

Public Records Request #3073

The following materials have been gathered in response to public records request #3073. These materials include:

- FTA Quarterly Review Meeting – December 17, 2019

This information was provided as a response to a public records request on 12/19/19 and is current to that date. There is a possibility of more current information and/or documents related to the stated subject matter.

Further Information

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FTA Quarterly Review Meeting

December 17, 2019



CATS
CHARLOTTE AREA TRANSIT SYSTEM

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I. AGENDA

Charlotte Area Transit System (CATS)

FTA Quarterly Review Meeting

10:00 am to 2:00 pm

December 17, 2019

Call in Number 888.684.8852

Pass Code 1744139

230 Peachtree Street, NW, Suite 1400

Atlanta, GA 30303

FTA Region IV Main Conference Room

- | | | |
|------|---|--|
| I. | Welcome/Introductions | Dr. Taylor |
| II. | Major Accomplishments/ Issues
1. Charlotte Gateway Station RFQ
2. New South End Station
3. Scaleybank LOSO Development
4. TOD Pilot Program – North Corridor
5. Ridership Update | John Lewis |
| III. | Review of September 17, 2019 QRM Action Items | David McDonald |
| IV. | LYNX Blue Line Extension (BLE/Northeast Corridor)
1. Finance / Budget
2. Cost Summary/ Contingency
3. Litigation / Claims
4. Contract Closeout Status
5. Schedule Status
6. Risks
7. Safety and Security Checklist
8. Environmental Mitigation Monitoring Plan Status Report
9. Quality Assurance and Quality Control
10. Before and After Study | Blanche Sherman
Kelly Goforth
Brad Thomas
Bruce Erickson
Jill Brim
Jill Brim
Ken Chapman
Kelly Goforth
Celia Gray
Kelly Goforth |
| V. | CityLYNX Gold Line Phase I (Streetcar Starter Project)
1. Project Budget
2. Award Closeout | Tonia Wimberly
Tonia Wimberly |

- | | | |
|--------------|---|-----------------------------|
| VI. | CityLYNX Gold Line Phase 2 (Streetcar) | |
| | 1. Project Overview | David McDonald |
| | 2. Project Administration | David McDonald |
| | 3. Project Finance | Blanche Sherman |
| | 4. Project Budget | Blanche Sherman |
| | 5. Contracts and Procurement | David McDonald |
| | 6. Streetcar Vehicles | Andy Widenhouse |
| | 7. Project Schedule | Tonia Wimberly |
| | 8. Risks | Tonia Wimberly |
| | 9. Safety and Security | Ken Chapman/David Moskowitz |
| | 10. Project Development | Tonia Wimberly |
| | 11. Third Party Coordination | Tonia Wimberly |
| | 12. Construction | Tonia Wimberly |
| | 13. Quality Assurance | Celia Gray |
| | 14. Community Relations | Krystal Green |
| VII. | Economic Development | |
| | 1. Blue Line, BLE, Gold Line | John Howard |
| VIII. | Other Corridor Status | |
| | 1. Charlotte Gateway Station | |
| | a) Project Overview | Brian Nadolny |
| | b) Status | Brian Nadolny |
| | c) Funding / Budget Summary | Blanche Sherman |
| | d) TIGER VII Grant (FRA) | Blanche Sherman |
| | 2. LYNX Silver Line | |
| | a) Design | Andy Mock |
| | b) FTA TOD Pilot Project | John Howard |
| | c) Rail Trail Study | Jason Lawrence |
| | 3. LYNX North Corridor | Brian Nadolny |
| | 4. Corridor System Plan Update | |
| | a) Pineville-Ballantyne Rapid Transit Study | Jason Lawrence |
| | b) Regional Transit Plan | Jason Lawrence/John Muth |
| | c) Corridor Bus Study | Jason Lawrence |
| IX. | Other Program Activities | |
| | 1. Grant Review | Blanche Sherman |
| | 2. Sales Tax Revenue | Blanche Sherman |
| X. | Open Discussion | All |
| XI. | PMOC Activity | |
| | 1. 90-Day Look Ahead Calendar | Robert James |
| XII. | Review of New Action Items/Follow-up | David McDonald |

Next Meeting:

10:00 am to 1:00 PM
December 17, 2019
230 Peachtree St, NW, Suite 1400
Atlanta, GA 30303
FTA Region IV Main Conference Room

I. Welcome/ Introductions

II. Major Accomplishments/ Issues

- 1. Charlotte Gateway Station RFQ**
- 2. New South End Station**
- 3. Scaleybark – LOSO Development**
- 4. TOD Pilot Program – North Corridor**
- 5. Ridership Update**

CATS ridership is up by 4.7% year to date. The ridership increase is led by the LYNX Blue Line light rail service, with a ridership increase of 19.6% year to date. Vanpool ridership is up by 4.3% and Special Transportation Service ridership is down 1.8% year to date.

Metropolitan Transit Commission
 Charlotte Area Transit System Ridership Report
 Oct-19

