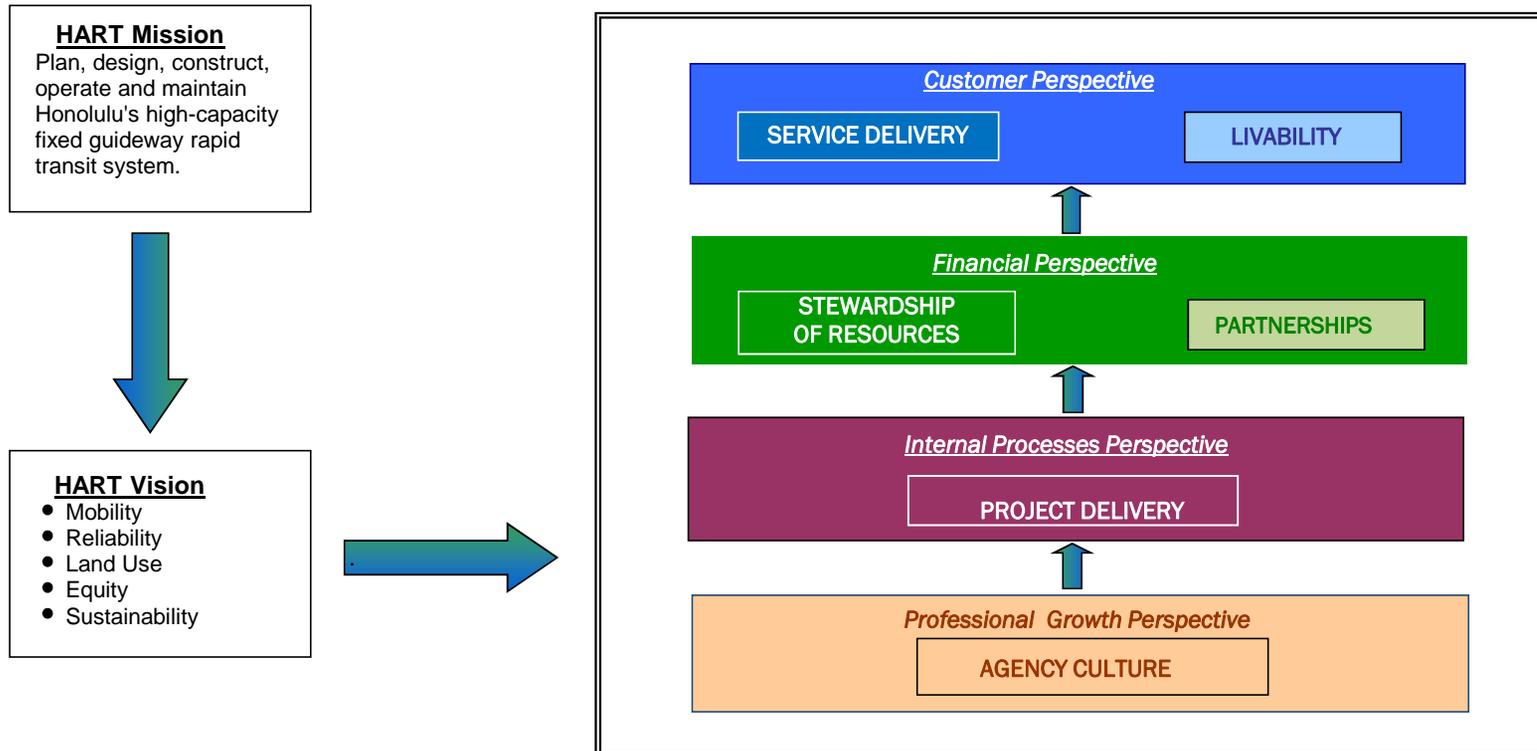


## Business Strategy Map



	<b>Goal</b>	<b>Current Quarter (Q2 FY13)</b>				<b>Inception to Date</b>				<b>Comments and Legend</b>	
		October, November, December 2012 ○				October 2009 - December 2012					
		Actual	Plan	Variance	Status	Actual	Plan	Variance	Status		
<b>Customer Perspective</b>	<b>SERVICE DELIVERY</b>										
		Platform Gates								○	To be determined (TBD) in FY13.
