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1.0 EXECUTIVE SUMMARY

1.1 Project Description

- **General Description:** The Project is an approximate 20-mile elevated fixed guideway rail system along Oahu's south shore between East Kapolei and Ala Moana Center. This Project is based on the Airport Alignment, which includes 21 stations. The alignment is elevated, except for a 0.5-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 (6 miles/7 stations)
 - Segment II (Kamehameha Highway) – Pearl Highlands to Aloha Stadium (4 miles/2 stations)
 - Segment III (Airport) – Aloha Stadium to Middle Street (5 miles/3 stations)
 - Segment IV (City Center) – Middle Street to Ala Moana Center (4 miles/9 stations)
- **Length:** 20 miles
- **No. of Stations:** 21
- **Additional Facilities:** Maintenance and Storage Facility (MSF) and parking facilities
- **Vehicles:** 76 vehicles
- **Ridership Forecast:** Weekday boardings – 97,500 (2019); 116,300 (2030).

1.2 Project Status

- Preliminary Engineering (PE) – The City has submitted substantial technical information related to their completion of PE activities, as identified in Appendix C (PE Status by Contract). The PMOC continues to review all items and will present disposition of its assessment on the City's definition of the project scope through drawings, specifications, narratives, third party agreements, plans for the project delivery, etc, for adequacy and completeness at the completion of PE. The PMOC has targeted for submission of its assessment of the Project Scope Review to FTA in February 2011.
- Final Environmental Impact Statement (FEIS) – The Notice of Availability was published in the Federal Register on June 25, 2010. The comment period closed August 26, 2010.
- General Engineering Consultant II (GEC) – The City has ranked Parsons Brinkerhoff as the top rated firm during procurement. Negotiations are underway, and NTP is anticipated to be issued in February 2011.
- West Oahu /Farrington Highway (WOFH) Design-Build (DB) Contract – Kiewit began installation of test and demonstration drilled shafts on October 18, 2010 under the authority of Notice to Proceed (NTP) #1C. This work is scheduled to be completed in February 2011.
- Maintenance and Storage (MSF) DB Contract – The City sent a letter to the FTA on September 30, 2010 indicating their intention to issue NTP #1 to Kiewit/Kobayashi Joint Venture by November 1, 2010 to begin preliminary design. However, the City has

subsequently indicated that NTP #1 will be issued in January 2011. The City did not receive a formal response from the contractor agreeing to extend their pricing.

- Kamehameha Highway Guideway DB Contract – Technical and price proposals were received on October 7, 2010, with prices valid until April 5, 2011. Technical and price proposal evaluations were anticipated to be completed by the City on November 10, 2010. However, the City has elected to request Best and Final Offers (BAFO) from the proposers. BAFOs are due on December 30, 2010. The City will make a selection in February 2011 with NTP.#1 anticipated to be issued on March 4, 2011. The City has indicated that they will not award this contract until after receipt of a ROD.
- Vehicles/Core Systems DBOM Contract (CSC) – The City issued a Request for BAFOs on November 4, 2010. BAFO responses are due on January 5, 2011 with selection likely to occur in January 2011. NTP #1 is anticipated to be issued in late February.
- Station Design – The City anticipates issuing an NTP to HDR/HPE, Inc. on January 3, 2011 to begin advanced PE on the Farrington Station Group. A design workshop is tentatively scheduled the week of January 17, 2011. The RFQ to begin advanced PE for the Kamehameha Station Group is expected to be released in December 2010. The Pearl Highlands Station and Transit Terminal are in the process of being repackaged as a DB contract.
- Professional Real Estate Services Consultant – The City issued RFP Part I on November 17, 2010 and responses are expected on January 7, 2011. RFP Part II is anticipated to be issued on January 21, 2011. The City is anticipating making a selection on March 3, 2011.
- Hawaii Department of Transportation (HDOT) – The City has begun procurement on HDOT's behalf for consultants to support HDOT with design review, Maintenance of Traffic (MOT) and construction inspection services. Selection of a consultant and negotiations are anticipated to be completed in December 2010 for the design review and construction inspection services. The City has begun evaluating proposals for MOT and expects the process to be concluded by the end of January 2011.
- Owner Controlled Insurance Program (OCIP) Consultant – The City anticipates issuing RFP Part I in December 2010, following completion of a peer review of the RFP documents. Selection is targeted to be complete by the 1st Quarter of 2011.
- During the November 2010 election, an amendment to the Revised Charter of the City and County of Honolulu 1972 (as amended) was approved by voters to allow for the creation of a public transit authority. The new authority will be responsible for the planning, construction, operation, maintenance, and expansion of the City's fixed guideway mass transit system. This authority, which is to be named the Honolulu Authority for Rapid Transportation (HART), will become effective on July 1, 2011. In addition, to the establishment of the new transit authority, the voters in Hawaii elected a new governor, Neil Abercrombie. Governor-elect Abercrombie has stated that he intends to approve the rail's pending environmental impact statement if the project complies with all environmental laws. The state Office of Environmental Quality Control must finish evaluating the environmental documents prior to submitting them to the governor's office. Text of the full resolution can be found at the following link:

<http://www4.honolulu.gov/docushare/dswweb/Get/Document-95397/RFS09-252,%20CD1.pdf>

(Note: Full details on the status of all contracts discussed above are provided in Appendix B.)

1.3 Technical Capacity and Capability

The table in Section 2.3 presents the status of key required management deliverables.

1.4 Schedule

- **Preliminary Engineering (PE):** FTA Approval to Enter PE on October 16, 2009
- **Record of Decision:** Publication of the FEIS occurred on June 25, 2010. The comment period closed August 26, 2010. The City submitted their disposition of all comments to the FTA on October 4, 2010.
- **Revenue Operations Date (ROD):** December 2019 (current City target)

1.5 Cost Data

The Project Budget submitted with the City's request to enter PE is as follows:

Base Cost Estimate	\$3.838 billion
Total Contingency	\$1.219 billion (31.8% of Base Cost Estimate)
Finance Charges	\$0.290 billion
Total Project Cost	\$5.348 billion

Additional project costs include the following:

Pre-PE Expenditures	\$0.082 billion
Financing Charges	\$0.103 billion (post-revenue operations)
Grand Total Project Cost	\$5.532 billion

Total Expenditures to Date \$0.125 billion (October 2010) (excludes pre-PE costs)

The City is preparing a bottoms-up cost estimate for the Project. The PMOC provided an over the shoulder review of the draft bottoms-up cost estimate with the City on November 2, 2010. The PMOC provided their opinion and verbal comments to the City during this over the shoulder review. A final bottoms-up cost estimate is then anticipated to be provided to the PMOC on December 22, 2010.

1.6 Issues or Concerns

The following key issues or concerns have been identified:

- Regarding DB procurement prior to completion of NEPA process, Federal Register, Volume 72, No. 12 dated January 19, 2007, states on Page 2590:
“The project sponsor must receive prior FTA concurrence (A) Before issuing the RFP and (B) awarding a design-build contract. Should the project sponsor proceed with any of the activities specified in this section before the completion of the NEPA process, FTA's concurrence merely constitutes FTA's acquiescence

that any such activities complies with Federal requirements and does not constitute project authorization or obligate Federal funds, unless otherwise provided by FTA.”

The City did not seek FTA concurrence prior to issuing the RFP or awarding the WOFH DB contract. In addition, the City issued RFPs for three additional DB contracts prior to completion of NEPA and without requesting FTA concurrence – MSF DB Contract, Kamehameha Highway DB Contract, and Vehicle/Core Systems DBOM Contract. The City previously indicated that they would not award any additional DB contracts prior to issuance of the ROD. However, the City sent a letter to the FTA on September 30, 2010 indicating their intention to issue NTP #1 for preliminary design under the MSF DB Contract by November 1, 2010. To date, the FTA has not provided concurrence with this approach. If the City elects to award any of the contracts and issue an initial NTP prior to completion of the NEPA process, they must ensure that it complies with the requirements identified in Federal Register, Volume 72, No. 12 dated January 19, 2007 for DB procurement.

- The City must remain cognizant of the limits of the pre-award authority granted with the receipt of ROD. The City intends to issue multiple NTPs for its DB contracts. However, as noted in a December 1, 2009 letter to the City, the FTA will consider LONPs for activities not covered by automatic pre-award authority on a case-by-case basis following issuance of the ROD.

The executed agreement for the WOFH DB Contract identifies four NTPs within 120 calendar days of the December 1, 2009 NTP #1 date. Since that requirement was not met, the City reviewed Kiewit’s schedule of milestones and the baseline schedule to determine whether there has been a schedule or a cost impact. The City sent a letter to Kiewit stating that NTPs #2, 3 and 4 would not occur until March 2011 and directing Kiewit to revise their schedule accordingly for purposes of impact assessment. The PMOC has noted to the City that this date is aggressive and untenable given the requirements that must be met prior to issuance of any LONPs.

- The current MPS (data date of October 29, 2010) indicates issuance of a ROD on December 20, 2010 and approval to enter Final Design on August 30, 2011. However, the City is developing a revised MPS. The revised MPS should reflect realistic dates for all key milestones identified in the FTA Roadmap for Final Design. The City should also accurately portray any impacts to the DB contract that has been awarded or the three DB contracts that are under procurement.

The PMOC provided an over the shoulder review of the draft MPS with the City on November 3, 2010. The PMOC provided their opinion and verbal comments to the City during this over the shoulder review. A revised baseline MPS is then anticipated to be provided to the PMOC on December 22, 2010.

- The City must execute a license agreement with the Department of Hawaiian Homelands (DHHL) to construct the MSF on the Navy Drum Site. To do so, the City first executed a

2.5 Project Cost Status

The Project Budget submitted with the City's request to enter PE is as follows:

Base Cost Estimate	\$3.838 billion
Total Contingency	\$1.219 billion (31.8% of Base Cost Estimate)
Finance Charges	\$0.290 billion
Total Project Cost	\$5.348 billion

Additional project costs include the following:

Pre-PE Expenditures	\$0.082 billion
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Grand Total Project Cost	\$5.532 billion

Total Expenditures to Date \$0.125 billion (October 2010) (excludes pre-PE costs)

The City is preparing a bottoms-up cost estimate for the Project. The PMOC provided an over the shoulder review of the draft bottoms-up cost estimate with the City on November 2, 2010. The PMOC provided their opinion and verbal comments to the City during this over the shoulder review. A final bottoms-up cost estimate is then anticipated to be provided to the PMOC on December 22, 2010.

2.5.1 Standard Cost Category (SCC)

The SCC Workbook, including Main and Inflation worksheets, is submitted as a separate electronic file. The City is in the process of preparing a detailed bottoms-up estimate. In addition, the PMOC recommends that the City perform quality assurance checks to verify scope inclusivity and escalation of SCC categories in accordance with the MPS. The cost estimate and Basis of Estimate should provide more justification and backup documentation supporting the quantification and assumptions for the "soft costs" and related General Conditions for the project.

2.5.2 Funding Sources

The following are the project capital revenue (funding) sources provided by the City during the May 2010 Progress Meeting:

General Excise Tax (GET)	\$3.698 billion
Section 5309	\$1.550 billion
Section 5307	\$0.300 billion
ARRA (Section 5307)	\$0.004 billion
Interest	\$0.011 billion
Total	\$5.563 billion

The City is hopeful that it will be able to reduce the need for Section 5307 funds through project development (i.e. refined Base Cost Estimate and revenue estimates during PE) and an aggressive bidding environment.

The GET surcharge receipts received to date are approximately \$585.3 million. Additional surcharge revenues are received approximately 30 days following the end of each quarter.

2.6 Project Risk

The PMOC completed a scope, schedule, and cost review in advance of completing a risk assessment of the Project as part of the evaluation of the Grantee's request to enter PE. A FINAL Spot Report was submitted in July 2009. The Spot Report included recommendations for cost and schedule contingency and identified key risks. However, this effort did not include development of risk management tools (e.g., Primary Mitigation Deliverables, Secondary Mitigation Activities, or a Risk and Contingency Management Plan). It is anticipated that the risk management tools will be developed in conjunction with an update of the risk assessment to support the City's request to enter Final Design.

The PMOC received the GEC Risk Register on October 27, 2010. PMOC comments on the risk register were discussed on December 7, 2010. The City anticipates submitting the GEC Risk Report to FTA/PMOC on December 23, 2010. The PMOC appreciates the City being proactive and performing its own Risk Assessment, and the PMOC will be able to utilize some of the information provided by the City. However, the PMOC will perform a thorough evaluation of all aspects of the Project technical capacity and capability, scope, schedule, and cost when preparing for the FTA Risk Assessment.

2.7 Action Items

Item No.	Item	Responsible Party	Date Identified	Date Due	Date Completed	Status
1	Schedule Safety and Security Workshop	FTA/PMOC	4-Nov-09	Mar-11		Open
2	City to coordinate meeting with PMOC and State Oversight Agency	City	Jul-10	Feb-11		Open
3	Complete Quality Audit of GFC I PE Products	City	Oct-10	Nov-10	Nov-10	Closed
4	Provide PMOC with State Oversight Agency Program Schedule	City	Oct-10	Nov-10	03-Dec-10	Closed
5	Provide Sample FTGA Roadmap	PMOC	Oct-10	Jan-11		Open
6	Provide PMOC with Real Estate Professional Services Request For Proposal Part 2	City	Oct-10	Jan-11		Open
7	Provide sample Claims Avoidance Plan	PMOC	Nov-10	Nov-10	30-Nov-10	Closed
8	Provide White Paper on approach for LONP request	City	Sept-10	Jan-11		Open
9	Confirm requirements for SSPP and SSEPP to enter Final Design	PMOC	Dec-10	Jan-11	20-Dec-10	Closed
10	Provide example of environmental reporting	PMOC	Dec-10	Jan-11		Open
11	Provide example of Risk and Contingency Management Plan	PMOC	Dec-10	Dec-10	20-Dec-10	Closed

City allowed the proposers to "refresh" their proposals. The City expects the ranking to be completed in January 2011.

To better match anticipated cost with systems needs re-packaging and segregation is in process to separate H2 ramps, station and transit terminal for the Pearl Highlands Station and Transit Terminal. The City now anticipates using a DB contract delivery method for the parking structure and H2 Ramps. The Pearl Highlands Station will be packaged with the Kamehameha Station Group and will be constructed using DBB.

The RFQ for the Kamehameha Station Group design is expected to be released in November 2010. Qualifications will be evaluated by the City for advanced PE for the Kamehameha Station Group. Rankings should be approved and negotiations to commence in the early 2011.

- Cost
 - The budget for the Farrington Station Group design contract is \$5.5 million.
- Issues or Concerns
 - None identified at this time.

Elevators and Escalators

- Scope – The City intends to issue a DB contract to furnish, install, test, and commission all elevator and escalator equipment.
- Status – The City anticipates procuring this contract in 2011. Limited PE has been completed for this package.
- Schedule – Following are the key contract dates:
 - Prepare Procurement Packages – January 2011
 - Bid-Award Elevator Packages – May 2011
 - Elevator & Escalators Construction – January 2012
- Cost – The estimated contract values will be available when the bottoms-up estimate is complete.
- Issues or Concerns
 - None identified at this time.

Appendix C: PE Status by Contract

The following table presents the status of PE activities for each major contract. The PMOC will continue to review this contract information and will present a disposition of PE completion in the "Project Scope Review" report, which is targeted for submission to FTA in February 2011.

Contract	Segment	PE Status	Notes
West Oahu Farrington Highway Guideway DB Contract	Segment I – East Kapolei to Pearl Highlands Length: 6 miles	GEC I prepared contract documents for DB procurement, including 30% plans. Advanced PE continuing by Kiewit under NTP #1, 1A, 1B & 1C. Kiewit submitted following Definitive Design Submittals: plan and profile; superstructure; utility relocation; maintenance of traffic; and roadway lighting.	
Kamehameha Highway Guideway DB Contract	Segment II – Pearl Highlands to Aloha Stadium Length: 4 miles	GEC I prepared contract documents for DB procurement, including 30% plans. Once selection occurs, contractor will advance plans to Definitive and Interim Design levels under limited NTPs.	
Airport Guideway Contract and Utilities Relocation DBB Contract	Segment III – Aloha Stadium to Middle Street Length: 5 miles	GEC I prepared 30% plans for segment. Advanced PE will be performed with City's selection of design consultant in February 2011.	
City Center Guideway & Utilities DBB Contracts	Segment IV – Middle Street to Ala Moana Center Length: 5 miles	GEC I prepared 30% plans for segment. Advanced PE will be performed with City's selection of design consultant in July 2011.	

Contract	Segment	PE Status	Notes
Maintenance & Storage Facility DB Contract	Segment I	GEC I prepared contract documents for DB procurement, including 30% plans. Once selection occurs, contractor will advance plans to Definitive and Interim Design levels under limited NTPs. The City intends to issue NTP #1 in January 2011 allowing mobilization, insurance, plans and procedures and Definitive Design.	
WOFH Station Group (3) DBB Contract	Segment I	GEC I prepared 20% plans for segment.	
Farrington Station Group (3) DBB Contract	Segment I	City will select design consultants in January 2011. GEC I prepared 20% plans for segment.	
Kamehameha Station Group (3)	Segment II	City selected HDR/HPE, Inc as the design consultant and anticipates issuing NTP on January 3, 2011 for advanced PE. GEC I prepared 20% plans for segment.	
Airport Station Group (3)	Segment III	City will select design consultants in January 2011. GEC I prepared 20% plans for segment.	
Dillingham Station Group (3)	Segment IV	City will select design consultants in May 2013. GEC I prepared 20% plans for segment.	
City Center Station Group (3)	Segment IV	City will select design consultants in April 2014. GEC I prepared 20% plans for segment.	
Kakaako Station Group (3)	Segment IV	City will select design in April 2014. GEC I prepared 20% plans for segment.	
Pearl Highland H2 Ramps and Multiple Parking Structure	Segment I	City will select design consultants in March 2014. GEC I prepared 20% plans for segment. City is repackaging to include the Pearl Highland Station in the KH Station Group and separate H2 Ramps and Multiple Parking Structure for separate contract.	

Contract	Segment	PE Status	Notes
Core Systems Contract DBOM Contract	Segment I-IV	<p>GEC I prepared contract documents for DBOM procurement, including 15-20% plans.</p> <p>Contractor will advance the conceptual drawings and performance specifications in the RFP Part 2 contract documents to the Definitive and Interim Design levels during the early portion of contract.</p> <p>Selection of a contractor is anticipated in January 2011 with NTP #1 anticipated to be issued in February 2011.</p>	<p>PMOC is of the opinion that various levels of detail, which include basic conceptual drawings with limited performance criteria, have been completed by the GEC. This information must be augmented by technical proposal from the selected contractor, which should be made available to the PMOC in January 2011.</p>

Note: PMOC continues to review contract information and will present disposition of PE completion in the "Project Scope Review" report, which is targeted for submission to FTA in February 2011.

Appendix D: Bidding Schedule

Contract	Type	RFP - DBB		RFP Part I - DB		RFP Part II - DB		LONP Request			NTP			Cont. Value (M)			
		Advert	Bid	Advert	Qual	Issue	Proposal	Exec.	Draft	Final	FTA Approve	NTP	Date		Desc.	NTP Value (M)	
West Oahu Farrington Highway (WOFH) Guideway	DB	N/A	N/A	04-Feb-09	13-Mar-09	03-Apr-09	28-Aug-09	17-Nov-09					1	01-Dec-09	PE to support to FEIS	\$48.2	\$482.9 ⁽¹⁾
													1A	11-Mar-10	Geotech	\$4.7	
													1B	23-Mar-10	Interim Design (PE)	\$21.2	
													1C	04-Jun-10	Test Shafts	\$14.0	
Kamehameha Highway Guideway (KHG)	DB	N/A	N/A	18-Nov-09	05-Jan-10	19-Mar-10	07-Oct-10 (BAFO due 20-Dec-10)						2	08-Jan-11	Utility Relocations	—	
													3	15-Mar-11	FD	—	
													4	15-Jul-11	Construction	—	
													1	05-Jan-11	PE	—	
Maintenance and Storage Facility (MSF)	DB	N/A	N/A	29-May-09	02-Jul-09	24-Jul-09	17-Feb-10						2	TBD	FD	—	\$195.0 ⁽¹⁾
													3	TBD	Construction	—	

Contract	Type	RFP - DBB		RFP Part I - DB		RFP Part II - DB		Exec.	LONP Request			NTP			Contr. Value (M)			
		Advert	Bid	Advert	Qual.	Issue	Proposal		Draft	Final	FIA Approve	NTP	Date	Desc.		NTP Value (M)		
Vehicle/Core Systems Contract (CSC)	DBO M	N/A	N/A	09-Apr-09	05-Jun-09	17-Aug-09	07-Jun-10 (BAFO due 05-Jan-11)											
Airport Utility Relocation	DBB	26-Aug-12	23-Dec-12	N/A	N/A	N/A	N/A											
Airport Guideway	DBB	19-Mar-13	16-Jul-13	N/A	N/A	N/A	N/A											
City Center Utility Relocation	DBB	20-Sep-12	17-Jan-13	N/A	N/A	N/A	N/A											
City Center Guideway & Ala Moana Station	DBB	14-Dec-13	12-Apr-14	N/A	N/A	N/A	N/A											
West Oahu Station Group (3)	DBB	09-Jun-12	06-Oct-12	N/A	N/A	N/A	N/A											
Construction DBB Contract	DBB	03-Jan-12	01-May-12	N/A	N/A	N/A	N/A											
Farrington Station Group (3)	DBB	14-Sep-15	11-Jan-16	N/A	N/A	N/A	N/A											
Pearl Highlands Parking and Ramps	DBB	06-Mar-13	03-Jul-13	N/A	N/A	N/A	N/A											
Kamehameha Station Group (2)	DBB	02-Jul-14	29-Oct-14	N/A	N/A	N/A	N/A											
Airport Station Group (3)	DBB	19-Oct-14	15-Feb-15	N/A	N/A	N/A	N/A											
Dillingham Station Group (3)	DBB																	

Contract	Type	RFP - DBB		RFP Part I - DB			RFP Part II - DB			I.ONP Request				NTP			Contr. Value (M)
		Advert	Bid	Advert	Qual.	Issue	Proposal	Exec.	Draft	Final	FTA Approve	NTP	Date	Desc.	NTP Value (M)		
City Center Station Group (3)	DBB	17-May-15	13-Sep-15	N/A	N/A	N/A	N/A		—	—	—	05-Oct-15	—	—	—		
Kakaako Station Group (3)	DBB	16-Jun-15	13-Oct-15	N/A	N/A	N/A	N/A		—	—	—	27-May-16	—	—	—		
Elevators/Escalators	DBB	28-Dec-10	22-Apr-11	N/A	N/A	N/A	N/A		—	—	—	07-Jul-11	—	—	—		
Plants and Shrubs (Owner Furnished)	DBB	10-Jan-14	10-May-14	N/A	N/A	N/A	N/A		—	—	—	10-May-14	—	—	—		
Fare Collection (Owner Furnished)	DBB	—	—	N/A	N/A	N/A	N/A		—	—	—	—	—	—	—		