Mode / Service			Percent	YTD	YTD	Percent	Avg Daily Ridership per Month		
	Oct-19	Oct-18	Increase/Decrease	FY 2020	FY 2019	Increase/Decrease	WeekDay	Saturday	Sunday
Local									
BOD Local	1,015,558	1,119,388	-9.3 %	3,923,038	4,080,818	-3.9 %	37,349	23,471	15,665
Subtotal	1,015,558	1,119,388	-9.3 %	3,923,038	4,080,818	-3.9 %	37,349	23,471	15,665
Local Express									
Arboretum Express	5,116	4,335	18.0 %	19,504	15,720	24.1 %	222	-	-
Camel Road Express	-	-	n/a	-	3,654	n/a	-	-	-
Harrisburg Road Express	2,583	2,865	-9.8 %	10,760	10,443	3.0 %	112	-	-
Huntersville Express	10,314	10,022	2.9 %	36,676	35,092	4.5 %	448	-	-
Idlewild Road Express	2,005	2,704	-25.9 %	8,576	9,619	-10.8 %	87	-	-
Independence Blvd Express	4,727	5,351	-11.7 %	17,844	18,226	-2.1 %	206	-	-
Lawyers Road Express	3,039	3,315	-8.3 %	10,803	12,044	-10.3 %	132	-	-
Matthews Express	4,342	4,407	-1.5 %	16,439	14,870	10.6 %	189	-	-
Mountain Island Express	1,331	1,477	-9.9 %	5,208	4,865	7.1 %	58	-	-
Northlake Express	6,982	7,622	-8.4 %	24,966	27,040	-7.7 %	304	-	-
North Mecklenburg Express	13,566	14,521	-6.6 %	52,520	54,606	-3.8 %	590	-	-
Rea Road Express	3,734	3,978	-6.1 %	14,556	11,243	29.5 %	162	-	-
Steele Creek Express	1,658	1,847	-10.2 %	5,906	7,340	-19.5 %	72	-	-
Huntersville Greenhouse Express	650	267	143.4 %	2,037	1,311	55.4 %	28	-	-
Airport Connector - Northlake	-	-	n/a	-	14,282	n/a	-	-	-
Subtotal	60,047	62,711	-4.2 %	225,795	240,355	-6.1 %	2,610	-	-
Regional Express									
Gastonia Express	4,303	3,801	13.2 %	16,056	13,856	15.9 %	187	-	-
Rock Hill Express	3,316	3,300	0.5 %	12,467	11,225	11.1 %	144	-	-
Union County Express	2,672	2,603	2.7 %	9,833	9,525	3.2 %	116	-	-
Subtotal	10,291	9,704	6.0 %	38,356	34,606	10.8 %	447	-	-
Community Circulator									
Neighborhood Shuttles	34,703	34,198	1.5 %	135,754	138,567	-2.0 %	1,296	816	414
Eastland Neighborhood Shuttle	17,115	19,705	-13.1 %	66,185	75,603	-12.5 %	591	537	343
Pineville-Matthews Road	4,040	3,803	6.2 %	14,108	13,773	2.4 %	160	89	-
Village Rider	7,999	7,536	6.1 %	29,967	26,888	11.5 %	303	172	87
Subtotal	63,857	65,242	-2.1 %	246,014	254,831	-3.5 %	2,350	1,614	844
Human Services Transportation									
Special Transportation Services	22,968	23,664	-2.9 %	86,412	88,031	-1.8 %	903	316	233
DSS	308	357	-13.7 %	1,195	1,425	-16.1 %	13	-	-
Subtotal	23,276	24,021	-3.1 %	87,607	89,456	-2.1 %	916	316	233

Metropolitan Transit Commission
Charlotte Area Transit System Ridership Report

Oct-19

Mode / Service	Oct-19	Oct-18	Percent Increase/Decrease	YTD FY 2020	YTD FY 2019	Percent Increase/Decrease	Avg Daily Ridership per Month		
							WeekDay	Saturday	Sunday
Rideshare Services									
Vanpool	11,340	12,096	-6.3 %	46,600	44,667	4.3 %	493	-	-
Subtotal	11,340	12,096	-6.3 %	46,600	44,667	4.3 %	493	-	-
Rail									
LYNX Blue Line	822,278	548,588	49.9 %	3,218,835	2,603,013	23.7 %	31,283	16,073	9,619
CityLynx Gold Line	-	16,294	n/a	-	87,409	n/a	-	-	-
Subtotal	822,278	564,882	45.6 %	3,218,835	2,690,422	19.6 %	31,283	16,073	9,619
Total	2,006,647	1,858,044	8.0 %	7,786,245	7,435,155	4.7 %	75,448	41,474	26,361

III. Review of September 17, 2019 QRM Action Items

Item	Open Action Items	Responsibility	Status
1	CATS to develop and provide FTA with an update on the Close-out of the CityLYNX Gold Line Phase 1 grant.	CATS	Open
2	FTA to provide CATS with a response to the CityLYNX Gold Line Phase 2 change in the number of vehicles.	FTA	Closed
3	FTA to provide CATS with a response to the CityLYNX Gold Line Phase 2 request to extend the grant revenue service date from August 31, 2020 to August 31, 2021.	FTA	Closed
4	CATS to follow up with FTA on pending claims from Balfour Beatty and CATS calculation of value as well as the total amount used in the EAC.	CATS	Open
5	FTA to identify when the BLE grant must be closed out relative to the timing of the planned Before and After Study work.	FTA	Closed
6	CATS to check the expenditures for JBC in the contracts table for Actual vs. Earned Value and provide corrections if necessary.	CATS	Closed
7	CATS to provide a cost analysis for the sole source justification for the Gold Line Shelter and Fare System	CATS	Open
8	CATS to provide an integrated schedule for the CityLYNX Gold Line Phase 2 Project	CATS	Closed
9	CATS to follow up on reconciliation on DBE table regarding Davis-Bacon compliance	CATS	Open

IV. LYNX Blue Line Extension (BLE/Northeast Corridor)

1.0 Finance / Budget

Sources of Funding: The FFGA grant contract was signed October 16, 2012 setting forth a total federal contribution amount not to exceed \$580,042,248. As 9/30/19, a cumulative total amount of \$580,042,248 of federal contribution has been appropriated. As of 9/30/19, a cumulative total amount of \$477,413,886 of federal contribution has been reimbursed.

The SFFGA grant contract was signed May 3, 2012 setting forth a total state contribution amount not to exceed \$299,071,000, with the 36th Street Freight Relocation portion being funded 50% state and 50% federal. As of 9/30/19, a cumulative total amount of \$232,743,087 of state contributions has been appropriated. As 9/30/19, a cumulative total amount of \$219,552,184 of state contribution has been reimbursed.

CATS/City of Charlotte will fund \$280,971,248 of the project costs from non-state and non-federal sources of revenue. The City applied for and received a TIFIA Loan which closed on 9/17/15 for a maximum loan amount of \$180,000,000. As of 12/31/17, a cumulative total of \$180,000,000 of the TIFIA Loan has been disbursed. As of 7/31/19, CATS/City of Charlotte is contributing \$423,533,749 which is greater than the total FFGA/SFFGA match, in order to advance construction. See attached Sources of Capital Funding table.

Finance Charges: In 2013, CATS/City of Charlotte executed a short-term financing program to support the cash flow needs of the CATS Blue Line Extension project and cover the timing gap between project expense payments and the receipt of federal and state grant reimbursements. The program provided short-term financing in four debt series: 2013B, 2013D, 2013E and 2013F. Based on timing of federal and state grant receipts and cash flow needs of the project, two of the debt series, 2013D and 2013E, were repaid in 2017, leaving the remaining two debt series as available cash flow funding through project close-out. The finance charges associated with both the short-term financing program and the TIFIA long-term financing agreement are eligible project expenses. See Finance Charges Summary table below.