		Fare Collection System								○	TBD in FY13.
		Bus-Rail Integration Plan								○	TBD in FY14.
		HART Operating Organization Plan								○	TBD in FY14.
		HART Service Policy/Standards								○	TBD in FY15.
		<b>LIVABILITY</b>									
	HART Sustainability Policy								○	TBD in FY13.	
	Transit-Oriented Development (TOD) Policy								○	# TOD Plans being developed with the Department of Planning and Permitting (DPP).	
<b>Financial Perspective</b>	<b>STEWARDSHIP OF RESOURCES</b>										
		<b>Programmatic Agreement (PA) [Positive = # above or added to Plan; Negative = # remaining]</b>									
		Traditional Cultural Property (TCP) Studies	0	0	-0-	●	3	4	(1)	●	# Guideway Sections with TCP studies completed vs. planned. Sections 1-3 completed - State Historic Preservation Division (SHPD) approved TCP studies; Section 4 studies underway, completion expected in 2013 (completion of the City Center TCP work is also a condition of the pending federal lawsuit).
		Section I (WOFH) Archaeological Inventory Survey (AIS)	0	0	-0-	●	92	92	-0-	●	# trenches completed vs. planned. Section I AIS completed - SHPD accepted AIS Report April 19, 2010.
		Section II (KHG) AIS	3	0	+3	●	37	31	+6	●	# trenches completed vs. planned. Section II AIS completed - SHPD accepted AIS Report on May 23, 2012.
		Section III (Airport) AIS	7	0	+7	●	29	40	(11)	●	# trenches completed vs. planned. Sections III and IV AIS work has been expedited since 8/24. All planned trenches were completed for Sections III and IV by 12/31/12. Additional trenches will be done in the first quarter of 2013 to support SHPD requests and AIS Reporting needs. AIS Report preparation for both Sections is underway with submittal to the State Historic Preservation Division (SHPD) planned for early 2013.
		Section IV (City Center) AIS	133	133	-0-	●	229	365	(136)	●	
		Overall AIS Completion (#)	----	----	N/A	●	387	528	(141)	●	
		Overall AIS Completion (%)	----	----	N/A	●	73%	----	N/A	●	
		'Iwi kūpuna finds (bone fragments or full burials)/ Archeological Finds	3	----	N/A	●	5	----	N/A	○	# 'Iwi kūpuna finds. A total of 5 finds have been identified through December 31, 2012. There are 4 finds of human skeletal fragments and 1 human burial in a flexed position. No determinations have been made on the status of any of these finds as burials by SHPD or OIBC at this time. Consultation is in progress with cultural and lineal descendants and these agencies.
		<b>Operating Budget [Negative = below Plan]</b>									
		Operating Expenditures	3.7	5.3	(1.6)	●	7.7	21	(13.3)	●	\$M in Q1 FY13 Expenditures/Encumbrances vs. FY13 Operating Budget. For Current Quarter monitoring purposes: \$21M Total Budget/4 quarters = \$5.3M.
		Staffing Level	122	139	(17.0)	●	122	139	(17.0)	●	# Current HART Full-Time Equivalents (FTEs) vs. planned positions in the FY13 Operating Budget. 122 current FTEs
		<b>Capital Budget [Negative = below Plan]</b>									
		Capital Expenditures/Encumbrances	\$47.7	----	----	●	\$96	\$492	N/A	●	\$M in Q1 FY13 Expenditures/Encumbrances in Current Quarter vs. Total FY13 Capital Budget of \$492M.
