PMOC COMPREHENSIVE MONTHLY REPORT

East Side Access (MTACC-ESA) Project
Metropolitan Transportation Authority
New York, New York

Report Period June 1 to June 30, 2013

PMOC Contract No. DTFT60-09-D-00007

Task Order No. 7, Project No. DC-27-5235, Work Order No. 1

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Length of time on project: Five years on project for Urban Engineers

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THIRD PARTY DISCLAIMER

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

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REPORT FORMAT AND FOCUS

This report is submitted in compliance with the terms of the Federal Transit Administration (FTA) Contract No. DTFT60-09-D-00007, Task Order No. 002. Its purpose is to provide information and data to assist the FTA as it continually monitors the grantee's technical capability and capacity to execute a project efficiently and effectively, and hence, whether the grantee continues to be ready to receive federal funds for further project development.

This report covers the project and quality management activities on the East Side Access (ESA) Mega-Project managed by MTA Capital Construction (MTACC) with MTA as the grantee and financed by the FTA FFGA.

MONITORING REPORT

EXECUTIVE SUMMARY

1. PROJECT DESCRIPTION

The East River tunnels in Manhattan are at capacity. The ESA project is anticipated to improve LIRR tunnel capacity constraints and enable the growth of the overall system. The project comprises a 3.5 mile commuter rail extension of the Long Island Rail Road (LIRR) service from Sunnyside, Queens to Grand Central Terminal (GCT), Manhattan, utilizing the existing 63rd St. Tunnel under the East River and new tunnels in Manhattan and Queens, including new power and ventilation facilities. The project includes a new 8 track terminal constructed below the existing GCT and a new surface rail yard in Queens for daytime train storage. Ridership forecast is 162,000 daily riders (27,300 new riders) in 2020. The project will provide increased capacity for the commuter rail lines of the LIRR and direct access between suburban Long Island and Queens and a new passenger terminal in Grand Central Terminal (GCT) in east Midtown Manhattan, in addition to the current connection to Penn Station in Manhattan.

2. CHANGES DURING 2nd Quarter 2013

a. Engineering/Design Progress

As of the end of May 2013, MTACC reported that the Engineering/Design effort was 97.3% complete, although on a cost invoiced basis against the budget it is 93.1%.

b. New Contract Procurements

There were no new contracts procured during 2Q2013.

c. Construction Progress

The PMT reported in its May 2013 Monthly Progress Report that the total construction progress reached 51.6% complete, however excluding Management Reserve, on a cost invoiced basis it is 52.0%, in accordance with its re-baselined budget of May 2012.

d. Continuing and Unresolved Issues

The PMOC remains seriously concerned about the results of the CM012R bid cancellation and its impact on the project budget and schedule. As stated in previous monthly reports, the PMOC remains concerned that the ESA PMT is not reporting the Program budget and schedule impacts of the CM012R bid overrun eight months after the fact. The PMT has not adjusted its Project Working Estimate (PWE) and contingency drawdown to account for the CM012R bid overrun costs; nor has it properly (with correct logical ties) updated the IPS to account for delays. The MTACC President and ESA Project Executive stated that the ESA project budget and schedule will not be officially updated until all of the new CM012R related packages (CM005; CM006; CM007) are finalized, and that this would most likely not happen until the end of 2013.

The PMOC also remains seriously concerned about delays to other significant procurements namely; Systems Package 1 (CS179) (currently in negotiations since 2Q2012); CS284 (Tunnel Systems which has now been split into two packages); and VS086 (Signal Equipment); and CM014B (GCT Concourse and Fit-Out). The Systems work is on the project critical path and award dates for the Systems packages remain TBD. MTACC had committed to making a recommendation for awarding the CS179 Contract at the July 2013 MTA Board Meeting; however this date will not be met since MTACC is still negotiating with several proposers as of the end of June 2013. Since the MTA Board does not meet in August, the earliest date for recommendation to award will now be September 2013.

e. New Cost and Schedule Issues

The major cost and schedule issues continue to be that the PMT is not reflecting any impacts to the project costs or schedule resulting from the CM012R bid overrun in its monthly reporting, and has not updated its current Project Working Estimate (PWE) or accurately update the IPS to reflect the results. Given that ESA has now received bids for the CM005 package and has established a cost and schedule estimate for the CM006 package, the PMOC believes that this information should be incorporated and presented in its monthly cost and schedule reporting,

3 PROJECT STATUS SUMMARY AND PMOC ASSESSMENT

a. Grantee Technical Capacity and Capability

The ESA Project Office lost two key staff members during the month of June; the Project Controls Program Manager and the Operational Readiness Program Manager. These are key positions that ESA needs to re-staff as soon as possible.

b. Real Estate Acquisition

Details of the Real Estate acquisition activities pertaining to the 48th Street Entrance of GCT are provided in Section 2.6 of this report.

c. Engineering/Design

Progress for remaining design work continues to lag design milestone targets. The GEC and PMT continue to consistently miss each of its target dates for completing the remaining design activities on the project. Details are provided in Section 2.1 of this report.

d. Procurement

Several procurement activities are ongoing related to the CM012R replacement packages (CM005; CM006; CM007) and the Systems packages, and the procurement of these packages continue to be delayed. . Details are provided in Section 2.2 of this report. In addition, it should be noted that the ESA PMT has not met any of its May 2012 schedule baseline dates for the four major packages that were to be procured in 2012 (CM012R; CS179; CM014B; CH057). CM012R replacement packages and CS179 are on the project critical path and needed to be awarded prior to the end of 2012 to avoid direct impact on the project schedule contingency.

e. Railroad Force Account (Support and Construction)

During 2Q2013, Amtrak and LIRR Force Account Communication and Signal (C&S) personnel successfully cutover "F2" Interlocking and continued preparations for the 3Q and 4Q2013 cutovers of "F1" and Point Interlockings and several signal locations in Harold Interlocking. Amtrak Electric Traction (ET) continued to support the CH053 contractor with catenary relocations in Harold Interlocking in preparation for the July 19 – August 18 summer track outage to install the Westbound Bypass concrete slab under Lines 2 and 4. All necessary ET work is complete for the outage. Amtrak Track personnel constructed 55 concrete tie track panels to be used in the reconstruction of Lines 2 and 4 during the outage. LIRR ET personnel continued to progress the signal power separation cutover from the existing towers to the new signal towers. The cutover will be staged in two phases, the first in late July and the second in late August/early September. Successful completion of the first cutover will allow the CH053 and CQ031 contractors to finish construction of the Tunnel A Approach Structure. Through 2Q2013, all the Force Account construction that was planned for 2013 has been achieved on schedule.

f. Third-Party Construction

Manhattan: The CM009/CM019 contractor declared Substantial Completion of the Manhattan tunnels and caverns on June 1, 2013, as anticipated. Approximately one week later, the contractor began work on a contract amendment which includes waterproofing and shotcrete application in GCT5 West Wye, GCT3 Crossover, and GCT4 Crossover, work that was transferred from the future CM006 Contract. The completion of this additional work is

Milestone 9A, which is scheduled for September 30, 2013. Hitting this milestone date is critical to avoid potentially delaying the start of work on the CM005 Contract.

The CM013 contractor is experiencing delays due to a stop work order on the use of the construction stair in the ventilation shaft by the MTACC Code Compliance Office.

On the CM014-A contract the PMOC has previously reported on concerns with the delays caused by a needed redesign of the Systems Control and Data Acquisition (SCADA) system. This issue has been resolved; however, the substantial completion date has slipped to February 15, 2014 from the previous July 8, 2013.

Queens: The CQ031 contractor continued to install secant piles for the extension of Tunnel A as part of its contract amendment. As of June 20, 2013, the contractor had installed 68 of 246 piles for the extension. A second task of the contract amendment is the installation of the concrete slab under Lines 2 and 4 as advance work for the Westbound Bypass tunnel. The slab will act initially as a support for the tracks and ultimately as the ceiling for the jacked box tunnel. The contractor has completed all necessary advance preparations for the July 19 – August 18 track outage to install the slab.

CQ039 (Northern Boulevard Crossing) construction has been at a virtual standstill during 2Q2013 due to a "Stop Work" order that was imposed by the MTACC's Code Compliance Office (CCO). The CCO issued the order on March 8, 2013, and rescinded it on June 21, 2013. While the order was in effect, two independent engineering firms tested (non-destructive) and analyzed data to determine if the shotcrete cover provided over the outer layer of rebar in the final tunnel liner was sufficient to meet New York State building codes. After the order was removed, the CQ039 contractor began the load transfers of the overhead NYCT subway structure to the tunnel liner. One June 26, 2013, the Contractor transferred the load on eastbound side of the NYCT structure. The transfer was initially successful. On June 27, 2013 the Contractor attempted to transfer the load on the westbound side, but that was not successful. Subsequently, the eastbound side also failed when crews discovered on the second night that undesired settlement occurred. As of this report date, the contractor and the PMT have scheduled another attempt to transfer the loads for July 9, 2013, provided a GO (track outage) from NYCT can be secured. Once the loads are successfully transferred, the contractor will remove the remaining four support columns in the tunnel and repair their seating areas before it can declare Substantial Completion, which will be at least 3 months behind schedule from the current forecast date of August 26, 2013.

As of this report date, the contractor and the PMT have scheduled another attempt to transfer the loads for July 9, 2013, provided a GO (track outage) from NYCT can be secured. Once the loads are successfully transferred, the contractor will remove the remaining four support columns in the tunnel and repair their seating areas before it can declare Substantial Completion, which will be at least 3 months behind schedule.

On the **CQO32 (Queens Structures and Plaza Substation) Contract:** The CQ032 contractor continued construction in the Open Cut (Plaza Substation) and B-10 Substation during 2Q2013. Construction at the vent facilities at Roosevelt Island, Vernon Boulevard, 12 St., 23rd St., and 29th Streets, however, has been on hold as the contractor awaits directions from the MTACC. The MTACC and the contractor are presently negotiating a re-baselined contract that will include scope transfers from other contracts and a revised date for Substantial Completion. The scope transfers have caused the present cumulative per cent complete to be reduced, while, at the

same time, the contractor is making significant progress in the Open Cut and B-10 Substation. Nonetheless, the lingering effects of the lack of construction area turnovers from previous contracts remain and continue to affect the CQ032 forecast Substantial Completion date. Presently, the MTACC's forecast for Substantial Completion is June 23, 2015, 10 months later than the current approved baseline. [Ref: ESA-95-Sept 12]

Harold Interlocking: Contract CH053 (Harold Interlocking, Part 1 and G.O.2 Substation): The CH053 contractor continued to progress its construction during 2Q2013 with the installation of 14 catenary structures, 12kV ductbank and cables, the completion of the HON-N1 retaining wall, resumption trough installation for the Tunnel A Approach Structure between 39th and 43rd Street, start of the 43-S2 retaining wall, continuation of Support of Excavation (SOE) and wing wall demolition at 43rd and 48th Street for the future installation of bridge structures for the construction and re-alignment LIRR's ML4 Track, and continued micro-tunnel construction of Runs 1-4 and Run 12.

The contractor, however, continues to remain well behind schedule (months). Based on its present rate of construction, the PMOC projects that it will take an additional 18 months (until December 1, 2014), for the contractor to complete its construction. Nonetheless, MTACC management and the contractor continue to develop a re-baselined schedule with the intent to complete all work by December 31, 2013. The PMOC believes that, although the contractor may be capable of extending the extraordinary effort to achieve this, the MTACC and the railroads that support the contractor's construction would not be able to provide the required support to make it possible. Consequently, the PMOC estimates that, even if the contractor can extend itself, the earliest it will be able to declare Substantial Completion will be late Q3 2014/earl Q4.

Contract CH054A (Harold Structures Part 2A): The CH054A contractor continued to progress 12kV ductbank installation, continue construction of the Thomson S-2 retaining wall, and prepare for the "F1" cutover during 2Q2013. The May 2013 MTACC Monthly Report (latest one available to the PMOC) indicates that a $14 million change order was executed during May to increase the current value of the CH054A contract to executed during May to increase the current value of the CH054A contract to $42.0 million. Although the contractor has progressed CH054A 12kV work for which it has approved design, nonetheless work has not progressed quickly due to Amtrak requests for significant re-design of portions of the 12 KV duct bank. This continues to add delay to the Substantial Completion date, which the MTACC presently forecasts for March 31, 2014. The PMOC believes, however, that this date is overly optimistic based on current production rates and that a more realistic date, based on current CH054A production rates and railroad support personnel availability, would be mid-4Q2014. Nonetheless, the CH054A contract is not on the project critical path.

g. Vehicles

Details of the vehicle procurement (non-federally funded portion) are provided in Section 2.5 of this report.

h. Commissioning and Start-Up

A Quarterly Operational Readiness meeting was held on June 20, 2013. Details are provided in Section 2.4 in this report.

i. Project Schedule

Table 1: Summary of Critical Dates

	FFGA	Forecast (F) Completion, Actual (A) Start	
		Grantee*	FTA**
Begin Construction	September 2001	September 2001(A)	September 2001(A)
Construction Complete	December 2013	August 2019	September 2019
Revenue Service	December 2013	August 2019	September 2019

* Source – Grantee forecast Revenue Operations Date per information presented to MTA CPOC on May 21, 2012

**Source –Based on PMOC 2012 risk assessment results

j. Project Budget/Cost

Table 2- Project Budget/Cost Table (as of May 31, 2013)

	FFGA			MTA's Current Baseline Budget (CBB)		Expenditures	
	(Millions)	(% of Grand Total Cost)	Obligated (Millions)	(Millions)	(% of Grand Total Cost)	(Millions)	(% of CBB)
Grand Total Cost	**$7,386**	**100**		**$9,824**	**100**	***$4,982.7***	***50.7***
Financing Cost	$1,036	14.0		$1,116		***556.9***	*45.9*
Total Project Cost	$6,350*	86.0	$4,107	$8,708*	88.3	***$4,425.8***	***50.8***
Federal Share	$2,683	36.3	$1,148	$2,699	30.6	*$1,878.2*	*21.6*
5309 New Starts share	$2,632	35.6	$1,098	$2,436.6	27.6	*$1,6208*	*18.6*
Non New Starts grants	$51	0.7	$50	$67	0.8	$62.0	0.7
ARRA	0	0	0	$195.4	2.2	195.4	2.2
Local Share	$3,667	49.6	$2,959	*$6,009*	57.7	*$2,547.6*	*29.3*

* CBB represents current MTA Board approved $8,245 million budget [redacted] (regional investment not included).

k. Project Risk

The MTACC Risk Management Plan (RMP), Rev. 2.0 dated July 2012, a sub-plan within the ESA Project Management Plan (PMP), has been updated to conform to the ELPEP principles and requirements, and to incorporate FTA/PMOC comments. The FTA conditionally approved Rev. 2.0 on March 4, 2013.

MTACC routinely performs package level risk reviews for new contracts to be procured, although the PMOC notes that this was not done for the recently bid CM005 Contract. For a more detailed discussion, see Section 6.0 of this report.

MONTHLY UPDATE

The information contained in the body of this report is in accordance with Oversight Procedure 25, to "inform the FTA of the most critical project occurrences, issues, and next steps, as well as professional opinions and recommendations." Where a section is included with no text, there are no new "critical project occurrences [or] issues" to report this month.

ELPEP COMPLIANCE SUMMARY

The current status of each of the main ELPEP components is summarized as follows:

- **Technical Capacity and Capability (TCC):** MTACC issued ESA PMP draft Revision 9.0 on June 28, 2013, thus meeting its previous commitment. The PMOC will commence its review in July 2013. Regarding PMP training, the PMOC has been advised that MTACC has completed its audits to establish where training efforts need to be focused. The audit report will be available in July 2013 and MTACC procedures training will start in July 2013. The PMOC will continue to monitor progress in this area.
- **Risk Mitigation Capacity Plan (RMCP):** FTA-RII provided its conditional acceptance of the RMCP in its May 24, 2012 letter to MTACC. The PMOC has verified RMCP final acceptance based on its incorporation into the RMP.
- **Conformance and Compliance:** The PMOC continues reporting to the FTA regarding the ESA project's continuing ELPEP compliance based on the PMOC's review of the 2Q2013 performance. See details below.
- **Risk Management Plan (RMP):** FTA formally notified MTACC of its conditional acceptance of the RMP by letter dated March 4, 2013, based on MTACC correcting an error and expanding discussion of certain risk and mitigation topics.
- **Continuing ELPEP Compliance**
  - Management Decisions
    - Outcome: Program and project level decisions made at appropriate level within MTACC management.
    - Status: Improvement noted in elevating certain issues to higher level for those having potential significant impact. Monthly MTACC/FTA/PMOC Executive Meeting provides venue for discussion of key issues.
    - Example: Improvement still needed in responsiveness to FTA's concerns, especially regarding timely resolution of significant budget and schedule issues created by the bid over budget situation on the Contract CM012R procurement in

October 2012 and the subsequent cancellation of the solicitation. It is the opinion of the PMOC that this critical situation has persisted for an unacceptably long period of time, now over 8 months. IMPROVEMENT NEEDED.

- Design Development
  - Outcome: Stakeholder participation in design review process. Dedicated Amtrak liaison and consultant firm performed QA on Electric Traction (ET) design.
  - Status: Process is effective but slow; ET design milestones, although not as critical at this point in terms of overall project impact, are still being missed.
  - Example: Amtrak approval of ET design still missing milestones. IMPROVEMENT NEEDED.
- Change Control Committee (CCC) Process and Results
  - Outcome: CCC approval for changes that may impact project schedule and cost must be approved by committee. Candidate Revision (CR) process also implemented in CCC.
  - Status: All scope shifts among construction contracts are being presented to the CCC for review and approval with the exception of creation of new package CM005.
  - Example: The new Contract package CM005 was neither reviewed nor approved by the CCC prior to advertising, nor has the new repackaging plan for the CM012R package been submitted for review and approval. Continuation of adequate performance is now of concern. IMPROVEMENT NEEDED.
- Stakeholder Management
  - Outcome: Stakeholder participation in schedule re-baselining meetings and risk workshop. Coordination with stakeholders for outages and resources (force account meetings).
  - Status: Coordination with railroads with regard to force account support and force account construction has improved over time based on experience to date and railroads' efforts to increase their management oversight of ESA activities. Continued improvements are still needed.
  - Example: Construction Progress on Contracts CH053/54A needs to accelerate. Planning of LIRR force account work for 2014 in support of the ESA project has recently become an issue (the LIRR recently informed ESA that, because ESA had not supplied its desired 2014 track program by the specified date, ESA had lost its track usage priority for that year). IMPROVEMENT NEEDED.
- Issues Management
  - Outcome: Monthly executive meeting with FTA/MTACC to discuss key issues.
  - Status: Last executive meeting was held on May 16, 2013.
  - Although key project issues are being discussed in these forums; MTACC resolution of these issues continues to lag. For example, MTACC committed to producing a master integrated schedule overlaying the ESA Harold work on

Amtrak's planned Program of Projects in June 2012, yet minimum progress has been observed. To date, only one schedule has been received from Amtrak in June 2013. IMPROVEMENT NEEDED

- Procurement
  - Outcome: Decision to use Invitation for Bid (IFB) or Request for Proposal (RFP) made by MTACC based upon scope of work and type of procurement
  - Status: Decision process for procurement methodology has improved in 2012, however additional improvement is needed.
  - Example: Although MTACC has improved in the decision process for its procurement methodology; continuing shifts in scope complicate the procurement process; the latest example is the proposed scope split for CS 284 (Tunnel Systems Package). ADDITIONAL IMPROVEMENT NEEDED
- Timely Decision Making
  - Outcome: Project scope, schedule, budget continuously directed and controlled by administrative and management processes.
  - Status: Additional focus on decision timing with regard to issues outcome is needed to make this process effective.
  - Example: It has been almost 8 months since the cancellation of the CM012R solicitation, yet MTACC has not fully determined the impacts of the bid cancellation on the overall project schedule and budget to the best of the PMOC's knowledge. IMPROVEMENT NEEDED
- Risk Informed Decision Making
  - Outcome: Project risk management team decides on mitigation measures/actions for risks identified in risk register.
  - Status: Risk reviews are completed for bid packages; risk register updated on routine basis; significant risks identified and monitored. MTACC initiated monthly risk management review meetings with the FTA and the PMOC in January 2013 and has performed three package level risk assessments in 2013. Timing of these package level risk assessments needs to be better coordinated with the procurement cycles.
  - Example: The risk assessment for CS179 was performed well into the BAFO portion of the procurement for this package, making it difficult to incorporate any useful information obtained from the risk process into the procurement process. Also, Contract CM005 was advertised and bids accepted without completing a package level risk assessment as required by the Risk Management Plan. IMPROVEMENT NEEDED.