† Indicates actual bid amount

Appendix E: PE Approval Letter Requirements

No.	Item	City Responsible Person	Target Completion Date	Actual Completion Date*	Comments
Project Scope, Design and Development					
1	Identify any third party agreements necessary for project completion, including utility agreements with private and public owners and military	LR/HLB	Jan-10	Jan-10	
2	Resolve the specific regarding proximity of the guideway to runways 22R/4L and 22L/4R at the Honolulu International Airport with HDOT and FAA	HLB	Apr-10	May-10	
3	Fully develop vehicle basis of design and functional sizing	JS	Jan-11		PMOC will review selected proposal to determine whether it meets operational criteria; it is anticipated review will take one month
4	Determine rail fleet size requirement	JS	Jan-11		Will be addressed in CSC DBOM proposal
5	Fully develop scope for the administration building and operations control center	JS / HLB	Mar-11		
6	Determine the final location of the maintenance and storage facility	FM	Jan-11		Will execute License Agreement after ROD
7	Finalize a contracting packaging plan which includes a source selection plan(s) and contract specific work plans	SZ	Nov-10		
8	Develop strategies to streamline the City's process to award contracts and to enter into grant agreements, especially as applicable to FTA grants	LR	TBD		Resolution provided to FTA and PMOC after City Council approval in Dec-09. Will be included on ballot in Nov-10 election.
9	Develop a preliminary operation plan	JS	Mar-10	08-Feb-10	
10	Ensure the service velocity does not erode over the next course of design changes	JS	Jan-11		Will be addressed in CSC DBOM proposal
Project Schedule					
11	Provide a baseline of the master Project Schedule (MPS) early in PE which will be used for monthly progress updates and tracking schedule variances	MH	Dec-10		Revised baseline to be submitted in Dec-10

No.	Item	City Responsible Person	Target Completion Date	Actual Completion Date*	Comments
12	Address the utilization manpower and equipment resource loading and budget and cost loading	MH	Dec-10		Revised baseline to be submitted in Dec-10; City acknowledged that schedule is cost loaded but will not be resource loaded
13	Include critical activities in the MPS: utility activities, real estate acquisitions, system integration, starting and testing, operational commissioning and training, vehicle procurement, major construction material procurement, FTA review and comment, detail activities for early construction packages	MH	Dec-10		Revised baseline to be submitted in Dec-10
14	Develop a right-of-way schedule	MH	Dec-10		Initial schedule submitted 29-Oct-09; will be revised in Dec-10
15	Modify the Work Breakdown Structure to cross over with the project budget and cost breakdown structure	MH	Jan-10	21-Dec-09	
Project Cost					
16	Develop a detailed bottoms-up-style project cost estimate to Standard Cost Category format. The estimate should be detailed sufficiently to determine distributions of materials, labor, equipment and general conditions elements at a minimum. The soft cost estimates should be based on staffing plans, force account plans, contracts and so forth rather than solely on percentages. The estimate should eliminate parametric-style values, cost estimating relationships, and lump sums as much as possible during PE	MH	Dec-10		Revised baseline to be submitted in Dec-10
17	Escalate the cost estimate in accordance with the MPS	MH	Dec-10		Pending completion of Item No. 16
18	Provide justification and backup documents to support the quantification and assumptions for the "soft costs" and related general conditions of the project	MH	Dec-10		Pending completion of Item No. 16
Technical Capacity					
19	Configuration management and change control mechanism	KG	Dec-10		
20	Develop detailed staffing plans for all remaining phases of the project to ensure adequate technical capacity. The plans should include the dates by which the City will fill each key position. All key City management positions should be filled during PE.	TH/PR	Dec-10		

No.	Item	City Responsible Person	Target Completion Date	Actual Completion Date*	Comments
21	Work with the State of Hawaii to establish a State Safety Oversight Agency office to oversee the project	KA	Apr-10	6-Apr-10	
22	Submit a fully developed Rail Fleet Management Plan	JS	Feb-11		
23	Have a quantifiable metrics for measuring the real status of work, both cost and schedule of all professional service contracts, and any inter-local agreements for participatory services	MH	Nov-10		
24	Develop a Contingency Management Plan which will identify the specific risks and implement the anticipated mitigation measures	SZ	Jan-10		
25	Develop an Environmental Mitigation Plan that identifies required environmental mitigation actions and the party responsible for the mitigation and that will eventually become the basis for quarterly mitigation monitoring and quarterly mitigation reports	JA/FM	Dec-10		Draft Environmental Mitigation Plan to be provided in Oct-10.
26	Update and implement the:				
	Real Estate Acquisition and Management Plan	JL	Dec-10		
	Bus Fleet Management Plan	PK	Dec-10		PMOC provided review comments in Aug-10
	Safety and Security Management Plan	KA	Dec-10		
	Quality Management Plan	AB	Dec-10		

*Note: Actual Date to be added only upon verification of satisfactory completion by FTA and/or PMOC.

Appendix F: Project Overview and Map (Transmitted as a separate file)

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



PMOC MONTHLY REPORT

Honolulu High-Capacity Transit Corridor Project
City and County of Honolulu
Honolulu, HI

January 2011 (FINAL)

PMOC Contract Number: DTFT60-09-D-00012
Task Order No. 2: Honolulu High-Capacity Corridor Project
Project No: DC-27-5140
Work Order No. 1
OPs Referenced: OP 1 and 25

Jacobs Engineering Group, Inc., 501 North Broadway, St. Louis, MO 63102
Tim Mantych, P.E., (314) 335-4454, tim.mantych@jacobs.com
Length of Time Assigned: Five Years (November 18, 2009 through November 17, 2014)

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- Appendix F: Project Overview and Map (Transmitted as a separate file)
- Appendix G: Safety and Security Checklist (Transmitted as a separate file)

1.0 EXECUTIVE SUMMARY

1.1 Project Description

- **General Description:** The Project is an approximate 20-mile elevated fixed guideway rail system along Oahu's south shore between East Kapolei and Ala Moana Center. This Project is based on the Airport Alignment, which includes 21 stations. The alignment is elevated, except for a 0.5-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 (6 miles/7 stations)
 - Segment II (Kamehameha Highway) – Pearl Highlands to Aloha Stadium (4 miles/2 stations)
 - Segment III (Airport) – Aloha Stadium to Middle Street (5 miles/3 stations)
 - Segment IV (City Center) – Middle Street to Ala Moana Center (4 miles/9 stations)
- **Length:** 20 miles
- **No. of Stations:** 21
- **Additional Facilities:** Maintenance and Storage Facility (MSF) and parking facilities
- **Vehicles:** 76 vehicles
- **Ridership Forecast:** Weekday boardings – 97,500 (2019); 116,300 (2030).

1.2 Project Status

- Preliminary Engineering (PE) – The City has submitted substantial technical information related to their completion of PE activities, as identified in Appendix C (PE Status by Contract). The PMOC continues to review all items to determine the disposition of its assessment on the City's definition of the project scope through drawings, specifications, narratives, third party agreements, plans for the project delivery, etc, for adequacy and completeness at the completion of PE. The PMOC submitted a WORKING DRAFT of the Project Scope Review to FTA in January 2011.
- Final Environmental Impact Statement (FEIS) – The Notice of Availability was published in the Federal Register on June 25, 2010. The comment period closed August 26, 2010. The Record of Decision was issued on January 18, 2011.
- Program Management Consultant (PMC) - The PMC is negotiating Amendment #1 for additional staffing that the City was unable to fill through direct hiring.
- General Engineering Consultant II (GEC) – The City has ranked Parsons Brinkerhoff as the top rated firm during procurement. Negotiations are underway, and NTP is anticipated to be issued in February 2011.
- West Oahu /Farrington Highway (WOFH) Design-Build (DB) Contract – Kiewit began installation of test and demonstration drilled shafts on October 18, 2010 under the authority of Notice to Proceed (NTP) #1C. This work is scheduled to be completed in February 2011. Geotechnical investigation activities are anticipated to be completed in May 2011. The City is in the process of issuing NTP #1D to cover administrative costs and bonds through June 2011. The WOFH DB Contract will utilize an existing facility to

fabricate precast and prestressed concrete guideway elements. However, work associated with the precast facility cannot begin unless a Letter of No Prejudice (LONP) is issued by FTA for limited construction activity. A LONP will trigger issuance of a limited NTP #4 for construction activity by the City.

- Maintenance and Storage (MSF) DB Contract – The City issued a letter of intent to award the MSF contract to Kiewit/Kobayashi Joint Venture on June 24, 2010 in the amount of \$195 million. The price proposal expired on August 16, 2010, but the City sent a letter to Kiewit/Kobayashi requesting an extension of their pricing until March 15, 2011. The City did not receive a formal response from the contractor agreeing to extend their pricing. The City has indicated that NTP #1 will be issued in February 2011. The City anticipates that Kiewit/Kobayashi will submit a change order for material cost escalation since their price was only valid for 180 days from receipt, which occurred on February 17, 2010. In the FINAL DRAFT Risk Assessment Report provided by the City on January 5, 2011, a \$1 million adjustment was made to the Base Cost Estimate for the for material escalation associated with this contract. The City intends to negotiate a change order after issuing NTP #1. However, the PMOC recommended that the City negotiate this change order prior to issuing NTP #1, which is anticipated to be issued by the City in late February 2011.
- Kamehameha Highway Guideway DB Contract – Technical and price proposals were received on October 7, 2010, with prices valid until April 5, 2011. Technical and price proposal evaluations were anticipated to be completed by the City on November 10, 2010. However, the City elected to request Best and Final Offers (BAFO) from the proposers. BAFOs were received on December 30, 2010. The City will make a selection by the end of January 2011 with NTP #1 anticipated to be issued on March 4, 2011.
- Vehicles/Core Systems DBOM Contract (CSC) – The City issued a Request for BAFOs on November 4, 2010. BAFO responses are due on January 18, 2011 with selection likely to occur in February 2011. NTP #1 is anticipated to be issued in March 2011.
- Station Design –
 - The City selected HDR/HPE, Inc. for the Farrington Station Group Design Contract. It is anticipated that NTP #1A will be issued January 2011 to begin preparing the Schedule of Milestones. NTP #1B will then be issued in February to begin advanced PE.
 - The RFQ to begin advanced PE for the Kamehameha Station Group Design Contract is expected to be released in February 2011.
 - The RFQ for the West Oahu Station Group was released January 13, 2010, with responses received on February 17, 2010. Due to the length of time that had elapsed between submittal of proposals and the potential date for selection (November 2010), the City allowed the proposers to “refresh” their proposals. The City expects the ranking to be completed in January 2011.
- Airport Guideway Segment Design Contract – The RFQ for design services is anticipated to be released in January 2011 with responses due by in February 2011. The City anticipates issuing NTP in June 2011.
- Professional Real Estate Services Consultant – The City issued RFP Part I on November 17, 2010 and responses are expected on January 31, 2011. RFP Part II is anticipated to be issued in February 2011. The City anticipates a selection in April 2011.

- Hawaii Department of Transportation (HDOT) – The City has begun procurement on HDOT’s behalf for consultants to support HDOT with design review, Maintenance of Traffic (MOT) and construction inspection services. Selection of a consultant and negotiations are anticipated to be completed in December 2010 for the design review and construction inspection services. The City has begun evaluating proposals for MOT and expects the process to be concluded in January 2011 with an NTP anticipated in February 2011.
- Owner Controlled Insurance Program (OCIP) Consultant – The City anticipates issuing RFP Part I in February 2011, following completion of a peer review of the RFP documents. RFP Part II is anticipated to be issued in March 2011. Selection is targeted to be completed in April 2011, and NTP issued in May 2011.
- During the November 2010 election, an amendment to the Revised Charter of the City and County of Honolulu 1972 (as amended) was approved by voters to allow for the creation of a public transit authority. The new authority will be responsible for the planning, construction, operation, maintenance, and expansion of the City’s fixed guideway mass transit system. This authority, which is to be named the Honolulu Authority for Rapid Transportation (HART), will become effective on July 1, 2011. In addition, to the establishment of the new transit authority, the voters in Hawaii elected a new governor, Neil Abercrombie. Governor-elect Abercrombie has stated that he intends to approve the rail's pending environmental impact statement if the project complies with all environmental laws. The state Office of Environmental Quality Control must finish evaluating the environmental documents prior to submitting them to the governor's office. Text of the full resolution can be found at the following link:

<http://www4.honolulu.gov/docushare/dsweb/Get/Document-95397/RES09-252.%20CD1.pdf>

(Note: Full details on the status of all contracts discussed above are provided in Appendix B.)

1.3 Technical Capacity and Capability

The table in Section 2.3 presents the status of key required management deliverables.

1.4 Schedule

- **Preliminary Engineering (PE):** FTA approved entrance into PE on October 16, 2009
- **Record of Decision:** Publication of the FEIS occurred on June 25, 2010. The comment period closed August 26, 2010. The City submitted their disposition of all comments to the FTA on October 4, 2010. The Record of Decision was issued on January 18, 2011.
- **Revenue Operations Date (ROD):** December 2019 (current City target)

1.5 Cost Data

The Project Budget submitted with the City's request to enter PE is as follows:

Base Cost Estimate	\$3.838 billion
Total Contingency	\$1.219 billion (31.8% of Base Cost Estimate)
Finance Charges	\$0.290 billion
Total Project Cost	\$5.348 billion

Additional project costs include the following:

Pre-PE Expenditures	\$0.082 billion
Financing Charges	\$0.103 billion (post-revenue operations)
Grand Total Project Cost	\$5.532 billion

Total Expenditures to Date \$0.132 billion (November 2010) (excludes pre-PE costs)

The PMOC provided an over the shoulder review of a draft bottoms-up cost estimate with the City on November 2, 2010 during which the PMOC provided their opinion and verbal comments to the City. A bottoms-up cost estimate was provided to the PMOC on January 5, 2011. However, after further discussions during the January 2011 Monthly Meeting, the City has determined that they will include the actual bid amounts for the Kamehameha Highway Guideway DB Contract and Core Systems DBOM Contract upon receipt of those bids. A revised bottoms-up cost estimate will be provided in February 2011.

1.6 Issues or Concerns

The following key issues or concerns have been identified:

- The City must remain cognizant of the limits of the pre-award authority granted with the receipt of ROD. The City intends to issue multiple NTPs for its DB contracts. However, as noted in a December 1, 2009 letter to the City, the FTA will consider LONPs for activities not covered by automatic pre-award authority on a case-by-case basis following issuance of the ROD.

The City submitted a White Paper to the FTA on January 6, 2011 regarding an approach they would like to consider for LONPs. This approach will be refined as the City continues preparations of their request to enter Final Design.

- The PMOC performed an over the shoulder review of the draft Master Program Schedule (MPS) on November 3, 2010 during which the PMOC provided their opinion and verbal comments to the City. The City submitted a revised MPS on January 7, 2010. The revised MPS (data date of December 31, 2010) and Basis of Schedule are currently being reviewed by the PMOC. This updated MPS indicates approval to enter Final Design on August 16, 2011, which is possible if the City meets the submittal dates for all outstanding items in the Final Design Roadmap.

- The City must execute a license agreement with the Department of Hawaiian Homelands (DHHL) to construct the MSF on the Navy Drum Site. To do so, the City first executed a Memorandum of Agreement (MOA) in March 2010. The License Agreement can now be executed since the ROD has been issued. The City has stated that it is not aware of any issues from the DHHL, that the Navy has cleaned the site, and that there are no limitations on the proposed use of the site. If any hazardous materials are found during construction, the DHHL is required to clean the site per the agreements. The PMOC has recommended that the License Agreement be provided to the FTA and PMOC for review prior to execution.
- The System Safety and Security Program Standards (SSPPS) is an important part of HDOT's comprehensive safety and security assessment. Each of the rail fixed guideway systems covered under this Program (currently the Honolulu High Capacity Transit Corridor Project) is required to develop a System Safety Program Plan and System Security Program Plan that formalizes the safety and security duties and responsibilities of the transit organization and ensures a process for identifying and correcting safety and security hazards. The City will be assisting the State Oversight Agency (SOA) with procuring a consultant to develop the SSPPS in early 2011. It is the PMOC's professional opinion that the schedule to procure a consultant and for the consultant to develop the SSPPS could take up to a year. It is critical for the City and the SOA to begin the process immediately. The PMOC received a copy of the SOA's draft program schedule on December 3, 2010. Since a new governor took office on December 6, 2010 the City has indicated that there will be a new Director of Transportation for HDOT appointed, and he/she will select a new SOA lead in early 2011. The draft program schedule was based on the outgoing SOA and the dates specified seem aggressive and untenable. It is the PMOC's professional opinion that a revised program schedule will need to be updated once the new SOA takes over the responsibilities for establishing the SSPPS.
- The City performed a Quality Audit of the GEC I PE products from November 17 -19, 2010. The City's QA Manager issued the results of the QA Audit to the General Manager and GEC I on December 2, 2010. The QA audit resulted into one Non-Conformance Report (NCR) for Design Control Procedures and three observations for Document Control/QA Records, Computer Program Verification and Certifications and Non-Conformances. The GEC responded to the report on December 10, 2010 and the RTD is in the process of reviewing and verifying corrective and preventive actions.

2.0 BODY OF REPORT

2.1 Grantee's Capabilities and Approach

2.1.1 Technical Capacity and Capability

The PMOC had previously identified "capacity" issues as key City and Project Management Consultant (PMC) positions remained vacant or vacated due to retention challenges stemming from the project's geographic location and other related issues. The PE Entry Readiness Report identified the following key positions that the City needed to focus on filling prior to ROD:

- Chief Project Officer – filled by PMC
- Manager of Quality Assurance – filled by PMC
- Manager of Safety and Security – filled by PMC
- Manager of Real Estate – filled by City
- Chief Project Controls – filled by PMC
- Contracts Administrator – filled by City

Some of the key positions have been filled by the PMC due to retention challenges stemming from the project's geographic location, limited salary structure, or lack of qualified candidates. Although there is no set timetable for replacing the PMC with City staff, the City has developed a Staffing Plan and has begun to advertise city positions currently filled by the PMC. The need for PMC staff will diminish as the City fills key management positions. Until such time, it will be necessary for the City to continue supplementing its staff with PMC staff. It is the PMOC's professional opinion that a five-year timetable from the approval to enter PE in October 2009 is needed to provide enough lead time to perform the recruitment, selection and training for replacing the PMC with City staff. The PMOC believes that the resource demands associated with the PE and Final Design phases of a \$5 billion project require full time and concentrated attention and continuity within the Grantee's organization for smooth transition into future phases.

The City has made an improvement in hiring additional staff needed for the project since the PE Entry Readiness Report. However, more work is needed to accomplish the required staffing levels anticipated by the City. The City has 128 positions budgeted for FY 2012, including all current positions. Of the 128 positions budgeted, the City has currently filled 35 full time positions with another 18 full time positions are to be filled by February 2011. It is expected that the transition from current to proposed staff size and composition would occur over the years of 2011 to 2013. It is anticipated that the 2013 staffing pattern would remain applicable for several years thereafter. The PMC currently has filled 25 positions and they are in the process of negotiating Amendment #1 for additional PMC staffing hired for critical positions the City was unable to fill. The critical positions that have been filled or are to be filled by the PMC are as follows:

- Senior Cost Analyst
- Assistant Project Officer Utility, Agency & Permit Coordination
- Manager of Rail Communications
- Deputy Director of Project Finance

City positions remain vacant or vacated due to retention challenges stemming from the project's geographic location and other related issues. The City has developed a Staffing Plan and has begun to advertise city positions currently filled by the PMC.

The City is actively recruiting the following staff (target start date in parentheses):

- Two Mechanical Engineer III (1st Quarter 2011)
- Utilities Engineer (1st Quarter 2011)
- Contract Change Specialist (1st Quarter 2011)
- Two Civil Engineer III (1st Quarter 2011)
- Electrical Engineer IV (1st Quarter 2011)
- Civil Engineer VI (1st Quarter 2011)
- Financial Planner (1st Quarter 2011)
- Data Processing System Analyst (1st Quarter 2011)
- Information Technology Technician (1st Quarter 2011)
- Labor relations Specialist (1st Quarter 2011)
- Secretary II (1st Quarter 2011)
- Senior Clerk (1st Quarter 2011)
- Deputy Project Officer (1st Quarter 2011)

The City has recently added the following staff (start date in parentheses):

- Records Management Analyst II (December 2010)
- Asset Manager (December 2010)
- Electrical Engineer IV (December 2010)
- Civil Engineer VI "Senior Structural" (December 2010)
- Civil Engineer III "Maintenance and Storage Facility" (December 2010)

The PMC has recently added the following staff (start date in parentheses):

- Senior Cost Analyst (January 2011)
- Transit Arts Coordinator (January 2011)
- Interim Utility Coordinator (January 2011)

The City also issued an RFP for Real Estate Professional Services on November 17, 2010 and selection is anticipated by April 2011, which will enhance the Technical Capacity and Capability of the Manager of Real Estate.

The PMOC began a Technical Capacity and Capability (TCC) review of the project staff on January 12, 2011. The following personnel were interviewed:

- Deputy Project Officer Controls & Administration – Frank Doyle (City)
- Assistant Project Officer Design-Build Contracts – Lorenzo Garrido (PMC)
- Assistant Project Officer Facilities – In-Tae Lee (City)
- Safety and Security Manager – Kahlil Allen (PMC)
- Quality Manager – Alberto Bonifacio (PMC)
- Manager of Rail Communications – Jeannie Mariani-Belding (PMC)

The PMOC identified three other positions that will also require interviews as part of the TCC review. These interviews will be completed via phone or during the PMOC's site visit in February 2011.

- Assistant Project Officer Design-Bid-Build Contracts – Richard Torres (City)
- Assistant Project Officer Utility, Agency & Permit Coordination – Vicki Barron-Sumann (PMC)
- Deputy Director of Project Finance – TBD

The PMOC requested clarification on the status of filling the Deputy Director of Project Finance position mentioned above. The PMOC also provided a list of additional personnel identified in PMP Revision 4 Organization Chart that the PMOC would like resumes for from the City, the PMC, and the GEC to complete its TCC review for FD.

It is the PMOC's professional opinion that the Project organization, staffing, and management approach provides the technical capability to support the City's initial implementation of the project during PE. However, the PMOC has recommended that the City identify additional key positions (other than those identified in the PE Entry Readiness Report and listed above) that should be filled by City employees. The City has identified the Senior Cost Controls Analyst, Project Labor Agreement Specialist and Procurement Specialists as critical positions that need to be filled by the City. The City feels confident that they can fill these critical positions. However, if they have problems filling these critical positions, the PMC will be asked to fill them. These positions should be identified in the Staffing Plan and should be a priority for recruitment.

2.1.2 Transit Authority

During the November 2010 election, an amendment to the Revised Charter of the City and County of Honolulu 1972 (as amended) was approved by voters to allow for the creation of a public transit authority. The new authority will be responsible for the planning, construction, operation, maintenance, and expansion of the City's fixed guideway mass transit system. This authority, which is to be named the Honolulu Authority for Rapid Transportation (HART), will become effective on July 1, 2011. As a result of the election, the City has begun taking measures to fill the positions necessary to not only implement this Project but establish a new transit authority. The City has indicated that the next update of the PMP, which is anticipated to be submitted for review in December 2010, will support their request to enter Final Design but will only address the new transit authority in general terms. They will require additional time to fully vet the impacts of a new authority on their staff and their management approach. It is anticipated that an update to the PMP will be submitted after July 1, 2011 that will address the new transit authority in detail. Text of the full resolution can be found at the following link:

<http://www4.honolulu.gov/docushare/dsweb/Get/Document-95397/RES09-252.%20CD1.pdf>

2.1.3 Project Office

The City reached an agreement for a 10-year lease on the 23rd floor of their building on December 1, 2010, which will provide for an additional 17,000 square feet of office space. The City, PMC, and a portion of the GEC staff will continue to be co-located and will utilize the

additional office space. Some project staff moved into this new office space in early January 2011. The 23rd floor only provides enough space for approximately 65 personnel. It is the PMOC's professional opinion that the additional floor will provide sufficient space too effectively and efficiently progress the project during the advanced PE and Final Design phases of the project. However, additional office space may be needed as the project advances into full construction and start-up due to the staffing expectations for the project.

