP
Does the grantee's contractor(s) have a site-specific safety and security program plan?	TBD	Is a requirement of CSSP
Provide the grantee's OSHA statistics compared to the national average for the same type of work?	TBD	None developed yet
If the comparison is not favorable, what actions are being taken by the grantee to improve its safety record?	TBD	None developed yet
Does the grantee conduct site audits of the contractor's performance versus required safety/security procedures?	Y	Audit required in CSSP

Federal Railroad Administration		
If the shared track: has the grantee submitted its waiver request application to FRA? (Please identify any specific regulations for which waivers are being requested)	NA	
If the shared corridor: has grantee specified specific measures to address shared corridor safety concerns?	NA	
Is the Collision Hazard Analysis underway?	NA	
Other FRA required Hazard Analysis – fencing, etc?	NA	
Does the project have Quiet Zones?	NA	
Does FRA attend Quarterly Review Meetings?	NA	