	<b>Revenues [Negative = below Plan]</b>										
	Net GET Surcharge Receipts	\$42	\$51	(9)	●	\$554	\$583	(\$29)	●	\$M Net GET Surcharge Cash Receipts vs. projected FY10-13 cash revenue in FFGA Financial Plan (Table A-1). Receipt amounts exclude Starting Cash Balance of \$298M. Total Net GET Surcharge revenue forecast for FYa 2010-2023 is \$3,291M; Received since inception of the surcharge on 1/1/07 is \$932.3M. Project Inception-To-Date receipts (since 10/2009) are \$554M. The planned GET revenue-to-date was \$583M (calculated by using half of FY2013 annual amount). Revenues for FY 2013 are \$27M for the first quarter and \$42M for the second quarter, approx 33 M below plan (\$102M). The lower revenue in the first quarter of FY 2013 was because the Hawaii department of taxation informed HART that revenue figures were inaccurately reported for the month of December 2011 and that the downward adjustment was made in the October 2012 payment.	
	Federal Grant Funds (New Starts)	\$1.6	----	N/A	●	\$64	\$378	(\$314)	●	\$M FTA New Starts funds received (\$63.6M) vs. projected (\$378M in FYs 2010-2013 per Table A-1 of the FFGA Financial Plan). The first increment of \$5309 New Starts funding under the FFGA is \$255M.	
	Federal Grant Funds	\$4	----	N/A	●	\$4	\$4	\$0	●	\$214M FTA funds = \$210M Section 5307 + \$4M ARRA.	

Goal	Current Quarter (Q2 FY13)				Inception to Date				Comments and Legend	
	October, November, December 2012 ○				October 2009 - December 2012					
	Actual	Plan	Variance	Status	Actual	Plan	Variance	Status		
<b>PARTNERSHIPS</b>										
Stations with Approved Transit-Oriented Development Plans	0	2	N/A	●	0	21	N/A	●	City Department of Planning and Permitting (DPP) has responsibility for TOD plans for 19 of the 21 stations. A total of 13 stations have final draft TOD neighborhood plans at this time. Two additional stations are in HCDA and not part of the DPP planning.	
<b>PROJECT DELIVERY - OVERALL</b>										
<b>Project Budget</b>										
FFGA Baseline Project Budget	----	----	N/A	○	\$5,122	\$5,122		●	\$M FFGA Baseline Project Budget (including contingencies and FTA-eligible finance charges), in accordance with FTA New Starts project guidelines.	
Committed (\$)	\$79	----	----	●	\$2,250	\$4,236	(1,986)	●	\$M Total Committed (awarded Contract Values + approved Change Orders) this quarter and to date vs. the current Total FTA Project Budget, excluding remaining contingencies and finance charges.	
Committed (%)	2.1%	----	----	●	53.1%	----	N/A	●	% \$M Committed of the committed Baseline FFGA Project Budget.	
Incurred (\$M)	\$85	----	----	●	\$594	\$4,236	(3,642)	●	\$M Incurred (Expenditures + approved Requests for Payment) this quarter and to date vs. the current Total FTA Project Budget, excluding remaining contingencies and finance charges.	
Incurred (%)	2%	----	----	●	14%	----	----	●	% \$M Incurred (Expenditures + approved Requests for Payment) of the current Total FTA Project Budget, excluding remaining contingencies and finance charges.	
Estimate at Completion (EAC)	----	----	----	●	\$5,122	\$5,122		●	\$M current vs. planned Estimate at Completion (EAC = contract values as budgeted or awarded + executed change orders + pending and potential changes).	
<b>Project Progress [Positive = ahead of Late Plan; Negative = behind Late Plan]</b>										
Overall Project Progress	1.3%	1.5%	(0.2%)	●	10.6%	11.0%	(0.4%)	●	% Complete of Final Design and Construction contracts (FD, DBB-DBOM design levels of effort and DB, DBB, DBOM and E/E construction) actual vs. late plan.	