2.1.4 Project Controls for Scope, Quality, Schedule, Cost, Risk and Safety

System Safety and Security

- The State of Hawaii has established Executive Order No. 10-05 effective April 6, 2010, designating the State Department of Transportation (HDOT) as the State of Hawaii Rail Fixed Guideway Oversight Agency.
- Revision 2.0 of the Safety and Security Management Plan (SSMP) and Revision 0 of the Safety and Security Certification Plan (SSCP) were submitted to the PMOC for review on April 5, 2010. The PMOC reviewed and provided comments to the City on April 28, 2010. A conference call was held with the City on May 14, 2010 to provide them with further clarification to the PMOC's comments provided. The intent of the PMOC comments was to assist the City with updating the documents prior to Final Design. An update of the SSMP and SSCP is anticipated in January and February 2011, respectively.
- The PMOC intends to hold a safety and security workshop that could include representatives from FTA Region IX, FTA Headquarters, and HDOT. The tentative timeframe for the workshop is spring 2011.
- The System Safety and Security Program Standards (SSPPS) is an important part of HDOT's comprehensive safety and security assessment. Each of the rail fixed guideway systems covered under this Program (currently the Honolulu High Capacity Transit Corridor Project) is required to develop a System Safety Program Plan and System Security Program Plan that formalizes the safety and security duties and responsibilities of the transit organization and ensures a process for identifying and correcting safety and security hazards. The City will be assisting the State Oversight Agency (SOA) with procuring a consultant to develop the SSPPS in early 2011. It is the PMOC's professional opinion that the schedule to procure a consultant and for the consultant to develop the SSPPS could take up to a year. It is critical for the City and the SOA to begin the process immediately. The PMOC received a copy of the SOA's draft program schedule on December 3, 2010. Since a new governor took office on December 6, 2010 the City has indicated that there will be a new Director of Transportation for HDOT appointed and he/she will select a new SOA lead in early 2011. The draft program schedule was based on the outgoing SOA and the dates specified seem aggressive and untenable. It is the PMOC's professional opinion that a revised program schedule will need to be updated once the new SOA takes over the responsibilities for establishing the SSPPS.

Quality

- The City performed a Quality Audit of the GEC I PE products from November 17-19, 2010. The City's QA Manager issued the results of the QA Audit to the General Manager and GEC I on December 2, 2010. The QA audit resulted into one Non-Conformance Report (NCR) for Design Control Procedures and three observations for Document Control/QA Records, Computer Program Verification and Certifications and Non-Conformances. The GEC I consultant has performed a majority of the early PE design for the DB, DBOM and DBB contracts that the City has issued for bid or are in the process of issuing for bid. The PMOC had strongly recommended that the project Quality Assurance Manager perform a Quality Audit before the City issues NTP for the GEC II contract to identify any potential issues. The GEC responded to the report on December 10, 2010, and the RTD is in the process of reviewing and verifying corrective and preventive actions.

2.1.5 Compliance with Applicable Statutes, Regulations, Guidance and FTA Agreements

National Environmental Policy Act (NEPA)

- The Notice of Availability of the Final Environmental Impact Statement (FEIS) was published in the Federal Register on June 25, 2010. The comment period was extended to August 26, 2010.
- The ROD was issued on January 18, 2011.
- The WOFH Segment DB Contract will utilize an existing facility for precasting and prestressing the concrete guideway segments. The casting facility, located in Campbell Industrial Park, is approximately 27 acres and is in close proximity to the WOFH project. GPRM Prestress is a certified plant under the PCI (Precast/Prestressed Concrete Institute) Certification Program.

Letters of No Prejudice (LONP)

- In a December 1, 2009 letter to the City, the FTA clarified its policies and procedures related to LONPs. The letter states, "After completion of NEPA, FTA will consider LONPs for activities not covered by automatic pre-award authority on a case by case basis. Absent of pre-award authority or an LONP, no project cost can be incurred and be eligible for reimbursement or as local matching for any portion of the entire 20 mile alignment." The City submitted a White Paper to FTA on January 6, 2011 regarding an approach they would like to consider for LONPs. This approach will be refined as the City continues preparations of their request to enter Final Design.

The most critical LONP will be for the WOFH DB Project. The City anticipates Kiewit will complete all work authorized under NTP #1, 1A, 1B & 1C in March 2011. The City can now issue NTP #2 for utility relocations since the ROD was issued. However, Kiewit's approved schedule indicates construction starting in the fall of 2010. This did not occur. Based on the LONP checklist the City will need an updated cost estimate, updated schedule, Risk Assessment, Risk and Contingency Management Plan, and Financial Management Plan before an LONP could be considered by the FTA. The FTA will consider LONPs for activities not covered by automatic pre-award authority on a case-by-case basis following completion of the NEPA process.

2.2 Project Scope

The Project is a 20-mile fixed guideway rail system along Oahu's south shore between East Kapolei and Ala Moana Center. This Project is based on the Airport Alignment, which currently includes 21 stations. The alignment is elevated, except for a 0.5-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 (6 miles/7 stations)
- Segment II (Kamehameha Highway) – Pearl Highlands to Aloha Stadium (4 miles/2 stations)
- Segment III (Airport) – Aloha Stadium to Middle Street (5 miles/3 stations)
- Segment IV (City Center) – Middle Street to Ala Moana Center (4 miles/9 stations)

The alignment will average a total of 97,500 weekday boardings at the Revenue Operations Date in the year 2019 and 116,300 weekday boardings in the year 2030. It will provide two significant areas with potential for Transit Oriented Development, one near the Airport and one in the surrounding industrial areas. It is anticipated that the initial fleet will include 76 "light metro" rail vehicles.

2.2.1 Status of Design/Construction Documents

The City has submitted substantial technical information related to their completion of PE activities, as identified in Appendix C (PE Status by Contract). The PMOC has reviewed all items and presented their disposition of the definition of the scope of the project through PE in the "Project Scope Review" report, which was submitted as a WORKING DRAFT in January 2011. This report will be updated upon receipt of the proposals from the selected contractors for the Kamehameha Highway DB Contract and CSC DBOM, which will be available in February 2011.

The City held a Value Engineering Workshop the week of April 19-23, 2010, which the PMOC attended as an observer. The focus of the workshop was originally to include the Airport Segment Guideway and Utilities, City Center Segment Guideway and Utilities, and station packages. However, the City has subsequently determined that the workshop will only focus on the station packages. The objective of the VE workshop was to provide value engineering for six stations along the alignment – West Loch, Pearl Highlands, Aloha Stadium, Kalihi, Downtown, and Ala Moana Stations, representing elevated stations with and without concourses, direct access stations, and unique stations. As part of VE, the team was expected to consider not just ways of cutting costs, but also ways to reduce project risks, enhance operations, and bring to light any improvement opportunities that may exist.

Through the DB procurement, the City allows for submittal of Alternate Technical Concepts for the contractors, which satisfies the Value Engineering requirement during PE.

The City has indicated that they will hold a VE Workshop for the Airport and City Center Guideway and Utility Relocation packages in April 2011. Although, the PMOC will have completed the Project Scope Review in February 2011, a caveat will be included in the PMOC Final Design Readiness Report that the City should incorporate any VE recommendations from the April 2011 VE workshop during FD.

The final VE Report for Stations and the Alternative Technical Concepts (ATC) Report from the DB proposals were provided to the PMOC in October 2010. This included a list of the VE recommendations that the City intends to implement. The PMOC has reviewed the final VE report to ensure that the purpose and objectives were met, the findings were adequately summarized, and an action plan was developed. The table below presents the summary of VE results provided by the City.

Source	No. of Proposals Received	Estimated Value (M)	No. of Proposals Accepted	Estimated Value (M)
VE Workshop for Stations	30	\$318.5	26	\$104.1
ATC Proposals – WOFH DB Contract	29	\$85.4	13	\$60.5
ATC Proposals – KH DB Contract	16	\$29.0	7	\$18.3
ATC Proposals – MSF DB Contract	11	\$16.1	5	\$2.7
ATC Proposals – CSC DBOM Contract	41	\$35.6	15	\$15.5
TOTAL	127	\$484.6	66	\$201.1

2.2.2 Status of Third-Party Agreements

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

Agreement	Completion Date	Segment/Contract	Status
University of Hawaii Master Agreement	Pending	I, II	UH Reviewing
Leeward Community College Sub-agreement	Pending	I	UH Reviewing
Department of Education Master Agreement (Waipahu High School)	Pending	I	Awaiting City Council approval.
Department of Education Consent to Construct	Pending	I	DOE Reviewing
DHHL Master Agreement (Drum Site)	10-Mar-10	I/MSF	Executed
Department of Land and Natural Resources Executive Order Request for WOFH	Pending	I	Request sent to DLNR but agency will not review until after ROD
Department of Land and Natural Resources Consent to Construct for WOFH	Pending	I	Request sent to DLNR but agency will not review until after ROD
Easement Request for Navy Property	Pending	MSF	Navy is processing request
HDOT Master Agreement – Segment I	Pending	I	Joint Use and occupancy agreement can now be executed since ROD has been issued.
Department of Hawaiian Homelands (DHHL) License Agreement	Pending	I/MSF	Under review by DHHL

The following table provides a summary and status of the Utilities Engineering Services Agreements for the Project:

Utility	West Oahu/Barrington Highway DB Contract	Kamehameha Highway DB Contract
AT&T Corporation	Purchasing waiting for outstanding certificates from utility	Engineering cost requested
Chevron Products Company	Complete	Engineering cost requested
Hawaiian Telecom, Inc.	Complete	Engineering cost requested
Hawaiian Electric Company, Inc	Compensation through agreement with GEC	Cost Received from utility
Oceanic Time Warner Cable	Complete	Engineering cost requested
Pacific LightNet Inc.	Complete	Engineering cost requested
Sandwich Isle Communications Inc.	Complete	Engineering cost requested
The Gas Company	Complete	Cost Received from utility
TW Telecom	Complete	Cost Received from utility
Tesoro Hawaiian Corporation	Request cancelled since utility has no impacts on this contract	Engineering cost requested

2.2.3 Delivery Method

Appendix B provides the status of the various design and construction contracts associated with this Project. The following is a list of contracts, delivery methods and contract packages anticipated for the project (number in parentheses indicates number of anticipated contracts if more than one):

- Professional Services
 - Project Management Consultant (PMC)
 - General Engineering Consultant (GEC)
 - Legal Services
 - Leadership in Energy and Environmental Design (LEED) Commissioning
 - Insurance Consulting for Owner Controlled Insurance Program
 - Drilled Shaft Load Testing
 - Real estate support consultant
- Design and Construction Services
 - Guideway & Utilities Design (2)
 - Stations Design (7)
 - Design-bid-build (DBB) Construction Engineering Inspection (5-7)
- Construction and Procurement Contracts
 - 3 Design-Build Contracts – Guideway (2) and MSF
 - Design-Bid-Build Contracts
 - Stations (7)
 - Utility Relocation (2)
 - Guideway Construction (2)
 - System-wide Landscaping
 - Vehicle/Core Systems Design-Build-Operate-Maintain (DBOM)
 - Elevator/Escalator

In accordance with the Contract Packaging Plan developed by the City, construction of the project guideway is to be implemented in four segments. A summary of the Contract Packaging Plan for PE is currently included in the PMP as the project delivery approach for the Project. The method of delivery for the four guideway segments is as follows:

- Segment I – East Kapolei to Pearl Highlands – DB
- Segment II – Pearl Highlands to Aloha Stadium – DB
- Segment III – Aloha Stadium to Middle Street Station – DBB
- Segment IV – Middle Street Station to Ala Moana Center – DBB

The DB approach is being planned to advance the project schedule in order to minimize escalation costs and start construction of the initial portion of the project while the remainder of the project proceeds through the DBB process. Work on these early contracts (Segments I & II, Maintenance and Storage Facility and Core Systems) is planned to be initiated after the ROD but ahead of the FFGA, utilizing excise tax funding. However, as noted above, any design activities beyond PE or construction activities not covered by automatic pre-award authority would require an LONP, which would be considered on a case-by-case basis.

2.2.4 Vehicle Status

Vehicle procurement is included in the Core Systems DBOM Contract, the status of which is discussed in Appendix B.

The current assumptions for the vehicles include a total active rail car fleet of 76 “light metro” railcars. The railcar being proposed is an automated light metro car, similar to railcars currently in operation in Vancouver, Copenhagen, and Oslo, but not in the United States. The railcar would have three doors per side and a length of approximately 60 feet. Vehicles could run in two-, three-, or four-railcar trains. Following is a summary of the anticipated vehicle characteristics (subject to change based on proposals that will be received from DBOM contractors):

- 76 light metro vehicles (identified as heavy rail in SCC workbook)
- Standard gauge, steel wheel on steel rail
- Fully automated, manual operation possible (hostler panel)
- Nominal vehicle dimensions:
 - Length: 60 feet
 - Width: 10 feet
 - Height: Up to 13.3 feet
 - Floor Height: 3.77 feet above top of rail (at entry)
- Nominal Passenger Capacity: 190 per vehicle (AW2 load)
- Electric traction via third rail, nominal 750V direct current supply, all axles powered
- Semi-permanently coupled, bi-directional trainsets
- Wide gangways between end and middle cars
- 2 to 3 double passenger plug doors per side (per car)
- Manual crew doors with steps
- Dynamic / regenerative braking
- Alternating current propulsion
- 30+ year design life

2.3 Project Management Plan and Sub-Plans

The following table presents the status of each City-provided management deliverable. The “Date of Current Revision” column indicate management deliverables that have been prepared prior to or during PE per the requirement of the PE approval letter. The “Anticipated Date for Next DRAFT Submission” indicates the target date for submission of a DRAFT update of each deliverable to the PMOC for review. The “Anticipated Date for Final Document to Support FD Request” indicates the target date for submission of a final document, with no additional changes expected prior to approval to enter Final Design.

Management Deliverable	Current Revision No.	Date of Current Revision	Anticipated Date for Next DRAFT Submission	Anticipated Date for Final Document to Support FD Request	Notes
Project Management Plan (PMP)	4	10-Dec-10	15-Mar-11	Mar-11	PMOC is reviewing and preparing comments
Quality Management Plan (QMP)	0	01-Jan-11	N/A	N/A	Document finalized
Real Estate Acquisition and Management Plan (RAMP)	4	21-Dec-10	N/A	Feb-11	PMOC is reviewing and preparing comments
Bus Fleet Management Plan (BFMP)	0	Jun-10	N/A	Jan-11	Review comments for Rev 0 provided in Aug-10
Rail Fleet Management Plan (RFMP)	0	Apr-09	Feb-11	Mar-11	Update will be based on information from Core Systems Contractor
Safety and Security Management Plan (SSMP)	2	01-Apr-10	11-Jan-11	Feb-11	Review comments for Rev 2 provided 28-Apr-10
Safety and Security Certification Plan (SSCP)	0	Feb-10	18-Feb-11	Mar-10	Review comments for Rev 0 provided 28-Apr-10
Configuration Management Plan (CMP)	0	23-Dec-10	N/A	N/A	Document finalized

2.4 Project Schedule Status

The PMOC provided an over the shoulder review of the draft Master Program Schedule (MPS) with the City on November 3, 2010, during which the PMOC provided their opinion and verbal comments to the City. The City submitted a revised MPS on January 7, 2010. The revised MPS (data date of December 31, 2010) and Basis of Schedule are currently being reviewed by the PMOC. This updated MPS indicates approval to enter Final Design on August 16, 2011, which is possible if the City meets the submittal dates for all outstanding items in the Final Design Roadmap.

A major re-planning of the project schedule included the reduction from six (6) phased openings to three (3). The proposed revised opening dates are as follows:

- Target opening for West Oahu/Farrington/Kamehameha Sections – November 2015
- Target opening for Airport Section – October 2017

- Target opening for City Center Section (Full Revenue Service) – February 2019

The table below provides a comparison of key milestone dates at the start of PE and in the current MPS.

Activity ID	Delivery Method	Milestone Description	Finish Date		Variance (Days)
			PE Entry Baseline	MPS (Data Date 31-Dec-10)	
D250	N/A	FTA Approve Entry into Final Design	10-Aug-10	16-Aug-11	(371)
F270	N/A	FTA Award Full Funding Grant Agreement	11-Sep-10	6-Sep-12	(726)
I997	DB	Open Waipahu to Leeward Section	14-Dec-12	N/A*	N/A*
M999	DB	MSF Complete	01-Oct-13	16-Sep-14	(350)
I998	DB	Open East Kapolei to Leeward CC Section	31-Jul-14	N/A*	N/A*
I999	DB	Open Leeward CC – Pearl Highlands Section	27-Apr-15	N/A*	N/A*
J999	DB	Open Kamehameha Section	14-Sep-16	16-Nov-15	303
Z999	DBB	Open Airport Section	31-Oct-17	10-Oct-17	21
9999	DBB	Open to Ala Moana Center *** (ROD) ***	03-Mar-19	17-Feb-19	(14)

* N/A since there has been a reduction from six (6) phased openings to three (3).

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

Period: February 2011 – April 2011		
Activity	Responsibility	Date
Monthly Progress Meeting	City, PMC, GEC and PMOC	February 7, 2011
FTA Issues ROD	FTA	January 18, 2011
Monthly Progress Meeting	City, PMC, GEC and PMOC	March 3, 2011 (via telecon)
Risk Assessment Workshop #1	City, PMC, GEC and PMOC	March 22, 2011
Risk Assessment Workshop #2	City, PMC, GEC and PMOC	April 19, 2011

2.5 Project Cost Status

The Project Budget submitted with the City's request to enter PE is as follows:

Base Cost Estimate	\$3.838 billion
Total Contingency	\$1.219 billion (31.8% of Base Cost Estimate)
Finance Charges	\$0.290 billion
Total Project Cost	\$5.348 billion

Additional project costs include the following:

Pre-PE Expenditures	\$0.082 billion
Financing Charges	\$0.103 billion (post-revenue operations)
Grand Total Project Cost	\$5.532 billion

Total Expenditures to Date \$0.132 billion (November 2010) (excludes pre-PE costs)

The PMOC provided an over the shoulder review of a draft bottoms-up cost estimate with the City on November 2, 2010, during which the PMOC provided their opinion and verbal comments to the City during this over the shoulder review. A bottoms-up cost estimate was provided to the PMOC on January 5, 2011. However, after further discussions during the January 2011 Monthly Meeting, the City has determined that they will include the actual bid amounts for the Kamehameha Highway Guideway DB Contract and Core Systems DBOM Contract upon receipt of those bids. A revised bottoms-up cost estimate will be provided in February 2011.

2.5.1 Standard Cost Category (SCC)

The SCC Workbook, including Main and Inflation worksheets, is submitted as a separate electronic file. However, the City is in the process of updating their detailed bottoms-up estimate.

2.5.2 Funding Sources

The following are the project capital revenue (funding) sources provided by the City during the January 2011 Progress Meeting:

General Excise Tax (GET)	\$3.698 billion
Section 5309	\$1.550 billion
Section 5307	\$0.300 billion
ARRA (Section 5307)	\$0.004 billion
Interest	\$0.011 billion
Total	\$5.563 billion

The GET surcharge receipts received to date are approximately \$585.3 million. Additional surcharge revenues are received approximately 30 days following the end of each quarter.

The City is hopeful that it will be able to reduce the need for Section 5307 funds through project development (i.e. refined Base Cost Estimate and revenue estimates during PE) and an aggressive bidding environment.

2.6 Project Risk

The PMOC completed a scope, schedule, and cost review in advance of completing a risk review of the Project as part of the evaluation of the Grantee's request to enter PE. A FINAL Spot Report was submitted in July 2009. The Spot Report included recommendations for cost and schedule contingency and identified key risks. However, this effort did not include development of risk management tools (e.g., Primary Mitigation Deliverables, Secondary Mitigation Activities, or a Risk and Contingency Management Plan). These risk management tools will be developed in conjunction with an update of the risk assessment to support the City's request to enter Final Design.

The PMOC received the GEC Risk Register on October 27, 2010. PMOC comments on the risk register were discussed on December 7, 2010. The City submitted the GEC Risk Report to FTA/PMOC on January 6, 2011. The PMOC appreciates the City being proactive and

performing its own Risk Assessment, and the PMOC will be able to utilize much of the information provided by the City. However, the PMOC will perform a thorough evaluation of all aspects of the Project technical capacity and capability, scope, schedule, and cost when preparing for the fully independent FTA Risk Review. The following table presents the dates for all key activities or deliverables associated with completion of the Risk Review. It should be noted that this is a subset of the Final Design Roadmap and does not include all activities necessary to enter Final Design.

Activity/Deliverable	Responsible Party	Target Date	Note
Basis of Schedule	City	18-Jan-11	
KHG DB Contract Proposal	City	31-Jan-11	
CSC DBOM Contract Proposal	City	08-Feb-11	
Updated Cost Estimate	City	25-Feb-11	
Updated Basis of Cost Estimate	City	25-Feb-11	
Escalation Model	City	04-Mar-11	
SCC Workbook	City	04-Mar-11	Updated SCC Workbook is necessary to prepare risk model in advance of Workshop #1
Financial Plan (DRAFT)	City	18-Mar-11	DRAFT plan will be submitted but cannot be finalized until after Workshop #2
RA Workshop #1	PMOC	22-Mar-11	
Preliminary RA results submitted to FTA	PMOC	01-Apr-11	PMOC will prepare draft findings and submit to FTA for review and concurrence prior to Workshop #2
RA Workshop #2	PMOC	19-Apr-11	PMOC to present results to City

2.7 Action Items

Item No.	Item	Responsible Party	Date Identified	Date Due	Date Completed	Status
1	Schedule Safety and Security Workshop	FTA/PMOC	4-Nov-09	Mar-11		Open
2	City to coordinate meeting with PMOC and State Oversight Agency	City	Jul-10	Mar-11		Open
3	Provide Sample FFGA Roadmap	PMOC	Oct-10	Feb-11		Open
4	Provide PMOC with Real Estate Professional Services Request For Proposal Part 2	City	Oct-10	Jan-11		Open
5	Provide White Paper on approach for LONP request	City	Sept-10	Jan-11	06-Jan-11	Complete
6	Provide example of environmental reporting	PMOC	Dec-10	Feb-11		Open
7	Provide Transportation Safety Institute (ISI) Rail System Safety Agenda	City	Jan-11	Jan-11		Open
8	Provide list of ROW appraisals previously provided to FTA for review	City	Jan-11	Jan-11		Open
9	Provide Honolulu Authority for Rapid Transportation (HART) Roadmap	City	Jan-11	Jan-11		Open

APPENDICES

Appendix A: Acronym List

ATC	▪ Alternative Technical Concept
BAFO	▪ Best and Final Offers
BFMP	▪ Bus Fleet Management Plan
CSC	▪ Core Systems Contract
DB	▪ Design-Build
DBB	▪ Design-Bid-Build
DBOM	▪ Design-Build-Operate-Maintain
DHHL	▪ Department of Hawaiian Homelands
FD	▪ Final Design
FEIS	▪ Final Environmental Impact Statement
FFGA	▪ Full Funding Grant Agreement
FONSI	▪ Finding of No Significant Impact
FTA	▪ Federal Transit Administration
FY	▪ Fiscal Year
GEC	▪ General Engineering Consultant
GET	▪ General Excise Tax
HAR	▪ Hawaii Administrative Rules on Procurement
HDOT	▪ Hawaii Department of Transportation
HHCTC	▪ Honolulu High Capacity Transit Corridor Project
LCC	▪ Leeward Community College
LEED	▪ Leadership in Energy and Environmental Design (LEED)
LONP	▪ Letter of No Prejudice
MSF	▪ Maintenance and Storage Facility
NEPA	▪ National Environmental Policy Act
NOA	▪ Notice of Availability
NTP	▪ Notice to Proceed
PA	▪ Programmatic Agreement
PE	▪ Preliminary Engineering
PMOC	▪ Project Management Oversight Contractor
PMP	▪ Project Management Plan
PMC	▪ Project Management Consultant
QMP	▪ Quality Management Plan
RA	▪ Risk Assessment
RAMP	▪ Real Estate Acquisition and Management Plan
RFMP	▪ Rail Fleet Management Plan
RFP	▪ Request for Proposals
RFQ	▪ Request for Qualifications
ROD	▪ Record of Decision
ROD	▪ Revenue Operation Date
RPZ	▪ Runway Protection Zone
SOA	▪ State Oversight Agency
SSCP	▪ Safety and Security Certification Plan
SSEPP	▪ System Security and Emergency Preparedness Plan
SHPO	▪ State Historic Preservation Office
SSMP	▪ Safety and Security Management Plan
SSPP	▪ System Safety Program Plan
VE	▪ Value Engineering
WOFH	▪ West Oahu/Farrington Highway
YOE	▪ Year of Expenditure

Appendix B: Contract Status

The following sections provide the scope and status of the various contracts identified for this Project.