FINANCE CHARGES SUMMARY As of September 30, 2019

	Original Budget as of FFGA		Total Original Budget	Revised Budget		Total Revised Budget	Actuals		Total Actuals	Total Federal Reimb.
	Federal	Non- Federal		Federal	Non- Federal		Federal	Non-Federal		
TIFIA	7,593,954	7,593,954	15,187,907	0	20,833,419	20,833,419	\$0	\$15,079,813	\$15,079,813	\$0
Non-TIFIA (100%)	13,814,000	13,814,000	27,628,000	20,833,419	0	20,833,419	\$15,079,813	\$0	\$15,079,813	\$10,846,742
Non-TIFIA (50%)	17,325,000	17,325,000	34,650,000	9,253,706	9,253,706	18,507,411	<u>\$7,879,627</u>	<u>\$7,879,627</u>	<u>\$15,759,255</u>	<u>\$11,545,721</u>
Contingency	0	0	0	2,645,829	2,645,829	5,291,657	\$0	\$0	\$0	\$0
Total	38,732,954	38,732,954	77,465,907	32,732,954	32,732,954	65,465,907	<u>\$22,959,440</u>	<u>\$22,959,440</u>	<u>\$45,918,880</u>	<u>\$22,392,463</u>

Budget Summary: The current funds appropriated for the BLE total \$1,160,084,496. In the month of September, the project expended \$187,914. Total accrued expenses to date are \$1,029,961,711. See attached Budget Summary table.

SOURCES OF CAPITAL FUNDING
As of September 30, 2019

<u>Sources of Capital Funding</u>	<u>Grant/Loan ID</u>	<u>Funding Share</u>	<u>Amount</u>	<u>Expended to Date*</u>	<u>Percent Fund Source Expended to Date</u>	<u>Remaining Balance</u>	<u>Reimbursement to Date</u>
<i>Section 5309 New Starts Federal Funds</i>							
Preliminary Engineering Grant	NC-39-0001-00		\$ 2,695,000	\$ 2,695,000	100.00%	\$ -	\$ 2,695,000
FFGA Grant	NC-03-0082 (00-07)		577,347,248	512,285,855	88.73%	65,061,393	474,718,886
Appropriated New Starts Federal Funds			\$ 580,042,248	\$ 514,980,855	88.78%	\$ 65,061,393	\$ 477,413,886
FFGA Grant Balance			-	-	0.00%	-	-
Subtotal - New Starts Federal Funds		50.00%	\$ 580,042,248	\$ 514,980,855	88.78%	\$ 65,061,393	\$ 477,413,886
<i>State Funds</i>							
Preliminary Engineering Grant	09-NS-004		\$ 1,347,500	\$ 1,347,500	100.00%	\$ -	\$ 1,347,500
SFFGA Grant	09-NS-0082 / 13-BL-001		231,395,587	231,395,587	100.00%	-	218,204,684
Appropriated New Start State Funds			\$ 232,743,087	\$ 232,743,087	100.00%	\$ -	\$ 219,552,184
SFFGA Grant Balance			66,327,913	32,560,462	49.09%	33,767,451	-
Subtotal - State Funds		25.78%	\$ 299,071,000	\$ 265,303,549	88.71%	\$ 33,767,451	\$ 219,552,184
<i>Local Funds</i>							
Sales Tax			\$ 45,825,000	\$ 38,757,008	84.58%	\$ 7,067,992	N/A
City Funds - NECI			17,500,000	17,500,000	100.00%	-	N/A
City Funds - Right of Way			13,420,298	13,420,298	100.00%	-	N/A
TIFIA	2015-1007A		180,000,000	180,000,000	100.00%	-	180,000,000
Short Term Debt	2013B / 2013F		166,788,451		0.00%	166,788,451	N/A
Appropriated Local Funds			\$ 423,533,749	\$ 249,677,306	58.95%	\$ 173,856,443	N/A
Sales Tax Balance			24,225,950		0.00%	24,225,950	N/A
Short-Term Debt Reimbursement			(166,788,451)		0.00%	(166,788,451)	N/A
Subtotal - Local Funds		24.22%	\$ 280,971,248	\$ 249,677,306	88.86%	\$ 31,293,942	N/A
TOTAL APPROPRIATED FUNDS			1,160,084,496				
TOTAL FFGA PROJECT BUDGET		100.00%	\$ 1,160,084,496	\$ 1,029,961,711	88.78%	\$ 130,122,785	\$ -

*Expended to date reported on accrual basis

LEGEND

Sources of Capital Funding: Designates Funds as Federal, State or Local and provides description of source of funds.

Grant/Loan ID: Grant Number assigned to appropriated federal and state funds or local debt

Funding Share: Distribution percentage of total FFGA Project Budget

Amount: Total Dollar Amount

Expended to Date: Actual expenditures as of the report date

Percent Fund Source Expended to Date: Expended to Date / Amount

Remaining Balance: Funds available (Amount - Expended to Date)