Overall Design Progress	3.5%	4.3%	(0.8%)	●	37.6%	34.7%	+2.9%	●	% Complete of Final Design contracts & DB-DBOM design levels-of-effort actual vs. late plan. During the partial temporary suspension of work on ground-disturbing activities, HART is proceeding with final design and engineering activities on awarded contracts to position the project to continue construction once the suspension is lifted following AIS completion. <b>[State and Federal cases are limiting design progress]</b>	
Overall Construction Progress	0.0%	1.2%	(1.2%)	●	5.9%	7.0%	(1.1%)	●	% Completion of Construction (DB, DBB, DBOM & E/E) contracts vs. planned. On 8/24, HART issued a partial temporary suspension of work for all ground-disturbing activities. HART is evaluating the cost (including equipment, overhead and personnel costs) and schedule impacts of the work suspension with Design-Build Contractor Kiewit Infrastructure West Co. (KIWC) to develop and implement mitigation strategies. KIWC has released field personnel and reassigned staff to other projects.	
<b>Major Milestones [Negative = # days behind plan]</b>										
Entry into Final Design	----	----	N/A	●	Dec 29 '11	Oct 15 '11	(75)	●	Actual vs. planned date of FTA approval for HART to enter Final Design.	
Letter of No Prejudice 2 (LONP2)	Feb 06 '12	Feb 06 '12	-0-	●	Feb 06 '12	Feb 06 '12	-0-	●	Actual vs. planned date of FTA Letter of No Prejudice #2 (LONP2) authorizing Final Design and Construction.	
FFGA Letter of Request	Jun 29 '12	Jun 01 '12	(28)	●	Jun 29 '12	Jun 01 '12	(28)	●	Actual vs. planned date of HART letter to FTA requesting entry into a Full Funding Grant Agreement (FFGA)	
Start of Congressional Review	Nov 19 '12	Aug 15 '12	(96)	●	Nov 19 '12	Aug 15 '12	(96)	●	Actual vs. planned start date of Congressional review of HART FFGA request. Does not affect completion date.	
FFGA Approval	Dec 19 '12	Oct 07 '12	(73)	●	Dec 19 '12	Oct 07 '12	(73)	●	Actual vs. planned date of FTA letter to HART approving FFGA request. Does not affect completion date.	
<b>Contingency</b>										
Cost Contingency	\$644	\$644	-0-	●	\$644	\$644	-0-	●	\$M Total Project Cost Contingency vs. the FFGA Baseline Total Project Contingency Budget. The current Total Available Budget Contingency is \$717.5M (including Pending and Known Change contingency).	
Schedule Contingency	20	20	-0-	●	20	20	-0-	●	# Months Total Buffer Float used vs. planned in the Draft FFGA Risk and Contingency Management Plan [RCMP], June 2012 (Table 6-2).	

Internal Processes Perspective

Goal	Current Quarter (Q2 FY13)				Inception to Date				Comments and Legend
	October, November, December 2012 ○				October 2009 - December 2012				
	Actual	Plan	Variance	Status	Actual	Plan	Variance	Status	
<b>PROJECT DELIVERY - SPECIFICS</b>									
<b>Contracting - Construction (DB, DBOM and Elevators/Escalators) [Negative = below plan/budget]</b>									
Contracts Awarded	0	0	N/A	●	4	4	0	●	# Contracts awarded vs. planned. Elevator/Escalator (E/E) contract award is expected in FY13.
Committed (Contract Values + Executed Changes)	----	----	N/A	○	94%	100%	(6%)	●	% \$M Committed (\$1,678 M) of baseline budget (\$1,771 M) not including contingencies. (Due to increased committed amount)
Contracts Completed	0	0	N/A	○	0	0	-0-	○	# Contracts completed vs. planned.
<b>Contracting - Construction (DBB) [Negative = below plan/budget]</b>									
Contracts Awarded	0	0	N/A	○	0	0	-0-	○	# Contracts awarded vs. planned. The first of 8 planned DBB construction contracts is scheduled to be awarded in Q4 FY13. (Re-packaged; reduce to 8 from 11.)