Project Management Consultant (PMC) Contract.

- Scope – The consultant will serve as a program manager in providing oversight of the PE, FD, and construction activities for all DB and DBB contracts.
- Status – The City awarded a contract to InfraConsult LLC in November 2009 to provide Project Management Support Services. The PMC Agreement is for five years with a Not-to-Exceed amount of \$36.7 million. The PMC is negotiating Amendment #1 for additional staffing hired by the PMC that the City was unable to fill through direct hiring.

General Engineering Consultant (GEC I) Contract

- Scope – The City has contracted with Parsons Brinkerhoff (PB) to serve as the GEC in completing PE/EIS efforts for the Project. The scope of work for this contract includes PE for all Project components. For those items that will be constructed utilizing Design-Build (DB) methodology, the GEC was required to prepare contract documents that would be included in a two-step Best Value procurement package.
- Status – The City issued a NTP for the GEC I contract on August 27, 2007. The period of performance of the contract was August 2007 to March 2010. Six contract amendments have been issued extending the period of performance to February 25, 2011 and authorizing total budget of \$144 million. The pre-PE costs for the GEC I contract were approximately \$88.6 million.

General Engineering Consultant (GEC II) Contract

- Scope – The consultant will provide services related to elevated guideway engineering, systems engineering, rail station design, construction management oversight, procurement, contract administration, configuration control, claims support, scheduling, project financing and environmental planning. After the qualifications are evaluated and the top qualifier is selected, the City will develop the detailed scope of the contract. The GEC II Contract will include a ten year period of performance. The City expects to hire separate Construction Engineering and Inspection firms to provide field services for the DBB contracts.
- Status – The City has begun procurement of the General Engineering Consultant (GEC) contract (GEC II). Due to the length of time that had elapsed between submittal of proposals and the potential date for selection (October 2010), the City allowed the proposers to “refresh” their proposals. This allowed the consultants that submitted proposals an opportunity to provide the City with the most current staffing available rather than submitting substitution of personnel whose expertise and experience are equivalent to that which would have been provided by the originally listed personnel. The City has ranked Parsons Brinkerhoff as the top rated firm during the procurement of the GEC II contract. Negotiations are underway, and NTP is anticipated to be issued in February 2011.

Hawaii Department of Transportation (HDOT) Consultant

- Scope – HDOT does not have the staff necessary to complete reviews of DB plans, Maintenance of Traffic (MOT) and perform the necessary construction inspection of the four guideway segments. Since most of the guideway will be located along HDOT right-of-way, it is necessary for HDOT to perform permit reviews of the DB plans and perform the final inspections. Therefore, the City has begun procurement of two contracts on HDOT's behalf for consultants to support HDOT with design review, MOT and construction inspection services. HDOT will manage the selected firms, but all related consultant costs will be paid from the project budget.
- Status – The City has included the costs of the HDOT reviews in the original project budget. Selection of a consultant and negotiations are anticipated to be completed in December 2010 for the design review and construction inspection services. The City has begun evaluating proposals for MOT and expects the process to be concluded in January 2011, with an NTP anticipated in February 2011.

Profession Real Estate Services Consultant

- Scope – Support project real estate staff with acquisition, relocation and property management.
- Status – The City issued RFP Part I on November 17, 2010. Responses are expected on January 31, 2011. RFP Part II is anticipated to be issued in February 2011. The City is anticipating making a selection in April 2011.
- Issues or Concerns – It is the PMOC's professional opinion that this approach should provide the technical capacity to support the City's Right of Way (ROW) activities.

Owner Controlled Insurance Program (OCIP)

- Status – The City anticipates issuing an RFP for an Owner Controlled Insurance Program (OCIP). The city anticipates a two-step RFP process beginning in mid-February 2011 following completion of a peer review of the RFP documents. The original procurement of an insurance consultant to help manage the OCIP was delayed due to protests. The City has resolved the protests and can now proceed with issuance of a new RFP. RFP Part II is anticipated to be issued in March 2011. Selection is targeted to be complete by mid April 2011, with NTP issued in May 2011. No cost impact was realized as a result of the protest.

West Oahu/Farrington Highway (WOFH) DB Contract

- Scope – This contract includes the design and construction of a portion of the guideway alignment from the initial station at East Kapolei and continuing approximately 6.8 miles to a point just east of the planned Pearl Highlands station. The alignment runs along the east side of North South Road. This portion of the guideway is being identified as the West Oahu/Farrington Highway Design-Build Contract. The guideway is comprised mostly of a two-track aerial structure with a 0.3-mile portion of twin single-track guideways and a 0.3-mile section of guideway at grade.

As the alignment approaches Leeward Community College (LCC), the guideway alignment traverses from the median of Farrington Highway to the makai side of the highway where it transitions to an at-grade section. Once at grade, the entrance(s) to the

Maintenance and Storage Facility (MSF) is (are) encountered. The Guideway crosses Ala Ike Road at two locations, with the roadway passing under the guideway alignment in box-culverts. At the LCC Station, a station plaza area is planned to allow passengers to walk under the guideway to access either platform.

- Status – Kiewit Constructors was awarded a \$482,924,000 contract on November 18, 2009. Notice to Proceed (NTP) #1 was issued on December 1, 2009 to Kiewit. The maximum reimbursable amount under NTP #1 was \$27 million. NTP #1 is for approximately 90 days and the scope of work for Kiewit is limited to the elements of PE whose principal purpose is refinement and validation of information supporting the NEPA process.

The City issued NTP #1A on March 11, 2010. NTP #1A authorizes \$25.8 million for PE activities to be completed. They then issued NTP #1B on March 23, 2010 authorizing interim design activities. NTP #1B authorizes \$21.2 million for added definitive and interim PE activities to be completed. The City has indicated that NTP #1A and NTP #1B would provide sufficient work for the contractor through approximately July 2010. The City issued NTP #1C to Kiewit on June 7, 2010 to authorize \$3.5 million for test and demonstration drilled shafts to complete the deep foundations interim design. Work authorized under NTP #1C began on October 18, 2010 and is anticipated to be completed in February 2011. The City anticipates Kiewit will complete all work authorized under NTP #1, 1A, 1B & 1C in March 2011. The load test program for method and test shafts is anticipated to be completed in February 2011, and geotechnical investigation activities are to be completed in May 2011. The City is in the process of issuing NTP #1D to cover administrative costs and bonds through June 2011.

The City believes, and the PMOC concurs, that all work authorized under these NTPs is consistent with the permission the City received from FTA to enter PE. NTP #2, which authorizes all remaining PE activities, can now be issued since receipt of the Record of Decision (ROD) has occurred.

The City will need to seek Letter(s) of No Prejudice for any work beyond the scope of NTP #2. NTP #3 is to be issued for Final Design work activities, as defined by the City. NTP #4 is to be issued for construction activities.

The contractor has provided the City with the following Definitive Design Submittals: plan and profile; superstructure; utility relocation; maintenance of traffic; and roadway lighting. The contractor has begun preparing Interim Design submittals.

The City has received 54 Contractor Requests for Change (RFCC) and has issued 11 Requests for Change (RFCR) for Kiewit to review. The RTD Change Control Board approved five no cost and no time change RFCRs in November 2010.

- Schedule – The City has approved the schedule submittal, and the PMOC has received a copy of the schedule electronic file approved by the City on May 20, 2010. The contractor is preparing a schedule analysis for NTP delays.

- Cost
 - Original Contract Value – \$482,924,000
 - Current Contract Value – \$482,924,000
 - Authorized Costs for NTP #1, 1A, 1B & 1C – \$88,049,025
 - Expended to Date – \$67,060,457
 - % Expended – 13.8%
 - Approved Change Orders – \$0.00
 - Total Encumbrance (City) – \$520,846,930

- Issues or Concerns
 - The executed agreement for the WOFH DB Contract calls for issuance of all four NTPs within 120 calendar days of the December 1, 2009 NTP #1 date. Since that requirement was not met, the City reviewed Kiewit’s schedule of milestones and the baseline schedule to determine whether there has been a schedule or a cost impact. The City officially approved Kiewit’s schedule on April 30, 2010. The City also formally responded on April 28, 2010 to Kiewit’s request for change resulting in delay of NTPs # 2, 3 and 4. In their response, the City provided revised dates for Kiewit to assess the impacts of delays in the issuance of those NTPs. Specifically, the revised dates provided by the City to be used in Kiewit’s assessment are as follows:
 - (1) NTP #2 – July 15, 2010
 - (2) NTP #3 – September 15, 2010
 - (3) NTP #4 – December 15, 2010

However, subsequent to the April 28, 2010 letter, the City sent an RFCR to Kiewit on September 9, 2010 that supersedes the previous dates above stating that NTPs #2, 3 and 4 would not occur until March 15, 2011 and Kiewit should revise their schedule accordingly. The PMOC has strongly cautioned the City against providing unrealistic dates to the contractor given the requirements that must be met prior to issuance of any LONPs.

- The WOFH Segment DB Contract will utilize an existing facility for precasting and prestressing the concrete guideway segments. The casting facility, located in Campbell Industrial Park, is approximately 27 acres and is in close proximity to the WOFH project. GPRM Prestress is a certified plant under the PCI (Precast/Prestressed Concrete Institute) Certification Program. It is certified to produce the following:
 - A1 – Architectural Precast Concrete Products
 - B3 – Prestressed Straight-Strand Bridge Beams (Superstructure), Precast Bridge Products (No Prestressed Reinforcement), and Prestressed Miscellaneous Bridge Products (Non-Superstructure)
 - C4 – Prestressed Deflected-Strand Structural Members, Precast Concrete Products (No Prestressed Reinforcement), Prestressed Hollow-Core and Repetitively Produced Products, and Prestressed Straight- Strand Structural Members

It is the PMOC's professional opinion that the size of the facility is sufficient to support the precasting and prestressing requirements for the WOFH DB Contract. Detail on the infrastructure of the facility, including concrete batching capacity, has not been provided at this time; therefore, the capacity of the current infrastructure cannot be assessed to determine whether modifications will be required beyond installation of precasting and prestressing beds to manufacture the elevated guideway segments specific to this project.

Kamehameha Highway Guideway DB Contract

- Scope – The contractor will design and construct a portion of the guideway alignment from the initial station at East Pearl Highlands to a point just east of the planned Aloha Stadium Station, a distance of approximately 3.9 miles. This portion of the guideway is being identified as the Kamehameha Highway Design-Build Contract. The guideway is comprised of a two-track aerial structure.
- Status – The Kamehameha Highway Guideway was originally to be constructed using DBB, but the City decided to utilize DB to take advantage of the perceived favorable bid climate. RFP Part 1 was issued on November 18, 2009, with responses received on January 5, 2010. RFP Part 2 was issued on March 19, 2010. Technical and price proposals were due September 9, 2010. However, the due date was extended to October 7, 2010, with prices now valid until April 5, 2011. Technical and price proposal evaluations were anticipated to be completed by the City on November 10, 2010. However, the City has elected to request Best and Final Offers (BAFO) from the proposers. BAFOs were received on December 30, 2010. The City will make a selection the third week of January 2011 with NTP #1 anticipated to be issued on March 4, 2011.

RFP Part 2 contains PE-level documents. The contractor will advance the drawings in the RFP Part 2 contract documents to the Definitive and Interim Design levels during the Advanced PE phase of the project.

- Cost – The budget for this contract is \$323.5 million.
- Schedule – The Kamehameha Guideway DB project is approximately 48 months in duration.
- Issues or Concerns
 - The PMOC received RFP Part 2 documents on April 8, 2010 for this contract. The PMOC presented their disposition of PE completion in the “Project Scope Review” report, which was submitted as a WORKING DRAFT in January 2011. This report will be updated upon receipt of the selected proposal, which should be available in February 2011.

Maintenance and Storage Facility DB Contract

- Scope – The contractor will design and construct the MSF to accommodate 80 revenue vehicles. The maximum capacity of the site is 100 revenue vehicles. The Shop Facility

will include administrative and operational offices for the agency, including an Operations Control Center. The MSF will be designed and commissioned to achieve Leadership in Energy and Environmental Design (LEED) Green Building Rating System Silver Certification, and will operate in accordance with FTA Sustainable Maintenance and Operational Standards. The scope of the contract includes the procurement of all rail materials.

- Status – RFP Part 1 was issued on May 28, 2009. RFP Part 2 was issued on July 24, 2009. Technical and price proposals were received on February 17, 2010, with prices valid until August 16, 2010. The City issued a letter of intent to award the MSF contract to Kiewit/Kobayashi Joint Venture on June 24, 2010 in the amount of \$195 million. A letter of intent to award is not a contractual obligation and does not result in issuance of an NTP as would execution of a contract. The City's cost estimate was \$254 million. The price proposal expired on August 16, 2010, but the City sent a letter to Kiewit/Kobayashi requesting an extension of their pricing until March 15, 2011. The City sent a letter to the FTA on September 30, 2010 indicating their intention to issue NTP #1 for preliminary design by November 1, 2010. However, the City has subsequently indicated that NTP #1 will be issued in January 2011. The City did not receive a formal response from the contractor agreeing to extend their pricing.

RFP Part 2 contains PE-level documents. The contractor will advance the drawings in the RFP Part 2 contract documents to the Definitive and Interim Design levels during the Advanced PE phase of the project.

- Cost – The budget for this contract is \$254 million, of which approximately \$156 million is for MSF design and construction and the remainder, is for track material procurement.
- Issues or Concerns
 - The Memorandum of Agreement (MOA) has been executed with the DHHL or the Navy Drum Site. However, the City must sign a License Agreement with the DHHL prior to any construction beginning.
 - The City anticipates that Kiewit/Kobayashi will submit a change order for material cost escalation since their price was only valid for 180 days from receipt, which occurred on February 17, 2010. The City intends to negotiate a change order after issuing NTP #1. However, the PMOC recommended that the City negotiate this change order prior to issuing NTP #1.

Vehicle/Core Systems DBOM Contract (CSC)

- Scope – A Design-Build-Operate-Maintain (DBOM) contract is anticipated to be awarded by the City to more closely synchronize with ROD and will include the following:
 - Design and manufacture of vehicles
 - Design, manufacture, and installation of systems components including train control communications, traction power, Central Control and fare collection equipment
 - Operations and Maintenance.

The Operations and Maintenance contract will extend 5 years beyond the full build revenue date (2019), with an additional 5 year option. The Operations and Maintenance contractor will be responsible for Intermediate Operating Section Openings (6 sections including the demonstration section opening in 2012).

- Status – RFP Part 1 for the Vehicles/Core Systems Design-Build-Operate-Maintain Contract (CSC) was issued on April 8, 2009. RFP Part 2 was issued on August 17, 2009. Technical and price proposals were received on June 7, 2010, with price proposals valid until December 4, 2010. The City held a first meeting with each offeror during the week August 8, 2010 to address technical and quality components of their proposals. Informational meetings with the offerors were also held the week of September 20, 2010. The City issued a Request for BAFO on November 4, 2010. BAFO responses are due on January 18, 2011 with selection likely to occur in February 2011. NTP #1 is anticipated to be issued in March 2011.
- Cost – The budget for this contract is \$650 million, including equipment and installation.
- Issues or Concerns
 - The PMOC received RFP Part 2 documents on May 12, 2010 for this contract. The PMOC presented their disposition of PE completion in the “Project Scope Review” report, which was submitted as a WORKING DRAFT in January 2011. This report will be updated upon receipt of the selected proposal, which should be available in February 2011.
 - The PMOC participated in a workshop on August 31/September 1, 2010 with the City, PMC and the GEC to discuss the CSC Terms and Conditions and obtain a general understanding of how the RFP Part II documents were developed. The City also provided a list of the evaluation committee and technical committee to better assess the City’s approval process. The PMOC will schedule another workshop after the City selects the contractor to discuss the basis of the awarded contract and any follow up questions the PMOC may have once it reviews the final contract including any addendums issued by the City and Alternate Technical Concepts submitted by the contractor. This will assist the PMOC with assessing the Technical Capacity and Capability of the Grantee, Scope, Schedule and Cost reviews as it prepares to receive approval from the FTA to enter FD.

Airport Guideway & Utility Relocation DBB Contract

- Scope – The project delivery method for the guideway and utility relocations will be DBB. The City anticipates awarding separate construction contracts for the utility relocation and guideway. This segment extends from Aloha Stadium Station to Lagoon Drive Station.
- Status – RFQ is anticipated to be released on January 18, 2011 and responses due by February 25, 2011. The City anticipates issuing NTP in August 2011. Utility relocation and guideway construction are anticipated to begin in late 2011 and early 2012, respectively.

- Cost – The estimated contract value will be available when the revised bottoms-up estimate is complete.
- Issues or Concerns
 - None identified at this time.

City Center Guideway & Utility Relocation DBB Contract

- Scope – The project delivery method for the guideway and utility relocations will be DBB. The City anticipates awarding separate construction contracts for the utility relocation and guideway. This segment extends from Lagoon Drive Station to Ala Moana Center Station. The guideway contract will likely now include the Ala Moana Center Station.
- Status – This segment is in the PE phase. The PE drawings are under final review by the City, and the GEC is completing quantity take-offs. Utility relocation and guideway construction are anticipated to begin in late 2011 and early 2012, respectively.
- Cost – The estimated contract value will be available when the revised bottoms-up estimate is complete.
- Issues or Concerns
 - None identified at this time. The City is in the process of finalizing third party agreements for utility relocations.

Station Packages

- Scope – All stations will be implemented using DBB. The City has developed station group packages for design, and it intends to issue construction contracts based on those station packages. Following are the packages that the City is currently considering:
 - West Oahu Station Group (3 stations): East Kapolei, UH-West Oahu and Hoopili.
 - Farrington Station Group (3 stations): West Loch, Waipahu Transit Center and Leeward Community College.
 - Kamehameha Station Group (3 stations): Pearl Highlands, Pearlridge and Aloha Stadium.
 - Airport Station Group (3 stations): Pearl Harbor Navy Base, Honolulu International Airport, and Lagoon Drive.
 - Dillingham Station Group (3 stations): Middle Street Transit Center, Kalihi and Kapalama.
 - City Center Group (3 stations): Iwilei, Chinatown and Downtown.
 - Kakaako Station Group (2 stations): Civic Center and Kakaako
 - Pearl Highlands Station Parking Garage and H2 Ramps (
- Status –
 - The City selected HDR/HPE, Inc. for the Farrington Station Group Design Contract. It is anticipated that NTP #1A will be issued January 2011 to begin preparing the Schedule of Milestones. NTP #1B will then be issued in February to begin advanced PE.

- The RFQ for the West Oahu Station Group was released January 13, 2010, with responses received on February 17, 2010. Due to the length of time that had elapsed between submittal of proposals and the potential date for selection (November 2010), the City allowed the proposers to “refresh” their proposals. The City expects the ranking to be completed in January 2011.
 - The RFQ for the Kamehameha Station Group design is expected to be released in February 2011. Qualifications will be evaluated by the City for advanced PE for the Kamehameha Station Group. Rankings should be approved and negotiations to commence in the early 2011.
 - To better match anticipated cost with systems needs re-packaging and segregation is in process to separate H2 ramps, station and transit terminal for the Pearl Highlands Station and Transit Terminal. The City now anticipates using a DB contract delivery method for the parking structure and H2 Ramps. The Pearl Highlands Station will be packaged with the Kamehameha Station Group and will be constructed using DBB.
- Cost
 - The budget for the Farrington Station Group design contract is \$5.5 million.
 - Issues or Concerns
 - None identified at this time.

Elevators and Escalators

- Scope – The City intends to issue a DB contract to furnish, install, test, and commission all elevator and escalator equipment.
- Status – The City anticipates procuring this contract in 2011. Limited PE has been completed for this package.
- Schedule – Following are the key contract dates:
 - Prepare Procurement Packages – January 2011
 - Bid-Award Elevator Packages – May 2011
 - Elevator & Escalators Construction – January 2012
- Cost – The estimated contract values will be available when the bottoms-up estimate is complete.
- Issues or Concerns
 - None identified at this time.

Appendix C: PE Status by Contract

The following table presents the status of PE activities for each major contract. The PMOC will continue to review this contract information and will present a disposition of PE completion in the “Project Scope Review” report, which is targeted for submission to FTA in February 2011.

Note: Within the context of this matrix, Advanced PE is subjectively defined as greater than 30% and less than 65%. Design development greater than 65% typically occurs during Final Design. Within the confines of the DB contracts, the Special Provisions define the following design stages:

- (1) *Definitive Design*
- (2) *Interim Design*
- (3) *Final Design*
- (4) *Working Plans*
- (5) *As-Constructed Plans and Specifications*

The Special Provisions of each contract provide specific criteria for each design phase.

Contract	Segment	PE Status	Notes
West Oahu Farrington Highway Guideway DB Contract	Segment I – East Kapolei to Pearl Highlands Length: 6 miles	GEC I prepared contract documents for DB procurement, including 30% plans. Advanced PE continuing by Kiewit under NTP #1, IA, IB & IC. Kiewit submitted following Definitive Design Submittals: plan and profile; superstructure; utility relocation; maintenance of traffic; and roadway lighting. Kiewit has begun preparing some Interim Design submittals.	
Kamehameha Highway Guideway DB Contract	Segment II – Pearl Highlands to Aloha Stadium Length: 4 miles	Geotechnical investigations ongoing by Kiewit. Method (3) and Load Test Shafts (8) to support Definitive Design submittals started on October 18, 2010 and are anticipated to be completed in February 2011. However, Interim Design will continue once the test and demonstration drilled shafts activity is completed. GEC I prepared contract documents for DB procurement, including 30% plans. Advanced PE will be performed with City’s selection of design consultant in March 2011. Once selection occurs, contractor will advance plans to Definitive and Interim Design levels under limited NTPs.	