Reimbursement to Date: Drawdown amount of grants reimbursed to the grantee

Intentionally Blank

BUDGET SUMMARY as of September 30, 2019

PROJECT	A	B	C	D	E	F	G	B- (F + G)
	FFGA GRANT BUDGET	APPROPRIATED FUNDS	PREVIOUSLY SPENT TO DATE	CURRENT MONTH EXPENSES	TOTAL EXPENSES TO DATE	TOTAL COST (ACCRUAL)	ENCUMBRANCE	H UNOBLIGATED BALANCE
10 Guideway & Track Elements								
10.02 - Guideway: At-Grade Semi-Exclusive (Allows Cross Traffic)	\$ 13,512,557	\$ 15,965,708	\$ 15,772,128	\$ -	\$ 15,772,128	\$ 15,772,128	\$ 91,348	\$ 102,231
10.04 - Guideway: Aerial Structure	46,396,594	35,245,309	34,903,112	-	34,903,112	34,903,112	1,806,733	(1,464,536)
10.05 - Guideway: Built-up Fill	13,121,752	3,261,398	3,261,398	-	3,261,398	3,261,398	4,987	(4,987)
10.06 - Guideway: Underground Cut & Cover	8,237,165	-	-	-	-	-	-	-
10.08 - Guideway: Retained Cut or Fill	39,562,072	29,328,826	32,203,679	-	32,203,679	32,203,679	42,686	(2,917,539)
10.10 - Track: Embedded	3,446,013	2,971,695	2,816,680	-	2,816,680	2,816,680	113,134	41,881
10.11 - Track: Ballasted	27,531,019	27,014,261	26,884,843	-	26,884,843	26,836,561	89,932	87,767
10.12 - Track: Special (switches, turnouts)	5,228,172	3,194,140	3,194,140	-	3,194,140	3,194,140	437,552	(437,551)
10.13 - Track: Vibration and noise dampening	1,222,512	-	-	-	-	-	-	-
10.90 - Allocated Contingency	-	3,885,042	-	-	-	-	-	3,885,042
Subtotal	\$ 158,257,856	\$ 120,866,378	\$ 119,035,980	\$ -	\$ 119,035,980	\$ 118,987,699	\$ 2,586,372	\$ (707,692)
20 Stations, Stops, Terminals, Intermodal								
20.01 - At-grade station, stop, shelter, mall, terminal, platform	\$ 26,101,514	\$ 25,074,925	\$ 26,415,525	\$ -	\$ 26,415,525	\$ 26,433,570	\$ 89,086	\$ (1,447,730)
20.06 - Automobile parking multi-story structure	52,667,917	73,566,969	73,652,809	-	73,652,809	73,652,809	906,359	(992,197)
20.90 - Allocated Contingency	-	3,401,776	-	-	-	-	174,599	3,227,178
Subtotal	\$ 78,769,430	\$ 102,043,671	\$ 100,068,334	\$ -	\$ 100,068,334	\$ 100,086,379	\$ 1,170,043	\$ 787,251
30 Support Facilities: Yards, Shops, Admin. Bldgs								
30.01 - Administration Building: Office, sales, storage, revenue counting	\$ 2,902,707	\$ 4,354,929	\$ 4,416,194	\$ -	\$ 4,416,194	\$ 4,416,194	\$ -	\$ (61,265)
30.03 - Heavy Maintenance Facility	6,779,160	9,085,283	5,538,290	-	5,538,290	5,538,290	186,847	3,360,146
30.05 - Yard and Yard Track	5,751,601	7,021,872	6,043,681	-	6,043,681	6,043,681	340,374	637,817
30.90 - Allocated Contingency	-	917,587	-	-	-	-	-	917,587
Subtotal	\$ 15,433,468	\$ 21,379,672	\$ 15,998,165	\$ -	\$ 15,998,165	\$ 15,998,166	\$ 527,221	\$ 4,854,285
40 Sitework & Special Conditions								
40.01 - Demolition, Clearing, Earthwork	\$ 11,532,031	\$ 13,940,212	\$ 17,225,982	\$ -	\$ 17,225,982	\$ 17,225,982	\$ 212,268	\$ (3,498,038)
40.02 - Site Utilities, Utility Relocation	32,870,198	90,589,977	90,288,287	3,105	90,291,391	90,291,391	1,567,586	(1,269,000)
40.03 - Haz. mat'l, contam'd soil removal/mitigation, ground water treatm	4,667,239	4,077,248	4,200,900	-	4,200,900	4,200,900	89,442	(213,094)
40.04 - Environmental mitigation, e.g. wetlands, historic/archeologic, park	1,754,418	1,751,549	1,609,677	-	1,609,677	1,609,677	-	141,872
40.05 - Site structures including retaining walls, sound walls	33,504,553	15,060,664	16,653,479	-	16,653,479	16,653,479	32,837	(1,625,652)
40.06 - Pedestrian / bike access and accommodation, landscaping	11,890,670	6,134,737	6,029,021	6,000	6,035,021	6,035,021	108,087	(8,371)
40.07 - Automobile, bus, van accessways including roads, parking lots	80,184,241	81,291,587	81,336,012	-	81,336,012	81,382,013	298,254	(388,680)
40.08 - Temporary Facilities and other indirect costs during construction	16,065,665	24,516,097	21,944,545	-	21,944,545	21,951,789	706,347	1,857,960
40.90 - Allocated Contingency	-	15,035,239	48,999	-	48,999	48,999	-	14,986,240
Subtotal	\$ 192,469,015	\$ 252,397,310	\$ 239,336,902	\$ 9,105	\$ 239,346,007	\$ 239,399,252	\$ 3,014,822	\$ 9,983,237
50 Systems								
50.01 - Train control and signals	\$ 24,789,894	\$ 22,338,422	\$ 19,789,931	\$ -	\$ 19,789,931	\$ 19,629,552	\$ 2,223,337	\$ 485,533
50.02 - Traffic signals and crossing protection	18,915,613	4,768,723	4,358,976	-	4,358,976	4,358,976	489,139	(79,392)
50.03 - Traction power supply: substations	15,460,098	12,872,472	12,548,259	-	12,548,259	12,548,259	218,351	105,862
50.04 - Traction power distribution: catenary and third rail	14,798,351	11,501,875	12,071,360	-	12,071,360	11,701,660	1,560,308	(1,760,093)
50.05 - Communications	38,385,652	28,887,079	21,544,042	-	21,544,042	20,447,011	6,870,154	1,569,914
50.06 - Fare collection system and equipment	4,873,559	5,378,653	3,289,371	24,967	3,314,338	3,314,338	1,190,717	873,597
50.07 - Central Control	697,758	915,376	862,970	-	862,970	862,970	0	52,405
50.90 - Allocated Contingency	-	7,521,725	-	-	-	-	-	7,521,725
Subtotal	\$ 117,920,925	\$ 94,184,326	\$ 74,464,910	\$ 24,967	\$ 74,489,876	\$ 72,862,765	\$ 12,552,007	\$ 8,769,551
60 ROW, Land, Existing Improvements								
60.01 - Purchase or lease of real estate	\$ 116,085,937	\$ 88,544,923	\$ 87,812,064	\$ 39,222	\$ 87,851,286	\$ 87,885,618	\$ 767,629	\$ (108,324)
60.02 - Relocation of existing households and businesses	5,337,429	4,226,840	2,299,285	-	2,299,285	2,299,285	-	1,927,555
60.90 - Allocated Contingency	-	9,174,673	-	-	-	-	-	9,174,673
Subtotal	\$ 121,423,366	\$ 101,946,437	\$ 90,111,349	\$ 39,222	\$ 90,150,571	\$ 90,184,903	\$ 767,629	\$ 10,993,904
70 Vehicles								
70.01 - Light Rail	\$ 86,903,057	\$ 89,326,165	\$ 90,340,928	\$ 8,874	\$ 90,349,802	\$ 90,356,116	\$ 160,327	\$ (1,190,279)
70.06 - Non-revenue vehicles	385,000	470,000	488,131	-	488,131	488,131	-	(18,131)
70.07 - Spare parts	8,115,243	9,637,493	8,085,072	-	8,085,072	8,085,072	343,016	1,209,405
70.90 - Allocated Contingency	-	-	-	-	-	-	-	-
Subtotal	\$ 95,403,299	\$ 99,433,658	\$ 98,914,130	\$ 8,874	\$ 98,923,004	\$ 98,929,318	\$ 503,343	\$ 995