Committed (Contract Values + Executed Changes)	----	----	N/A	○	0%	0%	-0-	○	% \$M Committed (\$0 M) vs. baseline budget (\$1,237 M) not including contingencies.
Contracts Completed	0	0	N/A	○	0	0	-0-	○	# Contracts completed vs. planned.
<b>Contracting - Final Design Consultants [Negative = below plan/budget]</b>									
Contracts Awarded	2	2	-0-	●	6	6	-0-	●	# Contracts awarded vs. planned. Kamehameha Hwy Stations (FD-340) awarded to Anil Verma Assocs. 11/18; Airport Stations (FD-440) awarded to AECOM 11/7. (Re-packaged; reduce to 9 from 10.)
Committed (Contract Values + Executed Changes)	----	----	N/A	○	98%	100%	(2%)	●	% \$M Committed (\$118M) vs. baseline budget (\$164M) not including contingencies.
Contracts Completed	0	0	N/A	○	0	0	N/A	○	# Contracts completed vs. planned.
<b>Contracting - Other Consultants [Negative = below plan/budget]</b>									
Contracts Awarded	0	0	-0-	●	13	13	-0-	●	# Contracts for Consultant Services other than for final design, construction or insurance awarded this quarter and to date vs. planned, including: 6 for Construction Engineering and Inspection Services, 4 for Project Management (2 Program Management Oversight Consultant + 2 General Engineering Consultant), 4 for Specialty Consulting (Real Estate, Kako'o, Owner-Controlled Insurance Program [OCIP] and LEED MSF Commissioning Consultants), 4 for HDOT Consultant Services and 2 for On-Call for Construction and HazMat Removal consulting. The first CE&I contract will not be awarded until Sept 2013. (Re-packaged; reduce to 21 from 23.)
Committed (Contract Values + Executed Changes)	----	----	N/A	●	62%	100%	(38%)	●	% \$M Committed (\$344M) vs. baseline budget (\$571M).
Contracts Completed	0	0	-0-	●	2	2	-0-	●	# Contracts completed vs. planned. PMSC-1 and GEC-1 have been completed and are being closed out.
<b>Change Orders and Claims</b>									
Change Orders (#)	11	----	N/A	●	48	----	N/A	●	# Change Orders executed this quarter (9 Construction, 2 Final Design) <b>[Previously released numbers have been corrected to reflect current status]</b>
Change Orders (\$)	\$21.8	----	N/A	●	\$81.5	----	N/A	●	\$M Change Orders executed this quarter \$21.6M Construction, \$0.275M Final Design <b>[Previously released numbers have been corrected to reflect current status]</b>
Claims Filed	0	0	N/A	○	0	0	N/A	○	# Claims filed vs. anticipated.
Claims Resolved	0	0	N/A	○	0	0	N/A	○	# Claims resolved vs. filed.
<b>Utility &amp; HDOT Agreements [Negative = # remaining]</b>									
Utility Agreements	2	----	N/A	○	27	28	(1)	●	# Utility Agreements completed vs. required. The Interim Bridging Agreement for Airport was executed in October and the City Center draft is under HECO review. Completion of 45 agreements by the end of Q1 FY13 is planned.
HART-HDOT Agreements	----	----	N/A	○	2	8	(6)	●	# HDOT Agreements completed vs. required. Of the 4 Master Agreements required, 1 (WOFH) has been completed. Of the 4 Joint Use and Occupancy (JU&O) Agreements required, 1 (WOFH) has been completed. The KHG Master and JU&O Agreements remain to be executed, pending meeting with HDOT & HART Attorneys, and possible elevating subject matter between Mayor and Governor. <b>[Previously released numbers have been corrected to reflect current status]</b>

Internal Processes Perspective (Continued)

Goal	Current Quarter (Q2 FY13)				Inception to Date				Comments and Legend
	October, November, December 2012 ○				October 2009 - December 2012				
	Actual	Plan	Variance	Status	Actual	Plan	Variance	Status	
<b>Real Estate/Right-of-Way (ROW) [Negative = # remaining]</b>									
Full Acquisitions	2	0	+2	●	21	38	(17)	●	# Properties fully acquired ready for construction this quarter and to date vs. planned. Two properties were acquired in 2nd Qtr 2013.