Contract	Segment	PF Status	Notes
Airport Guideway Contract and Utilities Relocation DBB Contract	Segment III – Aloha Stadium to Middle Street Length: 5 miles	GEC I prepared 30% plans for segment. Advanced PE will be performed with City's selection of design consultant in August 2011.	
City Center Guideway & Utilities DBB Contracts	Segment IV – Middle Street to Ala Moana Center Length: 5 miles	GEC I prepared 30% plans for segment. Advanced PE will be performed with City's selection of design consultant in December 2011.	
Maintenance & Storage Facility DB Contract	Segment I	GEC I prepared contract documents for DB procurement, including 30% plans. Once selection occurs, contractor will advance plans to Definitive and Interim Design levels under limited NTPs. The City intends to issue NTP #1 in February 2011 allowing mobilization, insurance, plans and procedures and Definitive Design.	
WOFH Station Group (3) DBB Contract	Segment I	GEC I prepared 20% plans for segment. FD anticipated to begin in July 2011.	
Farrington Station Group (3) DBB Contract	Segment I	GEC I prepared 20% plans for segment. City selected HDR/HPE, Inc as the design consultant and anticipates issuing NTP on January 12, 2011 for advanced PE.	
Kamehameha Station Group (3)	Segment II	GEC I prepared 20% plans for segment. FD anticipated to begin in October 2011.	
Airport Station Group (3)	Segment III	GEC I prepared 20% plans for segment. FD anticipated to begin in March 2013.	
Dillingham Station Group (3)	Segment IV	GEC I prepared 20% plans for segment. FD anticipated to begin in August 2013.	
City Center Station Group (3)	Segment IV	GEC I prepared 20% plans for segment. FD anticipated to begin in January 2014.	
Kakaako Station Group (3)	Segment IV	GEC I prepared 20% plans for segment FD anticipated to begin in August 2014.	
Pearl Highland H2 Ramps and Multiple Parking Structure	Segment I	GEC I prepared 20% plans for segment. City is repackaging to include the Pearl Highland Station in the KH Station Group and separate H2 Ramps and Multiple Parking Structure for separate contract. FD anticipated to begin in December 2015.	

Contract	Segment	PE Status	Notes
Core Systems Contract DBOM Contract	Segment I-IV	<p>GEC I prepared contract documents for DBOM procurement, including 15-20% plans. Contractor will advance the conceptual drawings and performance specifications in the RFP Part 2 contract documents to the Definitive and Interim Design levels during the early portion of contract.</p> <p>Selection of a contractor is anticipated in February 2011 with NTP #1 anticipated to be issued in March 2011.</p>	<p>PMOC is of the opinion that various levels of detail, which include basic conceptual drawings with limited performance criteria, have been completed by the GEC. This information must be augmented by technical proposal from the selected contractor, which should be made available to the PMOC in January 2011.</p>

Note: PMOC continues to review contract information and will present disposition of PE completion in the "Project Scope Review" report, which is targeted for submission to FTA in February 2011.

Appendix D: Bidding Schedule

Contract	Type	RFP - DBB			RFP Part I - DB			RFP Part II - DB			LONP Request				NTP	NTP Value (M)	Contr. Value (M)
		Advert	Bid	Advert	Qual.	Issue	Proposal	Exec.	Draft	Final	FYA Approve	NTP	Date	Desc.			
West Oahu Farrington Highway (WOFH) Guideway	DB	N/A	N/A	04-Feb-09	13-Mar-09	03-Apr-09	28-Aug-09	17-Nov-09					1	01-Dec-09	PE to support to FEIS	\$48.2	\$482.9 ⁽¹⁾
													1A	11-Mar-10	Geotech	\$4.7	
													1B	23-Mar-10	Interim Design (PE)	\$21.2	
													1C	04-Jun-10	Test Shafts	\$14.0	
													1D	TBD	Admin & Bonds	TBD	
Kamehameha Highway Guideway (KHG)	DB	N/A	18-Nov-09	05-Jan-10	19-Mar-10	07-Oct-10 (BAFO due 20-Dec-10)						2	15-Feb-11	Utility Relocations	—		
												3	15-Aug-11	FD	—		
												4	15-Sep-11	Construction	—		
												1	04-Mar-11	PE	—		
Maintenance and Storage Facility (MSF)	DB	N/A	29-May-09	02-Jul-09	24-Jul-09	17-Feb-10						2	TBD	FD	—	\$195.0 ⁽¹⁾	
												3	TBD	Construction	—		
												1	15-Feb-11	PE	—		
2	08-Aug-11	FD	—														

Contract	Type	RFP - DBB		RFP Part I - DB		RFP Part II - DB		IONP Request			NTP			Contr. Value (M)	
		Advert	Bid	Advert	Qual.	Issue	Proposal	Exec.	Draft	Final	ETA Approve	NTP	Date		Desc.
Vehicle/Core Systems Contract (CSC)	DBO M	N/A	N/A	09-Apr-09	05-Jun-09	17-Aug-09	07-Jun-10 (BAFO due 18-Jan-11)					3	28-Nov-11	Construction	—
Airport Utility Relocation	DBB	01-Nov-12	01-Feb-13	N/A	N/A	N/A	N/A						01-Mar-13		—
Airport Guideway	DBB	01-Feb-13	01-Jun-13	N/A	N/A	N/A	N/A						01-Jul-13		—
City Center Utility Relocation	DBB	15-May-12	15-Sep-13	N/A	N/A	N/A	N/A						15-Oct-13		—
City Center Guideway & Ala Moana Station	DBB	15-Nov-13	15-Mar-14	N/A	N/A	N/A	N/A						15-Apr-14		—
West Oahu Station Group (3) Construction DBB Contract	DBB	15-Sep-12	15-Dec-12	N/A	N/A	N/A	N/A						15-Jan-13		—
Farrington Station Group (3) Construction	DBB	15-Jan-12	15-Apr-12	N/A	N/A	N/A	N/A						15-May-12		—
Pearl Highlands Parking and Ramps	DBB	15-Jul-15	15-Nov-15	N/A	N/A	N/A	N/A						15-Dec-15		—
Kamehameha Station Group (2)	DBB	01-Oct-12	01-Feb-13	N/A	N/A	N/A	N/A						01-Mar-13		—
Airport Station Group (3)	DBB	15-May-14	15-Sep-14	N/A	N/A	N/A	N/A						15-Oct-14		—
Dillingham Station Group (3)	DBB	15-Oct-14	15-Feb-15	N/A	N/A	N/A	N/A						15-Mar-15		—

Contract	Type	RFP - DBB		RFP Part I - DB		RFP Part II - DB		LONP Request				NTP			Conti. Value (M)		
		Advert	Bid	Advert	Qual.	Issue	Proposal	Exec.	Draft	Final	FTA Approve	NTP	Date	Desc.		NTP Value (M)	
City Center Station Group (3)	DBB	15-Mar-15	15-Jul-15	N/A	N/A	N/A	N/A										
Kakaako Station Group (3)	DBB	15-Nov-15	15-Feb-16	N/A	N/A	N/A	N/A										
Elevators/Escalators	DBB	15-Mar-11	01-May-11	N/A	N/A	N/A	N/A										
Plants and Shrubs (Owner Furnished)	DBB	15-Aug-11	15-Dec-11	N/A	N/A	N/A	N/A										
Fare Collection (Owner Furnished)	DBB			N/A	N/A	N/A	N/A										

† Indicates actual bid amount

Appendix E: PE Approval Letter Requirements

No.	Item	City Responsible Person	Target Completion Date	Actual Completion Date*	Comments
Project Scope, Design and Development					
1	Identify any third party agreements necessary for project completion, including utility agreements with private and public owners and military	LR/HLB	Jan-10	Jan-10	
2	Resolve the specific regarding proximity of the guideway to runways 22R/4L and 22L/4R at the Honolulu International Airport with HDOT and FAA	HLB	Apr-10	May-10	
3	Fully develop vehicle basis of design and functional sizing	JS	Feb-11		PMOC will review selected proposal to determine whether it meets operational criteria; it is anticipated review will take one month
4	Determine rail fleet size requirement	JS	Feb-11		Will be addressed in CSC DBOM proposal
5	Fully develop scope for the administration building and operations control center	JS / HLB	Mar-11		
6	Determine the final location of the maintenance and storage facility	FM	Jan-11		Will execute License Agreement after ROD
7	Finalize a contracting packaging plan which includes a source selection plan(s) and contract specific work plans	SZ	Nov-10	07-Jan-11	
8	Develop strategies to streamline the City's process to award contracts and to enter into grant agreements, especially as applicable to FTA grants	LR	Jun-11		Resolution provided to FTA and PMOC after City Council approval in Dec-09. Will be included on ballot in Nov-10 election.
9	Develop a preliminary operation plan	JS	Mar-10	08-Feb-10	
10	Ensure the service velocity does not erode over the next course of design changes	JS	Jan-11		Will be addressed in CSC DBOM proposal
Project Schedule					
11	Provide a baseline of the master Project Schedule (MPS) early in PE which will be used for monthly progress updates and tracking schedule variances	MH	Dec-10		Revised baseline to be submitted in Dec-10

No.	Item	City Responsible Person	Target Completion Date	Actual Completion Date*	Comments
12	Address the utilization manpower and equipment resource loading and budget and cost loading	MH	Dec-10		Revised baseline to be submitted in Dec-10; City acknowledged that schedule is cost loaded but will not be resource loaded
13	Include critical activities in the MPS: utility activities, real estate acquisitions, system integration, starting and testing, operational commissioning and training, vehicle procurement, major construction material procurement, FTA review and comment, detail activities for early construction packages	MH	Dec-10		Revised baseline to be submitted in Dec-10
14	Develop a right-of-way schedule	MH	Dec-10		Initial schedule submitted 29-Oct-09; will be revised in Dec-10
15	Modify the Work Breakdown Structure to cross over with the project budget and cost breakdown structure	MH	Jan-10	21-Dec-09	
Project Cost					
16	Develop a detailed bottoms-up-style project cost estimate to Standard Cost Category format. The estimate should be detailed sufficiently to determine distributions of materials, labor, equipment and general conditions elements at a minimum. The soft cost estimates should be based on staffing plans, force account plans, contracts and so forth rather than solely on percentages. The estimate should eliminate parametric-style values, cost estimating relationships, and lump sums as much as possible during PE	MH	Dec-10		Revised baseline to be submitted in Dec-10
17	Escalate the cost estimate in accordance with the MPS	MH	Dec-10		Pending completion of Item No. 16
18	Provide justification and backup documents to support the quantification and assumptions for the "soft costs" and related general conditions of the project	MH	Dec-10		Pending completion of Item No. 16
Technical Capacity					
19	Configuration management and change control mechanism	KG	Dec-10		
20	Develop detailed staffing plans for all remaining phases of the project to ensure adequate technical capacity. The plans should include the dates by which the City will fill each key position. All key City management positions should be filled during PE.	TH/PR	Dec-10		

No.	Item	City Responsible Person	Target Completion Date	Actual Completion Date*	Comments
21	Work with the State of Hawaii to establish a State Safety Oversight Agency office to oversee the project	KA	Apr-10	6-Apr-10	
22	Submit a fully developed Rail Fleet Management Plan	JS	Mar-11		
23	Have a quantifiable metrics for measuring the real status of work, both cost and schedule of all professional service contracts, and any inter-local agreements for participatory services	MH	Nov-10		
24	Develop a Contingency Management Plan which will identify the specific risks and implement the anticipated mitigation measures	SZ	Mar-11		
25	Develop an Environmental Mitigation Plan that identifies required environmental mitigation actions and the party responsible for the mitigation and that will eventually become the basis for quarterly mitigation monitoring and quarterly mitigation reports	JA/FM	Dec-10		Draft Environmental Mitigation Plan to be provided in Oct-10.
26	Update and implement the: Real Estate Acquisition and Management Plan Bus Fleet Management Plan Safety and Security Management Plan Quality Management Plan	JI PK KA AB	Jan-11 Jan-11 Feb-11 Dec-10	11-Jan-11	PMOC provided review comments in Aug-10

*Note: Actual Date to be added only upon verification of satisfactory completion by FTA and/or PMOC.

Appendix F: Project Overview and Map (Transmitted as a separate file)

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



PMOC MONTHLY REPORT

Honolulu High-Capacity Transit Corridor Project

City and County of Honolulu

Honolulu, HI

February 2011 (FINAL)

PMOC Contract Number: DTFT60-09-D-00012
Task Order No. 2: Honolulu High-Capacity Corridor Project
Project No: DC-27-5140
Work Order No. 1
OPs Referenced: OP 1 and 25

Jacobs Engineering Group, Inc., 501 North Broadway, St. Louis, MO 63102
Tim Mantych, P.E., (314) 335-4454, tim.mantych@jacobs.com
Length of Time Assigned: Five Years (November 18, 2009 through November 17, 2014)

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1.0 EXECUTIVE SUMMARY

1.1 Project Description

- **General Description:** The Project is an approximate 20-mile elevated fixed guideway rail system along Oahu's south shore between East Kapolei and Ala Moana Center. This Project is based on the Airport Alignment, which includes 21 stations. The alignment is elevated, except for a 0.5-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 (6 miles/7 stations)
 - Segment II (Kamehameha Highway) – Pearl Highlands to Aloha Stadium (4 miles/2 stations)
 - Segment III (Airport) – Aloha Stadium to Middle Street (5 miles/3 stations)
 - Segment IV (City Center) – Middle Street to Ala Moana Center (4 miles/9 stations)
- **Length:** 20 miles
- **No. of Stations:** 21
- **Additional Facilities:** Maintenance and Storage Facility (MSF) and parking facilities
- **Vehicles:** 76 vehicles
- **Ridership Forecast:** Weekday boardings – 97,500 (2019); 116,300 (2030).

1.2 Project Status

- Preliminary Engineering (PE) – The City has submitted substantial technical information related to their completion of PE activities, as identified in Appendix C (PE Status by Contract). The PMOC continues to review all items to determine the disposition of its assessment on the City's definition of the project scope through drawings, specifications, narratives, third party agreements, plans for the project delivery, etc, for adequacy and completeness at the completion of PE. The PMOC submitted a WORKING DRAFT of the Project Scope Review to FTA in January 2011. However, since the City requested a 2nd BAFO for the Core Systems Contract (CSC) on February 9, 2011, the PMOC anticipates completing the Project Scope Review to FTA in March 2011. The City expects to receive responses the week of February 21, 2011 and selection in early March.
- Program Management Consultant (PMC) – The City is negotiating Amendment #1 with InfraConsult LLC., the PMC, in the amount of approximately \$6 million for additional staffing that the City was unable to fill through direct hiring. This funding will cover eight positions (\$4.4 million) in addition to some subconsultants (\$1.6 million).
- General Engineering Consultant II (GEC) – The City has ranked Parsons Brinkerhoff as the top rated firm during procurement. Negotiations are underway, and NTP is anticipated to be issued in the latter part of March 2011. The City will issue another addendum for GEC I until the end of March 2011.
- West Oahu /Farrington Highway (WOFH) Design-Build (DB) Contract – Kiewit began installation of test and demonstration drilled shafts on October 18, 2010 under the authority of Notice to Proceed (NTP) #1C. This work is scheduled to be completed in

February 2011. Geotechnical investigation activities are anticipated to be completed in March 2011. The City issued NTP #1D for approximately \$8.7 million on January 6, 2011 to extend monthly management costs for another six months, through June 2011. These ongoing monthly costs include project management, quality management, safety plan administration, coordination with local agencies, design management, and public information. It did not include additional costs for bonds. The City performed a value analysis to verify that the extended monthly management costs are valid. The City is also anticipating issuing NTP #2 in February 2011 for work activities related to the relocation of utilities based on the City's pre-award authority associated with the FTA's issuance of a ROD. The amount reimbursable under NTP #2 is approximately \$63 million. The WOFH DB Contract will utilize an existing facility to fabricate precast and prestressed concrete guideway elements. However, work associated with the precast facility cannot begin unless a Letter of No Prejudice (LONP) is issued by FTA for limited construction activity. A LONP would trigger issuance of a limited NTP #4 for construction activity by the City.

- Maintenance and Storage (MSF) DB Contract – The City issued a letter of intent to award the MSF contract to Kiewit/Kobayashi Joint Venture on June 24, 2010 in the amount of \$195 million. The price proposal expired on August 16, 2010, but the City sent a letter to Kiewit/Kobayashi requesting an extension of their pricing until March 15, 2011. The City did not receive a formal response from the contractor agreeing to extend their pricing. The City issued a letter on February 9, 2011 to the contractor to confirm that they will accept a contract in the amount of \$195 million based on their price proposal that was submitted on June 24, 2010. The City has indicated that NTP #1 will be issued in April 2011.
- Kamehameha Highway Guideway DB Contract – Technical and price proposals were received on October 7, 2010, with prices valid until April 5, 2011. Technical and price proposal evaluations were anticipated to be completed by the City on November 10, 2010. However, the City elected to request Best and Final Offers (BAFO) from the proposers. BAFOs were received on December 30, 2010. The City intends to make a selection by the end of February 2011 with NTP #1 anticipated to be issued in March 2011.
- Vehicles/Core Systems DBOM Contract (CSC) – The City issued a Request for BAFOs on November 4, 2010. BAFO responses were received on January 18, 2011. However, based on discussions held with the three Priority Listed Offerors, the City issued a 2nd call for BAFO's on February 9, 2011. Responses are expected the week of February 21, 2011 and NTP #1 is anticipated to be issued in April 2011.
- Station Design –
 - The City selected HDR/HPE, Inc. for the Farrington Station Group Design Contract. NTP #1A was issued on January 12, 2011 for \$120,000 to begin preparing the Schedule of Milestones and the Design Workshop. NTP #1B will be issued for approximately \$1 million in February 2011 to begin advanced PE.
 - The RFQ to begin advanced PE for the Kamehameha Station Group Design Contract is expected to be released in February 2011.
 - The RFQ for the West Oahu Station Group was released January 13, 2010, with responses received on February 17, 2010. Due to the length of time that had elapsed between submittal of proposals and the potential date for selection

(November 2010), the City allowed the proposers to “refresh” their proposals. Refreshed proposals are expected by February 15, 2011 and the City anticipates issuing NTP #1 in April 2011.

- Airport Guideway Segment Design Contract – The RFQ for design services is anticipated to be released in January 2011 with responses due by in March 2011. The City anticipates issuing NTP in June 2011.
- Professional Real Estate Services Consultant – The City issued RFP Part I on November 17, 2010 and responses are expected on January 31, 2011. RFP Part II is anticipated to be issued by the end of February 2011. The City anticipates a selection in April 2011.
- Hawaii Department of Transportation (HDOT) – The City has begun procurement on HDOT’s behalf for consultants to support HDOT with design review, Maintenance of Traffic (MOT) and construction inspection services. Selection of a consultant and negotiations are anticipated to be completed in December 2010 for the design review and construction inspection services. The City is negotiating with the top ranked firm for Maintenance of Traffic reviews. They anticipate issuing an NTP in March 2011.
- Owner Controlled Insurance Program (OCIP) Consultant – The City anticipates issuing RFP Part I in late February 2011, following completion of a peer review of the RFP documents. RFP Part II is anticipated to be issued in March 2011. Selection is targeted to be completed in April 2011, and NTP issued in May 2011.
- Programmatic Agreement (PA) Project Manager – The City anticipates issuing RFP Part I in late February 2010 for a PA Project Manager Consultant, or Kako’o. The City will submit RFP Part I to FTA and State Historic Preservation Division (SHPD) for review and approval in February 2011. Per the terms of the PA, the FTA and SHPD are required to review and approve (1) the procurement request for the Kako’o prior to the release of such request; (2) the qualifications of the final candidates under consideration by the City prior to the final selection of the Kako’o by the City; and (3) the scope of work of the Kako’o to be included in the City’s contract with the Kako’o. The consultant will report to SHPD and the consulting parties listed in the PA.
- During the November 2010 election, an amendment to the Revised Charter of the City and County of Honolulu 1972 (as amended) was approved by voters to allow for the creation of a public transit authority. The new authority will be responsible for the planning, construction, operation, maintenance, and expansion of the City’s fixed guideway mass transit system. This authority, which is to be named the Honolulu Authority for Rapid Transportation (HART), will become effective on July 1, 2011. In addition, to the establishment of the new transit authority, the voters in Hawaii elected a new governor, Neil Abercrombie. Governor-elect Abercrombie has stated that he intends to approve the rail’s pending environmental impact statement if the project complies with all environmental laws. The state Office of Environmental Quality Control must finish evaluating the environmental documents prior to submitting them to the governor’s office. Text of the full resolution can be found at the following link:

<http://www4.honolulu.gov/docshare/dsweb/Get/Document-95397/RES09-252,%20CD1.pdf>

The City has developed a flowchart that identifies key actions required along with their target dates for the creation of the new transit authority. This flowchart was transmitted to the FTA and PMOC on February 14, 2011.

(Note: Full details on the status of all contracts discussed above are provided in Appendix B.)

1.3 Technical Capacity and Capability

The table in Section 2.3 presents the status of key required management deliverables.

1.4 Schedule

- **Preliminary Engineering (PE):** FTA approved entrance into PE on October 16, 2009
- **Record of Decision:** Publication of the FEIS occurred on June 25, 2010. The comment period closed August 26, 2010. The City submitted their disposition of all comments to the FTA on October 4, 2010. The Record of Decision was issued on January 18, 2011.
- **Revenue Operations Date (ROD):** December 2019

1.5 Cost Data

The Project Budget submitted with the City's request to enter PE is as follows:

Base Cost Estimate	\$3.838 billion
Total Contingency	\$1.219 billion (31.8% of Base Cost Estimate)
Finance Charges	\$0.290 billion
Total Project Cost	\$5.348 billion

Additional project costs include the following:

Pre-PE Expenditures	\$0.082 billion
Financing Charges	\$0.103 billion (post-revenue operations)
Grand Total Project Cost	\$5.532 billion

Total Expenditures to Date \$0.143 billion (December 2010) (excludes pre-PE costs)

The PMOC provided an over the shoulder review of a draft bottoms-up cost estimate with the City on November 2, 2010 during which the PMOC provided their opinion and verbal comments to the City. A bottoms-up cost estimate was provided to the PMOC on January 5, 2011. However, after further discussions during the January 2011 Monthly Meeting, the City has determined that they will include the actual bid amounts for the Kamehameha Highway Guideway DB Contract and Core Systems DBOM Contract upon receipt of those bids. A revised bottoms-up cost estimate will be provided in March 2011.

1.6 Issues or Concerns

The following key issues or concerns have been identified:

- The City must remain cognizant of the limits of the pre-award authority granted with the receipt of ROD. The City intends to issue multiple NTPs for its DB contracts. However, as noted in a December 1, 2009 letter to the City, the FTA will consider LONPs for activities not covered by automatic pre-award authority on a case-by-case basis following issuance of the ROD.