80 Professional Services																	
8001	80.01 - Preliminary Engineering	\$	41,921,969	\$	41,721,968	\$	39,101,009	\$	-	\$	39,101,009	\$	39,101,009	\$	117,080	\$	2,503,879
8002	80.02 - Final Design		31,852,348		31,807,293		31,074,872		482		31,075,353		31,084,696		386,899		335,698
8003	80.03 - Project Management for Design and Construction		38,810,978		36,870,162		36,054,921		95,112		36,150,033		36,150,918		174,061		545,183
8004	80.04 - Construction Administration & Management		51,292,312		97,251,457		101,076,224		-		101,076,224		103,712,297		2,817,999		(9,278,840)
8006	80.06 - Legal; Permits; Review Fees by other agencies, cities, etc.		5,051,502		4,893,145		3,683,902		2,371		3,686,273		3,715,708		626,620		550,819
8007	80.07 - Surveys, Testing, Investigation, Inspection		13,579,540		23,621,294		15,018,311		7,782		15,026,093		15,048,215		176,752		8,396,327
8008	80.08 - Start up		240,696		-		-		-		-		-		-		-
8090	80.90 - Allocated Contingency		-		-		-		-		-		-		-		-
	Subtotal	\$	182,749,345	\$	236,165,319	\$	226,009,239	\$	105,746	\$	226,114,985	\$	228,812,842	\$	4,299,411	\$	3,053,066
90 Unallocated Contingency																	
9000	90.00 - Unallocated Contingency		120,191,883		24,201,819		-		-		-		-		-		24,201,819
	Subtotal	\$	120,191,883	\$	24,201,819	\$	-	\$	-	\$	-	\$	-	\$	-	\$	24,201,819
100 Finance Charges																	
1000	100.0 - Finance Charges	\$	47,847,907	\$	47,847,907	\$	15,885,228	\$	-	\$	15,885,228	\$	45,918,880	\$	-	\$	1,929,029
1009	100.9 - Allocated Contingency		29,618,000		17,618,000		-		-		-		-		-		17,618,000
	Subtotal	\$	77,465,907	\$	65,465,907	\$	15,885,228	\$	-	\$	15,885,228	\$	45,918,880	\$	-	\$	19,547,029
FFGA TOTAL		\$	1,160,084,496	\$	1,118,084,496	\$	979,824,238	\$	187,914	\$	980,012,152	\$	1,011,180,204	\$	25,420,847	\$	81,483,445
PROJECT CHANGES																	
2006B	2006B - Automobile parking multi-story structure (Non-Federal)	\$	-	\$	8,003,697	\$	8,522,917	\$	-	\$	8,522,917	\$	8,522,917	\$	204,964	\$	(724,185)
2009B	2009B JW CLAY PED Bridge Ext Contingency (Non-Federal)		-		212,505		-		-		-		-		-		212,505
2090B	2090B - SCC 20 Allocated Contingency (Non-Federal)		-		6,020		-		-		-		-		-		6,020
3001B	3001B - Administration Building: Office, sales, storage, revenue counting (Non-Federal)		-		7,775,311		8,977,270		-		8,977,270		8,977,270		728		(1,202,687)
3005B	3005B - Yard and Yard Track (Non-Federal)		-		22,717		-		-		-		-		-		22,717
3090B	3090B - SCC 30 Allocated Contingency (Non-Federal)		-		90,164		-		-		-		-		-		90,164
6001B	6001B - Purchase or lease of real estate (Non-Federal)		-		127,515		96,159		-		96,159		96,159		-		31,356
8002B	8002B - Final Design (Non-Federal)		-		794,800		314,795		-		314,795		314,795		-		480,005
8004B	8004B - Construction Administration & Management (Non-Federal)		-		1,040,440		867,162		-		867,162		870,366		(3,204)		173,278
9000B	9000B - Unallocated Contingency (Non-Federal)		-		3,926,832		-		-		-		-		-		3,926,832
	Subtotal - Project Changes (Non-Federal)	\$	-	\$	22,000,000	\$	18,778,303	\$	-	\$	18,778,303	\$	18,781,507	\$	202,488	\$	3,016,005
PROJECT SAVINGS																	
	Potential Savings of Federal Funds (Match to Project Changes)	\$	-	\$	20,000,000	\$	-	\$	-	\$	-	\$	-	\$	-	\$	20,000,000
	Subtotal - Potential Savings of Federal Funds (Match to Project Changes)	\$	-	\$	20,000,000	\$	-	\$	-	\$	-	\$	-	\$	-	\$	20,000,000
PROJECT CHANGES TOTAL		\$	-	\$	42,000,000	\$	18,778,303	\$	-	\$	18,778,303	\$	18,781,507	\$	202,488	\$	23,016,005
GRAND TOTAL		\$	1,160,084,496	\$	1,160,084,496	\$	998,602,540	\$	187,914	\$	998,790,454	\$	1,029,961,711	\$	25,623,335	\$	104,499,450

Budget Summary includes scopes of work not funded by FTA indicated above as "Non-Federal"; Potential Savings of Federal Funds: CATS will identify additional local funds to match federal funds if needed.