- The ELPEP Quarterly Review Meeting with MTACC, FTA-RII and the PMOC was planned for June 12, 2013, but was re-scheduled to early July 2013.
- Revisions to the ELPEP Document: On March 19, 2013, MTACC provided to the FTA and the PMOC their proposed revisions to the ELPEP. The FTA and MTACC have

agreed to hold working meetings to progress development of a revised ELPEP. These meetings had been expected to start during 2Q2013 but have been delayed pending an agreement on how to proceed absent the revised ESA cost and schedule baselines.

1.0 GRANTEE'S CAPABILITIES AND APPROACH

1.1 Technical Capacity and Capability

a) Organization

There are currently no issues to report pertaining to the MTACC organizational structure.

b) Staffing

The ESA Project Office lost two key staff members during the month of June: the Project Controls Program Manager and the Operational Readiness Program Manager. These are key positions that ESA needs to re-staff as soon as possible. The ESA Design Manager left the project at the end of March 2013. Currently, the Deputy Program Executive for Design is assuming that role with assistance from ESA Design Package Managers. Given the continuing lag in meeting design milestones; the ESA Project Office should consider filling the Design Manager's position.

1.2 Project Management Plan

a) History of Performance

MTACC re-baselined the ESA Project in May 2012. These baselines resulted in a risk adjusted budget of $8.24B (not including rolling stock reserve and finance cost) and a projected RSD in August 2019. This is the second re-baselining effort undertaken by ESA since the FFGA. Given the impact of the CM012R bid overrun and the continuing delays in several major procurements, the PMOC believes that ESA will need to re-baseline the project again.

b) PMP

The Grantee has updated the PMP and issued Rev. 9 on June 28, 2013. The PMOC will review the revised PMP and determine any impacts to the current Schedule Management Plan (SMP) and the Cost Management Plan (CMP)

1.3 Project Controls

a) Schedule

The ESA IPS has not been properly updated since October 2012, as required in the SMP (Section 5.3 – Update Process). The delay caused by cancelling the CM012R contract and restructuring it into three separate contracts and the subsequent delay in procuring those contracts is not properly shown on the updated IPS. In addition, major contract procurement dates continue to be indicated as TBD. Consequently, it is not possible to properly assess the viability of the current baseline schedule from the updated IPS.

b) Cost

The project estimate at completion remains $8.7 billion (the same as the result from the re-baseline in May 2012) not taking into account the cost associated with the delay caused by cancelling the CM012R contract. The CMP states (Section 5.7 – Monthly Update Process) that "each month the project level EAC is forecasted and the baseline budget is updated". That is not the case.

The CMP needs to be revised to reflect changes resulting from the May 2012 project re-baseline effort [redacted]

The Grantee needs to follow the CMP as agreed to improve its project budget effectiveness.

1.4 Federal Requirements

a) FFGA

As a result of MTACC's cost and schedule re-baseline effort in 2011/2012 and the independent risk assessment completed in May 2012, MTACC presented a new budget and RSD to the MTA Capital Program Oversight Committee on May 21, 2012: $8.24 billion (w/o vehicles and financing). At the December 12, 2012 special briefing to FTA-RII by MTACC on the decision to cancel the CM012R solicitation, the MTACC President said that MTACC's analysis of the cost and schedule impact to the ESA project budget would not be completed until January 2013, prior to presentation at the January 2013 CPOC meeting. At that time, FTA-RII advised MTACC that the FTA has decided to place on hold the FFGA Amendment pending written commitment from the MTA regarding details of an impact analysis and a recovery plan. As of the end of June 2013, MTACC has still not completed its analysis of the cost and schedule impacts resulting from the cancellation of the CM012R solicitation and subsequent division of the work scope amongst two existing construction contract and three new construction packages. MTACC has advised FTA-RII on several occasions since missing its January 2013 commitment that it will not provide a revised cost and schedule baselines until the fall of 2013.

b) Federal Regulations

There are currently no issues to report with regard to the Uniform Property Acquisition and Relocation Act of 1970.

1.5 Safety and Security

a) Safety Certification Process

At the June 20, 2013 Operational Readiness Quarterly Meeting, the MTACC Director of Construction Safety presented a brief status of remaining design packages that have to be reviewed and approved by the Safety Certification Committee. The PMOC expressed its concern that the Safety Certification Committee recently only approved the Preliminary Hazard Analyses (PHA) for contracts that are just about substantially complete (CM009/19; CQ039). The PMOC reminded the Director that there appears to be no certification related activities taking place for safety critical items that have already been constructed / installed on the project; and that this aspect of the certification process is lagging significantly. The MTACC Director had committed to providing a status report on efforts to progress this aspect of the safety certification process at this Operational Readiness Meeting. Unfortunately, he did not present any tangible results at the meeting. [Ref: ESA-A47-March13].

The PMOC remains concerned that personnel assigned to the Safety Certification Committee are continually changing; thus hampering the continuity and effectiveness of the Committee. New members frequently appear to be unaware of the safety certification requirements and process. The PMOC is also concerned that the Safety and Security Committee has not met on a regular basis as per the ESA SSMP. This lack of regular meetings will affect the Committee's ability to effectively coordinate activities related to the Safety Certification Process. The PMOC has expressed its concerns to the MTACC Safety Director and recommends that the Safety Certification Committee produce a calendar for regularly scheduled meetings and adhere to it. The PMOC also recommends that the MTACC Safety Director stress the need to maintain a stable committee to all of the participating stakeholders having representation on the Committee.

[Ref: ESA-96-Sep12] Although the Safety Director acknowledged the need to maintain stability of the Committee and noted that he would discuss this with LIRR Management, there is no indication to date that this has been done.

b) Project Construction Safety Performance

Project safety statistics for lost time accidents continue to trend slightly above the Bureau of Labor Statistics (BLS) national average at 2.27vs. 2.20 lost time accidents per 200,000 hours. Although there is continuing improvement in the overall project safety statistics (2.27 vs. 2.30 during the last reporting period), several contracts continue to perform below average for the project. For the CM004 Contract, the lost time accidents are trending above the ESA Project average (3.28 vs. 2.27 lost time accidents per 200,000 hours). On the CQ039 Contract, the lost time accident statistics continue to trend significantly above the ESA Project average (5.20 vs. 2.27 lost time accidents per 200,000 hours).

c) Security

ESA did not report any significant security issues during May 2013.

1.6 Project Quality

a) ESA Project Quality Manual (PQM)

The latest version of the ESA Project Quality Manual (PQM), Revision 6, issued in February 2009, was found to be acceptable. The ESA Quality Manager had committed to revise it by the end of February 2013 to incorporate changes to the ESA Quality System that have occurred since then. This date continues to slip. A Draft of Revision 7 has been prepared and is being reviewed by MTACC's Chief of Quality, Safety, and Security who will meet with the ESA Quality manager in mid-July 2013 to finalize the PQM. It is now scheduled to be issued by the end of July 2013. The PMOC believes that it would be beneficial to issue Revision 7 of the PQM as soon as possible. [Ref: ESA-93-June 12]

b) Submission of As-Builts

The single construction contractor working on the CH053, CH054A, and CQ032 contracts continues to be late in submitting As-Built drawings. The ESA Quality Manager conducted QA/QC surveillances of these contracts on January 11, 2013 and all three contracts had additional findings besides being delinquent with submitting As-Builts. Since the Contractor has not responded to the surveillance reports, and has still not submitted As-Builts in the correct format, the ESA Quality Manager had stated that he would issue Nonconformance Reports in April 2013. This did not happen but NCRs were issued to the contractor in June 2013. In addition, Deficiency Reports (DRs) were issued to the ESA Construction Management (CM) Office in June 2013 for not obtaining As-Built drawings from the contractor. The ESA Program Office has indicated that they will withhold funds from the next invoice if the contractor is not up to date and compliant. The PMOC is concerned that this issue is still not resolved and recommends that ESA press to bring this issue to closure. [Ref: ESA-100-Dec12]

c) CH053, CH054A, and CQ032 Quality Issues

The single construction contractor working on the CH053, CH054A, and CQ032 contracts continues to be delinquent in responding to Surveillance Reports and closing Nonconformance Reports. The PMOC recommends that the ESA Management meet with the contractor's

management to obtain a commitment from the contractor to respond to the Surveillance Reports and close-out the Nonconformance Reports in a timely manner.

The CH053 contractor's Program Manager has not attended three of the last four Monthly Quality Management Meetings. The PMOC recommends that when the contractor's management is not present, the Monthly Quality Management Meeting be rescheduled.

d) Quarterly Quality Oversights (QQOs)

During the second quarter of 2013, the PMOC attended QQOs for the following contracts: CM004, CM014A, CQ031, CQ039, CH053, and CH054A. Three of these contracts have new Quality Managers. Since two of the three had worked on their contract in other positions and the third was the Quality Manager for a contractor on Second Avenue Subway, the PMOC does not have a concern with the large number of new ESA contractor Quality Managers.

The CM004 and CM014A contracts are managed by the same contractor. In some cases, the contractor uses their standard forms in place of contract or project specific forms. This has led to some situations where traceability within the document control system was not apparent. In other cases, forms were not used in the manner they should be. The PMOC recommended that the contractor reevaluate the use of their forms and if any changes are made train the responsible parties.

The ESA quality auditors use a generic checklist when performing their Quarterly Quality Oversights. The contractor's Quality Plan that was approved by ESA often contains additional requirements. The PMOC recommends that each QQO checklist be tailored to include the requirements from the contractor's Quality Plan since that would be more meaningful than auditing to only the generic MTACC requirements. [Ref.: ESA-110-June 13]

e) Technical Capacity and Capability (TCC)-Training

PMOC discussions with the head of MTACC Chief of Quality, Safety and Security in June 2013 indicated that MTACC completed conducting audits to establish where training efforts needed to be focused. A draft report was issued and is being reviewed by ESA Management. A final report is expected to be issued in early July 2013. In mid-July 2013, there will be initial training on eight MTACC Quality Procedures. The PMOC will attend this training and continue to monitor progress in this area.

f) Concrete

The PMOC prepared a matrix of Nonconformance Reports (NCRs) written by ESA contractors in April 2013. Examination of the matrix determined that each contract had nonconformances relating to the quality of the concrete. Analysis by the PMOC determined that these nonconformances were specifically related to the performance of the concrete suppliers and the preparation of concrete at the batch plant. The PMOC recommended that periodic monitoring of the concrete be performed at the batch plant and that the field verifies that the specified design mix matches the site delivery tickets. It was further recommended that this should be performed in concert with the Engineer of Record's review of the laboratory test cylinder break results. The contractor's independent test lab is now performing periodic monitoring at the batch plant and then verifies that the specified design mix matches the site delivery tickets. The Engineer of Record must concur with any cylinder break results that are out-of-spec before the placed concrete can be left in, consequently this item is closed. [Ref: ESA-104-March13]

1.7 Stakeholder Management

a) Railroads

In coordination with Amtrak and LIRR, more weekend outages took place in the Harold Interlocking with a focus on the installation of catenary and signal towers. 18 catenary poles remain to be installed, but all of the poles critical for the westbound bypass slab outage were installed as this report.

b) Others

No other coordination efforts to discuss for this quarter.

1.8 Local Funding

a) MTA/New York State (Capital Plan)

MTACC announced at the May 2012 CPOC meeting that an additional $720 million will need to be identified in the MTA 2015 – 2019 Capital Plan to cover the new project baseline budget. The funding request for the 2015 – 2019 Capital Program will be submitted to the NYS Capital Program Review Board (CPRB) in September 2014

b) Other Sources

The total Federal funding commitment as of May 2013 remained at $2.699 billion, as indicated in Table 2 in the Executive Summary.

1.9 Project Risk Monitoring and Mitigation

a) Risk Management Plan

The MTACC Risk Management Plan (RMP), Rev. 2 dated July 2012, is a sub-plan within the ESA Project Management Plan (PMP). The RMP, Rev 2 was updated and has incorporated the FTA/PMOC review comments to bring it into compliance with the ELPEP principles and requirements. The FTA formally notified MTACC of its conditional acceptance of the RMP by letter dated March 4, 2013. The ESA-PMT has advised that the project is following the processes included in the RMP and the associated procedures. The PMOC has participated in some risk related meetings and will continue to confirm that the project is using the RMP processes through review of the risk related project documentation.

b) Monitoring

The MTACC committed that PMT would hold monthly risk meetings with the PMOC to review current risk related activities at the end of 2Q2012. Although the target has been monthly meetings ESA has only been able to conduct the meetings bi-monthly. The PMOC encourages the PMT to be more proactive and keep to a monthly schedule because valuable insight and information is discussed among the meeting participants. The last meeting was held on May 30, 2013.

c) Mitigation

Discussion of current mitigations is discussed in Section 6.3 below.

2.0 PROJECT SCOPE

2.1 Engineering/Design and Construction Phase Services

Status:

As of the end of May 2013, MTACC reported that the Engineering/Design effort was 97.3% complete (on a cost invoiced basis). The percent complete varies monthly and depends on the award of tasks to the GEC.

The 100% submittal for the Stage 3 catenary design (FHA03) was combined with the FHA03a preliminary design (which will provide electrification to additional tracks to facilitate Amtrak operations during Stage 3 and 4 work) at the request of Amtrak. Comments from the QA/QC Electric Traction design consultant were received by the PMT and addressed. The package was sent to Amtrak on May 3, 2013 and a meeting is planned for the first week in July (ESA previously stated that this meeting would be held first week June) to review any comments Amtrak may have.

The ESA PMT received numerous comments on Loop Track (FQA65) catenary design package from Amtrak in May 2013. The ESA PMT met with Amtrak in the second week of June 2013 to review the package and is finalizing it. This delay does not impact the overall project schedule at this point.

Work on the Stage 4 catenary 60% design resumed in May 2013. The ESA PMT plans to forward this package to Amtrak for review the first week in July (previously forecast June 2013).

The confirmatory set of drawings for CM014B was circulated among the major stakeholders (LIRR, MNR) in April to assure them that all of their comments have been adequately addressed. The GEC continues to make minor changes to the drawing package.

The GEC finalized the 100% drawing sets for CM015 (48th Street Entrance) and submitted them to the ESA PMT.

The CH057 (Harold Structures Part 3a) was split into three separate packages. The installation of the track slab for the Westbound Bypass tunnel was removed from the scope and negotiated as a change order with the CQ031 Contractor to take advantage of a 30-day continuous track outage scheduled to begin in July 2013. The Westbound Bypass work is packaged separately and will be procured as Contract package CH057A. The remaining work will be procured as a separate package (CH057) and the design drawings for this package are currently being finalized by the GEC with an anticipated 100% submittal in July (previously June 2013).

The 90% submittal for CH058 (Harold Structures- Part 3b) has been on hold as a result of the ESA PMT rethinking the method of construction for the east bound re-route structure (in order to utilize a 45-60 day track outage that may be granted for the work in the future).

The GEC continued to provide support for the CM012R repackaging and re-bidding process. The GEC continues development of the bid package for CM006. MTACC has decided to place the duct bench and East River tunnel rehabilitation into this package (was previously considering a separate package, CM003, for this scope).

The GEC repackaging modification for the CM007 package was approved at the June 5, 2013 MTA Board meeting. The modification will be issued to the GEC to start the repackaging.

Methods to procure a cast-in place concrete option are being analyzed. The GEC forecasts four to six months to complete the package.

Observation:

The GEC and PMT continue to consistently miss all of its target dates for remaining design activities on the project.

Concerns and Recommendations:

The PMT design management team needs to focus on achieving intermediate milestones in a timely fashion and work closely with the GEC to help make this happen. The fact that the ESA Design Manager was not replaced after his departure earlier this year does not help the situation. The PMOC continues to recommend that the PMT develop a design milestone tracking sheet for the remaining design work on the project; similar to what was done for the catenary design work; in order to more effectively manage the design effort. [Ref: ESA-103-Dec12]

2.2 Procurement

Status:

As of the end of May 2013, the total procurement activity on the project was reported to be 58.8% complete, with $5.117 billion in contracts awarded out of the $8.708 billion revised budget.

As discussed in previous monthly reports, the scope of work from the cancelled CM012R is being divided among several contract packages (existing and new). The plan is to split the scope of work into three new contracts, with the first one, CM005, to include work scope for the southern structures. This package was advertised for bid on March 21, 2013, and after several postponements bids were opened on June 20, 2013. The lowest bid came in at approximately $200.6M, which was below the ESA package estimate. The PMOC notes that this bid was approximately $38M lower than the next lowest bid and about $40M lower than the bid average.

The second new contract package CM006 (northern structures) is under development and was planned to be advertised by July 1, 2013; however this date will not be met. The ESA PMT is now forecasting August 1, 2013 as the advertise date. A risk workshop was held for this package on June 12 and 13, 2013 (discussed in Risk Section 6.0 of this report).

The third new contract package CM007 (caverns) is also under development. The advertise date for this package remains TBD. The continuing slippage (since the December 1, 2012 forecast) of awarding CS179 (Systems Package 1) remains a major concern. The package is still being negotiated. The planned Notice to Proceed (NTP) remains TBD and it is important to note that this Contract is on the critical path, with a direct impact on project schedule contingency by not awarding it by the end of 2012. MTACC committed in April 2013 to have a recommendation for award ready to present to the MTA Board in July 2013, but negotiations with several proposers continue as of the end of June 2013 and this date will not be met. The PMT has decided to split the Tunnel Systems Package (CS284) into two packages: one for track work and one for the traction power work. Procurement dates for this package are now TBD. This will have an impact on the Systems Package 1 Contractor. NTP for the Signal Equipment package (VS086), which is being negotiated as an RFP, is also TBD.