The City submitted a White Paper to the FTA on January 6, 2011 regarding an approach they would like to consider for LONPs. This approach will be refined as the City continues preparations of their request to enter Final Design.

- The PMOC performed an over the shoulder review of the draft Master Program Schedule (MPS) on November 3, 2010 during which the PMOC provided their opinion and verbal comments to the City. The City submitted a revised MPS on January 7, 2010. The revised MPS (data date of December 31, 2010) and Basis of Schedule were reviewed by the PMOC. The PMOC identified several items that required correction in both the Basis of Schedule and MPS. The PMOC met with the City on February 8, 2011 to review these items. The City anticipates providing the revised information in late February 2011. The City anticipates approval to enter Final Design in September 2011. This target is possible if the City meets the submittal dates for all outstanding items in the Final Design Roadmap, and those items are found to be sufficient to enter Final Design by the FTA, including the City's Financial Plan
- The City must execute a license agreement with the Department of Hawaiian Homelands (DHHL) to construct the MSF on the Navy Drum Site. To do so, the City first executed a Memorandum of Agreement (MOA) in March 2010. The License Agreement can now be executed since the ROD has been issued. The City has stated that it is not aware of any issues from the DHHL, that the Navy has cleaned the site, and that there are no limitations on the proposed use of the site. If any hazardous materials are found during construction, the DHHL is required to clean the site per the agreements. The PMOC has recommended that the License Agreement be provided to the FTA and PMOC for review prior to execution.
- The System Safety and Security Program Standards (SSPPS) is an important part of HDOT's comprehensive safety and security assessment. Each of the rail fixed guideway systems covered under this Program (currently the Honolulu High Capacity Transit Corridor Project) is required to develop a System Safety Program Plan and System Security Program Plan that formalizes the safety and security duties and responsibilities of the transit organization and ensures a process for identifying and correcting safety and security hazards. The City will be assisting the State Oversight Agency (SOA) with procuring a consultant to develop the SSPPS in early 2011. It is the PMOC's professional opinion that the schedule to procure a consultant and for the consultant to develop the SSPPS could take up to a year. It is critical for the City and the SOA to begin the process immediately. The PMOC received a copy of the SOA's draft program schedule on

December 3, 2010. Since a new governor took office on December 6, 2010 the City has indicated that there will be a new Director of Transportation for HDOT appointed, and he/she will select a new SOA lead in early 2011. The draft program schedule was based on the outgoing SOA and the dates specified seem aggressive and untenable. It is the PMOC's professional opinion that a revised program schedule will need to be updated once the new SOA representative takes over the responsibilities for establishing the SSPPS.

- The City performed a Quality Audit of the GEC I PE products from November 17 -19, 2010. The City's QA Manager issued the results of the QA Audit to the General Manager and GEC I on December 2, 2010. The QA audit resulted into one Non-Conformance Report (NCR) for Design Control Procedures and three observations for Document Control/QA Records, Computer Program Verification and Certifications and Non-Conformances. The GEC responded to the report on December 10, 2010 and the City has verified that the corrective and preventive actions were in place.

2.0 BODY OF REPORT

2.1 Grantee's Capabilities and Approach

2.1.1 Technical Capacity and Capability

The PMOC had previously identified "capacity" issues as key City and Project Management Consultant (PMC) positions remained vacant or vacated due to retention challenges stemming from the project's geographic location and other related issues. The PE Entry Readiness Report identified the following key positions that the City needed to focus on filling prior to ROD:

- Chief Project Officer – filled by PMC
- Manager of Quality Assurance – filled by PMC
- Manager of Safety and Security – filled by PMC
- Manager of Real Estate – filled by City
- Chief Project Controls – filled by PMC
- Contracts Administrator – filled by City

Some of the key positions have been filled by the PMC due to retention challenges stemming from the project's geographic location, limited salary structure, or lack of qualified candidates. Although there is no set timetable for replacing the PMC with City staff, the City has developed a Staffing Plan and has begun to advertise city positions currently filled by the PMC. The need for PMC staff will diminish as the City fills key management positions. Until such time, it will be necessary for the City to continue supplementing its staff with PMC staff. It is the PMOC's professional opinion that a five-year timetable from the approval to enter PE in October 2009 is needed to provide enough lead time to perform the recruitment, selection and training for replacing the PMC with City staff. The PMOC believes that the resource demands associated with the PE and Final Design phases of a \$5 billion project require full time and concentrated attention and continuity within the Grantee's organization for smooth transition into future phases.

The City has made an improvement in hiring additional staff needed for the project since the PE Entry Readiness Report. However, more work is needed to accomplish the required staffing levels anticipated by the City. The City has 128 positions budgeted for FY 2012, including all current positions. Of the 128 positions budgeted, the City has currently filled 35 full time positions with another 18 full time positions are to be filled by February 2011. It is expected that the transition from current to proposed staff size and composition would occur over the years of 2011 to 2013. It is anticipated that the 2013 staffing pattern would remain applicable for several years thereafter. The PMC currently has filled 25 positions and they are in the process of negotiating Amendment #1 for additional PMC staffing hired for critical positions the City was unable to fill. The critical positions that have been filled or are to be filled by the PMC are as follows:

- Senior Cost Analyst
- Assistant Project Officer Utility, Agency & Permit Coordination
- Manager of Rail Communications
- Deputy Director of Project Finance

City positions remain vacant or vacated due to retention challenges stemming from the project's geographic location and other related issues. The City has developed a Staffing Plan and has begun to advertise city positions currently filled by the PMC.

The City is actively recruiting the following staff (target start date in parentheses):

- Two Mechanical Engineer III (1st Quarter 2011)
- Utilities Engineer (1st Quarter 2011)
- Contract Change Specialist (1st Quarter 2011)
- Two Civil Engineer III (1st Quarter 2011)
- Electrical Engineer IV (1st Quarter 2011)
- Civil Engineer VI (1st Quarter 2011)
- Financial Planner (1st Quarter 2011)
- Data Processing System Analyst (1st Quarter 2011)
- Information Technology Technician (1st Quarter 2011)
- Labor relations Specialist (1st Quarter 2011)
- Secretary II (1st Quarter 2011)
- Senior Clerk (1st Quarter 2011)
- Deputy Project Officer (1st Quarter 2011)

The City has recently added the following staff (start date in parentheses):

- Asset Manager (January 2011)
- Civil Engineer VI "Senior Structural" (January 2011)
- Civil Engineer III "Maintenance and Storage Facility" (January 2011)

The PMC has recently added the following staff (start date in parentheses):

- Senior Cost Analyst (January 2011)
- Transit Arts Coordinator (January 2011)
- Interim Utility Coordinator (TBD)
- Agency Coordinator (January 2011)
- Senior Advisor to assist with creation of HART (January 2011)

The City also issued an RFP for Real Estate Professional Services on November 17, 2010 and selection is anticipated by April 2011, which will enhance the Technical Capacity and Capability of the Manager of Real Estate.

The PMOC began a Technical Capacity and Capability (TCC) review of the project staff. The following personnel were interviewed:

- Deputy Project Officer Controls & Administration – Frank Doyle (City)
- Assistant Project Officer Design-Build Contracts – Lorenzo Garrido (PMC)
- Assistant Project Officer Facilities – In-Tae Lee (City)
- Safety and Security Manager – Kahlil Allen (PMC)
- Quality Manager – Alberto Bonifacio (PMC)
- Manager of Rail Communications – Jeannie Mariani-Belding (PMC)
- Assistant Project Officer Design-Bid-Build Contracts – Richard Torres (City)

- Assistant Project Officer Utility, Agency & Permit Coordination – Vicki Barron-Sumann (PMC)
- Manager of Project Controls – Mark Hickson (PMC)

It is the PMOC's professional opinion that the Project organization, staffing, and management approach provides the technical capability to support the City's initial implementation of the project during PE. However, the PMOC has recommended that the City identify additional key positions (other than those identified in the PE Entry Readiness Report and listed above) that should be filled by City employees. The City has identified the Senior Cost Controls Analyst, Project Labor Agreement Specialist and Procurement Specialists as critical positions that need to be filled by the City. The City feels confident that they can fill these critical positions. However, if they have problems filling these critical positions, the PMC will be asked to fill them. These positions should be identified in the Staffing Plan and should be a priority for recruitment.

2.1.2 Transit Authority

During the November 2010 election, an amendment to the Revised Charter of the City and County of Honolulu 1972 (as amended) was approved by voters to allow for the creation of a public transit authority. The new authority will be responsible for the planning, construction, operation, maintenance, and expansion of the City's fixed guideway mass transit system. This authority, which is to be named the Honolulu Authority for Rapid Transportation (HART), will become effective on July 1, 2011. As a result of the election, the City has begun taking measures to fill the positions necessary to not only implement this Project but establish a new transit authority. The City has indicated that the next update of the PMP, which is anticipated to be submitted for review in December 2010, will support their request to enter Final Design but will only address the new transit authority in general terms. They will require additional time to fully vet the impacts of a new authority on their staff and their management approach. It is anticipated that an update to the PMP will be submitted after July 1, 2011 that will address the new transit authority in detail. Text of the full resolution can be found at the following link:

<http://www4.honolulu.gov/docushare/dsweb/Get/Document-95397/RES09-252,%20CD1.pdf>

The City has developed a flowchart that identifies key actions required along with their target dates for the creation of the new transit authority. This flowchart was transmitted to the FTA and PMOC on February 14, 2011.

2.1.3 Project Office

The City reached an agreement for a 10-year lease on the 23rd floor of their building on December 1, 2010, which will provide for an additional 17,000 square feet of office space to the existing 18,000 square feet of office space on the 17th floor. The City, PMC, and a portion of the GEC staff will continue to be co-located and will utilize the additional office space. Some project staff moved into this new office space in early January 2011. The 23rd floor only provides enough space for approximately 65 personnel. It is the PMOC's professional opinion that the additional floor will provide sufficient space too effectively and efficiently progress the project during the advanced PE and Final Design phases of the project. However, additional office

space may be needed with the creation of a new public transit authority and as the project advances into full construction and start-up due to the staffing expectations for the project.

2.1.4 Project Controls for Scope, Quality, Schedule, Cost, Risk and Safety

System Safety and Security

- The State of Hawaii has established Executive Order No. 10-05 effective April 6, 2010, designating the State Department of Transportation (HDOT) as the State of Hawaii Rail Fixed Guideway Oversight Agency.
- Revision 2.0 of the Safety and Security Management Plan (SSMP) and Revision 0 of the Safety and Security Certification Plan (SSCP) were submitted to the PMOC for review on April 5, 2010. The PMOC reviewed and provided comments to the City on April 28, 2010. A conference call was held with the City on May 14, 2010 to provide them with further clarification to the PMOC's comments provided. The intent of the PMOC comments was to assist the City with updating the documents prior to Final Design. The FINAL DRAFT of Revision 2.0 of the SSMP was submitted to the PMOC for review in January 2011. An update of the SSCP is anticipated in February 2011.
- The PMOC intends to hold a safety and security workshop that could include representatives from FTA Region IX, FTA Headquarters, and HDOT. The tentative timeframe for the workshop is summer 2011.
- The System Safety and Security Program Standards (SSPPS) is an important part of HDOT's comprehensive safety and security assessment. Each of the rail fixed guideway systems covered under this Program (currently the Honolulu High Capacity Transit Corridor Project) is required to develop a System Safety Program Plan and System Security Program Plan that formalizes the safety and security duties and responsibilities of the transit organization and ensures a process for identifying and correcting safety and security hazards. The City will be assisting the State Oversight Agency (SOA) with procuring a consultant to develop the SSPPS in early 2011. It is the PMOC's professional opinion that the schedule to procure a consultant and for the consultant to develop the SSPPS could take up to a year. It is critical for the City and the SOA to begin the process immediately. The PMOC received a copy of the SOA's draft program schedule on December 3, 2010. Since a new governor took office on December 6, 2010 the City has indicated that there will be a new Director of Transportation for HDOT appointed and he/she will select a new SOA lead in early 2011. The draft program schedule was based on the outgoing SOA and the dates specified seem aggressive and untenable. It is the PMOC's professional opinion that a revised program schedule will need to be updated once the new SOA takes over the responsibilities for establishing the SSPPS.

Quality

- The City performed a Quality Audit of the GEC I PE products from November 17-19, 2010. The City's QA Manager issued the results of the QA Audit to the General Manager and GEC I on December 2, 2010. The QA audit resulted into one Non-Conformance Report (NCR) for Design Control Procedures and three observations for Document

Control/QA Records, Computer Program Verification and Certifications and Non-Conformances. The GEC I consultant has performed a majority of the early PE design for the DB, DBOM and DBB contracts that the City has issued for bid or are in the process of issuing for bid. The PMOC had strongly recommended that the project Quality Assurance Manager perform a Quality Audit before the City issues NTP for the GEC II contract to identify any potential issues. The GEC responded to the report on December 10, 2010 and the City has verified that the corrective and preventive actions were in place.

2.1.5 Compliance with Applicable Statutes, Regulations, Guidance and FTA Agreements

National Environmental Policy Act (NEPA)

- The Notice of Availability of the Final Environmental Impact Statement (FEIS) was published in the Federal Register on June 25, 2010. The comment period was extended to August 26, 2010.
- The ROD was issued on January 18, 2011.
- The WOFH Segment DB Contract will utilize an existing facility for precasting and prestressing the concrete guideway segments. The casting facility, located in Campbell Industrial Park, is approximately 27 acres and is in close proximity to the WOFH project. GPRM Prestress is a certified plant under the PCI (Precast/Prestressed Concrete Institute) Certification Program.
- A lawsuit was filed against the Project in January 2011. The lawsuit, filed by the Native Hawaiian Legal Corporation, alleges that government officials and agencies circumvented the procedures to identify and protect Native Hawaiian burial sites.

Letters of No Prejudice (LONP)

- In a December 1, 2009 letter to the City, the FTA clarified its policies and procedures related to LONPs. The letter states, "After completion of NEPA, FTA will consider LONPs for activities not covered by automatic pre-award authority on a case by case basis. Absent of pre-award authority or an LONP, no project cost can be incurred and be eligible for reimbursement or as local matching for any portion of the entire 20 mile alignment." The City submitted a White Paper to FTA on January 6, 2011 regarding an approach they would like to consider for LONPs. This approach will be refined as the City continues preparations of their request to enter Final Design.

The most critical LONP will be for the WOFH DB Project. The City anticipates Kiewit will complete all work authorized under NTP #1, 1A, 1B & 1C in May 2011. The City is in the process of issuing NTP #2 in February 2011 for utility relocations since the ROD was issued. However, Kiewit's approved schedule indicates construction starting in the fall of 2010. This did not occur. Based on the LONP checklist the City will need an updated cost estimate, updated schedule, Risk Assessment, Risk and Contingency Management Plan, and Financial Management Plan before an LONP could be considered by the FTA. The FTA will consider LONPs for activities not covered by automatic pre-award authority on a case-by-case basis following completion of the NEPA process.

2.2 Project Scope

The Project is a 20-mile fixed guideway rail system along Oahu's south shore between East Kapolei and Ala Moana Center. This Project is based on the Airport Alignment, which currently includes 21 stations. The alignment is elevated, except for a 0.5-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 (6 miles/7 stations)
- Segment II (Kamehameha Highway) – Pearl Highlands to Aloha Stadium (4 miles/2 stations)
- Segment III (Airport) – Aloha Stadium to Middle Street (5 miles/3 stations)
- Segment IV (City Center) – Middle Street to Ala Moana Center (4 miles/9 stations)

The alignment will average a total of 97,500 weekday boardings at the Revenue Operations Date in the year 2019 and 116,300 weekday boardings in the year 2030. It will provide two significant areas with potential for Transit Oriented Development, one near the Airport and one in the surrounding industrial areas. It is anticipated that the initial fleet will include 76 "light metro" rail vehicles.

2.2.1 Status of Design/Construction Documents

The City has submitted substantial technical information related to their completion of PE activities, as identified in Appendix C (PE Status by Contract). The PMOC continues to review all items to determine the disposition of its assessment on the City's definition of the project scope through drawings, specifications, narratives, third party agreements, plans for the project delivery, etc, for adequacy and completeness at the completion of PE. The PMOC submitted a WORKING DRAFT of the Project Scope Review to FTA in January 2011. This report will be updated upon receipt of the proposals from the selected contractors for the Kamehameha Highway DB Contract and CSC DBOM, which will be available in March 2011.

The City held a Value Engineering Workshop the week of April 19-23, 2010, which the PMOC attended as an observer. The focus of the workshop was originally to include the Airport Segment Guideway and Utilities, City Center Segment Guideway and Utilities, and station packages. However, the City has subsequently determined that the workshop will only focus on the station packages. The objective of the VE workshop was to provide value engineering for six stations along the alignment – West Loch, Pearl Highlands, Aloha Stadium, Kalihi, Downtown, and Ala Moana Stations, representing elevated stations with and without concourses, direct access stations, and unique stations. As part of VE, the team was expected to consider not just ways of cutting costs, but also ways to reduce project risks, enhance operations, and bring to light any improvement opportunities that may exist.

Through the DB procurement, the City allows for submittal of Alternate Technical Concepts for the contractors, which satisfies the Value Engineering requirement during PE.

The City has scheduled a VE Workshop for the Airport and City Center Guideway and Utility Relocation packages from April 11-15, 2011. Although, the PMOC will have completed the Project Scope Review by the time this VE workshop is held, the PMOC will include any critical observations from a review of the VE report in the PMOC Final Design Readiness Report. The PMOC will attend the VE Workshop as an observer. The PMOC will monitor that all VE recommendations are reviewed by the City, and those that are accepted are implemented accordingly during PE and Final Design.

The final VE Report for Stations and the Alternative Technical Concepts (ATC) Report from the DB proposals were provided to the PMOC in October 2010. This included a list of the VE recommendations that the City intends to implement. The PMOC has reviewed the final VE report to ensure that the purpose and objectives were met, the findings were adequately summarized, and an action plan was developed. The table below presents the summary of VE results provided by the City.

Source	No. of Proposals Received	Estimated Value (M)	No. of Proposals Accepted	Estimated Value (M)
VE Workshop for Stations	30	\$318.5	26	\$104.1
ATC Proposals – WOFH DB Contract	29	\$85.4	13	\$60.5
ATC Proposals – KH DB Contract	16	\$29.0	7	\$18.3
ATC Proposals – MSF DB Contract	11	\$16.1	5	\$2.7
ATC Proposals – CSC DBOM Contract	41	\$35.6	15	\$15.5
TOTAL	127	\$484.6	66	\$201.1

2.2.2 Status of Third-Party Agreements

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

Agreement	Completion Date	Segment/Contract	Status
University of Hawaii Master Agreement	Pending	I, II	UH Reviewing
Leeward Community College Sub-agreement	Pending	I	UH Reviewing
Department of Education Master Agreement (Waipahu High School)	Pending	I	Awaiting City Council approval.
Department of Education Consent to Construct	Pending	I	DOE Reviewing
DHHL Master Agreement (Drum Site)	10-Mar-10	I/MSF	Executed
Department of Land and Natural Resources (DLNR) Executive Order Request for WOFH	Pending	I	Request sent to DLNR but agency will not review until after ROD
Department of Land and Natural Resources Consent to Construct for WOFH	Pending	I	Request sent to DLNR but agency will not review until after ROD
Easement Request for Navy Property	Pending	MSF	Navy is processing request
HDOT Master Agreement – Segment I	Pending	I	Joint Use and occupancy agreement can now be executed since ROD has been issued.
Department of Hawaiian Homelands (DHHL) License Agreement	Pending	I/MSF	Under review by DHHL
General Services Administration (GSA) Agreement	Pending	III,IV	Pending
Hawaii Community Development Authority (HCDA) Agreement	Pending	IV	Pending

The following table provides a summary and status of the Utilities Engineering Services Agreements for the Project:

Utility	West Oahu/Farrington Highway DB Contract	Kamehameha Highway DB Contract
AT&T Corporation	Purchasing waiting for outstanding certificates from utility	Engineering cost requested
Chevron Products Company	Complete	Engineering cost requested
Hawaiian Telecom, Inc.	Complete	Engineering cost requested
Hawaiian Electric Company, Inc	Compensation through agreement with GEC	Cost Received from utility
Oceanic Time Warner Cable	Complete	Engineering cost requested
Pacific LightNet Inc.	Complete	Engineering cost requested
Sandwich Isle Communications Inc.	Complete	Engineering cost requested
The Gas Company	Complete	Cost Received from utility
TW Telecom	Complete	Cost Received from utility
Tesoro Hawaiian Corporation	Request cancelled since utility has no impacts on this contract	Engineering cost requested

2.2.3 Delivery Method

Appendix B provides the status of the various design and construction contracts associated with this Project. The following is a list of contracts, delivery methods and contract packages anticipated for the project (number in parentheses indicates number of anticipated contracts if more than one):

- Professional Services

- Project Management Consultant (PMC)
- General Engineering Consultant (GEC)
- Legal Services
- Leadership in Energy and Environmental Design (LEED) Commissioning
- Insurance Consulting for Owner Controlled Insurance Program
- Drilled Shaft Load Testing
- Real estate support consultant
- Design and Construction Services
 - Guideway & Utilities Design (2)
 - Stations Design (7)
 - Design-bid-build (DBB) Construction Engineering Inspection (5-7)
- Construction and Procurement Contracts
 - 3 Design-Build Contracts – Guideway (2) and MSF
 - Design-Bid-Build Contracts
 - Stations (7)
 - Utility Relocation (2)
 - Guideway Construction (2)
 - System-wide Landscaping
 - Vehicle/Core Systems Design-Build-Operate-Maintain (DBOM)
 - Elevator/Escalator

In accordance with the Contract Packaging Plan developed by the City, construction of the project guideway is to be implemented in four segments. A summary of the Contract Packaging Plan for PE is currently included in the PMP as the project delivery approach for the Project. The method of delivery for the four guideway segments is as follows:

- Segment I – East Kapolei to Pearl Highlands – DB
- Segment II – Pearl Highlands to Aloha Stadium – DB
- Segment III – Aloha Stadium to Middle Street Station – DBB
- Segment IV – Middle Street Station to Ala Moana Center – DBB

The DB approach is being planned to advance the project schedule in order to minimize escalation costs and start construction of the initial portion of the project while the remainder of the project proceeds through the DBB process. Work on these early contracts (Segments I & II, Maintenance and Storage Facility and Core Systems) is planned to be initiated after the ROD but ahead of the FFGA, utilizing excise tax funding. However, as noted above, any design activities beyond PE or construction activities not covered by automatic pre-award authority would require an LONP, which would be considered on a case-by-case basis.

2.2.4 Vehicle Status

Vehicle procurement is included in the Core Systems DBOM Contract, the status of which is discussed in Appendix B.