LEGEND

FFGA Grant Budget: Year of Expenditure Dollars approved in FFGA project budget

Appropriated Funds: Authorization to spend monies for the activity or activities covered by the appropriation and up to its amounts

Previously Spent to Date: Expenses associated with the project that were incurred prior to the current month expenses

Current Month Expenses: Expenses associated with the project that were incurred in the month of reporting

Total Expenses To Date: Expenses associated with the project that were incurred in the month of reporting plus prior periods

Total Cost (Accrual): Includes all expenditures paid, received invoices yet to be paid and any work completed/actual cost to the project that have not yet been invoiced

Encumbrance: A contingent liability related to unfilled contracts or purchase order for goods or services that is chargeable to the project (reservation of fund balance)

Unobligated Balance: Funds available for use, uncommitted; (appropriated funds) - (total expenses to date + contract encumbrances)

2.0 Cost Summary / Contingency

The current Estimate to Complete and Estimate at Completion for the BLE project are shown below.

COST SUMMARY (as of September 30, 2019)					
SCC	DESCRIPTION	FFGA AMOUNT	EXPENDITURE TO DATE ¹	ESTIMATE TO COMPLETE	ESTIMATE AT COMPLETION ²
10	GUIDEWAY & TRACK ELEMENTS (9.33 miles)	\$ 158,257,856	\$ 118,987,699	\$ 12,235,846	\$ 131,223,545
20	STATIONS, STOPS, TERMINALS, INTERMODAL (11)	\$ 78,769,430	\$ 100,086,379	\$ (62,240)	\$ 100,024,139
30	SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	\$ 15,433,468	\$ 15,998,166	\$ 3,464,977	\$ 19,463,142
40	SITework & SPECIAL CONDITIONS	\$ 192,469,015	\$ 239,399,252	\$ 15,797,673	\$ 255,196,925
45	SYSTEMS	\$ 117,920,925	\$ 72,862,765	\$ 30,154,101	\$ 103,016,866
60	ROW, LAND, EXISTING IMPROVEMENTS	\$ 121,423,366	\$ 90,184,903	\$ 2,704,290	\$ 92,889,193
70	VEHICLES (22)	\$ 95,403,299	\$ 98,929,318	\$ (111,754)	\$ 98,817,564
80	PROFESSIONAL SERVICES	\$ 182,749,345	\$ 228,812,842	\$ 20,013,810	\$ 248,826,652
90	UNALLOCATED CONTINGENCY	\$ 120,191,883			
100	FINANCE CHARGES	\$ 77,465,907	\$ 45,918,880	\$ 14,255,370	\$ 60,174,250
NF	PROJECT CHANGES (NON-FEDERAL) ³	\$ -	\$ 18,781,507	\$ 3,218,493	\$ 22,000,000
10 - 100	TOTAL	\$ 1,160,084,496	\$ 1,029,961,711	\$ 101,670,566	\$ 1,131,632,277
	POTENTIAL UNEXPENDED FUNDS				\$ 6,452,220
	POTENTIAL SAVINGS OF FEDERAL FUNDS (MATCH TO PROJ. CHANGES)				\$ 22,000,000
					\$ 28,452,220

1: Expenditure to Date includes accrued expenditures as of September 30, 2019.
2: Estimate at Completion includes Current Expenditures, Encumbrances (excluding Contingency), and Forecasted Changes (Approved, Pending and Potential) as of 10/1/19; and Estimated Claims as of 10/1/19.
3: EAC for Finance Charges based on Finance Charges Summary (July 31, 2018).

Contingency Status

As part of the BLE Risk and Contingency Management Plan (Rev. 0) for Entry into Final Design, Cost and Schedule contingency drawdown schedules were developed with the planned contingency draw down and minimum contingency values for project milestones. The contingency drawdown schedule tracked contingency levels from Milestone 1-Entry into Final Design to Milestone 11-Target Revenue Service Date. At the RSD (3/16/18), estimated contingency was \$61.3 million.

On the Project Contingency Summary table, the Current Cost Estimate and Contingency Levels (columns A and B) reflect actual bids and use of contingency for change orders and contract amendments. The Estimated Remaining Contingency (column H) also reflects spending and approved changes (columns C and D) by the Change Control Board which have not yet been incorporated into the Project Budget in e-Builder. Final settlement values on all parcels have been determined and CATS estimates that no contingency use will be required for Real Estate (column E).

In addition, FTA requested that CATS show in the contingency report the use of unallocated contingency for the non-federal Project Changes (\$22 million), as well as the potential savings in federal funds (\$22 million). Therefore, those line items have been added to the contingency chart, along with a note clarifying that the potential savings is at completion of the project, and CATS would identify additional local funds to match the federal funds if needed.

There were no budget changes approved by the CCB last quarter.

Current estimated total contingency changed from \$40.8 million last month to \$40.5 million currently. Contingency use and remaining contingency are shown in the tables on the following page.