The latest IPS update indicates that the CM014B package will be ready to advertise on September 1, 2013.

The CH057A (westbound bypass work) package was advertised on May 7, 2013 with a bid opening date currently planned for August 1, 2013. Construction of the track slab will be done as a change order to the CQ031 contract. Remaining work in CH057 is currently forecast in the IPS to be advertised in August 2013, with NTP forecast for January 2014.

Observation:

The ESA PMT did not meet any of its 2012 schedule re-baseline dates for the four major packages that were to be procured in 2012 (CM012R; CS179; CM014B; CH057). Procurement dates for major packages continue to slip or remain TBD.

Concerns and Recommendations:

Given the bid range for the CM005 bid ($201M to $283M) and the fact that the winning bid was $38M less than the next lowest bid, the PMOC recommends that ESA re-evaluate its position of allocating only 5% contingency to this Contract and consider allocating more contingency. This is especially important given the fact that neither a constructability review nor a package level risk assessment was performed.

The PMOC is also concerned that the ESA estimate of $205.9M for the CM005 package did not fall within the midrange of the received bids, indicating in the PMOC's opinion that the estimate was low. Given that MTACC's stated goal was to use the results of the CM005 procurement as a guideline for estimating the CM006 and CM007 packages, the PMOC recommends that MTACC and the ESA PMT carefully re-evaluate the current preliminary estimate for the CM006 package and keep this in mind as the estimate for CM007 is developed.

The PMOC is concerned about the need to utilize a significant amount of project contingency for procurement activities as well as the impacts of delaying such significant amount of construction work. Since the CM012R and CS179 packages were/are on the project critical path, and CH057 and CM014B are near critical, the PMT needs to determine the impact of the delays of these procurements on the overall project contingency. [Ref. ESA-102-Dec12]

The PMT also remains concerned about the instability of the contract packaging and continuing scope shifts. ESA continues to shift scope among existing and future packages; resulting in a schedule and cost instability making it difficult to determine the exact status of the overall project. The PMOC continues to recommend that ESA produce an updated Contract Packaging Plan (CPP) and adhere to it. [Ref: ESA-113-June 13]

2.3 Construction

ESA reported in its May 2013 Monthly Progress Report that the total construction progress reached 51.6% complete on a cost invoiced basis (vs. 53.4% planned), in accordance with its re-baselined budget of May 2012. The data date for financial and progress figures, for all reported contracts, is May 31, 2013. Details for active construction contracts are provided below. It should be noted that none of the Manhattan or Queens contracts currently under construction are on the current project critical path.

Manhattan Contracts

CM004 – 44th St. Demolition and Construct Fan Plant Structure and 245 Park Ave. Entrance

Status: The EAC remained at $62.84M. The forecast Substantial Completion (SC) date remains December 15, 2013 for the Vent Building and July 5, 2013 for Beneficial Use of the 245 Park Ave. Entrance. Data date for the table below is May 31, 2013.

	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline**	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$40.77M (Award)	$54.73M	+13.96M 34.24	$62.84M	+$22.07M 54.13%	+13.49M 48.52%
Scheduled SC Date	09/16/11	01/10/13 08/03/12 (245 Park)		12/15/13 07/05/13 (245 Park)		
Duration (NTP - SC)	24 mos.	40 mos. 35 mos. (245 Park)	+16 mos. 66% +11 mos 45.83% (245 Park)	48.5 mos. 43 mos. (245 Park)	+24.5 mos. 102.08% 79.16% (245 Park)	+8.5 mos. 21.25% 8 mos 22.85% (245 Park)

Percent Complete		**Actual - 12 mos.**		**Actual - 6 mos.**		**Avg. Req'd. Progress**	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Forecast SC**
98.1%	80%	*N/A	*N/A	*N/A	.*N/A	*N/A	*N/A

From May 2013 ESA Monthly Report
*MTACC reports that the curve for percentage of completion has recently been redesigned again.

Construction Progress:

- 44th St. Vent Plant
  - Completed erection of the above grade structural steel and removed the crane from the site.
  - Completed the concrete lining of Shaft #1.
  - Continued installation &welding of metal deck.
  - 44th St. north and south utility connections remain on hold awaiting permit approval from NYDEP.
- 245 Park Ave. Entrance
  - Issues between MTACC, MNR and the contractor over the architectural railing, the escalator and overall advancement to Beneficial Use continued to be a problem. MTACC sent a letter to the contractor demanding that the architectural stair be

replaced by May 31, 2013 or they will remove it from the contract, deduct the assessed value of the rail of $100,000, and MTACC would make the replacement. The contractor responded that the time allocated in the MTACC letter was irresponsible and an impossible timeline to meet.

- The Project Office continued working to issue to the contractor the escalator testing acceptance letter for the tests that were taken in approximately October 2012. This letter will not constitute MTACC/MNR overall acceptance of the escalator until the monitoring system is in place. The escalator contractor is not cooperating on this issue.

Observations/Analysis:

The PMOC observes that issues with the Contract due to scope changes have significantly altered the sequence of work. We observe that the Contractor has been continually late in the development of cost proposals for these changes; however the MTACC has not been processing and executing payments to the Contractor for these changes in a timely manner, resulting in complaints from the Contractor that subcontractor response to the added work scope has not been timely. The PMOC has previously reported on issues with the MTACC change order processing.

Concerns and Recommendations:

The PMOC continues to be concerned that the lack of resolution with the turnover of the escalator to MNR is resulting in a continued shut down of the escalator, which violates the standard operation/maintenance requirements which require that the escalator remain in continuous operation and runs the risk of damaging the unit.

CM009/CM019 Contracts – Manhattan Tunnels Excavation/Structures Part 1

Status: The Estimate at Completion (EAC) for the CM009 contract has remained the same at $402,773,000 for the past several months. Substantial Completion (SC) was achieved on June 1, 2013, after which the MTACC amended the CM009 contract to include the waterproofing and shotcrete application in 3 additional cavern areas. The projected SC for this additional work is September 30, 2013, and will be designated Milestone 9A. Actual progress for CM009 for May 2013 was 0.3% versus 0.6% planned. The cumulative progress through May 31, 2013, was 99.3% actual versus 96.8% planned.

CM009	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline**	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$428.00M (Award)	$403.0M	-$25.0M -5.8%	$402.7M	-$25.3M -5.9%	-$0.3M -0.1%
Scheduled SC Date	07/08/10	6/1/13		6/1/13		
Duration (NTP - SC)	48 mos.	83 mos.	+35mos. 73.0%	83 mos.	+35 mos. +73.0%	0 0.0%

Percent Complete		**Actual - 12 mos.**		**Actual - 6 mos.**		**Avg. Req'd. Progress**	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Forecast SC**
96.8%	99.3%	7.9%	0.7%	6.2%	1.0%	N/A – Past Due	0.7%

From the May 2013 ESA Monthly Report

The Estimate at Completion for the CM019 contract has remained the same at $491,633,000 for the past several months. Substantial Completion was achieved concurrently with the CM009 contract on June 1, 2013. Actual progress for May 2013 was 0.1% versus 0.8% planned. Cumulative progress through May 31, 2013, was 99.7% actual versus 97.0% planned.

CM019	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline**	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$734.00M (Award)	$779.4M	+$45.4M +6.2%	$791.6M	+$57.6M +7.8%	+$12.2M +1.6%
Scheduled SC Date	03/31/12	6/1/13		5/31/13		
Duration (NTP - SC)	48 mos.	62 mos.	+14 mos. +29.2%	62 mos.	+14 mos. +29.2%	0 0.0%

Percent Complete		**Actual - 12 mos.**		**Actual - 6 mos.**		**Avg. Req'd. Progress**	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Forecast SC**
97.0%	99.7%	16.6%	1.4%	5.2%	0.9%	N/A – Past Due	0.3%

From May 2013 ESA Monthly Report

Construction Progress: The CM009/CM019 contractor declared Substantial Completion of both contracts on June 1, 2013, as anticipated. Subsequently, the MTACC issued Contract Modification #46 to the CM009 contract to waterproof and apply shotcrete in GCT5 West Wye, and GCT3 and GCT4 Crossovers. The Substantial Completion for this work is September 30, 2013, and is contract Milestone 9A.

Summary Observations: Although CM009 was envisioned as a 69 month contract originally and CM019 as a 48 month contract, they were combined midway through the contracts to be a joint contract with a 69 month duration and Substantial Completion scheduled for early April 2012. When Substantial Completion was declared on June 1, 2013, it represented a 14 month delay in the original contract schedule.

Summary Concerns and Recommendations: Since the contractor has declared Substantial Completion, the PMOC has no concerns or recommendations.

CM013 – 50th Street Vent Facility

Status: The EAC remained at $125.85M. The forecast Substantial Completion (SC) date remains November 18,, 2013. Data date for the table below is May 31, 2013.

	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline**	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$118.35M (Award)*	$123.32M	+$4.97M +4.18%	$125.85M	+$7.5M 6.33%	+2.53M +2.05%
Scheduled SC Date	06/10/12	06/15/13		11/18/13		
Duration (NTP - SC)	29 mos.	41 mos.	+12 mos. +41.38%	46 mos.	+17 mos. +58.62%	+5 mos. +12.19%

Percent Complete		**Actual - 12 mos.**		**Actual - 6 mos.**		**Avg. Req'd. Progress**	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Forecast SC**
98.1%	82.8%	20.2%	3.37%	8.3%	1.38%	100%	2.86%

From May2013 ESA Monthly Report

*Total award price of $118,355,000 includes $94,355,000 for CM013 and $24,000,000 for work performed by the owner of the 300 Park Ave. building.

Construction Progress: The roadway deck was removed for backfill and street restoration. At the Vent Plant work continues with the installation of metal deck and concrete floor slabs at upper floors. Layout is ongoing for the building cladding enclosure. Concrete encasement of columns and beams is ongoing. Concrete block walls continue throughout. In the Vent Shaft work continued on concrete placement for Stair #1. Additional utility work is required by NYDEP to install a new sump in the existing building across E. 50th St. where the new building utility tie-ins occur.

Observations/Analysis: During this period, the MTACC Code Compliance Unit (CCU) has placed a stop-work on areas where Pneumatically Applied Concrete (PAC) is being or has been used with rebar cages, specifically the continuous wall at stair #1 in the shaft. The CCU feels this procedure may produce a gap between the back of the rebar cage and the adjacent surface. Contrarily, the GEC has approved the procedure. As of this report, there is no resolution at hand. CCU is proceeding with an investigation and taking core samples of in-place work in random areas.

Concerns and Recommendations: The PMOC is concerned that CCU is expressing these concerns with PAC applications at this stage of the project and not earlier when this approach was being discussed. The PAC process has been implemented previously in the construction of basement walls and in the completed shaft lining for contract CM004. This impasse affects the substantial completion date of this contract, and the effects on completed work on other contracts cannot be determined at this time.

CM013A – 55th Street Vent Facility

Status: MTACC reports that through May 31, 2013 the EAC has increased to $59.38 million from the previous $58.85 million. Forecast Substantial Completion date remains April 5, 2015. As of May 31, 2013, MTACC reports that the actual percent complete remains slightly ahead of schedule at 11.7% vs. 10.7% planned. This Contract is not currently on the project critical path.

Construction Progress:

Work continues to proceed with street decking and excavation below the street deck that spans from Madison Ave. to Park Ave. on E 55th St. MTACC continues to work with ConEd on utility interfaces and the hanging of utilities form the underside of the street decking.

Observations:

None at this time.

Concerns and Recommendations:

None at this time.

CM014A – GCT Concourse & Facilities Fit-Out

Status: MTACC reports that through May 31, 2013 the EAC remained at $51.99 million. Forecast Substantial Completion date remains February 15, 2014 due to the delays in the Systems Control and Data Acquisition (SCADA) system redesign. The actual percent complete is 41.9% versus 73.3% planned.

	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline**	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$43.50M (Award)	$43.65M	+$0.15M +.0.3%	$51.99M	+$8.49M +19.51%	+8.34M +19.10%
Scheduled SC Date	04/25/13	07/08/13		02/15/14		
Duration (NTP - SC)	18 mos.	21 mos.	+3 mos. +16.66%	27mos.	+10 mos. +50%	+6 mos. +28.57%

% Complete		**Actual - 12 mos.**		**Actual - 6 mos.**		**Avg. Req'd. Progress**	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Forecast SC**
73.3%	41.9%	34.4%	2.86%	6.4%	1.06%	58.1%	6.9%/mo.

From May 31, 2013 ESA Monthly Report

Construction Progress:

The contractor continued with below grade duct banks, concrete slab on grade placement, erection of permanent Concrete Masonry Unit (CMU) walls for Back Of House power service rooms, overhead piping and HVAC ducts. The 12 transformers were delivered and MTACC has to identify the temporary storage area for 6 of the transformers, which will be installed by the CM014B contractor. The remaining 6 transformers will be installed and energized by this contractor for permanent and temporary power.

Observations/Analysis:

The PMOC has previously discussed the ongoing delays that have been experienced due to the required redesign on the Supervisory Control and Data Acquisition (SCADA) system affecting the actual percent complete vs. the planned. Now that the SCADA re-designing is complete, the PMOC expects that this slippage will cease. Due to delays in bid/award of upcoming contracts, this delay is not currently impacting other contracts.

Concerns and Recommendation:

None at this time.

Queens Third-Party Contracts

CQ031 Contract – Queens Bored Tunnels and Structures

Status: The Estimate at Completion remained at $784,964,000 during May 2013 after the contract was amended in April 2013 to include installation of secant piles for the Tunnel A Approach structure and the concrete slab under the LIRR/Amtrak main lines for the future Westbound Bypass tunnel. Actual progress for May 2013 was 0.8% versus 0.0% planned (because base contract was complete). Cumulative construction progress as of May 31, 2013, was 96.1% actual versus 100.0% planned.

	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline**	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$648.90M (Award)	$751.4M	+$102.5M +15.8%	$785.0M	+$136.1M +21.0%	+$33.6M +4.5%
Scheduled SC Date	09/26/12	09/26/12		2/25/14*		
Duration (NTP - SC)	36 mos.	36 mos.	(no change)	53 mos.	+17 mos.* +47.2%	+47.2%* +47.2%

Percent Complete		**Actual - 12 mos.**		**Actual - 6 mos.**		**Avg. Req'd. Progress**	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Forecast SC**
100.0%	96.1%	15.7%	1.3%	6.7%	1.1%	N/A – Past Due	0.5%*

*Based on CQ031 contract addendum that includes construction of Tunnel A extension and construction of Westbound Bypass concrete slab under Lines 2 and 4 (early work scope transferred from CH057).

Construction Progress: The CQ031 contractor continued to install secant piles and prepare for support of excavation (SOE) for the Tunnel A extension during June 2013, as well as prepare for the track outage to install the concrete slab for the Westbound Bypass Tunnel. As of June 20, 2013, the contractor had installed 68 of 246 secant piles.

Observation: During its field site visits, the PMOC has noted that CQ031's secant pile installation has progressed well and is on schedule to be complete by September 30, 2013. The MTACC has reported that preparations for the concrete slab track outage are also on schedule.

Concerns and Recommendations: Since both the SOE installation and the preparation for the concrete slab installation are on schedule, the PMOC has no concerns or recommendations at this time.

CQ032 Contract – Plaza Substation and Queens Structures

Status: The Estimate at Completion remains at $192.5M. At present, the contract Substantial Completion date is August 14, 2014, although the MTACC has forecast SC as June 23, 2015, 10 months later. Actual progress for May 2013 was 2.6% versus 6.7% planned. Cumulative construction progress through May 31, 2013, was 25.6% actual versus 50.4% planned.

	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline**	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$147.38M (Award)	$177.2M	+$29.8M +20.2%	$192.53M	+$45.15M +30.6%	+$15.3M +8.6%
Scheduled SC Date	08/14/14	08/14/14		6/23/15		
Duration (NTP - SC)	36 mos.	36 mos.	(no change)	46 mos.	+10 mos. +27.8%	+10 mos. +27.8%

Percent Complete		**Actual - 12 mos.**		**Actual - 6 mos.**		**Avg. Req'd. Progress**	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Forecast SC**
50.4%	25.6%	18.5%	1.5%	12.3%	2.1%	5.3%/mo.	3.1%/mo.

Construction Progress: The CQ032 contractor continues to place concrete for the final inverts for the Tunnel A and Tunnel D approaches and apply shotcrete (pneumatically applied concrete) to the sidewalls of the Open Cut and Yard Lead Trench. Additionally, during June 2013, the contractor completed excavation for the sump chamber in the C06 Substation (just outside the Tunnel D portal) and began excavation in Area 1A between the Open Cut and the Northern Boulevard Tunnel. Progress at other contract sites Roosevelt Island, Vernon Boulevard, and 12th, 23rd, and 29th Streets, however, has been on hold pending MTACC direction.

Observations/Analysis: The MTACC has forecast Substantial Completion of CQ032 for June 23, 2015, although the currently approved baseline date is August 14, 2014. The PMOC, based on CQ032's current production rate, agrees with the MTACC's forecast date of June 2015. The PMOC also notes, however, that the parties are presently negotiating a re-baselined contract which contains additional scope that could revise the baseline Substantial Completion date. CQ032 work at the Early Access Chamber is on the project critical path, so a change in the SC date could have a corresponding change in the critical path.

Concerns and Recommendations: The PMOC is concerned that the gap between CQ032's actual versus planned production has been widening for the past several months. This may, in turn, cause the Substantial Completion date to stretch beyond June 2015 [Ref: ESA-105-Mar13]. To avoid this, the PMOC recommends that the parties carefully analyze the affects the added scope will have on the re-baselined contract and include a realistic timeframe in the contract for them.

CQ039 Contract – Northern Boulevard Crossing

Status: The Estimate at Completion remains at $102.5M. The forecast Substantial Completion date slipped an additional 4 weeks since the PMOC's May 2013 Monthly Report and is now forecast for August 26, 2013. Actual construction progress for May 2013 was 0.1% versus 0.0% planned (the project was supposed to be complete). Cumulative progress through May 31, 2013, was 95.9% actual versus 100.0% planned.

	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline**	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$84.95M (Award)	$98.94M	+$13.99M +16.5%	$102.50M	+$17.55M +20.7%	+3.56M +3.6%
Scheduled SC Date	10/05/11	08/01/12		8/26/13		
Duration (NTP - SC)	20 mos.	30 mos.	+10 mos. +50.0%	43 mos.	+20 mos. +115.0%	+13 mos. +65.0%

Percent Complete		**Percent Complete**		**Actual - 12 mos.**		**Avg. Req'd. Progress**	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Actual**
100.0%	95.9%	42.1%	3.5%	18.6%	1.6%	(N.A. - past date)	2.1% mo.

Construction Progress: CQ039 construction was at a virtual standstill during 2Q2013 as the contractor awaited removal of a "Stop Work" order that the MTACC's Code Compliance Office (CCO) imposed on the Northern Boulevard Crossing due to its belief that there was insufficient concrete cover in the final tunnel liner. The order was rescinded on June 21, 2013, after which the contractor attempted to transfer the loads supporting the overhead NYCT subway structures to the tunnel liner. Unfortunately, the load transfers on both ends of the tunnel failed and will have to be re-scheduled. They will need to be completed successfully before the contractor can declare Substantial Completion.