The current assumptions for the vehicles include a total active rail car fleet of 76 “light metro” railcars. The railcar being proposed is an automated light metro car, similar to railcars currently

in operation in Vancouver, Copenhagen, and Oslo, but not in the United States. The railcar would have three doors per side and a length of approximately 60 feet. Vehicles could run in two-, three-, or four-railcar trains. Following is a summary of the anticipated vehicle characteristics (subject to change based on proposals that will be received from DBOM contractors):

- 76 light metro vehicles (identified as heavy rail in SCC workbook)
- Standard gauge, steel wheel on steel rail
- Fully automated, manual operation possible (hostler panel)
- Nominal vehicle dimensions:
 - Length: 60 feet
 - Width: 10 feet
 - Height: Up to 13.3 feet
 - Floor Height: 3.77 feet above top of rail (at entry)
- Nominal Passenger Capacity: 190 per vehicle (AW2 load)
- Electric traction via third rail, nominal 750V direct current supply, all axles powered
- Semi-permanently coupled, bi-directional trainsets
- Wide gangways between end and middle cars
- 2 to 3 double passenger plug doors per side (per car)
- Manual crew doors with steps
- Dynamic / regenerative braking
- Alternating current propulsion
- 30+ year design life

2.3 Project Management Plan and Sub-Plans

The following table presents the status of each City-provided management deliverable. The “Date of Current Revision” column indicate management deliverables that have been prepared prior to or during PE per the requirement of the PE approval letter. The “Anticipated Date for Next DRAFT Submission” indicates the target date for submission of a DRAFT update of each deliverable to the PMOC for review. The “Anticipated Date for Final Document to Support FD Request” indicates the target date for submission of a final document, with no additional changes expected prior to approval to enter Final Design.

Management Deliverable	Current Revision No.	Date of Current Revision	Anticipated Date for Next DRAFT Submission	Anticipated Date for Final Document to Support FD Request	Notes
Project Management Plan (PMP)	4	10-Dec-10	15-Mar-11	Mar-11	City is in the process of updating the PMP based on PMOC comments
Quality Management Plan (QMP)	0	01-Jan-11	N/A	N/A	Document finalized
Real Estate Acquisition and Management Plan (RAMP)	4	21-Dec-10	N/A	N/A	Document finalized
Bus Fleet Management Plan (BFMP)	2	Jun-10	N/A	May-11	BFMP will be finalized based on data from Financial Plan
Rail Fleet Management Plan (RFMP)	0	Apr-09	Feb-11	Apr-11	Update will be based on information from Core Systems Contractor
Safety and Security Management Plan (SSMP)	2	01-Apr-10	11-Jan-11	Mar-11	PMOC provided review comments
Safety and Security Certification Plan (SSCP)	1	Feb-10	25-Feb-11	Mar-11	Review comments for Rev 0 provided 28-Apr-10
Configuration Management Plan (CMP)	0	23-Dec-10	N/A	N/A	Document finalized

2.4 Project Schedule Status

The PMOC performed an over the shoulder review of the draft Master Program Schedule (MPS) on November 3, 2010 during which the PMOC provided their opinion and verbal comments to the City. The City submitted a revised MPS on January 7, 2010. The revised MPS (data date of December 31, 2010) and Basis of Schedule were reviewed by the PMOC. The PMOC identified several items that required correction in both the Basis of Schedule and MPS. The PMOC met with the City on February 8, 2011 to review these items. The City anticipates providing the revised information in late February 2011. The City anticipates approval to enter Final Design in September 2011. This target is possible if the City meets the submittal dates for all outstanding items in the Final Design Roadmap.

A major re-planning of the project schedule included the reduction from six (6) phased openings to three (3). The proposed revised opening dates are as follows:

- Target opening for West Oahu/Farrington/Kamehameha Sections – November 2015
- Target opening for Airport Section – October 2017
- Target opening for City Center Section (Full Revenue Service) – February 2019

The table below provides a comparison of key milestone dates at the start of PE and in the current MPS.

Activity ID	Delivery Method	Milestone Description	Finish Date		Variance (Days)
			PE Entry Baseline	MPS (Data Date 31-Dec-10)	
D250	N/A	FTA Approve Entry into Final Design	10-Aug-10	16-Aug-11	(371)
F270	N/A	FTA Award Full Funding Grant Agreement	11-Sep-10	6-Sep-12	(726)
I997	DB	Open Waipahu to Leeward Section	14-Dec-12	N/A*	N/A*
M999	DB	MSF Complete	01-Oct-13	16-Sep-14	(350)
I998	DB	Open East Kapolei to Leeward CC Section	31-Jul-14	N/A*	N/A*
I999	DB	Open Leeward CC - Pearl Highlands Section	27-Apr-15	N/A*	N/A*
J999	DB	Open Kamehameha Section	14-Sep-16	16-Nov-15	303
Z999	DBB	Open Airport Section	31-Oct-17	10-Oct-17	21
9999	DBB	Open to Ala Moana Center *** (ROD) ***	03-Mar-19	17-Feb-19	(14)

* N/A since there has been a reduction from six (6) phased openings to three (3).

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

Period: March 2011 – May 2011		
Activity	Responsibility	Date
Monthly Progress Meeting	City, PMC, GEC and PMOC	March 9, 2011
Monthly Progress Meeting	City, PMC, GEC and PMOC	April 5, 2011
Risk Assessment Workshop #1	City, PMC, GEC and PMOC	April 6-8, 2011
VE Guideway Workshop	City, PMC, GEC and PMOC	April 11-15, 2011
Risk Assessment Workshop #2	City, PMC, GEC and PMOC	April 26-28, 2011
Monthly Progress Meeting	City, PMC, GEC and PMOC	May 11, 2011 (tentative)

2.5 Project Cost Status

The Project Budget submitted with the City's request to enter PE is as follows:

Base Cost Estimate	\$3.838 billion
Total Contingency	\$1.219 billion (31.8% of Base Cost Estimate)
Finance Charges	\$0.290 billion
Total Project Cost	\$5.348 billion

Additional project costs include the following:

Pre-PE Expenditures	\$0.082 billion
Financing Charges	\$0.103 billion (post-revenue operations)
Grand Total Project Cost	\$5.532 billion

Total Expenditures to Date \$0.143 billion (December 2010) (excludes pre-PE costs)

The PMOC provided an over the shoulder review of a draft bottoms-up cost estimate with the City on November 2, 2010, during which the PMOC provided their opinion and verbal comments to the City during this over the shoulder review. A bottoms-up cost estimate was provided to the PMOC on January 5, 2011. However, after further discussions during the January 2011 Monthly Meeting, the City has determined that they will include the actual bid amounts for

the Kamehameha Highway Guideway DB Contract and Core Systems DBOM Contract upon receipt of those bids. A revised bottoms-up cost estimate will be provided in March 2011.

2.5.1 Standard Cost Category (SCC)

The SCC Workbook, including Main and Inflation worksheets, is submitted as a separate electronic file. However, the City is in the process of updating their detailed bottoms-up estimate.

2.5.2 Funding Sources

The following are the project capital revenue (funding) sources provided by the City during the January 2011 Progress Meeting:

General Excise Tax (GET)	\$3.698 billion
Section 5309	\$1.550 billion
Section 5307	\$0.300 billion
ARRA (Section 5307)	\$0.004 billion
Interest	\$0.011 billion
Total	\$5.563 billion

The GET surcharge receipts received to date are approximately \$585.4 million. Additional surcharge revenues are received approximately 30 days following the end of each quarter.

The City is hopeful that it will be able to reduce the need for Section 5307 funds through project development (.i.e. refined Base Cost Estimate and revenue estimates during PE) and an aggressive bidding environment.

2.6 Project Risk

The PMOC completed a scope, schedule, and cost review in advance of completing a risk review of the Project as part of the evaluation of the Grantee's request to enter PE. A FINAL Spot Report was submitted in July 2009. The Spot Report included recommendations for cost and schedule contingency and identified key risks. However, this effort did not include development of risk management tools (e.g., Primary Mitigation Deliverables, Secondary Mitigation Activities, or a Risk and Contingency Management Plan). These risk management tools will be developed in conjunction with an update of the risk assessment to support the City's request to enter Final Design.

The PMOC received the GEC Risk Register on October 27, 2010. PMOC comments on the risk register were discussed on December 7, 2010. The City submitted the GEC Risk Report to FTA/PMOC on January 6, 2011. The PMOC appreciates the City being proactive and performing its own Risk Assessment, and the PMOC will be able to utilize much of the information provided by the City. However, the PMOC will perform a thorough evaluation of all aspects of the Project technical capacity and capability, scope, schedule, and cost when preparing for the fully independent FTA Risk Review. The following table presents the dates for all key activities or deliverables associated with completion of the Risk Review. It should be

noted that this is a subset of the Final Design Roadmap and does not include all activities necessary to enter Final Design.

Activity/Deliverable	Responsible Party	Original Target Date	Current Target Date	Note
Basis of Schedule	City	18-Jan-11	23-Feb-11	Complete
KHG DB Contract Proposal	City	31-Jan-11	14-Feb-11	
CSC DBOM Contract Proposal	City	08-Feb-11	02-Mar-11	
Updated Cost Estimate	City	25-Feb-11	15-Mar-11	
Updated Basis of Cost Estimate	City	25-Feb-11	15-Mar-11	
Escalation Model	City	04-Mar-11	22-Mar-11	
SCC Workbook	City	04-Mar-11	22-Mar-11	Updated SCC Workbook is necessary to prepare risk model in advance of Workshop #1
Financial Plan (DRAFT)	City	18-Mar-11	01-Apr-11	DRAFT plan will be submitted but cannot be finalized until after Workshop #2
RA Workshop #1	PMOC	22-Mar-11	06-Apr-11	
Preliminary RA results submitted to FTA	PMOC	01-Apr-11	15-Apr-11	PMOC will prepare draft findings and submit to FTA for review and concurrence prior to Workshop #2
RA Workshop #2	PMOC	19-Apr-11	26-Apr-11	PMOC to present results to City

2.7 Action Items

Item No.	Item	Responsible Party	Date Identified	Date Due	Date Completed	Status
1	Schedule Safety and Security Workshop	FTA/PMOC	4-Nov-09	Jun-11		Open
2	City to coordinate meeting with PMOC and State Oversight Agency	City	Jul-10	Apr-11		Open
3	Provide Sample FFGA Roadmap	PMOC	Oct-10	Feb-11		Open
4	Provide PMOC with Real Estate Professional Services Request For Proposal Part 2	City	Oct-10	Feb-11		Open
5	Provide example of environmental reporting	PMOC	Dec-10	Feb-11		Open
6	Provide Transportation Safety Institute (TSI) Rail System Safety Agenda	City	Jan-11	Jan-11	Jan-11	Closed
7	Provide list of ROW appraisals previously provided to FTA for review	City	Jan-11	Jan-11	Jan-11	Closed
8	Provide Honolulu Authority for Rapid Transportation (HART) Roadmap	City	Jan-11	Jan-11	Feb-11	Closed
10	Include cash flow curve in monthly presentation and monthly report	City	Mar-11	Mar-11		Open
11	Provide updated organization chart with affiliation and names	City	Feb-11	Feb-11		Open

APPENDICES

Appendix A: Acronym List

ATC	▪ Alternative Technical Concept
BAFO	▪ Best and Final Offers
BFMP	▪ Bus Fleet Management Plan
CSC	▪ Core Systems Contract
DB	▪ Design-Build
DBB	▪ Design-Bid-Build
DBOM	▪ Design-Build-Operate-Maintain
DHHL	▪ Department of Hawaiian Homelands
FD	▪ Final Design
FEIS	▪ Final Environmental Impact Statement
FFGA	▪ Full Funding Grant Agreement
FONSI	▪ Finding of No Significant Impact
FTA	▪ Federal Transit Administration
FY	▪ Fiscal Year
GEC	▪ General Engineering Consultant
GET	▪ General Excise Tax
HAR	▪ Hawaii Administrative Rules on Procurement
HDOT	▪ Hawaii Department of Transportation
HHCTC	▪ Honolulu High Capacity Transit Corridor Project
LCC	▪ Leeward Community College
LEED	▪ Leadership in Energy and Environmental Design (LEED)
LONP	▪ Letter of No Prejudice
MSF	▪ Maintenance and Storage Facility
NEPA	▪ National Environmental Policy Act
NOA	▪ Notice of Availability
NTP	▪ Notice to Proceed
PA	▪ Programmatic Agreement
PE	▪ Preliminary Engineering
PMOC	▪ Project Management Oversight Contractor
PMP	▪ Project Management Plan
PMC	▪ Project Management Consultant
QMP	▪ Quality Management Plan
RA	▪ Risk Assessment
RAMP	▪ Real Estate Acquisition and Management Plan
RFMP	▪ Rail Fleet Management Plan
RFP	▪ Request for Proposals
RFQ	▪ Request for Qualifications
ROD	▪ Record of Decision
ROD	▪ Revenue Operation Date
RPZ	▪ Runway Protection Zone
SOA	▪ State Oversight Agency
SSCP	▪ Safety and Security Certification Plan
SSEPP	▪ System Security and Emergency Preparedness Plan
SHPO	▪ State Historic Preservation Office
SSMP	▪ Safety and Security Management Plan
SSPP	▪ System Safety Program Plan
VE	▪ Value Engineering
WOFH	▪ West Oahu/Farrington Highway
YOE	▪ Year of Expenditure

Appendix B: Contract Status

The following sections provide the scope and status of the various contracts identified for this Project.

Project Management Consultant (PMC) Contract.

- Scope – The consultant will serve as a program manager in providing oversight of the PE, FD, and construction activities for all DB and DBB contracts.
- Status – The City awarded a contract to InfraConsult LLC in November 2009 to provide Project Management Support Services. The PMC Agreement is for five years with a Not-to-Exceed amount of \$36.7 million. The PMC is negotiating Amendment #1 for approximately \$6 million for additional staffing hired by the PMC that the City was unable to fill through direct hiring.

General Engineering Consultant (GEC I) Contract

- Scope – The City has contracted with Parsons Brinkerhoff (PB) to serve as the GEC in completing PE/EIS efforts for the Project. The scope of work for this contract includes PE for all Project components. For those items that will be constructed utilizing Design-Build (DB) methodology, the GEC was required to prepare contract documents that would be included in a two-step Best Value procurement package.
- Status – The City issued a NTP for the GEC I contract on August 27, 2007. The period of performance of the contract was August 2007 to March 2010. Six contract amendments have been issued extending the period of performance to February 25, 2011 and authorizing total budget of \$144 million. The City is in the process of issuing a seventh contract amendment from February 25, 2011 to March 31, 2011 to provide the City with sufficient time to complete GEC II negotiations and issue NTP #1. The pre-PE costs for the GEC I contract were approximately \$88.6 million.

General Engineering Consultant (GEC II) Contract

- Scope – The consultant will provide services related to elevated guideway engineering, systems engineering, rail station design, construction management oversight, procurement, contract administration, configuration control, claims support, scheduling, project financing and environmental planning. After the qualifications are evaluated and the top qualifier is selected, the City will develop the detailed scope of the contract. The GEC II Contract will include a ten year period of performance. The City expects to hire separate Construction Engineering and Inspection firms to provide field services for the DBB contracts.
- Status – The City has begun procurement of the General Engineering Consultant (GEC) contract (GEC II). Due to the length of time that had elapsed between submittal of proposals and the potential date for selection (October 2010), the City allowed the proposers to “refresh” their proposals. This allowed the consultants that submitted proposals an opportunity to provide the City with the most current staffing available rather than submitting substitution of personnel whose expertise and experience are equivalent to that which would have been provided by the originally listed personnel. The City has ranked Parsons Brinkerhoff as the top rated firm during the procurement of

the GEC II contract. Negotiations are underway, and NTP is anticipated to be issued in the latter part of March 2011.

Hawaii Department of Transportation (HDOT) Consultant

- Scope – HDOT does not have the staff necessary to complete reviews of DB plans, Maintenance of Traffic (MOT) and perform the necessary construction inspection of the four guideway segments. Since most of the guideway will be located along HDOT right-of-way, it is necessary for HDOT to perform permit reviews of the DB plans and perform the final inspections. Therefore, the City has begun procurement of two contracts on HDOT's behalf for consultants to support HDOT with design review, MOT and construction inspection services. HDOT will manage the selected firms, but all related consultant costs will be paid from the project budget.
- Status – The City has included the costs of the HDOT reviews in the original project budget. Selection of a consultant and negotiations are anticipated to be completed in December 2010 for the design review and construction inspection services. The City is negotiating with the top ranked firm for Maintenance of Traffic reviews. They anticipate issuing an NTP in March 2011.

Profession Real Estate Services Consultant

- Scope – Support project real estate staff with acquisition, relocation and property management.
- Status – The City issued RFP Part 1 on November 17, 2010. Responses are expected on January 31, 2011. RFP Part II is anticipated to be issued by the end of February 2011. The City anticipates a selection in April 2011.
- Issues or Concerns – It is the PMOC's professional opinion that this approach should provide the technical capacity to support the City's Right of Way (ROW) activities.

Owner Controlled Insurance Program (OCIP)

- Status – The City anticipates issuing an RFP for an Owner Controlled Insurance Program (OCIP). The city anticipates a two-step RFP process beginning in mid-February 2011 following completion of a peer review of the RFP documents. The original procurement of an insurance consultant to help manage the OCIP was delayed due to protests. The City has resolved the protests and can now proceed with issuance of a new RFP. The City has noted that there was no cost impact realized as a result of the protest. RFP Part II is anticipated to be issued in March 2011. Selection is targeted to be completed in April 2011, and NTP issued in May 2011.

Cultural Resources (Kako'o)

- Status – The City anticipates issuing RFP Part I in late February 2010 for a Cultural Resources Consultant, or Kako'o, based on the requirements of the Programmatic Agreement (PA). The City will submit RFP Part I to FTA and State Historic Preservation Division (SHPD) for review approval in February 2011. The consultant will report to SHPD and the consulting parties listed in the PA.

West Oahu/Farrington Highway (WOFH) DB Contract

- Scope – This contract includes the design and construction of a portion of the guideway alignment from the initial station at East Kapolei and continuing approximately 6.8 miles to a point just east of the planned Pearl Highlands station. The alignment runs along the east side of North South Road. This portion of the guideway is being identified as the West Oahu/Farrington Highway Design-Build Contract. The guideway is comprised mostly of a two-track aerial structure with a 0.3-mile portion of twin single-track guideways and a 0.3-mile section of guideway at grade.

As the alignment approaches Leeward Community College (LCC), the guideway alignment traverses from the median of Farrington Highway to the makai side of the highway where it transitions to an at-grade section. Once at grade, the entrance(s) to the Maintenance and Storage Facility (MSF) is (are) encountered. The Guideway crosses Ala Ike Road at two locations, with the roadway passing under the guideway alignment in box-culverts. At the LCC Station, a station plaza area is planned to allow passengers to walk under the guideway to access either platform.

- Status – Kiewit Constructors was awarded a \$482,924,000 contract on November 18, 2009. Notice to Proceed (NTP) #1 was issued on December 1, 2009 to Kiewit. The maximum reimbursable amount under NTP #1 was \$27 million. NTP #1 is for approximately 90 days and the scope of work for Kiewit is limited to the elements of PE whose principal purpose is refinement and validation of information supporting the NEPA process.

The City issued NTP #1A on March 11, 2010. NTP #1A authorizes \$25.8 million for PE activities to be completed. They then issued NTP #1B on March 23, 2010 authorizing interim design activities. NTP #1B authorizes \$21.2 million for added definitive and interim PE activities to be completed. The City has indicated that NTP #1A and NTP #1B would provide sufficient work for the contractor through approximately July 2010. The City issued NTP #1C to Kiewit on June 7, 2010 to authorize \$3.5 million for test and demonstration drilled shafts to complete the deep foundations interim design. Work authorized under NTP #1C began on October 18, 2010 and is anticipated to be completed in February 2011. The City anticipates Kiewit will complete all work authorized under NTP #1, 1A, 1B & 1C in March 2011. The load test program for method and test shafts is anticipated to be completed in February 2011, and geotechnical investigation activities are to be completed in May 2011. The City issued NTP #1D for approximately \$8.7 on January 6, 2011 to cover administrative costs and bonds through June 2011.

The City believes, and the PMOC concurs, that all work authorized under these NTPs is consistent with the permission the City received from FTA to enter PE. The City is also anticipating issuing NTP #2 in February 2011 for work activities related to the relocation of utilities based on the City's pre-award authority associated with the FTA's issuance of a ROD. The amount reimbursable under NTP #2 is approximately \$63 million.

The City will need to seek Letter(s) of No Prejudice for any work beyond the scope of NTP #2. NTP #3 is to be issued for Final Design work activities, as defined by the City. NTP #4 is to be issued for construction activities.

The contractor has provided the City with the Definitive Design Submittals and has begun preparing Interim Design submittals.

The City has received 56 Contractor Requests for Change (RFCC) and has issued 14 Requests for Change (RFCR) for Kiewit to review. The RTD Change Control Board approved five no cost and no time change RFCRs in November 2010 and sent to the Contractor for signature.

- Schedule – The City has approved the schedule submittal, and the PMOC has received a copy of the schedule electronic file approved by the City on May 20, 2010. The contractor is preparing a schedule analysis for NTP delays.
- Cost
 - Original Contract Value – \$482,924,000
 - Current Contract Value – \$482,924,000
 - Authorized Costs for NTP #1, 1A, 1B,1C & 1D – \$96,750,438
 - Expended to Date – \$76,695,291
 - % Expended – 15.8%
 - Approved Change Orders – \$0.00
 - Total Encumbrance (City) – \$520,846,930
- Issues or Concerns
 - The executed agreement for the WOFH DB Contract calls for issuance of all four NTPs within 120 calendar days of the December 1, 2009 NTP #1 date. Since that requirement was not met, the City reviewed Kiewit's schedule of milestones and the baseline schedule to determine whether there has been a schedule or a cost impact. The City officially approved Kiewit's schedule on April 30, 2010. The City also formally responded on April 28, 2010 to Kiewit's request for change resulting in delay of NTPs # 2, 3 and 4. In their response, the City provided revised dates for Kiewit to assess the impacts of delays in the issuance of those NTPs. Specifically, the revised dates provided by the City to be used in Kiewit's assessment are as follows:
 - (1) NTP #2 – July 15, 2010
 - (2) NTP #3 – September 15, 2010
 - (3) NTP #4 – December 15, 2010

However, subsequent to the April 28, 2010 letter, the City sent an RFCR to Kiewit on September 9, 2010 that supersedes the previous dates above stating that NTPs #2, 3 and 4 would not occur until March 15, 2011 and Kiewit should revise their schedule accordingly. The PMOC has strongly cautioned the City against providing unrealistic dates to the contractor given the requirements that must be met prior to issuance of any LONPs.

- The WOFH Segment DB Contract will utilize an existing facility for precasting and prestressing the concrete guideway segments. The casting facility, located in Campbell Industrial Park, is approximately 27 acres and is in close proximity to the WOFH project. GPRM Prestress is a certified plant under the PCI (Precast/Prestressed Concrete Institute) Certification Program. It is certified to produce the following:
 - A1 – Architectural Precast Concrete Products
 - B3 – Prestressed Straight-Strand Bridge Beams (Superstructure), Precast Bridge Products (No Prestressed Reinforcement), and Prestressed Miscellaneous Bridge Products (Non-Superstructure)
 - C4 – Prestressed Deflected-Strand Structural Members, Precast Concrete Products (No Prestressed Reinforcement), Prestressed Hollow-Core and Repetitively Produced Products, and Prestressed Straight- Strand Structural Members

It is the PMOC's professional opinion that the size of the facility is sufficient to support the precasting and prestressing requirements for the WOFH DB Contract. Detail on the infrastructure of the facility, including concrete batching capacity, has not been provided at this time; therefore, the capacity of the current infrastructure cannot be assessed to determine whether modifications will be required beyond installation of precasting and prestressing beds to manufacture the elevated guideway segments specific to this project.