PROJECT CONTINGENCY SUMMARY BY SCC CATEGORY
As of 10/31/19

SCC	Description	YOE Cost w/o Contingency	Contingency	A	B	C	D	E	F = A+C+D+E	G = B-C-D-E
				YOE Cost w/o Contingency	Contingency	Approved Budget Changes ³	Pending Budget Changes ³	Real Estate Cost Changes ⁴	YOE Cost w/o Contingency	Estimated
				FFGA ¹	FFGA ¹	Current Cost Estimate ²	Current Cost Estimate ²	not included in Current cost estimate	not included in Current cost estimate	not included in Current cost estimate
10	GUIDEWAY & TRACK ELEMENTS (9.33 miles)	\$ 144,737,018	\$ 13,520,838	\$ 118,576,907	\$ 2,199,019				\$ 118,576,907	\$ 2,199,019
20	STATIONS, STOPS, TERMINALS, INTERMODAL (11)	\$ 69,526,837	\$ 9,242,593	\$ 100,024,139	\$ 683,002				\$ 100,024,139	\$ 683,002
30	SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	\$ 13,647,743	\$ 1,785,725	\$ 19,446,092	\$ 743,728	\$ 17,050			\$ 19,463,142	\$ 726,678
40	SITework & SPECIAL CONDITIONS	\$ 168,640,009	\$ 23,829,006	\$ 247,795,221	\$ 6,578,805		\$ 670,000		\$ 248,465,221	\$ 5,908,805
50	SYSTEMS	\$ 106,804,052	\$ 11,116,872	\$ 90,229,719	\$ 975,898	\$ 35,500	\$ 20,000		\$ 90,285,219	\$ 920,398
60	ROW, LAND, EXISTING IMPROVEMENTS	\$ 97,138,693	\$ 24,284,673	\$ 92,889,193	\$ 4,974,673				\$ 92,889,193	\$ 4,974,673
70	VEHICLES (22)	\$ 86,730,272	\$ 8,673,027	\$ 98,817,564	\$ 616,094				\$ 98,817,564	\$ 616,094
80	PROFESSIONAL SERVICES	\$ 171,046,808	\$ 11,702,537	\$ 246,326,652	\$ -		\$ 500,000		\$ 246,826,652	\$ (500,000)
90	UNALLOCATED CONTINGENCY		\$ 120,191,883	\$ -	\$ 41,741,883	\$ (22,000,000)			\$ 19,741,883	\$ 19,741,883
100	FINANCE CHARGES	\$ 77,465,907	\$ -	\$ 53,081,750	\$ 12,384,157		\$ 7,092,500		\$ 60,174,250	\$ 5,291,657
NF	PROJECT CHANGES (NON-FEDERAL) ⁵			\$ 22,000,000					\$ 22,000,000	
	POTENTIAL SAVINGS OF FEDERAL FUNDS (MATCH TO PROJ. CHANGES) ⁶					\$ 22,000,000			\$ 22,000,000	
10 - 100	TOTAL	\$ 935,737,340	\$ 224,347,156	\$ 1,089,187,237	\$ 70,897,260	\$ 52,550	\$ 8,282,500	\$ -	\$ 1,119,522,287	\$ 40,562,210
Notes:	All costs in Year-of-Expenditure (YOE) Dollars			\$ 1,160,084,496	\$ 1,160,084,497					\$ 1,160,084,497
	1: FFGA Values established by the 65% Cost Estimate Revision 5									
	2: e-Builder Current Budget as of 11-1-19; incorporates Actual Bids and Change Orders									
	3: Approved and Pending Cost Changes not included in estimate; See Cost Changes Tracking Summary 11-1-19									
	4: All parcels with final value									
	5: Non-Federal Amount includes some allocated contingency									
	6: Potential savings at completion of BLE project; CATS will identify additional local funds to match federal funds if needed									

3.0 Litigation / Claims

There are two condemnation cases that remain open. In the first case, City v. University Bank Properties (Parcel 3199), the City received an opinion from the NC Court of Appeals that effectively sets the existing deposit (\$570,425.00) as the final amount for just compensation to the property owner. The City decided to file an appeal to the North Carolina Supreme Court based upon the legal precedent that could be set if the decision stands, and the Supreme Court has recently decided to hear the appeal on October 1, 2019. The second case, City v. Couchell (Parcel 2115), has been settled and the parties are preparing the documents to file with the court.

On 4/18/19, the City received a construction claim from Balfour Beatty Rail (Track & Systems Contractor) for delay costs, additional scope and design costs. The Contractor has requested a good faith meeting per the contract. The City and BBR held an Executive Partnering Meetings on 11/8/19 and 11/19/19.

On 6/20/19, the City received a claim from Balfour Beatty-Blythe Development, Joint Venture on the Civil A contract. We are currently evaluating the claim. A good faith meeting was held 11/4/19. A resolution was not reached, and a mediation is scheduled on 12/16/19.

4.0 Contract Closeout Status

Following is the status of the contract closeout process for BLE construction contracts.

Updated on 12/9/19	Horizontal Contracts Closeout Tracker					Vertical Contracts Closeout Tracker				
Process	CIV-A	CIV-BC	TRK_SYS	STA	OCR	JWC	UCB	SCK	NYB	SBLRF09A
Notice to Proceed	1	1	1	1	1	1	1	1	1	1
Final Progress Payment	0	1	0	1	1	1	1	1	1	1
Final Labor Summary	0	1	0	1	1	1	1	1	1	1
Affidavit of Final Payment	0	1	0	1	1	1	1	1	1	1
Change Notices/Change Orders/Final Changes	0	1	0	0	1	1	1	1	1	1
Claims, Final Claims, and Potential Claims Log	0	1	0	1	1	1	1	1	1	1
Liquidated Damages	0	1	0	1	1	1	1	1	1	1
Final Safety and Security Audit	1	1	0	1	1	1	1	1	1	1
Final Quantities, Allowances	0	1	0	1	1	1	1	1	1	1
RE Test Register	1	1	0	1	1	1	1	1	1	1
Substantial Completion Cert	0	1	0	1	1	1	1	1	1	1
Final Punch List(w/ Signoffs	0	1	0	1	1	1	1	1	1	1
Sign-offs by County	1	1	0	1	1	1	1	1	1	1
Security Keys / Badges Returned	1	1	0	1	1	1	1	1	1	1
Operations and Maintenance Manuals Logs	1	1	0	1	1	1	1	1	1	1
Warranty and Guaranty Register	0	1	0	1	1	1	1	1	1	1
List of Spare Parts	1	1	0	1	1	1	1	1	1	1
Project Record Documents Acceptance, As-Builts, Record Drawings	0	1	0	0	1	1	1	1	1	1
Contract File Index	1	1	1	1	1	1	1	1	1	1
List of Subcontractors	0	1	0	1	1	1	1	1	1	1
Contract Closeout Book	0	1	0	0	1	1	1	1	1	1
CILS-DCCCs	1	1	0	1	1	1	1	1	1	1
ADA	1	1	0	1	1	1	1	1	1	1
Final Buy America Certification	0	1	0	1	1	1	1	1	1	1
State-County Sales--Use Tax Statement	0	1	0	1	1	1	1	1	1	1
Consent of Surety	0	1	0	1	1	1	1	1	1	1
Items Complete (Contractor submittals)	10	26	2	23	26	26	26	26	26	26
Total Items (Contractor submittals)	26	26	26	26	26	26	26	26	26	26
% Complete	38%	100%	8%	88%	100%	100%	100%	100%	100%	100%
Contractor's Items Complete /Estimated Date (Actual)	Jan-20	Nov-19 (A)	Aug-20	Dec-19	Oct-18 (A)	Dec-18 (A)	Dec-18 (A)	Jan-19 (A)	Nov-19 (A)	Jan-19 (A)
DBE/Davis-Bacon Compliance Review		Open		Closed	Closed	Closed	Closed	Open	Open	Closed
CATS Review/Acceptance					Aug-18					
Financial Reconciliation										

5.0 Schedule Status

Schedule BL 132 is the update of the Master Schedule for the BLE project with a data date of October 31, 2019.