Observations/Analysis: The load transfers and Substantial Completion were originally scheduled for late March 2013, thereby making their successful completion at least 3 months later than scheduled. Although the completion of this work is not on the project critical path, it continues blocking full CQ032 access to the area.

Concerns and Recommendations: The PMOC recommends that the CQ039 contractor and the MTACC determine the cause(s) of the load transfer failures as quickly as possible and make the necessary repairs so that the load transfers can be made.

Harold Interlocking Contracts

CH053 Contract – Harold Structures Part 1 and G.0.2 Substation

Status: The Estimate at Completion remained at $282,876,000 in May 2013. The MTACC continues to revise its forecast Substantial Completion date and is now May 6, 2014, as of the ESA May 2013 Monthly Report. Actual construction progress for May 2013 was 2.9% versus 0.0% (project was to be complete). Cumulative project completion through May 31, 2013, was 78.3% actual versus 100.0% planned.

	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline**	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$137.30M (Award)	$220.3M	+$83.0M +60.5%	$282.9M	+$145.6M +106.0%	+$62.6M +28.9%
Scheduled SC Date	05/05/10	01/16/12		5/6/14		
Duration (NTP - SC)	28 mos.	48 mos.	+20 mos. +71.4%	76 mos.	+48 mos. +171.4%	+28 mos. +36.8%

Percent Complete		**Actual - 12 mos.**		**Actual - 6 mos.**		**Avg. Req'd. Progress**	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Forecast SC**
100%	78.3%	11.3%	0.9%	6.5%	1.1%	N/A – Past Due	2.2%/mo.

Construction Progress: The CH053 contractor continued to install catenary structures, 12kV ductbank and cable, and retaining walls in several locations throughout Harold Interlocking during 2Q2013, as well as continued to install piles and remove wingwalls at 43rd and 48th Street for the ML4 realignment. Additionally, the contractor began construction of retaining wall 43-S2, which will support ML4 between 43rd and 48th streets, and resumed construction of the Tunnel A Approach Structure.

Observations/Analysis: Although the contractor has made major construction strides during the past year, it remains at least 48 months behind its baseline schedule. Since the Force Account support of the contractor is relatively fixed, there appears to be little opportunity for additional improvement in production. Nonetheless, the MTACC and the contractor have been developing a re-baselined schedule which is aimed at a Substantial Completion date of December 31, 2013. [redacted] Since CH053 drives Harold Interlocking construction, it is on the Harold critical path.

Concerns and Recommendations: The PMOC is concerned that, because CH053 is so dependent upon reliable Force Account support for virtually every aspect of its work, every interruption in the supply of F/A personnel (e.g. the recent LIRR derailment in Penn Station), could have a

potential negative impact on CH053 work. Additionally, the CH053 contractor has to compete with other ESA contractors for a relatively fixed F/A level of support that is allocated by the MTACC. Historically, the contractor has not received priority in MTACC's decision-making. The PMOC therefore recommends that the MTACC give greater priority to the contractor's needs if it intends to achieve the December 31, 2013, SC date.

CH054A Contract – Harold Structures Part 2A

Status: The Estimate at Completion remained at $60,108,000 through May 2013. Forecast Substantial Completion remained relatively the same at March 31, 2014. Actual Construction Progress through May 2013 was 4.0% versus 0.0% planned (project was to be complete). Cumulative construction progress was 50.7% actual versus 100.0% planned, although the MTACC and the contractor executed a contract modification during May that effectively reduced the cumulative percent complete.

	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline**	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$21.80M (Award)	$42.0M	+$20.2M +92.6%	$60.1M	+$38,3M +175.7%	+$18.1M +43.1%
Scheduled SC Date	12/21/10	12/21/10		3/31/14		
Duration (NTP - SC)	16 mos.	16 mos.	(no change)	56 mos.	+40 mos. +250.0%	+40 mos. +250.0%

Percent Complete*		**Actual - 12 mos.****		**Actual - 6 mos.****		**Avg. Req'd. Progress*****	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Forecast SC**
100.0%	50.7%	20.0%	1.7%	5.8%	1.0%	(N.A. - past date).	2.7%/mo.

* Based on $14.0M contract addition executed in May 2013.
** PMOC projection based on progress prior to change order referenced in above footnote.
*** Includes May 2013 $14.0M contract addition.

Construction Progress: The CH054A contractor continued to install 12kV ductbank, construction of the Thomson S-2 retaining wall, and preparations for the "F1" cutover during 2Q2013.

Observations/Analysis: Basically an extension of the CH053 contract, the scope of work for CH054A is only approximately 1/5 the size. Re-design of the 12kV ductbank system in the CH054A scope continues to delay construction. Based on current rates of construction, the PMOC estimates that Substantial Completion will be achieved several months after the MTACC forecast date of March 31, 2014 (PMOC calculation mid-4Q2014). Although the contract originally envisioned a 16 month schedule, the present MTACC forecast for SC will result in a 55 month actual schedule. Nonetheless, this contract is not on the project critical path.

Concerns and Recommendations: The PMOC is concerned that further delay in the re-design of the 12kV ductbank system will result in a corresponding delay in CH054A construction. The PMOC therefore recommends that the MTACC and the GEC work together to finish the re-design as quickly as possible.

Systems Contracts

VH051A (Part 1) – Harold and Point Central Instrument Locations (CILs)

Status: The Estimate at Completion remained at $30.67M through May 2013. Forecast Substantial Completion remained the same. Actual Progress through May 2013 was 54% versus 53% planned.

	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline**	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$30.89M (Award)	$30.72M	-0.17M -0.6%	$30.67M	-0.14M -0.7%	-0.05M -0.16%
Scheduled SC Date	06/25/12	06/25/12		07/31/15		
Duration (NTP - SC)	37 mos.	37 mos.	+ 0mos. (+0%)	74 mos.	37 mos. 100.5%	37 mos. 100.5%

Percent Complete		**Actual - 12 mos.**		**Actual - 6 mos.**		**Avg. Req'd. Progress**	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Forecast SC**
53%	54%	-	-	-	-	(N/A)	

Construction Progress:

LIRR witness testing for the H5 CIL was successfully completed in June 2013. The site is being prepared for placing the CIL. Submittals for the remaining CILs have been received and the ESA PMT anticipates that the reviews will be completed on time to maintain the schedule.

Observations/Analysis:

Timely submittal reviews are still needed to maintain the CIL installation schedule dates. LIRR has allocated additional resources to support the review effort

Concerns and Recommendations:

The extended duration impact due to an engineering change order of $813,481(details discussed below) plus LIRR's Positive Train Control (PTC) change order for $364,318 is still outstanding and will take further review and discussion. The PMOC will continue to monitor this item.

Engineering changes that LIRR required:

1. LIRR requested redesign of the FRA Test Box.
2. Redesign of the H3 CIL cable and equipment location drawings due to site constraints in Harold.
3. LIRR requested switch 843 remain in place for an additional six stages (2D – 2I) necessitating software revisions.

4. Due to subsequent construction sequencing in Harold, additional software staging required additional stages for Contractor to support.
5. LIRR requested a copper interface in lieu of a Microlok unit between the old and new equipment at POINT.
6. The Auto-CAD version of Promis-e software package was found to be problematic to use. Ansaldo had to spend extra time and resources to troubleshoot a prescribed vendor's product.

The PMOC will continue to monitor this item.

VH051B (Part 2) – Harold Tower Supervisory Control System (HTSCS)

Status: The Estimate at Completion remained at $8.7M through May 2013. Forecast Substantial Completion remained the same. Actual Progress through May 2013 was 88% versus 95% planned.

	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline**	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$7.10M (Award)	$8.10M	+$1.00M +14.1%	$8.7M	+$1.6M +22.5%	-$0.3M 0.0%
Scheduled SC Date	08/24/10	08/24/10		09/30/13		
Duration (NTP - SC)	18 mos.	18 mos.	+0 mos. 0%	55 mos.	+37 mos. +205%	+37 mos. +205.0%

Percent Complete		**Actual - 12 mos.**		**Actual - 6 mos.**		**Avg. Req'd. Progress**	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Forecast SC**
95%	88%					(N/A)	

Construction Progress:

The "F" Harold Alternate Control System (FHACS) is currently in operation for the GATE Interlocking only. Amtrak has decided to use its own backup system to cover the F2 interlocking. The FHACS database will be updated to incorporate the changes necessary to support the existing POINT and Harold cutovers as well as the F1 work.

Observations/Analysis:

Several additional change orders are anticipated on this Contract as a result of adding enhanced graphics/functionality to the HTSCS as well as to extend the Contract past the current Substantial Completion date in order to support remaining cutovers.

Concerns and Recommendations:

Changes in the FHACS database will have to be completed in a timely fashion in order to support the cutovers mentioned above. The PMOC will continue to monitor the status of this item.

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Railroad Force Account Construction Packages

Harold Stage I Amtrak FA (FHA01)

Status: The Estimate at Completion for FHA01 remains the same at $16,685,000. The forecast Substantial Completion date slipped by 5 weeks during May 2013 and is now May 6, 2014. Actual progress for May 2013 was 0.9% versus 1.3% planned. As of May 31, 2013, the cumulative progress was 88.6% actual versus 90.0% planned.

FHA01	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline***	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$9.50M	$16.80M	+$7.30M +76.8%	$16.70M	+$7.2M +75.8%	+0.1 M 0.5%
Scheduled SC Date	09/30/10	01/03/12		5/6/14		
Duration (NTP - SC)	39 mos.	54 mos.	+15 mos. +38.5%	82 mos.	+43 mos. +110.3%	+28 mos. +51.2%

Percent Complete		**Actual - 12 mos.**		**Actual - 6 mos.**		**Avg. Req'd. Progress**	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Forecast SC**
90.0%	88.6%	12.3%	1.0%	4.8%	0.8%	N/A – Past Due	1.1%/mo.

**The term "re-baseline" is a misnomer with Force Account work. In Amtrak's case, the "original baseline" has increased to account for the scope changes as detailed in the Project Initiations (PIs) that have been executed for Stage 1. It is presented in the above table to be consistent with the contract tables contained elsewhere in this report.

Construction Progress: The bulk of the remaining scope of work in FHA01 is Electric Traction (ET) catenary wire relocations on structures which the CH053 contractor has installed. During 2Q2013, Amtrak ET personnel continued to transfer catenary wires from existing structures to newly installed catenary structures. A major portion of the work accomplished was the relocation of catenary wires in preparation for the installation of the concrete slab under Lines 2 and 4 in July and August 2013. All catenary work is complete for that task.

Observations/Analysis: The actual Electric Traction work accomplished in Stage 1 is virtually on plan (1.4% less at 90% complete). The PMOC therefore believes that the MTACC's forecast SC date for FHA01 of May 5, 2014, will be achieved. FHA01 is not on the project critical path.

Concerns and Recommendations: The PMOC is concerned that outside influences such as other 3rd party work or railroad emergency operations may cause a delay in the Substantial Completion date. The PMOC therefore recommends that Amtrak accomplish the remaining FHA01 work as quickly as possible to avoid as many such outside influences as possible.

Harold Early Stage 2 Amtrak FA (FHA02)

Status: The Estimate at Completion for FHA02 remained at $40,538,000 during May 2013. Forecast Substantial Completion slipped 4 weeks to November 20, 2014. Actual progress for May 2013 was 4.5% versus 2.5% planned. As of May 31, 2013, cumulative construction progress was 59.6% actual versus 77.2% planned.

FHA02	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline***	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$9.70M	$30.4M	+$20.7M +213.4%	$40.50M	+$30.80M +317.5%	+$10.1M +33.2%
Scheduled SC Date	9/30/13	08/30/14		11/20/14		
Duration (NTP - SC)	58 mos.	69 mos.	+11 mos. +19.0%	72 mos.	+14 mos. +24.1%	+3 mos. +4.3%

Percent Complete		**Actual - 12 mos.**		**Actual - 6 mos.**		**Avg. Req'd. Progress**	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Forecast SC**
77.2%	59.6%	17.3%	1.4%	11.6%	1.9%	2.9%	2.4%

*The term "re-baseline" is a misnomer with Force Account work. In Amtrak's case, the "original baseline" has increased to account for the scope changes as detailed in the Project Initiations (PIs) that have been executed for Stage 2. It is presented in the above table to be consistent with the contract tables contained elsewhere in this report.

Construction Progress: Amtrak Communications and Signals (C&S) personnel accomplished the cutover of "F2" Interlocking during 2Q2013, which had been a major goal for the year. After that was complete, C&S began preparations for the "F1" cutover scheduled for October 2013. Additionally, Track personnel constructed 55 concrete tie panels to be used in the reconstruction of Lines 2 and 4 during the Westbound Bypass concrete slab installation in July and August.

Summary Observation: To date, all Amtrak Force Account construction for 2013 has been done on the year's schedule. There are still several major items scheduled during the remainder of the year, however, so it will be important to keep every individual item on schedule in order to keep the overall schedule on time. Construction during the last 18 months has kept pace with the overall project schedule. FHA02 is not on the project critical path even though it is closely related to the CH053 schedule, which is.

Summary Concerns and Recommendations: Since FHA02 has kept pace with the overall project schedule for the past 18 months; the PMOC has no particular concerns at this time. The PMOC's only recommendation is for the parties to continue to work together as closely as they have to maintain the current production pace.

Harold Stage 1 LIRR FA (FHL01)

Status: The Estimate at Completion for FHL01 remains at $21,866,000. The MTACC extended its Substantial Completion date to August 11, 2014, an additional 4 months over its April 2013 projection. Actual progress for May 2013 was 0.0% versus 0.8% planned (the MTACC offered no explanation for the lack of actual progress). Through May 31, 2013, the cumulative construction progress was 75.2% actual versus 82.1% planned.

FHL01	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline***	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$28.80M	$20.80M	-$8.00M -27.8%	$21.9M	-$6.9M -24.0%	+$1.1M +5.3%
Scheduled SC Date	09/30/10	10/10/11		11/12/14		
Duration (NTP - SC)	39 mos.	52 mos.	+13 mos. +33.3%	86 mos.	+47 mos. +120.5%	+34 mos. +65.4%

Percent Complete		**Actual - 12 mos.**		**Actual - 6 mos.**		**Avg. Req'd. Progress**	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Forecast SC**
82.1%	75.2%	2.9%	0.2%	1.2%	0.2%	N/A – Past Due	1.8%/mo.

*The term "re-baseline" is a misnomer with Force Account work. In LIRR's case, the "original baseline" has increased to account for the scope changes as detailed in the Memoranda of Understandings (MOUs) that have been executed for Stage 1. It is presented in the above table to be consistent with the contract tables contained elsewhere in this report.

Construction Progress: LIRR personnel continued to support Amtrak Electric Traction to relocate catenary wires for the Westbound Bypass concrete slab installation during 2Q2013. Additionally, LIRR ET continued preparations for the signal power cutover, which will begin in late July 2013.

Harold Early Stage 2 LIRR FA (FHL02)

Status: The Estimate at Completion remains at $64,497,000. The MTACC's forecast for Substantial Completion slipped approximately 3 weeks to November 13, 2015. Actual progress for May 2013 was 0.6% versus 1.0% planned. As of May 31, 2013, cumulative construction progress was 24.9% actual versus 27.3% planned.

FHL02	1	2	3	4	5	6
	Original Baseline	**Current Approved Baseline***	**Change to Original (2 – 1)**	**EAC / Forecast**	**Change to Original (4 – 1)**	**Change to Current (4 – 2)**
Contract Cost	$7.40M	$24.4M	+$17.0M +229.7%	$64.5M	+$57.1M +771.6%	+$40.1M +164.3%
Scheduled SC Date	11/30/15	11/30/15		11/13/15		
Duration (NTP - SC)	75 mos.	75 mos.	+0 mos. 0.0%	75 mos.	0 mo. 0.0%	0 mo. 0.0%

Percent Complete		**Actual - 12 mos.**		**Actual - 6 mos.**		**Avg. Req'd. Progress**	
Plan	**Actual**	**Total**	**Avg./mo**	**Total**	**Avg./mo**	**Contract SC**	**Forecast SC**
27.3%	24.9%	8.1%	0.7%	4.6%	0.8%	1.8%	1.8%

*The term "re-baseline" is a misnomer with Force Account work. In LIRR's case, the "original baseline" has increased to account for the scope changes as detailed in the Memoranda of Understandings (MOUs) that have been executed for Stage 2. It is presented in the above table to be consistent with the contractor tables contained elsewhere in this report.

Construction Progress: The majority of the present FHL02 construction is Communication and Signal (C&S) installation and cutover of several different signal houses and huts in Harold Interlocking. During 2Q2013, LIRR C&S personnel continued to install conduit, cables, make circuit revisions, and test circuits for the Point CIL, Harold HTSCS, and H3, H5, and H6 signal huts in Harold Interlocking.

Summary Observation: The LIRR has sufficient C&S personnel assigned to the ESA project to keep FHL02 signal construction on schedule. As part of its FHL01 construction in 2013, the LIRR Track Department will install 5 turnouts and the LIRR ET Department will cut over the signal power line between Honeywell Avenue and 43rd St. Both of these activities are scheduled for 3Q2013.

Summary Concerns and Recommendations: Neither FHL01 nor FHL02 are on the project critical path. Nonetheless, the PMOC remains concerned about the LIRR's ability to effectively plan its future track work, specifically, its ability to prepare the numerous Site Specific Work Plans (SSWPs) that will be so essential to maximum track usage efficiency. The PMOC recommends that the LIRR prepare all its SSWPs for the remaining 2013 work season now, so that it can begin to prepare the SSWPs for 2014 by September 30, 2013. [Ref: ESA-101-Dec12]

2.4 Operational Readiness

A Quarterly Operational Readiness meeting was held on June 20, 2013. There were several topics discussed at the meeting including: status of operational readiness documents; asset management plan; and a report on safety certification activities during Q2 2013. Of note is the fact that the Operational Readiness Program Manager announced that he is leaving the ESA Project. No firm date for his departure was given.

Current Status-ESA Operational Readiness Documents

Volume 2 (tasks and activities) of the Rail Activation Plan is being updated to reflect the current operational readiness activities. The draft of Volume 3 of the Rail Activation Plan (Verification) is complete and is under review by MNR and LIRR. Rail Activation Task Groups continue to focus on Early Start Activities (those activities that need to occur before the end of 2014).

Asset Management Plan

The Operational Readiness Group in conjunction with the LIRR IT Department has completed development of the asset inventory templates. The Group is currently reviewing the asset listing for Contract repackaging and is updating the listing as Contracts are repackaged. Next steps will include populating the templates with preliminary Asset Inventory data; developing a training presentation for the Contractors; and begin distributing updated templates with Asset Inventory data to the Contractors.

Quarterly Report on Safety Certification Activities

This item is discussed in Section 1.5 above.

Observation:

The Operational Readiness group continues to progress activities comprising system start-up and commissioning.