Kamehameha Highway Guideway DB Contract

- **Scope** – The contractor will design and construct a portion of the guideway alignment from the initial station at East Pearl Highlands to a point just east of the planned Aloha Stadium Station, a distance of approximately 3.9 miles. This portion of the guideway is being identified as the Kamehameha Highway Design-Build Contract. The guideway is comprised of a two-track aerial structure.
- **Status** – The Kamehameha Highway Guideway was originally to be constructed using DBB, but the City decided to utilize DB to take advantage of the perceived favorable bid climate. RFP Part 1 was issued on November 18, 2009, with responses received on January 5, 2010. RFP Part 2 was issued on March 19, 2010. Technical and price proposals were due September 9, 2010. However, the due date was extended to October 7, 2010, with prices now valid until April 5, 2011. Technical and price proposal evaluations were anticipated to be completed by the City on November 10, 2010. However, the City has elected to request Best and Final Offers (BAFO) from the proposers. BAFOs were received on December 30, 2010. The City intends to make a selection by the end of February 2011 with NTP #1 anticipated to be issued in March 2011.

RFP Part 2 contains PE-level documents. The contractor will advance the drawings in the RFP Part 2 contract documents to the Definitive and Interim Design levels during the Advanced PE phase of the project.

- Cost – The budget for this contract is \$323.5 million.
- Schedule – The Kamehameha Guideway DB project is approximately 48 months in duration.
- Issues or Concerns
 - The PMOC received RFP Part 2 documents on April 8, 2010 for this contract. The PMOC presented their disposition of PE completion in the “Project Scope Review” report, which was submitted as a WORKING DRAFT in January 2011. This report will be updated upon receipt of the selected proposal, which should be available in March 2011.

Maintenance and Storage Facility DB Contract

- Scope – The contractor will design and construct the MSF to accommodate 80 revenue vehicles. The maximum capacity of the site is 100 revenue vehicles. The Shop Facility will include administrative and operational offices for the agency, including an Operations Control Center. The MSF will be designed and commissioned to achieve Leadership in Energy and Environmental Design (LEED) Green Building Rating System Silver Certification, and will operate in accordance with FTA Sustainable Maintenance and Operational Standards. The scope of the contract includes the procurement of all rail materials.
- Status – RFP Part 1 was issued on May 28, 2009. RFP Part 2 was issued on July 24, 2009. Technical and price proposals were received on February 17, 2010, with prices valid until August 16, 2010. The City issued a letter of intent to award the MSF contract to Kiewit/Kobayashi Joint Venture on June 24, 2010 in the amount of \$195 million. A letter of intent to award is not a contractual obligation and does not result in issuance of an NTP as would execution of a contract. The City’s cost estimate was \$254 million. The price proposal expired on August 16, 2010, but the City sent a letter to Kiewit/Kobayashi requesting an extension of their pricing until March 15, 2011. The City sent a letter to the FTA on September 30, 2010 indicating their intention to issue NTP #1 for preliminary design by November 1, 2010. However, the City has subsequently indicated that NTP #1 will be issued in January 2011

The City did not receive a formal response from the contractor agreeing to extend their pricing. The City issued a letter on February 9, 2011 to the contractor to confirm that they will accept a contract in the amount of \$195 million based on their price proposal that was submitted on June 24, 2010. The City has indicated that NTP #1 will be issued in April 2011. The City anticipates that Kiewit/Kobayashi will submit a change order for material cost escalation since their price was only valid for 180 days from receipt, which occurred on February 17, 2010. In the FINAL DRAFT Risk Assessment Report provided by the City on January 5, 2011, an adjustment was made to the Base Cost Estimate for the material escalation associated with this contract. The City intends to negotiate a change order after issuing NTP #1. However, the PMOC recommended that the City

negotiate this change order prior to issuing NTP #1, which is anticipated to be issued by the City in April 2011.

RFP Part 2 contains PE-level documents. The contractor will advance the drawings in the RFP Part 2 contract documents to the Definitive and Interim Design levels during the Advanced PE phase of the project.

- Cost – The budget for this contract is \$254 million, of which approximately \$156 million is for MSF design and construction and the remainder, is for track material procurement.
- Issues or Concerns
 - The Memorandum of Agreement (MOA) has been executed with the DHHL or the Navy Drum Site. However, the City must sign a License Agreement with the DHHL prior to any construction beginning.
 - The City anticipates that Kiewit/Kobayashi will submit a change order for material cost escalation since their price was only valid for 180 days from receipt, which occurred on February 17, 2010. In the FINAL DRAFT Risk Assessment Report provided by the City on January 5, 2011, an adjustment was made to the Base Cost Estimate for the material escalation associated with this contract. The City intends to negotiate a change order after issuing NTP #1. However, the PMOC recommended that the City negotiate this change order prior to issuing NTP #1, which is anticipated to be issued by the City in April 2011.

Vehicle/Core Systems DBOM Contract (CSC)

- Scope – A Design-Build-Operate-Maintain (DBOM) contract is anticipated to be awarded by the City to more closely synchronize with ROD and will include the following:
 - Design and manufacture of vehicles
 - Design, manufacture, and installation of systems components including train control communications, traction power, Central Control and fare collection equipment
 - Operations and Maintenance.

The Operations and Maintenance contract will extend 5 years beyond the full build revenue date (2019), with an additional 5 year option. The Operations and Maintenance contractor will be responsible for Intermediate Operating Section Openings (6 sections including the demonstration section opening in 2012).

- Status – RFP Part 1 for the Vehicles/Core Systems Design-Build-Operate-Maintain Contract (CSC) was issued on April 8, 2009. RFP Part 2 was issued on August 17, 2009. Technical and price proposals were received on June 7, 2010, with price proposals valid until December 4, 2010. The City held a first meeting with each offeror during the week August 8, 2010 to address technical and quality components of their proposals. Informational meetings with the offerors were also held the week of September 20, 2010. The City issued a Request for BAFO on November 4, 2010. BAFO responses were received on January 18, 2011. However, based on discussions held with the three Priority Listed Offerors, the City issued a 2nd call for BAFO's on February 9, 2011. Responses are

expected the week of February 21, 2011 and NTP #1 is anticipated to be issued in April 2011.

- Cost – The budget for this contract is \$650 million, including equipment and installation.
- Issues or Concerns
 - The PMOC received RFP Part 2 documents on May 12, 2010 for this contract. The PMOC presented their disposition of PE completion in the “Project Scope Review” report, which was submitted as a WORKING DRAFT in January 2011. This report will be updated upon receipt of the selected proposal, which should be available in March 2011.
 - The PMOC participated in a workshop on August 31-September 1, 2010 with the City, PMC and the GEC to discuss the CSC Terms and Conditions and obtain a general understanding of how the RFP Part II documents were developed. The City also provided a list of the evaluation committee and technical committee to better assess the City’s approval process. The PMOC will schedule another workshop after the City selects the contractor to discuss the basis of the awarded contract and any follow up questions the PMOC may have once it reviews the final contract including any addendums issued by the City and Alternate Technical Concepts submitted by the contractor. This will assist the PMOC with assessing the Technical Capacity and Capability of the Grantee, Scope, Schedule and Cost reviews as it prepares to receive approval from the FTA to enter FD.

Airport Guideway & Utility Relocation DBB Contract

- Scope – The project delivery method for the guideway and utility relocations will be DBB. The City anticipates awarding separate construction contracts for the utility relocation and guideway. This segment extends from Aloha Stadium Station to Lagoon Drive Station.
- Status – RFQ is anticipated to be released on January 18, 2011 and responses due by March 2011. The City anticipates issuing NTP in August 2011. Utility relocation and guideway construction are anticipated to begin in late 2011 and early 2012, respectively.
- Cost – The estimated contract value will be available when the revised bottoms-up estimate is complete.
- Issues or Concerns
 - None identified at this time.

City Center Guideway & Utility Relocation DBB Contract

- Scope – The project delivery method for the guideway and utility relocations will be DBB. The City anticipates awarding separate construction contracts for the utility relocation and guideway. This segment extends from Lagoon Drive Station to Ala Moana Center Station. The guideway contract will likely now include the Ala Moana Center Station.

- Status – This segment is in the PE phase. The PE drawings are under final review by the City, and the GEC is completing quantity take-offs. Utility relocation and guideway construction are anticipated to begin in late 2011 and early 2012, respectively.
- Cost – The estimated contract value will be available when the revised bottoms-up estimate is complete.
- Issues or Concerns
 - None identified at this time. The City is in the process of finalizing third party agreements for utility relocations.

Station Packages

- Scope – All stations will be implemented using DBB. The City has developed station group packages for design, and it intends to issue construction contracts based on those station packages. Following are the packages that the City is currently considering:
 - West Oahu Station Group (3 stations): East Kapolei, UH-West Oahu and Hoopili.
 - Farrington Station Group (3 stations): West Loch, Waipahu Transit Center and Leeward Community College.
 - Kamehameha Station Group (3 stations): Pearl Highlands, Pearlridge and Aloha Stadium.
 - Airport Station Group (3 stations): Pearl Harbor Navy Base, Honolulu International Airport, and Lagoon Drive.
 - Dillingham Station Group (3 stations): Middle Street Transit Center, Kalihi and Kapalama.
 - City Center Group (3 stations): Iwilei, Chinatown and Downtown.
 - Kakaako Station Group (2 stations): Civic Center and Kakaako
 - Pearl Highlands Station Parking Garage and H2 Ramps (
- Status –
 - The City selected HDR/HPE, Inc. for the Farrington Station Group Design Contract. NTP #1A was issued on January 12, 2011 to begin preparing the Schedule of Milestones. NTP #1B will then be issued in February 2011 to begin advanced PE.
 - The RFQ for the West Oahu Station Group was released January 13, 2010, with responses received on February 17, 2010. Due to the length of time that had elapsed between submittal of proposals and the potential date for selection (November 2010), the City allowed the proposers to “refresh” their proposals. Refreshed proposals are expected by February 15, 2011 and the City anticipates issuing NTP #1 in April 2011.
 - The RFQ for the Kamehameha Station Group design is expected to be released in February 2011. Qualifications will be evaluated by the City for advanced PE for the Kamehameha Station Group. Rankings should be approved and negotiations to commence in the early 2011.
 - To better match anticipated cost with systems needs re-packaging and segregation is in process to separate H2 ramps, station and transit terminal for the Pearl Highlands Station and Transit Terminal. The City now anticipates using a DB contract delivery method for the parking structure and H2 Ramps. The Pearl Highlands Station will be packaged with the Kamehameha Station Group and will be constructed using DBB.

- Cost
 - The budget for the Farrington Station Group design contract is \$5.5 million.
- Issues or Concerns
 - None identified at this time.

Elevators and Escalators

- Scope – The City intends to issue a DB contract to furnish, install, test, and commission all elevator and escalator equipment.
- Status – The City anticipates procuring this contract in 2011. Limited PE has been completed for this package.
- Schedule – Following are the key contract dates:
 - Prepare Procurement Packages – January 2011
 - Bid-Award Elevator Packages – May 2011
 - Elevator & Escalators Construction – January 2012
- Cost – The estimated contract values will be available when the bottoms-up estimate is complete.
- Issues or Concerns
 - None identified at this time.

Appendix C: PE Status by Contract

The following table presents the status of PE activities for each major contract. The PMOC will continue to review this contract information and will present a disposition of PE completion in the "Project Scope Review" report, which is targeted for submission to FTA in February 2011.

Note: Within the context of this matrix, Advanced PE is subjectively defined as greater than 30% and less than 65%. Design development greater than 65% typically occurs during Final Design. Within the confines of the DB contracts, the Special Provisions define the following design stages:

- (1) *Definitive Design*
- (2) *Interim Design*
- (3) *Final Design*
- (4) *Working Plans*
- (5) *As-Constructed Plans and Specifications*

The Special Provisions of each contract provide specific criteria for each design phase.

Contract	Segment	PE Status	Notes
West Oahu Farrington Highway Guideway DB Contract	Segment I – East Kapolei to Pearl Highlands Length: 6 miles	GEC I prepared contract documents for DB procurement, including 30% plans. Advanced PE continuing by Kiewit under NIP #1, 1A, 1B & 1C. Kiewit submitted Definitive Design Submittals and has begun preparing Interim Design submittals. Geotechnical investigations ongoing by Kiewit. Method (3) and Load Test Shafts (8) to support Definitive Design submittals started on October 18, 2010 and are anticipated to be completed in March 2011. However, Interim Design will continue once the test and demonstration drilled shafts activity is completed.	
Kamehameha Highway Guideway DB Contract	Segment II – Pearl Highlands to Aloha Stadium Length: 4 miles	GEC I prepared contract documents for DB procurement, including 30% plans. Advanced PE will be performed with City's selection of design consultant in March 2011. Once selection occurs, contractor will advance plans to Definitive and Interim Design levels under limited NIPs.	

Contract	Segment	PE Status	Notes
Airport Guideway Contract and Utilities Relocation DBB Contract	Segment III – Aloha Stadium to Middle Street	GEC I prepared 30% plans for segment. Advanced PE will be performed with City's selection of design consultant in June 2011.	
City Center Guideway & Utilities DBB Contracts	Length: 5 miles Segment IV – Middle Street to Ala Moana Center	GEC I prepared 30% plans for segment. Advanced PE will be performed with City's selection of design consultant in December 2011.	
Maintenance & Storage Facility DB Contract	Length: 5 miles Segment I	GEC I prepared contract documents for DB procurement, including 30% plans. Once selection occurs, contractor will advance plans to Definitive and Interim Design levels under limited NTPs. The City intends to issue NTP #1 in April 2011 allowing mobilization, insurance, plans and procedures and Definitive Design.	
WOFH Station Group (3) DBB Contract	Segment I	GEC I prepared 20% plans for segment. Advanced PE will be performed with the City's selection of a design consultant in March 2011. FD is anticipated to begin in September 2011.	
Farrington Station Group (3) DBB Contract	Segment I	GEC I prepared 20% plans for segment. City selected HDR/HPE, Inc as the design consultant and issued NTP #1A on January 12, 2011 to begin preparing the Schedule of Milestones. NTP # 1B will be issued in February 2011 to begin advanced PE.	
Kanehameha Station Group (3)	Segment II	GEC I prepared 20% plans for segment. Contract is expected to be released in February 2011. FD anticipated to begin in October 2011.	
Airport Station Group (3)	Segment III	GEC I prepared 20% plans for segment. FD anticipated to begin in March 2013.	
Dillingham Station Group (3)	Segment IV	GEC I prepared 20% plans for segment. FD anticipated to begin in August 2013.	
City Center Station Group (3)	Segment IV	GEC I prepared 20% plans for segment. FD anticipated to begin in January 2014.	
Kakaako Station Group (3)	Segment IV	GEC I prepared 20% plans for segment FD anticipated to begin in August 2014.	

Contract	Segment	PE Status	Notes
Pearl Highland H2 Ramps and Multiple Parking Structure	Segment I	GEC I prepared 20% plans for segment. City is repackaging to include the Pearl Highland Station in the KH Station Group and separate H2 Ramps and Multiple Parking Structure for separate contract. FD anticipated to begin in December 2015.	
Core Systems Contract DBOM Contract	Segment I-IV	GEC I prepared contract documents for DBOM procurement, including 15-20% plans. Contractor will advance the conceptual drawings and performance specifications in the RFP Part 2 contract documents to the Definitive and Interim Design levels during the early portion of contract. Selection of a contractor is anticipated in February 2011 with NTP #1 anticipated to be issued in April 2011.	PMOC is of the opinion that various levels of detail, which include basic conceptual drawings with limited performance criteria, have been completed by the GEC. This information must be augmented by technical proposal from the selected contractor, which should be made available to the PMOC in March 2011.

Note: PMOC continues to review contract information and will present disposition of PE completion in the "Project Scope Review" report, which is targeted for submission to FTA in March 2011.

Appendix D: Bidding Schedule

Contract	Type	RFP - DBB		RFP Part I - DB		RFP Part II - DB		Exec.	LONP Request			NTP			Contr. Value (M)					
		Advert	Bid	Advert	Qual.	Issue	Proposal		Draft	Final	FTA Approve	NTP	Date	Desc.		NTP Value (M)				
West Oahu Farrington Highway (WOFH) Guideway	DB	N/A	N/A	04-Feb-09	13-Mar-09	03-Apr-09	28-Aug-09	17-Nov-09												
Kamehameha Highway Guideway (KHG)	DB	N/A	N/A	18-Nov-09	05-Jan-10	19-Mar-10	07-Oct-10 (BAFO due 20-Dec-10)													
Maintenance and Storage Facility (MSF)	DB	N/A	N/A	29-May-09	02-Jul-09	24-Jul-09	17-Feb-10													

Contract	Type	RFP - DBB		RFP Part 1 - DB		RFP Part II - DB			LONP Request					NTP	NTP Value (M)	Contr. Value (M)	
		Advert	Bid	Advert	Qual.	Issue	Proposal	Exec.	Draft	Final	FTA Approve	NTP	Date				Desc.
City Center Station Group (3)	DBB	01-Jun-15	30-Apr-15	N/A	N/A	N/A	N/A	N/A							01-May-15	—	
Kakaako Station Group (3)	DBB	14-Nov-15	12-Mar-16	N/A	N/A	N/A	N/A	N/A							13-Mar-16	—	
Elevators/Escalators	DBB	02-Jul-11	25-Oct-11	N/A	N/A	N/A	N/A	N/A							25-Nov-11	—	
Plants and Shrubs (Owner Furnished)	DBB	01-Aug-11	15-Dec-11	N/A	N/A	N/A	N/A	N/A							02-Jan-12	—	
Fare Collection (Owner Furnished)	DBB	—	—	N/A	N/A	N/A	N/A	N/A							—	—	

Indicates actual bid amount

Appendix E: PE Approval Letter Requirements

No.	Item	City Responsible Person	Target Completion Date	Actual Completion Date*	Roadmap Crosswalk ID #	Comments
	Project Scope, Design and Development					
1	Identify any third party agreements necessary for project completion, including utility agreements with private and public owners and military	LR/HLB	Jan-10	Jan-10		Complete
2	Resolve the specific regarding proximity of the guideway to runways 22R/4L and 22L/4R at the Honolulu International Airport with HDOT and FAA	HLB	Apr-10	May-10		Complete
3	Fully develop vehicle basis of design and functional sizing	JS	Mar-11		2.11 (CSC) 2.15 (CSC) 3.24 3.31 CSC Proposal	PMOC will review selected proposal to determine whether it meets operational criteria; it is anticipated review will take one month
4	Determine rail fleet size requirement	JS	Mar-11		3.24 CSC Proposal	Will be addressed in CSC DBOM proposal
5	Fully develop scope for the administration building and operations control center	JS / HLB	Mar-11		2.11 (MSF) 2.15 (MSF) 3.24 3.31	
6	Determine the final location of the maintenance and storage facility	FM	Mar-11		3.62	License Agreement is under review
7	Finalize a contracting packaging plan which includes a source selection plan(s) and contract specific work plans	SZ	Feb-11		3.51	
8	Develop strategies to streamline the City's process to award contracts and to enter into grant agreements, especially as applicable to FTA grants	LR	Jun-11		HART Res. Do we need more here?	Resolution provided to FTA and PMOC after City Council approval in Dec-09. Will be included on ballot in Nov-10 election.
9	Develop a preliminary operation plan	JS	Mar-10	08-Feb-10		Complete

No.	Item	City Responsible Person	Target Completion Date	Actual Completion Date*	Roadmap Crosswalk ID #	Comments
10	Ensure the service velocity does not erode over the next course of design changes	JS	Mar-11		2.11 (CSC) 2.15 (CSC) CSC Proposal	Will be addressed in CSC DBOM proposal
Project Schedule						
11	Provide a baseline of the master Project Schedule (MPS) early in PE which will be used for monthly progress updates and tracking schedule variances	MH	Feb-11		2.24	Revised baseline to be submitted in Dec-10
12	Address the utilization manpower and equipment resource loading and budget and cost loading	MH	Feb-11		2.24	Revised baseline to be submitted in Dec-10; City acknowledged that schedule is cost loaded but will not be resource loaded
13	Include critical activities in the MPS: utility activities, real estate acquisitions, system integration, starting and testing, operational commissioning and training, vehicle procurement, major construction material procurement, FTA review and comment, detail activities for early construction packages	MH	Feb-11		2.24 2.25 2.26	Revised baseline to be submitted in Dec-10
14	Develop a right-of-way schedule	MH	Feb-11		2.26	Initial schedule submitted 29-Oct-09; will be revised in Dec-10
15	Modify the Work Breakdown Structure to cross over with the project budget and cost breakdown structure	MH	Jan-10	21-Dec-09		Complete
Project Cost						

No.	Item	City Responsible Person	Target Completion Date	Actual Completion Date*	Roadmap Crosswalk ID #	Comments
16	Develop a detailed bottoms-up-style project cost estimate to Standard Cost Category format. The estimate should be detailed sufficiently to determine distributions of materials, labor, equipment and general conditions elements at a minimum. The soft cost estimates should be based on staffing plans, force account plans, contracts and so forth rather than solely on percentages. The estimate should eliminate parametric-style values, cost estimating relationships, and lump sums as much as possible during PE	MH	Mar-11		2.21 2.22 2.23	Revised baseline to be submitted in Dec-10
17	Escalate the cost estimate in accordance with the MPS	MH	Mar-11		2.21 2.22 2.23	Pending completion of Item No. 16
18	Provide justification and backup documents to support the quantification and assumptions for the "soft costs" and related general conditions of the project	MH	Mar-11		2.23	Pending completion of Item No. 16
Technical Capacity						
19	Configuration management and change control mechanism	KG	Feb-11		3.10 et al 3.32	
20	Develop detailed staffing plans for all remaining phases of the project to ensure adequate technical capacity. The plans should include the dates by which the City will fill each key position. All key City management positions should be filled during PE.	TH/PR	Feb-11		3.02	
21	Work with the State of Hawaii to establish a State Safety Oversight Agency office to oversee the project	KA	Apr-10	6-Apr-10		Complete
22	Submit a fully developed Rail Fleet Management Plan	JS	Mar-11		3.24	

No.	Item	City Responsible Person	Target Completion Date	Actual Completion Date*	Roadmap Crosswalk ID #	Comments
23	Have a quantifiable metrics for measuring the real status of work, both cost and schedule of all professional service contracts, and any inter-local agreements for participatory services	MH	Mar-11		3.10 et al	
24	Develop a Contingency Management Plan which will identify the specific risks and implement the anticipated mitigation measures	SZ	Apr-11		3.22	
25	Develop an Environmental Mitigation Program that identifies required environmental mitigation actions and the party responsible for the mitigation and that will eventually become the basis for quarterly mitigation monitoring and quarterly mitigation reports	JA/FM	Dec-10	Jan-11	3.33	
26	Update and implement the: Real Estate Acquisition and Management Plan	Jl	Jan-11	Jan-11	3.23	
	Bus Fleet Management Plan	PK	May-11		3.25	BFMP will be finalized based on data from Financial Plan
	Safety and Security Management Plan Quality Management Plan	KA AB	Mar-11 Dec-10	12-Jan-11	3.26 3.35 3.36	

*Note: Actual Date to be added only upon verification of satisfactory completion by FTA and/or PMOC.

Appendix F: Project Overview and Map (Transmitted as a separate file)

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