Expenditures for Full Acquisitions	\$7	\$8	(\$1)	●	\$36	\$37	(\$1)	●	\$M in expenditures recorded for full acquisitions vs. planned in the FFGA Budget. Securing of right-of-way and all required permits continues during the partial temporary suspension of work on ground-disturbing activities.
Partial Acquisitions	0	0	0	●	7	133	(126)	●	# Properties partially acquired ready for construction this quarter and to date vs. planned.
<b>Safety [lower Actual = favorable vs. Hawaii standard]</b>									
Performance against Standard	0	0	0	●	0.2	4.3	----	●	Incidence rate of Recordable Injuries and Illnesses vs. the Hawaii 2010 Total Recordable Incidence Rate (TRIR). Federal regulations define the Incidence Rate as the # of recordable injuries and illnesses occurring amongst a given # of full-time workers (usually 100) over a given period of time (usually 1 year). A Recordable Incident is a work-related injury or illness that results in: death, loss of consciousness, days away from work, restricted work activity or job transfer, or medical treatment beyond first aid. (29 CFR 1904).
OSHA Recordable Injuries	0	0	0	●	4	0	----	●	# Occupational Safety and Health Agency (OSHA) Recordable Injuries to date.
OSHA Violations	0	0	0	●	0	0	----	●	# OSHA violations to date.
Safety Certification Checklists	----	----	N/A	○	----	----	----	○	# Safety Certification Checklists completed vs. planned.
<b>Quality Assurance (QA)</b>									
QA Audits	4	4	-0-	●	12	12	-0-	●	# QA Audits of HART, GEC, contractors and suppliers completed vs. planned.
Design NCRs	7	7	0	●	13	14	(1)	●	# Design Non-Conformance Reports (NCRs) closed vs. issued.
Construction NCRs	----	----	N/A	○	----	----	N/A	○	# Construction NCRs closed vs. issued.
<b>Economic Multipliers [Negative = below plan]</b>									
DBE/SBE Participation	1.46%	13.0%	-12%	●	1.46%	13.0%	-12%	●	Actual vs. target participation rate of Disadvantaged/Small Business Enterprises (DBE/SBE).
Direct Jobs Created	----	----	----	○	----	----	----	○	# Direct jobs created. Projections and criteria to be developed.
<b>Public Outreach</b>									
Neighborhood Board Meetings	10	----	N/A	●	718	----	N/A	●	# Neighborhood Board Meetings in which HART has participated to date.
Presentations/ Events	12	----	N/A	●	1,364	----	N/A	●	# Events in which HART has participated to date.
<b>AGENCY CULTURE</b>									
<b>Staff Training and Career Development Program</b>									
Training Opportunities				○				○	# Training opportunities provided to HART staff vs. planned. Annual Training Plan to be developed.
Employees Trained				○				○	# HART Employees (including PMSC) who have received professional training. Objective to be established.
<b>Internal Promotions</b>									
Internally-Filled Positions	0	0	-0-	●	2	0	+2	●	% of positions filled that have been filled internally. Objective to be established.
<b>PMSC/GEC Phase-Out</b>									
Positions Transitioned to HART	0	0	-0-	●	3	0	+3	●	# Positions transitioned from PMSC to HART vs. planned in the HART Business Plan. TBD.
<b>Employee Satisfaction</b>									
Surveys	0	0	N/A	○	0	0	N/A	○	# Employee surveys conducted to date vs. planned. Plan to be developed.

Internal Processes Perspective (Continued)

Professional Growth Perspective