Concerns and Recommendations:

The Operational Readiness Group Program Manager was a driving force in establishing the Operational Readiness Program. Although he has established a good Operational Readiness team and has established an effective process, the PMOC is concerned that unless an equally qualified and motivated person is found as a replacement, the momentum that has been established may start to dissipate.

2.5 Vehicles

Status:

The M-9 RFP process consists of two phases: Phase 1 is a pre-qualification step that was advertised on June 5, 2012. Phase II consists of receiving the Technical and Pricing proposals from qualified proposers which were initially due in January 2013, but was extended until April 4, 2013. The following is the latest procurement milestone schedule:

- Proposals received April 4, 2013
- Car builder meetings June 10 -26, 2013
- BAFO requests go out -July 15, 2013
- BAFOs due - August 5, 2013

- Board Approval -September 18, 2013
- Contract award by September 30, 2013

Observation:

The proposal due date slipped almost three months in the first quarter of 2013.

Concerns and Recommendations:

There are no significant concerns at this time. The PMOC will continue to monitor the procurement schedule.

2.6 Property Acquisition and Real Estate

Status/Observation:

The next meeting with the 48th Street Entrance property owners is anticipated to take place end of July/beginning of August 2013 to discuss a possible new scenario the owners have in relation to their re-development of the site as a result of NYC's Grand Central Terminal area redevelopment plan.

280 Park:

The MTA is finalizing an agreement that will allow them access to build below grade portion of elevator structure. Doing this will eliminate a major disturbance of the building's newly renovated plaza.

335 Madison Ave:

The MTA met with 335 Madison representatives about the Biltmore elevator property acquisition; a separate meeting will be scheduled with technical people to discuss details.

Easements:

Extensions of two easements in Queens are being negotiated.

- 48-39 Barnett Ave East (Block 119 Lot 150)

- 39-10 43rd Street (Block 183 Lot 332)

# of Parcels Identified	# Parcels Closed	# Parcels Under Contract	# Parcels In Negotiation	# Parcels In Appraisal	# Parcels In Condemnation	# Parcels Right of Occupancy
126	117	0	5	3	0	2

Concerns and Recommendations:

The PMOC remains concerned about the length of time it is taking to finalize all of the Real Estate aspects of the 48th Street Entrance to GCT; however, this activity is currently not on the project critical path.

2.7 Community Relations

Status:

During May 2013, the ESA project continued to create new signage for ESA construction sites at 44th and 55th Street in response to various concerns and issues raised by property owners,

managers and businesses related to the ongoing work on the 55th Street Ventilation Facility (CM013A); a settlement agreement between MTACC and Alfred Dunhill, NA regarding impacts from the work on CM013A was finalized; and the project staff was advised on community issues relation to the forthcoming CM005 contract. ESA updated its public information website.

Observation:

The PMOC believes that the ESA Community Relations staff, working with the ESA Construction Managers and MTACC management, is reaching out appropriately and effectively to inform Manhattan and Queens communities of upcoming construction work and planned changes, and has properly handled concerns and complaints from the community.

Concerns and Recommendations:

There are no significant concerns at this time.

3.0 PROJECT MANAGEMENT PLAN AND SUB PLANS

3.1 Project Management Plan

Status:

The Grantee has updated the PMP and issued Rev. 9 on June 28, 2013. The PMOC will review the revised PMP and determine all impacts to the current Schedule Management Plan (SMP) and the Cost Management Plan (CMP).

Observation:

MTACC utilized a task force approach to updating the PMT and Candidate Revisions to the PMP were presented to the CCC for review and approval.

Concerns and Recommendations:

There are no specific PMOC concerns or recommendations at this time. The PMOC is planning to commence its review of PMP Rev. 9.0 in July 2013.

3.2 PMP Sub-Plans

Status:

The status of the key PMP sub-plans is discussed in the ELPEP section of this report.

3.3 Project Procedures

Status:

In November 2012, the MTACC indicated to the PMOC that it had completed development of all procedures that it intended to revise. The total count of revised ESA procedures stands at 77.

Observations:

In the PMOC's opinion, the MTACC has developed all the revised procedures necessary to support its revised Project Management Plan (PMP).

Concerns and Recommendations:

Although the MTACC has finished development of all its revised procedures, the PMOC is aware that it has not yet begun full-scale training of its personnel, which is also part of the

process. Initial training for eight MTACC Quality Procedures is scheduled to begin in mid-July 2013. The PMOC recommends that the MTACC develop a schedule that shows for which procedures training will be conducted and who will receive this training. [Ref: ESA-111-June 13]

4.0 PROJECT SCHEDULE

Status:

The PMT submitted its IPS#48 (data date June 1, 2013) and its associated variance report on June 24, 2013. There were some changes in this month IPS compared with the last months' submission as follows:

- The duration for the CM005 Contract was increased to from 24 months to 29 months, based on input from the peer review. This information was provided to the bidders via addendum 9.
- The duration for CM006 was changed from 33 months to 30 months inclusive of 2 months contingency. The PMT has also maintained an interim milestone to allow the start of CS179 as well as the start of CM007 work in both caverns on May 1, 2015. The two key assumptions with the interim milestones that are still being developed are:
  - ESA will analyze and determine what is the most logical and optimum approach for the CM007 scope to start in parallel with constructing CM006; and
  - Determination of a combined sequence that will alleviate congestion at the crossovers and wyes, while enabling the PMT to begin construction in the CS179 and CS284 packages, per the current IPS.
- The PMT also reported that there is no more schedule contingency in the IPS.
- The PMT is negotiating with multiple contractors notably CM009-019, CQ031, and CM004 to add some more work before their S.C. The PMT has not published the expected S.C. for these contracts yet, only stated "under review."

Tables G-4, G-5, and G-6 in Appendix G of this report show 90-day look-ahead activities for Manhattan, Queens, and Harold, respectively.

The PMT also reports that the IPS's critical path goes through contracts CM006, CM007, CS179, CS284, CS179 integrated system testing, and finally startups, testing and commissioning with RSD of August 30, 2019. (Appendix G shows the detail critical path activities)

The Harold critical path goes through contracts FHL02, FHL03, FHL04, and start up and commissioning with 314 days of contingency. (Appendix G has detailed Harold critical path activities)

Observation and Analysis

The current IPS compared to the baseline IPS#37, data date of July 1, 2012 (first IPS updated to reflect the May 2012 baseline) has changed significantly with respect to the Manhattan Contracts and cannot be compared with the 2012 baseline schedule to create a meaningful progress measurement; however, the Harold contracts are relatively unchanged, and the ESA currently shows about 314 days of contingency remaining in Harold critical path. The PMOC believes that in Q3 2013, maintaining the schedule on the Harold LIRR Force Account Contracts will be

challenging; consequently, the PMOC expects some of the contingency for the Harold work will be utilized.

The PMOC believes that the ESA critical path goes through Contracts CM005, CM006, CM007, CS179, CS284, and Integrated Testing and Operational Readiness. The ESA PMT no longer shows the CM005 package on the project critical path. The PMT has not provided a basis of schedule for aforementioned contracts but each month changes the logic of the IPS activities.

The PMOC has evaluated contract CS179's standalone schedule and believes that interface milestones of this contract with the remaining Manhattan contracts are extremely important because of access issue. The current IPS does not reflect any of these milestone dates properly, and in fact the reason that contract CM005 has gained so much float is because of the disconnection of the logical ties between contract CM005 and CS179.

The PMOC has also studied contract CM006 specification, and understands that the contractor is asked to have certain tunnels clear for adjacent contractor's access (at different times). In addition, there is restrictive language about the concrete delivery to the job site in Manhattan shafts. The PMT has not provided any documentation (i.e. construction staging plan) to show whether or not these restriction mentioned in the specification have been considered in the contract schedule.

The same argument applies for Contracts CM005, CM007, CM014B, and CS179. Additionally, the PMOC has not been apprised of status/progress of the negotiations for awarding Contract CS179, although these negotiations have now been ongoing for over a year. The PMOC is extremely concerned that there are more than 30 interface milestones in these contracts with other contracts, and the PMT does not appear to have any documentation addressing the impact of not meeting these interface milestones . This carries a significantly high risk to the project schedule and cost.

Concerns and Recommendations

The PMOC highly recommends that ESA re-evaluate the project baseline schedule approved in 2012, taking into account the impacts of the CM012R repackaging and the significant procurement delays re-baseline and also develop a new basis of schedule. [Ref: ESA-109-Jun13]

5.0 PROJECT COST

Note: All references to expenditures in this report are with respect to the current cost baseline that was agreed upon at the MTA CPOC meeting in May 2012.

5.1 Budget/Cost

Status:

Table 5.1: Comparison of Standard Cost Categories: FFGA vs. CBB

Standard Cost Category (SCC) No.	FFGA SCC baseline (YOE $) M	July 2, 2012 Re-baseline (YOE $)	April 2013 SSC (YOE $) M	May 2013 SSC (YOE $) M	May 2013 % of Rebaseline	April'13 to May '13 Change $M	CBB Variance from FFGA %
10	1,989	2,943	2,926	3,091	105.03%	165	55.40%
20	1,169	1,514	1,496	1,331	87.91%	-165	-12.09%
30	356	388	389	389	100.26%	0	9.27%
40	205	488	522	522	106.97%	19	153.66%
50	619	698	698	698	100.00%	29	12.76%
60	165	204	204	204	100.00%	0	23.64%
70	957	674	674	674	100.00%	0	-29.57%
80	1,184	1,649	1,649	1,649	100.00%	0	39.27%
90	169	150	150	150	100.00%	0	-11.24%
Subtotal	**6,813**	**8,708**	**8,708**	**8,708**	**100.00%**	**0**	**0.00%**
100	1,036	1,116	1,116	1,116	100.00%	0	0.00%
Total Project Cost (10 – 100)	**7,849**	**9,824***	**9,824**	**9,824**	**100.00%**	**0**	**0.00%**

*This total amount does not include Regional Investment amount of $590,732,003.

Notes to changes in the Code:

SCC Codes #10 and #20

Funds were transferred from CQ031 to CQ032 for the Yard Lead Concrete Infill

Funds were transferred from CM012 to CM009 for the various inverts

Funds were transferred from CM012 to fund new contract CM005

Observations:

The re-packaging of scope, principally related to the CM012R scope, has led to movement of costs across SCCs. This is due to ESA's initial cost coding of work by package rather than by type of work, which is the basis of the SCC. When ESA moves scope from one package to another, that scope carries with it the pro-rata percentage of SCCs in that package, irrespective of the scope's type of work . So as scope is shifted back and forth between packages its proper cost coding become unrecognizable. This month, the shifts were between SCC #10 and #20 due to movement of scope to package CM009 and between CQ031 and CQ032. There is no reason for the SCC amounts to have shifted other than the initial coding by package rather than work

elements defined in the SCC. The point of the next project re-baselining would be the most appropriate time to properly align the SCCs.

Although ESA continues to show in its cost reports that the Current Baseline Budget is being held, it is having difficulty keeping the SCCs at this baseline level. The ESA PMT has acknowledged at recent cost review meetings that the overall project budget needs to be re-evaluated, but they will most likely not be able to do this until later in 2013. The PMOC advised the PMT that the CMP plan calls for budget forecasting. At the June 2013 Cost Review meeting the ESA Project Executive briefly attended the meeting and informed FTA/PMOC representatives at the meeting that he was aware that this failure to officially adjust the PWE and budget and contingency forecasts resulting from the CM012R bid overrun and delayed procurements was not in keeping with the ELPEP agreement. The Cost Management Plan (CMP) states that the SCC is tied to the CSI numbering system, and both of these categories have specific definitions; therefore, after linking them, it would be impossible to change the definitions of scope included within any SCC.

Concerns and Recommendations:

The coding of work elements in the SCC should be realigned to properly reflect the costs for the type of work specified by the SCC. [Ref: ESA-106-Dec12]

As stated on several occasions, the PMOC remains concerned that MTACC is unable to assess the ESA Program budget and schedule impacts of the CM012R bid overrun more than eight months after the fact. Given the constrained funding environment that the project is in, and the pending FFGA Amendment, it is important for MTACC and the ESA Project Office to have a clear understanding of the budget impacts and impacts to the RSD of events that have transpired over the last eight months. The PMOC believes that MTACC will have to reconsider both the schedule and cost baselines that were developed last year.

5.2 Project Cost Management and Control

Status:

The PMT has reported that as of May 31, 2013, the actual total project progress was 56.0% vs. 57.1% planned progress resulting from the July 2012 re-baseline, however the actual construction progress was 51.9% vs.51.0% planned based on invoiced amount; this also represents an increase over the last quarter of 2.7% vs. the 3.1% construction progress planned, as shown in Table 5.2.

Table 5.2: Project Budget and Invoices as of May 31, 2013

Elements	Baseline Total Budget	Current Baseline Budget (May. 2013)	Actual Awards (May 31, 2013)	Actual Invoiced (May 31, 2013)	Actual % Budget Invoiced
Construction	$6,118,922,157	$6,118,731,062	$3,673,983,129	$3,235,532,422	50.53%
Soft Costs Subtotal	$2,126,077,843	$2,126,268,938	$1,443,508,930	$1,373,281,643	63.08%
Engineering	$671,029,379	$671,220,474	$630,782,140	$624,617,739	91.30%
OCIP	$173,913,620	$173,913,620	$141,909,815	$136,736,477	78.04%

Elements	Baseline Total Budget	Current Baseline Budget (May. 2013)	Actual Awards (May 31, 2013)	Actual Invoiced (May 31, 2013)	Actual % Budget Invoiced
Project Mgmt.	$762,816,530	$762,816,530	$562,636,796	$508,208,255	63.54%
Real Estate	$166,318,314	$166,318,314	$108,180,179	$103,719,172	62.29%
Rolling Stock	$202,000,000	$202,000,000	$0	$0	0.00%
[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]
Project subtotal w/o Financing & RI	**$8,245,000,000**	**$8,245,000,000**	**$5,117,492,059**	**$4,608,814,065**	**53.76%**
[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]
Subtotal W. Rolling Stock	**$8,708,000,000**	**$8,708,000,000**	**$5,117,492,059**	**$4,608,814,065**	**50.49%**
Regional Investment Subtotal	**$590,732,003**	**$590,732,003**	**$23,903,351**	**$17,432,244**	**2.30%**
Construction (RI)	$475,016,081	$475,016,081	$23,692,479	$17,400,914	**2.85%**
Design (RI)	24,595,433	24,595,433	$210,872	$31,330	0.13%
OCIP (RI)	$16,939,198	$16,939,198	$0	$0	0.00%
Project Mgmt. (RI)	$24,181,291	$24,181,291	$0	$0	0.00%
Real Estate (RI)	$0	$0	$0	$0	-
Rolling Stock(RI)	$50,000,000	$50,000,000	$0	$0	0.00%
Project Subtotal W/O Financing	**$9,298,732,003**	**$9,298,732,003**	**$5,141,395,410**	**$4,626,246,309**	**47.43%**
Finance Charges	$1,116,453,993	$1,116,453,993	$556,900,000	$556,900,000	45.89%
Grand Total	**$10,415,185,996**	**$10,415,185,996**	**$5,698,295,410**	**$5,183,146,309**	**47.26%**

Observation:

The PMOC notes that ESA continues to report its Management Reserve under the Construction budget when computing Construction progress and continues to exclude rolling stock reserve in its calculation of project progress. The PMOC believes that Management Reserve is a Program reserve and should not be included in the Construction progress calculation and also that the rolling stock reserve should be included in the project progress calculation.

The PMT has been providing package estimates for future contract packages; however what is provided often is not in formats useful for analysis. The Basis of Estimates, when provided, generally does not provide enough detail for thorough analysis, nor to identify to the PMT the assumptions of the Estimator.

Concerns and Recommendations:

The PMT does not provide monthly cost reporting data in a unified report but in a series of update documents provided by separate PMT staff. This lack of singular reporting responsibility and the lack of a single integrated cost document weaken the capacity for analysis and for a joint review of the cost relationships. This item has been discussed at recent cost review meetings and a working meeting with ESA PMT will be scheduled to discuss the viability of providing an integrated report.

The PMOC is concerned about the lag of invoiced amount for construction and total project to date compare to the forecast amount in the projected cash flow. This continues the trend of ESA not keeping up with its monthly expenditure plans; the cash flow is currently averaging approximately only 40% of the planned value. The PMT should reforecast its monthly cash flow curve, linking it the current schedule forecast [Ref: ESA-99-Dec12]

The PMOC recommends that the MTACC's Project Control Manager submit estimates and proper documentation for review as well as a full analysis of the elements in the ESA estimate prior to each package bid date, allowing adequate time for review and comment. [Ref: ESA-107-Dec12]

5.3 Change Orders

Table 5.3 below shows the executed mods greater than $100,000 during May 2013.

Table 5.3: ESA's Change Order Log in May 2013 (>$100,000)

BA #	Package	Mod#	Description	Mod. Amount ($)	May 2013 package value ($)
586	CH053	26 part 1B	Amtrak Access Delay Costs	989,286	277,974,187
586	CH053	64 Part 1D	LIRR Signal Bridge E35- Foundations and Installation	529,700	277,984,187
586	CH053	90	43rd & 48th St. Bridge Structural Steel	280,895	277,984,187
586	CH053	95	750 and 1500 MCM Cable Storage	204,719	277,984,187
[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]
587	CH054A	18	12KV Ductbank- Civil Work	14,641,209	59,754,405
588	CM004	64	Miscellaneous Electrical Work at 245 Park Ave.	118,000	66,766,404
588	CM004	67	Access Tunnel # 1 Invert Lining Scope Transfer	2,400,000	66,766,404
589	CM009	45	Increase of DRB Allowance	100,000	430,897,206
590	CM013A	1	DSC Rock Line at 65 E. 55th St.	340,000	58,846,200
591	CQ032	25	Yard Lead Trench Concrete Infill	762,000	198,002,422
592	VH051A	3	12KV Ductbank- Civil Work	14,641,209	30,752,805
17	CQ031 RI	91	West Bound Bypass Track Slab and Associated Work	4,025,000	(-15,034,217)

When multiple MODs are executed in same month for the same contract, ESA supplied documentation does not indicate order of execution or values before or after that specific MOD.

The majority of the Contract Modifications were funded from Mod Allowance, AWO Contingency, and Package Scope Transfer sub-budgets. The PMOC does not recognize sub-budgeting for Mod Allowance and Scope Transfer.

Status/Observation:

The PMT reported that during May 2013 there were 13 change orders over $100,000 executed, with a net value of $27.4M, including 1 Modification to a Regional Investment contract.

As noted in the August 2012 PMOC report, ESA had introduced a budget line item named "allocated for mods" in its re-baseline budget of 2012 to adjust active packages budget for specified anticipated change orders. In that way the EAC for each package has become the summation of package's award amount, allocated for mods amount, and post bid contingency. This budget pool, however, has not been defined in the Cost Management Plan (CMP); therefore, the PMOC considers it as post-bid contingency. In addition, ESA also carries a category "Scope Transfers" to designate value of scope transferred from other packages but not yet in a Contract. That category also is not in the CMP and in fact is not recognized by the Estimating and Project Controls group. Finance keeps those costs in a separate category (not even in Contingency) while Estimating puts it in the Base Cost. The majority of Change Orders are shown as funded from those two categories, along with some funds in Post-Bid Contingency (AWOs).

The PMT has budgeted 17.2% for change orders in its EAC, however the PMOC analysis of the Change Orders to date plus a prorated approach to the Pending and Possible changes, shows a probable 18.8% variance for Change Orders. (See Appendix G-2 for Change Order status on Active Contracts.) In addition, the ESA PMT has off-line methods for accounting for budgets and for funding Mods and there are inconsistencies within the PMT groups.

Concerns and Recommendations:

The PMOC recommends that the PMT perform a more thorough analysis of the change order trends and budget for them, and also prepare an analysis and outline its plan for allocated and unallocated contingency consumption. [Ref: ESA-108-May12]

5.4 Project Funding

a) Federal Funding

As shown in Table 5.2, as of May 31, 2013, the PMT has awarded a total of $5.117B, in contract work. The Federal share of awarded contracts is $2.030B. The total Federal funding commitment as of May 2013 remained at $2.699 billion (See Appendix G.1 for re-baseline project cash flow and Appendix G.2 for detailed cost distribution)

b) Local Funding

The obligated local share was $3.087B. There has been a $556,900,000 incurred finance cost (for local share) to date.

5.5 Cost Variance Analysis

Cost variances are discussed above in Section 5.3. As stated earlier, until the PMT addresses the cost variances resulting from the CM012R bid overrun and subsequent repackaging of the work in its official cost reporting, it is not possible to accurately analyze the total Program cost variance.

5.6 Project Cost Contingency

[redacted]

Observation:

There was a reported decrease of approximately $28.2M to the ESA Contingency this month. $18.7M of that decrease was to fund the CM005 scope and $3.6M to fund the transfer of Inverts from CM012 to CM009. In addition $4.6M was moved to fund a modification on CH054A. Although the ESA PMT has not been willing to make changes in its budgets or projections arising from the CM012R overbid, now that packages related to CM012 have to be approved it has been forced to reduce the Contingencies and we expect much larger movements in the next few months in order to approve the CM005 and CM006 contracts.

Concerns and Recommendations:

Despite providing the PMOC with a new cost projections for the CM012 R repackaged scope to reduce the overbid for nearly $400M to only $200M, and subsequently receiving Independent Estimates for the new CM005 and CM006 packages reducing that amount to approximately $100M, the ESA PMT has not included this data in its official cost reporting. As stated elsewhere in this report, MTACC has stated that it will not officially report on budget impacts of the CM012R bid overrun and delays of major procurements until later this year. As such, the contingency drawdown statistics presented do not accurately portray the project contingency utilization. This represents significant project cost vulnerability [redacted]. The PMOC believes that the cost overrun on the cancelled CM012R solicitation will leave the ESA Project with a budget shortfall, which will impact the project's ability to mitigate future cost increases, and may also impact the ability to

make timely awards of future contract packages. As of this report the ESA PMT continues its monthly financial reporting as if the bid cancellation had not occurred. The PMOC continues to recommend that ESA include the results of the CM012R bid overrun and continuing delays in awarding packages in its official monthly financial forecasting and reporting. [Ref.: ESA-112-June 13]

6.0 RISK MANAGEMENT

As described in the ESA Risk Management Plan, the PMT is supposed to conduct contract level risk workshops at the completion of design and factor the risk results into the Contract bid packages. As a policy, each major construction package is supposed to undergo this process.

6.1 Risk Process

Status/Observation:

Ongoing risk efforts on the project include:

- The ESA Risk Manager meets regularly with CMs to brainstorm risks and possible mitigations. The ESA scheduling staff has also participated regularly in the meetings and the Cost Estimating staff has been joining these meetings to help quantify the risk impacts.
- ESA is developing 3D & 4D modeling to illustrate interface points between major Contract packages, and will play a large role in evaluating risks for interfaces between the CM012r replacement packages and the Testing & Commissioning stage of the project later on. The ESA PMT was developing a 4D model for the placement of the westbound bypass slab work to be done in July 2013 during a 30-day track outage; however the work area proved to be too complicated to produce a working model in the necessary time frame to brief stakeholders involved in this work. Instead, a power point presentation was developed to brief involved stakeholders prior to the outage.
- Development of an Integrated Master Schedule that overlays the ESA work at Harold on an Amtrak Program of Projects that might impact resource availability. This effort is trending significantly behind schedule (MTACC had committed to starting development of this Master Schedule in June 2012). ESA received a schedule from Amtrak in June for the Moynihan Station project providing detailed schedule information through 2013. More detail is needed for the 2014 work. The ESA PMT does not anticipate a resource conflict in the short term.
- ESA committed to holding Monthly Risk Review Meetings but has only achieved a bi-monthly rate. The last meeting was held on May 30, 2013.
- ESA has conducted two contract level risk workshops in Q2 2013; one for the CS179 (Systems Package 1) on April 18 &19, 2013; and the other for the CM006 (northern structures) package on June.12 & 13, 2013.

One of the key goals of the CS179 Workshop was to develop risk-informed interface milestones which are critical for the Systems Contract. During the Workshop, 37 Interface Risks were identified. As stated in last month's report, the MTA Director of the Office of Capital Program Oversight would not release the results of the Workshop to the PMOC, citing his lack of confidence in the milestone data that was utilized to run the risk model. He has subsequently

stated that the risk model will be run again in July, with more accurate milestone data for the critical interfaces with the CM005; CM006; and CM007 packages.

The CM006 scope discussed during the Workshop includes the lining and waterproofing of the northern tunnel structures in Manhattan package plus the duct bench and 63rd Street tunnel rehabilitation work that was previously in the CS179 package (yet to be awarded). The ESA Estimator responsible for the CM006 package stated at the beginning of the Workshop that work initially planned to be done under CM006, but now being done as additional work orders in existing CM009/19 and CQ032 Contracts was removed from the package schedule and budget estimates, but would be addressed during the Workshop. The CM009/19 Contractor will perform work on the Inverts under Change Order (CO) prior to the start of CM006. The CQ032 Contractor will do 80% of the 63rd St. tunnel work under Change Order; however, the CO agreement has been reached yet. It was stated at the Workshop that the results of the risk assessment will not be shared with FTA or the PMOC until approved by MTA and no commitment date was given for delivery of the results.

Concerns and Recommendations:

The PMOC previously suggested to the ESA Risk Manager that future risk workshops be scheduled in a way to allow invited participants to receive and evaluate current scope, schedule, and cost documentation prior to the meetings and allow enough time for proper review. MTACC has started to comply with this request with the CM006 Workshop. Also, the Workshops should be scheduled far enough in advance of the intended procurement cycle to allow for evaluation of risk results, and the potential for refinements to project support documents. To date, the timing of the risk workshops with respect to the procurement cycle has been poor. A prime example of the timing issue is the Workshop for the CS179 Package in April 2013 discussed above; where the MTA Director of the Office of Capital Program Oversight stated that the risk model would have to be re-run; since his Office did not have confidence in the data available at that time. One of the goals of the risk assessment was to develop risk adjusted milestones that would be used during the CS179 negotiations. Given that negotiations for CS179 Contract are in the final stages and ESA has stated that recommendation for award is imminent, this delay in producing results will minimize their usefulness for the negotiation process.

The PMOC remains concerned that Procurement personnel are typically not engaged in the risk process until the pre-bid stage. The ESA project has continually faced procurement schedule delays, with significant questions, multiple Addendums, and bid postponements. As such, the PMOC recommends that Procurement personnel be engaged in scheduling considerations and contribute to risk allocation discussions earlier in the risk process. This PMOC concern was reinforced during the CM006 Workshop; a Procurement representative attended the 2nd day of the Workshop only after the PMOC suggested on the first day that Procurement should participate.

The PMOC observed that the risk identification and characterization process at the CM006 Workshop was mostly performed by MTACC/ESA staff and the hired facilitator. The risk register was already developed prior to the Workshop. The facilitator asked for input on other risk items, but few suggestions were offered. Although the Workshop entertained the opinions and discussions of risk put forth by the PMOC, the characterizations tended to favor the most optimistic outcomes. The PMOC also had several questions about the baseline cost estimate to be used in the risk model, which were not adequately addressed at the Workshop.

6.2 Risk Register

Status/Observation:

The last summarized ESA Risk Register was provided to the PMOC at the January 2013 monthly risk meeting. An updated Risk Register for Q2 2013 has not been provided as of this report.

Concerns and Recommendations:

ESA should automatically submit Risk Register updates to the PMOC.

6.3 Risk Mitigations

Status/Observation:

The repackaging of the CM012R Contract has resulted in adjusting the scope of work and re-allocated the scope among five contracts (3 new and 2 existing):

1. The existing contract CM004, by way of Contract Modification;
2. The existing contract CM019, by way of a Contract Modification;
3. The existing contract CQ032, by way of a Contract Modification;
4. A new CM005 contract package to cover the South Structures;
5. A new CM006 contract package (northern structures);
6. A new CM007 contract package (caverns), scope and procurement schedule still being evaluated.

Concerns and Recommendations:

By repackaging the work for CM012R, the PMT believes that a cost savings of $100-$150 million may be attained but, based on the results from a series of previous repackaging efforts on the ESA project, the PMOC believes that, ultimately, the cost of completing all of the work previously associated with CM012R will not result in that significant a reduction. Furthermore, there is likely to be significantly increased coordination requirements (and associated costs) because of the repackaging.

The PMOC remains concerned that the complexity, risk, and coordination of the construction activities previously associated with the CM012R solicitation documents, as viewed by the contracting community, proved to be more challenging than previously accounted for in MTACC's internal cost estimate and schedule allowance. The ESA estimate for the CM005 package did not fall within the mid-range of the received bids indicating, in the PMOC's opinion, that the estimate was low. Given that MTACC's stated goal is to use the results of the CM005 procurement as a guideline for estimating the CM006 and CM007 packages, the PMOC recommends that MTACC and the ESA PMT carefully re-evaluate the current preliminary estimate for the CM006 package and keep this in mind as the estimate for CM007 is developed.

The CM005 Contract package was advertised in March 2013 without a Contract level risk assessment or a constructability review being performed. The PMOC is concerned that the low bidder who has not performed similar work in the New York City region, and is trying to break into a new market, was 19% lower than the next lowest bid of $238M, and approximately $40 million lower than the average of all bids. The core three bids were clustered between $238M and $258M. The firms in this bid range are very experienced in this type of work in New York

City, and most likely included a prudent amount of risk into their bid prices. The PMOC believes that the low bidder may not have fully understood the risks associated with this contract. After reviewing the lowest bidder preliminary Schedule E cost and schedule breakdown, the PMOC believes that the schedule is extremely front loaded. The lowest bidder had the highest amount of upfront mobilization costs in its bid and the PMT may not have any leverage to manage the contractor toward the end of the Contract. This issue will increase the risk of delay among contracts CM005, CM006, and CS179.

Given the significant price differential between the low bidder and the other bidders, the PMOC is concerned that the ESA Project Executive stated that they will only be allocating 5% contingency to this Contract. The PMOC recommends that the ESA Project Office consider allocating additional contingency to this Contract.

7.0 PMOC CONCERNS AND RECOMMENDATIONS

Priority in Criticality column

1 – Critical 2 – Near Critical

Number/ Date Initiated	Section	Issues/Recommendations	Criticality
ESA-93-June12	1.6 Quality	Project Quality Manual (PQM): The latest version of the ESA Project Quality Manual (PQM), Revision 6, issued in February 2009, was found to be acceptable; however several updates to the ESA Quality Management System have been made since then. MTACC agreed that it would be beneficial to update the PQM to reflect these updates. Status Update: MTACC's Chief of Quality, Safety, and Security is currently reviewing the latest revision and it is now not expected to be issued until July 2013 (previously forecast for June 2013). Recommendation: Although the latest version of the PQM has been accepted, the PMOC believes that it would be beneficial to update this document to reflect changes that have occurred during the past four years.	2
ESA-95-Sep12	2.3 Construction: Queens	Contract CQ032: The PMOC is concerned about the potential cost and schedule impacts to the CQ032 contract resulting from the access delays created by late turnover of work areas by the CM009/019, CQ031 and CQ039 contractors. Status Update: The CM009/019 turnover was completed in January 2013. The CQ031 turnover was completed in April 2013.The last remaining portion of the CQ039 area turnover continued to be delayed through June 2013 and the forecast overall impact of all of the turnover delays now totals 11 months. Recommendation: The PMOC recommends that the MTACC PMT, working with the CQ032 and CQ039 contractors and the respective ESA construction managers, continue their efforts to expedite turnover the remaining CQ039 work area.	1
ESA-96-Sep12	1.5 Safety and Security	Safety Certification Process: The PMOC is concerned about the fact that personnel assigned to the Safety Certification Committee are continually changing; thus hampering the continuity and effectiveness of the Committee. The PMOC is also concerned that the Safety and Security Committee has not met on a regular basis as per	2

Number/ Date Initiated	Section	Issues/Recommendations	Criticality
		the ESA SSMP. This lack of regular meeting will hamper the effectiveness of the Committee in coordinating activities related to the Safety Certification Process. Status Update: As of the end of June 2013, the PMOC has not seen a calendar produced for Safety Certification Committee meetings for 2013. Recommendation: The PMOC recommends that the Safety Certification Committee produce a calendar for regularly scheduled meetings and adhere to it. The PMOC also recommends that the MTACC Safety Director stress the need to maintain a stable committee to all of the participating stakeholders.	
ESA-98 Sep 12	4.4 Schedule Contingency Analysis 5.6 Cost Contingency Analysis	ELPEP Contingency Drawdowns: The schedule and cost contingency drawdown plans in the ELPEP document have been superseded by the new (2012) schedule and cost baseline. Status Update: MTACC provided to the FTA and the PMOC their proposed revisions to the ELPEP on March 19, 2013. This document was an abridged version of the original ELPEP agreement. Recommendation: MTACC needs to update the ELPEP document and create new contingency drawdown plans. ESA will first have address the budget and schedule impacts of the CM012R Bid cancellation before cost and schedule contingency drawdowns can be established.	1
ESA-99-Dec12	5.2 Project Cost Management	The PMOC is concerned about the lag of invoiced amount for construction and total project to date compared to the forecast amount in the re-baseline cash flow. This continues the trend of ESA historically not keeping up with its monthly expenditure plans. Status Update: During the First Quarter of 2013, expenditures for Construction and for the Project Overall have only averaged 40% of the Planned Values. Recommendation: ESA should reforecast its monthly cash flow curve, linking to the adjusted schedule forecast, and extend the likely date for the end of the payout curve.	1

Number/ Date Initiated	Section	Issues/Recommendations	Criticality
ESA-100-Dec12	1.6 Quality	As-Builts: The contractor working on the CH053, CH054A, and CQ032 contracts continues to be late in submitting As-Built drawings. Status Update: The ESA Quality Manager issued Nonconformance Reports (NCRs) to the CH053/CH054A/CQ032 contractor and Discrepancy Reports (DRs to the ESA Construction Manager (CM) in June 2013. The ESA Program Office has indicated that they will withhold funds from the next invoice if the contractor is not up to date and compliant. Recommendations: The PMOC recommends that ESA press to bring this issue to closure.	2
ESA-101-Dec12	2.3 Construction (FHL02)	The PMOC remains concerned that the LIRR can produce the quantity of SSWPs that will be required for future construction on the fast pace that will dictate their need. Status Update: The LIRR continued its development of the Site Specific Work Plan (SSWP) for the track work that it will do during the concrete slab installation in July 2013, although it was not complete as of June 30, 2013. Recommendation: The PMOC recommends that the LIRR complete development of the aforementioned SSWP as quickly as possible so that it can begin development of the SSWPs required for the additional turnouts to be installed in 2013 and then begin development of the 2014 SSWPs immediately thereafter.	2
ESA-102-Dec12	2.2 Procurement	The PMOC is concerned about the need to utilize a significant amount of project contingency for procurement activities. Since the CM012R and CS179 packages were/are on the project critical path; and CH057 and CM014B are near critical; the PMT needs to determine the impact of the delays of these procurements on the overall project contingency. Status Update: The PMT presented a "planning" summary level schedule reflecting the delays induced by the CM012R Bid cancellation on April 9, 2013, however this schedule did not reflect a change in RSD, nor did it accurately reflect the actual contingency utilized as a result of the cancellation. No official additional data has	1

Number/ Date Initiated	Section	Issues/Recommendations	Criticality
		been provided as of the end of June 2013. Recommendation: The ESA PMT needs to realistically determine the impact to the overall project schedule of the delays to the procurements referenced above.	
ESA-103-Dec12	2.1 Engineering Design	The GEC and PMT continue to consistently miss all of their target dates for remaining design activities on the project. In several instances (CM014B; CH057), this has resulted in delaying the procurement packages. Status Update: As of the end of June 2013, the PMT has not developed a design milestone tracking sheet. Recommendation: The PMOC recommends that the PMT develop a design milestone tracking sheet for the remaining design work on the project, similar to what was done for the catenary design work, in order to more effectively manage the design effort.	2
ESA-104-Mar13	1.6 Quality	Concrete: Analysis by the PMOC determined that concrete nonconformances were specifically related to the performance of the concrete suppliers and the preparation of concrete at the batch plant. Sometimes slump, air entrainment, or concrete break tests were out of specification. Resolution: The contractor's independent test lab is performing periodic monitoring at the batch plant and then verifies that the specified design mix matches the site delivery tickets. The Engineer of Record must concur with any cylinder break results that are out-of-spec before the placed concrete can be left in. This item is now closed.	2
ESA-105-Mar13	2.3 Construction: Queens	Contract CQ032: The PMOC is concerned that actual progress continues to lag planned progress at a rate that has increased from 2.7% to 15.9% in the last 6 months. Status Update: As of June 30, 2013, MTACC and the CQ032 contractor are developing a re-baselined schedule for the contract which will not only add scope, but also incorporate progress lags as well. Recommendation: The PMOC recommends that MTACC incorporate the historic project delays into the proposed re-baselined schedule and execute it as quickly as possible.	1

Number/ Date Initiated	Section	Issues/Recommendations	Criticality
ESA-106-Dec12	5.2 Project Cost Management and Control	SCC Tracking and Control: The SCC categories were used in Contract setup in a way that does not reflect the actual category of work if scope is transferred to other packages. The PMT provides identification of the SCC's affected strictly through scope transfers which then drive budget transfers; however budget is identified not by the type of work but by a pro-rata percentage of the existing package. Status: The PMOC has noted over the last half-year the values of some of the SCCs have varied month to month. Recommendation: The cost allocation setup for SCC should be modified (best time would be when ESA completes evaluation of its' CBB). Budget Transfer approvals by the Change Control Committee should also note the SCCs affected.	1

Number/ Date Initiated	Section	Issues/Recommendations	Criticality
ESA-107-May13	5.1 Budget Cost	Contract Package Engineer's Estimates: The PMOC has begun to be more successful obtaining the backup for the package Estimates from the PMT; however what is provided often is not in formats useful for analysis. The Basis of Estimate, when provided, generally does not provide enough detail for thorough analysis, nor to identify to the PMT the assumptions of the Estimator. No opportunity for reconciliation or explanation as to why those costs are to be used was provided. Status Update: When the PMOC requests information from or to meet with the PMT Estimating group regarding estimates, the PMT often is dismissive and does not fully disclose the estimates they received. It does not appear ESA is fully knowledgeable as to the assumptions the Estimators have used. Recommendation: The PMOC recommends that the MTACC's Project Control Manager submit estimates and proper documentation for review as well as a full analysis of the elements in the ESA estimate prior to each package bid date, allowing adequate time for review and comment. The PMT should also invite the PMOC to attend reconciliation meetings with the Estimating Firm(S) providing the Estimates. ESA should make sure the Estimating firms provide full and inclusive Basis of Estimate (BOE) documents as an integral part of the Estimate deliverable. The PMOC additionally recommends that the PMT have the estimates for the major packages, to be identified in collaboration with the PMOC, for independent cost review, as well as have the CCM perform a "check estimate" and conduct a constructability review prior to estimate. The PMOC recommends that all costs provided by ESA to MTA as the basis for the Contract Bid be incorporated into the PWE and EAC for the package/project and then be replaced upon actual opening of Bids.	1
ESA-108-May 13	5.6 Project Cost Contingency	Estimate at Completion: ESA had introduced a budget line item named "allocated for mods" in its CBB to adjust active packages budget for specified anticipated change orders. [redacted]	1

Number/ Date Initiated	Section	Issues/Recommendations	Criticality
		[redacted] Recommendation: The PMOC recommends that the PMT perform a more thorough analysis of the change order trends and budget for them, and also prepare an analysis and outline its plan for allocated and unallocated contingency consumption.	
ESA-109-June 13	4.1 Schedule	Project Schedule: The IPS update does not adequately represent the current state of the project and events that have transpired since the 2012 baseline schedule was instituted. Status: ESA does not have any schedule contingency for its RSD of August 31, 2019 as of the end of June 2013 (per the latest IPS update). Recommendation: The PMOC highly recommends that ESA re-evaluate its 2012 baseline schedule and develop a new basis of schedule.	1
Ref.: ESA-110-June 13	1.6 Quality	Quarterly Quality Oversights (QQOs): The ESA quality auditors use a generic checklist when performing their Quarterly Quality Oversights. Status: The contractor's Quality Plan that was approved by ESA often contains additional requirements. Recommendations: The PMOC recommends that each QQO checklist be tailored to include the requirements from the contractor's Quality Plan since that would be more meaningful than auditing to only the generic MTACC requirements	2
Ref.: ESA-111-June 13	3.3 Procedures	MTACC Procedures: The MTACC has finished development of all its revised procedures. However, the PMOC is aware that it has not yet begun full-scale training of its personnel, which is also part of the process. Status: Initial training for eight MTACC Quality Procedures is scheduled to begin in mid-July 2013. Recommendations: The PMOC recommends that the MTACC begin the training phase of this commitment as soon as possible.	2

Number/ Date Initiated	Section	Issues/Recommendations	Criticality
Ref.: ESA-112-June 13	5.6 Project Contingency	Project Cost Reporting: the ESA PMT continues its monthly financial reporting as if the CM012R bid cancellation and subsequent repackaging has not occurred. Status: As of the end of June 2013, ESA has not incorporated current estimates for the CM012R repackaged contracts (CM005;CM006; CM007) in its official cost reporting. Recommendation: The PMOC continues to recommend that ESA include the results of the CM012R bid overrun and continuing delays in awarding packages in its official monthly financial forecasting and reporting.	1
Ref. ESA-113-June13	2.2 Procurement	Contract Packaging Plan: ESA needs to produce a Contract Packaging Plan that reflects the current state of the project and should adhere to it. Status: ESA has not updated its Contract Packaging Plan since 2009. Recommendation: The PMOC continues to recommend that ESA produce an updated Contract Packaging Plan (CPP) and adhere to it.	1

8.0 GRANTEE ACTIONS FROM QUARTERLY AND MONTHLY MEETINGS

Priority in Criticality column

1 – Critical 2 – Near Critical

Number with Date Initiated	Section	Grantee Actions	Criticality	Projected Resolution Date
ESA-A45-Dec12	Section 2.2	MTACC committed at the December 12, 2012 CM012R post bid de-brief to provide FTA/PMOC with preliminary schedule impacts of CM012R bid cancellation within approximately two weeks from the meeting. The ESA PMT stated that they will present preliminary results to FTA/PMOC in the beginning of April 2013. Preliminary schedule impacts were presented on April 9, 2013; however MTACC has yet to address the Program Budget impacts as of the end of May 2013 and have stated at the last FTA/MTACC Executive Meeting in May 2013 that they will not have the budget impact numbers until later this year.	1	9/1/13
ESA-A46-Dec12	Section 4.2	The ESA PMT agreed at a meeting held with FTA/PMOC on July 30, 2012 to develop a set of critical metrics jointly with the FTA/PMOC and MTA IEC that would be used as an early indicator of issues that need to be addressed by senior management. The need to do this was re-iterated at the November 8, 2012 ESA/SAS mini-quarterly meeting. The IPS #47 has not been updated fully, and therefore the critical metrics have not been completely developed by the PMT.	2	9/15/13
ESA-A47-Mar13	Section 1.5	ESA Safety Director stated at the Operational Readiness meeting held in March 2013 that one of his goals in the upcoming quarter is to brief the CMs on active Construction Contracts on their role in the safety certification process. The PMOC stated that he would like a status report on this activity at the next Operational Readiness meeting in June 2013. The ESA Safety Director did not have any tangible results to report on in the June 2013 Operational Readiness Meeting.	2	6/30/13

APPENDIX A -- LIST OF ACRONYMS

AFI	Allowance for Indeterminates
ARRA	American Recovery and Reinvestment Act
BA	Budget Adjustment
CBB	Current Baseline Budget
C&S	Communication and Signals
CCC	Change Control Committee
CCM	Consultant Construction Manager
CM	ESA Construction Manager assigned to each contract
CMP	Cost Management Plan
CPOC	Capital Program Oversight Committee
CR	Candidate Revision
CSSR	Contact Status Summary Report
CIL	Central Instrument Location
CPRB	Capital Program Review Board
CPP	Contract Packaging Plan
DCB	Detailed Cost Breakdown
ELPEP	Enterprise Level Project Execution Plan
EPC	Engineering-Procurement-Construction
ERT	East River Tunnel
ESA	East Side Access
ET	Electric Traction
FA	Force Account
FAMP	Force Account Management Plan
FHACS	"F" Harold Alternate Control System
FFGA	Full Funding Grant Agreement
FTA	Federal Transit Administration
GCT	Grand Central Terminal
GEC	General Engineering Consultant
HTSCS	Harold Tower Supervisory Control System
IEC	Independent Engineering Consultant (to MTA)
IFB	Invitation for Bid

IPS	Integrated Project Schedule
IST	Integrated System Testing
LIRR	Long Island Rail Road
MNR	Metro-North Railroad
MTA	Metropolitan Transportation Authority
MTACC	Metropolitan Transportation Authority Capital Construction
N/A	Not Applicable
NTP	Notice-to-Proceed
NYAR	New York and Atlantic Railroad
NYCDEP	New York City Department of Environmental Protection
NYCDOB	New York City Department of Buildings
NYCT	New York City Transit
NYSPTSB	New York State Public Transportation Safety Board
OCO	Office of Construction Oversight (MTA)
PE	Preliminary Engineering
PEP	Project Execution Plan
PMOC	Project Management Oversight Contractor (Urban Engineers)
PMP	Project Management Plan
PMT	Project Management Team
PQM	Project Quality Manual
QA	Quality Assurance
RAMP	Real Estate Acquisition Management Plan
RFP	Request for Proposal
RMCP	Risk Mitigation Capacity Plan
RMP	Risk Management Plan
ROD	Revenue Operations Date
ROW	Right of Way
RSD	Revenue Service Date
SC	Substantial Completion
SCC	Standard Cost Category
SMP	Schedule Management Plan
SSMP	Safety and Security Management Plan

SSOA	State Safety Oversight Agency
SSPP	System Safety Program Plan
TBD	To Be Determined
TBM	Tunnel Boring Machine
TCC	Technical Capacity and Capability
VE	Value Engineering
WBS	Work Breakdown Structure

APPENDIX B-- PROJECT OVERVIEW AND MAP

Project Overview and Map – East Side Access

Scope

Description: This project is a new commuter rail extension of the Long Island Rail Road (LIRR) service from Sunnyside, Queens to Grand Central Terminal (GCT), Manhattan, utilizing the existing 63rd Street tunnel under the East River and new tunnels in Manhattan and Sunnyside yard. Ridership forecast is 162,000 daily riders (27,300 new riders).

Guideway: This two-track project is 3.5 route miles long, it is below grade in tunnels and does not include any shared use track. In Harold interlocking, it shares ROW with Amtrak and the freight line.

Stations: This project will add a new 8 track major terminal to be constructed below the existing GCT. The boarding platforms and mezzanines of the new station will be located approximately 90 feet below the existing GCT lower level. A new passenger concourse will be built on the lower level of the terminal.

Support Facilities: New facilities will include: the LIRR lower level at GCT, new passenger entrances to the existing GCT, the East Yard at GCT, the Arch Street Shop and Yard, a daytime storage and running repair/maintenance shop facility in Queens, and ventilation facilities in Manhattan and Queens.

Vehicles: The scope and budget for the ESA project include the procurement of 160 new electric rail cars to support the initial service.

Ridership Forecast: MTA projects that, by 2020, the ESA project will handle approximately 162,000 daily riders to and from GCT. This Ridership projection is based on a 2005 study performed by DMJM/Harris (AECOM).

Schedule

9/98	Approval Entry to PE	12/10	Estimated Rev Ops at Entry to PE
02/02	Approval Entry to FD	06/12	Estimated Rev Ops at Entry to FD
12/06	FFGA Signed	12/13	Estimated Rev Ops at FFGA
08/19	Revenue Service Date at date of this report (MTA schedule)		

Cost ($)

4,300 million	Total Project Cost ($YOE) at Approval Entry to PE
4,350 million	Total Project Cost ($YOE) at Approval Entry to FD
7,386 million	Total Project Cost ($YOE) at FFGA signed
9,744.1 million	Total Project Cost ($YOE) at Revenue Operations
9,744.1 million	Total Project Cost ($YOE) at date of this report including $ 1,036.1 million in Finance Charges
4,425.8 million	Amount of Expenditures as of May 31, 2013 based on the Total Project Budget of $8,708 million
50.8	Percent Complete based on the current budget of $8,708 million and expenditures in the May 31, 2013 report
[redacted]	[redacted]
51.6*	Construction Percent Complete
55.9*	Overall Project Percent Complete

*As of May 31, 2013, based on the revised baseline (May 2012) [redacted], as provided by ESA in its May 2013 Report.

APPENDIX C – LESSONS LEARNED

#	Date	Phase	Category	Subject	Lessons Learned
1	Dec-12	Construction	Construction	Muck Handling	During cavern excavation, the CM019 contractor became muck-bound, which caused a project delay of several months. The PMOC recommended that the contractor make extraordinary effort to evacuate the muck. After several months, it finally did, but the schedule time could not be recovered by that point. Lesson learned was to develop a well thought out muck handling plan (including establishment of proper haul roads) before work begins and to follow it during excavation.
2	Dec-12	Construction	Management	Stakeholder Management	The CH053 contractor incurred many months of initial construction delay because Amtrak did not approve the Electric Traction design documents on the project's schedule. A major contributing factor to this was because the MTACC had not established a contractual working relationship with Amtrak prior to letting the CH053 contract. The PMOC recommended that the MTACC and its GEC more closely design the project in accordance with the comments that Amtrak was submitting. To date, the MTACC has exhibited some improvement in this matter, but there are still 2+ Stages to construct, and improvement has not been fast enough or consistent over time. Lesson learned was to develop good working relationships with all project stakeholders before any contracts are let.
3	June-13	Construction	Planning/ Construction	Haul Roads	Haul roads to remove muck need to be passable (preferably paved with a mudslab) with locations pre-determined in areas of confined space such as caverns and tunnels. Deep,

#	Date	Phase	Category	Subject	Lessons Learned
					muck-filled haul roads contributed to the contractor's slow progress in removal of muck during construction. Lesson learned was to plan haul roads in advance and ensure that the muck haulers can travel at a specific rate of speed in order to meet production goals.
4	June-13	Construction	Training	Operator Skill with drill rigs	Lack of proper operator training contributed to inconsistent drilling of 10' deep blast holes which resulted in under/overbreak of excavated material, thus requiring rework to achieve desired results. Lesson learned was to ensure that drill rig operators are properly trained before being allowed to operate a production drill rig.
5	June-13	Procurement	Contract Development	Contract Packaging	Access to work sites, interface with other contracts, and contract staging must be considered when projects employ multiple contractors that may conflict with each other, particularly in confined spaces such as tunnels and caverns. Lesson learned is to carefully consider the access that each contractor may require, perhaps developing a scale model of the expected operation, so that expected operation of each contractor is included in its contractual requirements.
6	June-13	Administration	Quality	Submittals	Identification and resolution of quality issues (e.g. As-Built drawings, NCRs, etc.) must be managed on a daily basis to avoid creation of a backlog. Lesson learned is for the owner to have a well-trained staff with a consistent, coordinated approach (including appropriate pre-approved corrective action) when obtaining contractually required documents from contractors.

#	Date	Phase	Category	Subject	Lessons Learned
7	June-13	Contract Specs/ Construction	Construction	Pneumatically Applied Concrete (PAC)/ Shotcrete	Mismanagement of PAC/Shotcrete application has many different aspects which could adversely affect a project. Lesson learned is that all projects which anticipate use of PAC/shotcrete should carefully examine all aspects of its use and that a careful engineering analysis of the expected use be made so that the approved use can included in the contract documents for the project.
8	June-13	Procurement/ Construction	Procurement	Qualified Personnel	Ensure that project key personnel are properly qualified and experienced for the positions they will fill on the project. Lesson learned is that personnel not properly qualified, experienced, or possessing the requisite credentials can do more harm than good. The owner should ensure that it is getting the contractor's best personnel when excavating a tunnel or cavern.
9	June-13	Scheduling	Construction	TBM Production	Project management should ensure that accurate, up-to-date, production rates for machinery are used when project schedules are developed. PMOC analysis has revealed that ESA schedules for the Manhattan Tunnel Boring Machines were based on a planned excavation rate of 53 linear feet/day. Actual TBM excavation averaged 34 LF/day, a difference of 35%. Lesson learned is that, depending on the length of excavation, inaccurate estimates can have a large negative impact on project schedule.

APPENDIX D – PMOC STATUS REPORT

(to be sent as a separate attachment in Final)

APPENDIX E – SAFETY AND SECURITY CHECKLIST

2013 Second Quarter

Project Overview			
Project mode (Rail, Bus, BRT, Multimode)	Rail		
Project phase (Preliminary Engineering, Design, Construction, or Start-up)	Construction		
Project Delivery Method (Design/Build, Design/Build/Operate/Maintain, CMGC, etc.)	Primarily Design Bid/Build		
Project Plans	**Version**	**Review by FTA**	**Status**
Safety and Security Management Plan	12/2010 Rev. 2	2012	PMOC sent its comments to FTA in July 2012 recommending conditional acceptance.
Safety and Security Certification Plan	11/2008 Rev. 1		Is within the SSPP of LIRR.
System Safety Program Plan	11/2008 Rev. 1		NA
System Security Plan or Security and Emergency Preparedness Plan (SEPP)	11/2010		Is within the SSPP of LIRR.
Construction Safety and Security Plan	3/2007 Rev. 1		Project Construction Safety and Security Plan, contractors' site specific safety and security plans,
Safety and Security Authority	**Y/N**		**Notes/Status**
Is the grantee subject to 49 CFR Part 659 state safety oversight requirements?	Y		
Has the state designated an oversight agency as per Part 659.9?	Y		The New York State Public Transportation Safety Board (NYSPTSB) is the SSOA.
Has the oversight agency reviewed and approved the grantee's SSPP as per Part 659.17?	In Development		The Grantee is currently in communication with a representative of NYS SSOA.

Project Overview		
Has the oversight agency reviewed and approved the grantee's Security Plan or SEPP as per Part 659.21?	In Development	The New York State Public Transportation Safety Board (NYSPTSB) is the SSOA.
Did the oversight agency participate in the last Quarterly Program Review Meeting?	N	Grantee to transmit SSMP to SSOA through the Grantee's System Safety Dept. The SSOA's representative has had a meeting with NYCT system safety and the grantee. The PMOC has advised the Grantee to invite the SSOA representative, as well as the PMOC, to all future safety certification related meetings.
Has the grantee submitted its safety certification plan to the oversight agency?	N	To the best of the PMOC's knowledge, the grantee has not directly submitted its safety certification plan to the NYS SSOA.
Has the grantee implemented security directives issues by the Department Homeland Security, Transportation Security Administration?	N	The MTA unified threat vulnerability methodology was applied to the ESA design. A vulnerability log was developed for ESA based on the feedback from the applied methodology. Controls within the design have been implemented to reduce the relative risk of those vulnerabilities identified. Analysis indicated that the controls within design were adequate for the

Project Overview		
		vulnerabilities identified.
SSMP Monitoring	**Y/N**	**Notes/Status**
Is the SSMP project-specific, clearly demonstrating the scope of safety and security activities for this project?	Y	
Grantee reviews the SSMP and related project plans to determine if updates are necessary?	In review by MTACC Assistant Chief of Safety and Security.	The Grantee updated the SSMP as of 12/2010. A current update was to be undertaken in the second quarter of 2013. A plan outlining testing is to be finalized in the first half of July.
Does the grantee implement a process through which the Designated Function (DF) for Safety and DF for Security are integrated into the overall project management team? Please specify.	Y	The Assistant Chief of Safety and Security for the MTACC meets regularly with the project management team. The CCM and the Grantee's safety and security personnel are integrated into the management team. Integration is also achieved through implementation of ESA HASP, monthly project wide safety meetings, quarterly audits, OCIP inspections, weekly MTACC and contractor joint safety audits, and interface w/ MTA Police and NYPD Infrastructure Protection Unit of the NYPD's Counter-Terrorism Division. As a result of a third party security audit, the grantee has established contract specific security lead persons to assure

Project Overview		
		continuity of security functions.
Does the grantee maintain a regularly scheduled report on the status of safety and security activities?	Y	Safety and Security are reported on during the monthly safety meeting and are incorporated into Grantee's monthly project reports.
Has the grantee established staffing requirements, procedures and authority for safety and security activities throughout all project phases?	Y	Contained within the Grantee's safety procedure documents.
Does the grantee update the safety and security responsibility matrix/organizational chart as necessary?	Y	To be incorporated into the next revision of the SSMP.
Has the grantee allocated sufficient resources to oversee or carry out safety and security activities?	Y	MTA, GEC, CCM, and contractors provide personnel and resources to carry out safety and security activities. Additionally, an MTACC consultant conducted a safety and security review of all MTACC projects. The consultant's report included programmatic and system security recommendations that are currently being reviewed by MTACC and MTA Police.
Has the grantee developed hazard and vulnerability analysis techniques, including specific types of analysis to be performed during different project phases?	Y	The SSMP Committee process is comprehensive and provides for this.
Does the grantee implement regularly scheduled meetings to track to resolution any identified hazards and/or vulnerabilities?	Y	SSMP committee meetings as well as project wide monthly safety meetings take

Project Overview		
		place.
Does the grantee monitor the progress of safety and security activities throughout all project phases? Please describe briefly.	Y	Accomplished through daily audits by contractor and CCM and through the comprehensive SSMP Committee process.
Does the grantee ensure the conduct of preliminary hazard and vulnerability analyses? Please specify analyses conducted.	Y	The SSMP Committee process provides for TVRA, safety, and security analysis as well as input from subject matter experts on the SSMP Committee.
Has the grantee ensured the development of safety design criteria?	Y	The SSMP Committee has established the safety design criteria.
Has the grantee ensured the development of security design criteria?	Y	Accomplished through the SSMP Committee process.
Has the grantee ensured conformance with safety and security requirements in design?	Y	Achieved through the SSMP Committee process.
Has the grantee verified conformance with safety and security requirements in equipment and materials procurement?	N	The grantee has not verified conformance for materials procured to date. Thus far, the grantee has relied on design specifications and manufacturers' quality controls for verification. The PMOC has advised that this course of action is insufficient and does not align with FTA established guidelines. The grantee is attempting to devise a workable solution.

Project Overview		
Has the grantee verified construction specification conformance?	Y	Through ongoing contract review.
Has the grantee identified safety and security critical tests to be performed prior to passenger operations?	N	Although the Grantee has established preliminary hazard analysis (PHA) and a system test plan, the Grantee needs to identify safety and security critical tests in its Test Program Plan. The grantee is working within the PMP to identify critical submittals relevant to system certification. PMOC has expressed concerns, both at meetings and in reports, about the non-linear pattern of completed construction vs. incomplete critical testing.
Has the grantee verified conformance with safety and security requirements during testing, inspection and start-up phases?	In Development	Project is not at these phases yet.
Does the grantee evaluated change orders, design waivers, or test variances for potential hazards and /or vulnerabilities?	In Development	Systems area design modifications not originally evaluated per the unified methodology are analyzed and controls are incorporated into the design.
Has the grantee ensured the performance of safety and security analyses for proposed workarounds?	In Development	

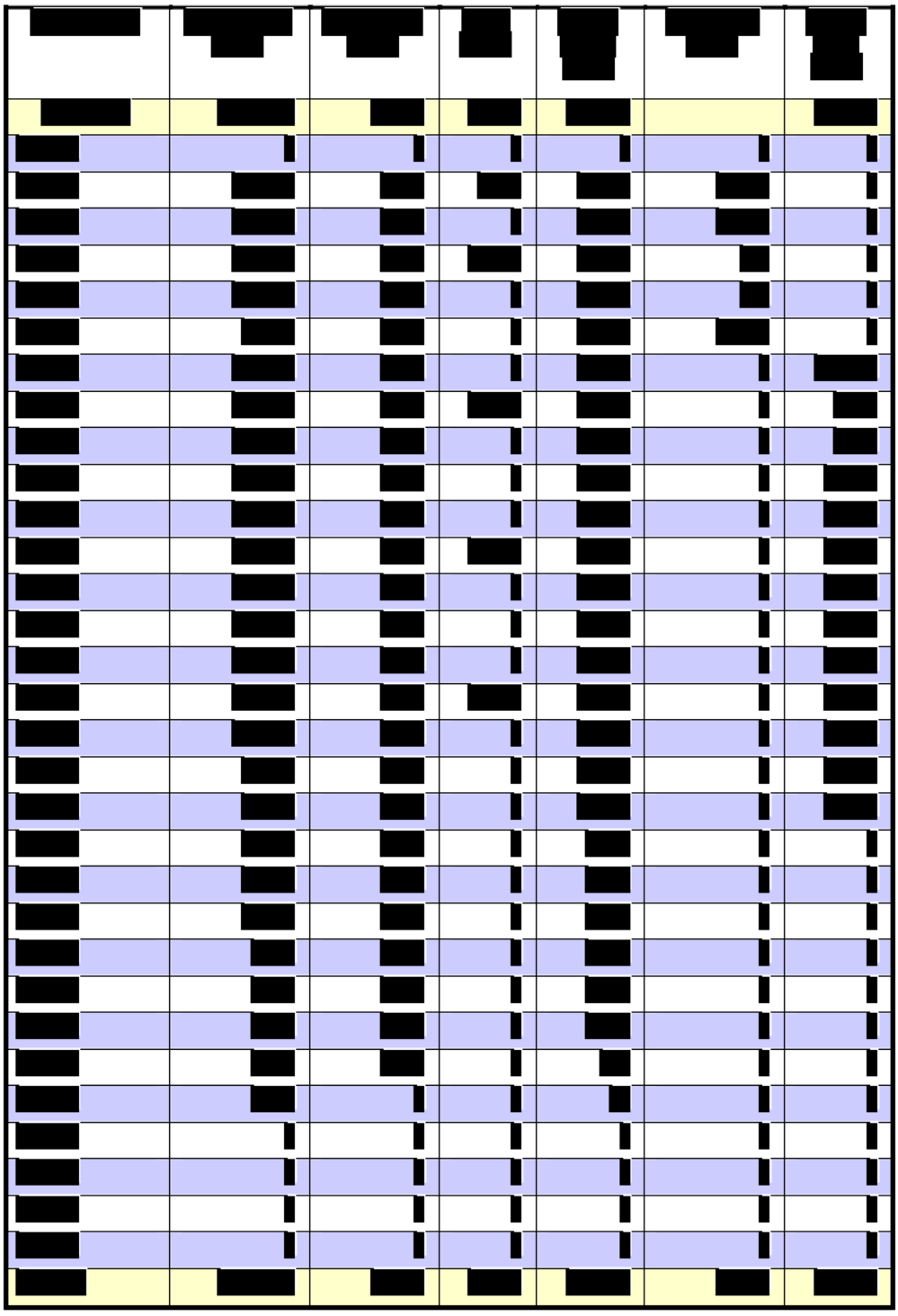
Project Overview		
Has the grantee demonstrated through meetings or other methods, the integration of safety and security in the following: Activation Plan and Procedures Integrated Test Plan and Procedures Operations and Maintenance Plan Emergency Operations Plan	Y	An Emergency Preparedness Plan was promulgated by the Grantee in 11/2010. The EAP operational readiness group has been finalized to include MNR, LIRR, MTAPD, and FDNY. The first meeting took place in March of 2013. The PMOC was not invited to this meeting. Moving forward, the PMOC will be included.
Has the grantee issued final safety and security certification?	N	Project is not at this stage.
Has the grantee issued the final safety and security verification report?	N	Project is not at this stage.

APPENDIX F – ON-SITE PICTURES

(to be sent in a separate file in Final)

APPENDIX G

[redacted]



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[redacted]

Table G-3: Federal and Local Funding Distribution

		FFGA 2006				Re-baseline 2012				
SCC No.	SCC Description	YOE Cost (X$000)	Federal 5309 New Starts Funds (X$000)	Federal Other Funds (X$000)	Local Funds (X$000)	YOE Cost (X$000)	Federal 5309 New Starts Funds (X$000)	Federal Other Funds (X$000)	Local Funds (X$000)	Difference in local funds (X$000)
10	GUIDEWAY & TRACK ELEMENTS (route miles)	1,988,741	1,239,340	11,200	738,201	2,943,135	1,156,713	37,876	1,748,546	1,010,345
20	STATIONS, STOPS, TERMINALS, INTERMODAL (number)	1,168,655	650,000	0	518,655	1,514,027	363,555	0	1,150,473	631,818
30	SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	356,264	150,000	39,237	167,027	388,054	109,574	28,761	249,719	82,692
40	SITEWORK & SPECIAL CONDITIONS	205,105	60,000	0	145,105	487,858	131,532	0	356,326	211,221
50	SYSTEMS	619,343	278,241	0	341,102	698,309	269,118	0	429,191	88,089
60	ROW, LAND, EXISTING IMPROVEMENTS	165,280	0	0	165,280	203,639	31,962	0	171,677	6,397
70	VEHICLES (number)	493,982	0	0	493,982	674,372	0	0	674,372	180,389
80	PROFESSIONAL SERVICES	1,184,000	254,533	0	929,467	1,648,606	489,306	0	1,159,299	229,832
[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]
	SUBTOTAL	6,349,900	2,632,114	50,437	3,667,349	8,708,000	2,551,760	66,637	6,089,603	2,422,254
100	100 FINANCE CHARGES	1,036,104	0		1,036,104	1,116,454	80,354	0	1,116,454	80,350
	Total Project Cost (10 - 100)	7,386,004	2,632,114	50,437	4,703,453	9,824,454	2,632,114	66,637	7,206,057	2,502,604
	Percentage of Total Project Cost	100%	35.6%	0.7%	63.7%	100%	26.8%	0.7%	72.5%	

Table G-4: Manhattan 90 Day Look-Ahead

Activity ID	Activity Name	Start	Finish	IPS-CONTRA
Manhattan Contracts				
A20160	(VM014) MS - EL12 Completion		1-Jun-13	CM014B
A20150	(VM014) CM014B MS & VM014 AR for	1-Jun-13		CM014B
CM919-New-	(Revised ML#9A) Vacate Kinney Lot and portions of existing rail yard		3-Jun-13	CM009-019
CONT-CM919-50	Conveyor Belt Removal in Tunnels		3-Jun-13	CM009-019
CS179-WB1-B	WB1 LL GCT6-5-4 Bench Completion		3-Jun-13	CM006-C
GCT3 1180	NTP (MOD#46)		13-Jun-13	CM009-019
CM04-C0950	CM004 245 Park Ave Completion		05-Jul-13*	CM004
PC-T1030	CM006 Advertise	1-Aug-13		CM006-C
CM0130010	(ESA CM's Forecast) ML#5 - Early Turnover of Loading Dock, Shaft & Plenum Tunnel for Vehicular & Pedestrian Access		1-Aug-13	CM013

Table G-5: Queens 90 day look ahead

Activity ID	Activity Name	Start	Finish	IPS-CONTRA
Queens Contracts				
50	Complete Phase 2		1-Jun-13	CQ039
CQ39-00680	NBX - Substantial Completion (910 Cal. Days from NTP)		26-Aug-13	CQ039
DM2250	CM009-019 ML#6A turnover to CQ033	3-Jun-13		CQ033
MM3520-P	CM009-19 Disassemble/Remove Convey System (S.C.)		13-Jun-13	CQ033
CQ0331610	Access to Area 1 (West of Q-Tip) for Construction	14-Jun-13		CQ033
CQ032-AR1A	(Access Restraint #1A) 470 cal days from NTP (for Benchwalk @ Northern Boulevard)		1-Jun-13	CQ032
CQ032-AR5	(Access Restraint #5) Access to Bored Tunnel B/C & D (For Benchwalk maybe) (610CDs from NTP)		1-Jun-13	CQ032
CQ032-MS4A1	(Milestone #4A1) CQ032 Completion of Vernon Facilities for System		1-Jun-13	CQ032

CQ032-AR3A	(Access Restraint #3A) Turnover area at Amtrak and Partial Existing Yard	3-Jun-13		CQ032
CQ032-MS4A3	(Milestone #4A3) CQ032 Completion of Roosevelt for System		18-Jun-13	CQ032
YLT-00160	YL Tunnel Beneficial Occupancy		3-Jun-13	CQ031
CCH570940	Complete Catenary / Signal Tower Relocation (Slab)		18-Jul-13	CQ031
CH057-5230	CPR108 WBBY Slab completion		9-Aug-13	CQ031

Table G-6: Harold 90 day look ahead

Activity ID	Activity Name	Start	Finish	IPS-
	Harold			
VHL02.00R310	Deliver Switch P1 (3234W) w/ Switch Machine		1-Jun-13	FHLXX
VHL02.00R250	Deliver Switch P2 (3234E) w/ Switch Machine		1-Jun-13	FHLXX
FHL02.CI.00045	Deliver H6 Huts & Cases		3-Jun-13	FHL02
CH58-H0070	90% Design Submission - Contract CH058		3-Jun-13	CH058
A2800	HON-N1 turnover to LIRR signal trough Installation		5-Jun-13	CH053
DM5075B	CH053: Trough N.Side H3-CIL		5-Jun-13	FHL02
DMFHA1060	Complete 91.6Hz feed for F2E & F2_CIH		10-Jun-13	FHA01
FHL02.CM.1840	COMPLETE TEMP. COMM work for Point &		11-Jun-13	FHL02
FFHL011007C	Install Signal Troughs on AR-N1 - CH053		19-Jun-13	FHL01
FFHL031000	NTP FHL03 - LIRR Harold F/A Const Stage 3	21-Jun-13		FHL03
CH054A-170	Completion of Thompson Ave Retaining Wall		21-Jun-13	CH054A
BLAM02-S190	FHACS Cutover		22-Jun-13	FHA02.2
VHL02.00R320	Deliver Switch AS1/2 (3132W/E) w/ Switch Machine		24-Jun-13	FHL02
VHL02.00R400	Deliver Switch ZI1(3121W) w/ Switch Machine		24-Jun-13	FHL02
FHL02.CM.1740	Complete Comm WORK for POINT-CIL Cutover		25-Jun-13	FHL02
FHL0203645	Delivery and Install H3-CIL		26-Jun-13	FHL02
FHL02.CI.00040	Deliver H5 CIL		28-Jun-13	FHL02

CH054A-710	Milestone #2 - Complete West of Thomson		2-Jul-13	CH054A
CH054A-INTER-1070	CH054A/ConED - Power Supply A1/L1 Ready		3-Jul-13	FHA02.2
CH054A-INTER-1040	CH054A - Complete SMUS 1-3 Concrete Pad		3-Jul-13	FHA02.2
CH054A-INTER-1130	CH054A - Completed Foundation SMUSs / Install New RTU		5-Jul-13	FHA02.2
FA03-0011	Complete Stage 3, 100% Design (All Departments)		5-Jul-13	FHA03
BLAM02-S060	Complete All Cables for F1		13-Jul-13	FHA02.2
VHL02.00R280	Deliver Switch (4178E) w/ Switch Machine		23-Jul-13	FHL02
VHL02.00R290	Deliver Switch (4178W) w/ Switch Machine		23-Jul-13	FHL02
FHL501030	Delivery of AG1 Switch 7/23/13		23-Jul-13	FHL03
FFHL010005	Complete Signal Power Cable Relocation		25-Jul-13	FHL01
FHL02.SI.295	CH057 - Complete Slab Construction		25-Jul-13	FHL02
DMFHA01010	FHA01: Start Relocate Wires P1	26-Jul-13		CH053
FHL02.CM.1730	Complete COMM for H4-CIL Cutover		26-Jul-13	FHL02
PCH060-660	CH057A - Bid Due Date-Bid Opening		26-Jul-13	CH057A
FHL02.SI.00094	Installation of Switch AS1 (3132W) - T.PP		28-Jul-13	FHL02
FFHA21410	Complete Catenary Work for 771 Switch (without new RTU)		31-Jul-13	FHA01
FHL02.CM.1720	Complete Temp. Comm for H3-CIL Cutover		1-Aug-13	FHL02
FHL02.CM.1850	COMPLETE Temp. COMM work for H3-CIL Cutover		1-Aug-13	FHL02
CH58-H0020	100% Design Submission - Contract CH058		1-Aug-13	CH058
FHL02.MS.00004	Cutover HTSCS		4-Aug-13	FHL02
BLAM02-S070	FHL02 - HTSCS Cutover		4-Aug-13	FHA02.2
FHL0500030	Complete Cut-Over of TCC		4-Aug-13	FHL02
SP3-NTP	NTP of System Package 3 - Signal Procurement	7-Aug-13		VS086
MTACC-1140	CH057 Advertise Date	9-Aug-13		CH057
A15480	Complete 27KV & Manholes		14-Aug-13	CH053
CH054A-DM1330	CH054A - Complete Civil Work Existing EMH1560 to EMH23		15-Aug-13	FHA02.2
BLAM02-8444	Start Final Testing for F1-CIH	16-Aug-13		FHA02.2
FHL02.SI.00154	Install Switch H1 (6156W)		25-Aug-13	FHL02

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Table H-1 -- Core Accountability Items – June 2013

Project Status:		Original at FFGA	Current*	ELPEP **
Cost	Cost Estimate	$7.386B	$9.824B	$8.119B
[redacted]	[redacted]	[redacted]	[redacted]	[redacted]
	[redacted]	[redacted]	[redacted]	[redacted]
	[redacted]	[redacted]	[redacted]	[redacted]
Schedule	Revenue Service Date	December 31, 2013	September 2019	April 30, 2018
Total Project Percent Complete	Based on Expenditures	55.9 ***		
	Based on Earned Value	NA		

Major Issue	Status	Comments
Impact of CM012R solicitation cancellation, scope repackaging and re-bidding.	Scope from cancelled CM012R (Manhattan Structures 2) solicitation is being split among existing and three new contract packages. Work from CM012R replacement packages are on the project critical path. First new contract package (CM005) was advertised on March 21, 2013 and bids were received on June 20, 2013.	Results of this procurement have a major impact on project cost and schedule baseline. ESA is currently working on developing the remaining two contract packages (CM006, CM007). Impact on project cost and schedule contingency remains TBD.
Major Procurements Delays	Package CH057 was split into 3 parts, and CH057A was bid in May 2013. Procurement of CS179 (Systems Package 1) continues to slip. Other System Packages (CS284 and VS086) procurement dates are now TBD; as well as procurement dates for CM014B package.	CH057A is necessary to advance the Harold work however the Change Order being given to the CQ031 contract for the support slab is critical for a July/August 2013 Outage. CS179 is on the project critical path (since Jan. 1, 2013) and current delay will impact project schedule contingency.
Project Schedule	Project IPS has not been completely updated since October 2012. The PMT has included summary level schedules for the CM012R replacement packages but have not logically connected them in the schedule.	Until the IPS is fully updated with proper logical ties, it is not possible to properly assess the viability of the current baseline schedule.

Amtrak Integrated Master Schedule	Develop an integrated master schedule that will lay out the upcoming Amtrak projects (Moynihan, ERT Track Rehab., Brookfield, etc.) and overlay the ESA work at Harold. This schedule has not yet been provided to the FTA.	This issue has been outstanding since MTACC committed to producing the Integrated Master schedule in June 2012. At the March 21, 2013 FTA/MTACC Executive Meeting, the ESA Project Executive stated that they have an ESA staff member coordinating this activity on a part-time basis until a dedicated scheduler is hired.
Next Quarterly Meeting:	September 2013 (tentative)	

* Note that $9.824B (finance included) and the September 2019 RSD are the MTA cost and schedule baselines approved in May 2012.

** 2010 Enterprise Level Project Execution Plan (ELPEP) reflecting medium level of risk mitigation, excluding financing cost of $6,116 million. ELPEP is to be updated.

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