BLE MILESTONE SCHEDULE DATES

	BL 132Start	Variance BL 131 Start	BL 132 Finish	Variance BL 131 Finish
Advertise Bid & Award Phase	2/7/13 (A)	0	12/12/16 (A)	0
Construction Phase - LRT Elements	1/28/14 (A)	0	8/26/20	-46
Construction Phase – Roadway	1/28/14 (A)	0	1/31/20	-62
Vehicle Delivery (22 Vehicles)	10/24/14 (A)	0	8/17/17 (A)	0
Systems Integration Testing (Required for ICT #9)	5/31/17 (A)	0	12/27/19	
T&S Acceptance Tests (RAT/SRAT)	1/2/20	-36	4/14/20	-36
CATS Pre-Revenue Service	1/15/18 (A)	0	3/15/18 (A)	0
Target Revenue Service Date	3/16/18 (A)	0	3/16/18 (A)	0
FFGA Revenue Service Date	3/31/18 (A)	0	3/31/18 (A)	0

1. Civil-A

The final punch list walk through was held on July 30, 2019. There are currently 9 remaining punch list items. Final completion is expected by the end of January 2020.

2. Civil B/C

The final punch list item for Civil B/C was closed on September 4, 2019. Contractor closeout book was completed and turned over to CATS on 10/22/19.

3. Track and Systems

The Master Schedule update has been modified to reflect garage communications activities linked to Contract Completion rather than ICT #9. In the Master Schedule, the critical path to ICT #9 and the start of Revenue Acceptance Testing (RAT) is driven by the Contractor’s resubmittal of submittals #3765 (BLE_Systems Acceptance Test - Access Control) and #4274 (BLE Communications SCADA IO Points List) which have not been provided. The Master Schedule update assumes that these submittals will be received by 12/6/19 and approved by 12/27/19.

Following the forecasted start of RAT on 1/2/2010 and the review of the RAT test results, the Systems Reliability Acceptance Testing (SRAT) would begin on 2/15/20. The near critical path to the start of SRAT is driven by incomplete prerequisite submittals. As of 11/27/19, there were 21 outstanding submittals required to start SRAT. Major outstanding SRAT submittals include but are not limited to the following:

1. Two were related to Train Control analysis and test reports
2. Four were related to CCTV design or testing
3. Four were related to the Overhead Display system and testing
4. Two were related to SCADA testing

As of 11/27/19, 9 of the 21 remaining SRAT submittals are under review. It is anticipated that the review for all of these will be complete by 12/6/19 and assumed that the remaining 12 SRAT submittals will not be received until 1/10/20.

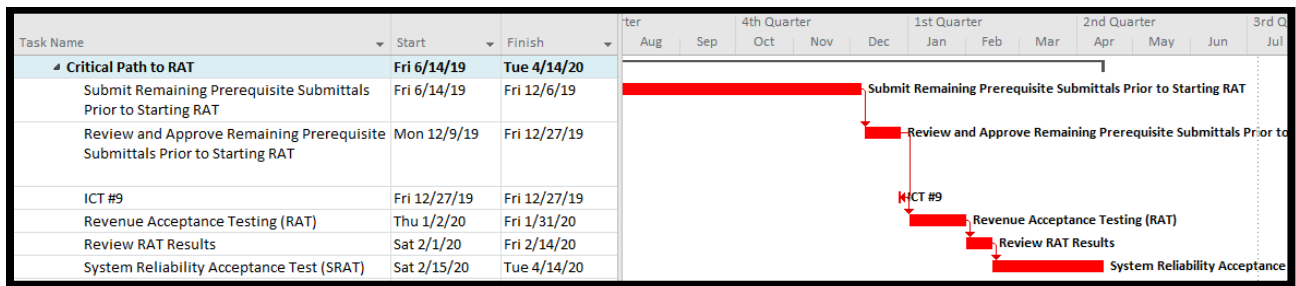
On 10/18/19, the open items list had 143 items. As of 11/22/19, the open items list had decreased to 87 items. Of the 56 items closed, 19 were related to signals and 37 were related to communications. To date, formal walks have been performed on the OCS mainline and yard, TPSS 12-18, TPSS 20, passenger stations, garages, North Tryon Underpass, UNCC comfort station, and the ROCC/NOC. Remaining formal walks to be performed include the OCS NYB S&I, Signal Houses and Crossings, North Yard Building, the CCH and Old Concord Road Park and Ride. The scheduling of formal walks is contingent on acceptable as-built redline submittals needed for field verification during the walks. Submittal of the initial redline as-builts is pending resolution of open items.

Critical Path

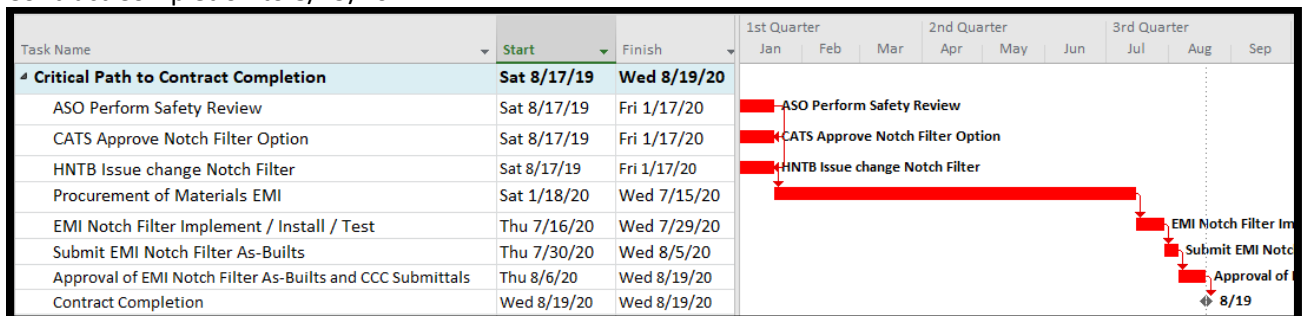
The critical path to the resolution of the highway grade crossing EGM and Hold Clear impacts is through the relay installation. Junction box rewiring is complete, and materials were received for the relay installation. Relay installation changes started on 10/1/19 as planned and were completed on 10/20/19. This work will need to be completed prior to contract completion.

Task Name	Start	Finish	4th Quarter				1st Quarter			
			Sep	Oct	Nov	Dec	Jan	Feb	Mar	
Critical Path for Highway Grade Crossings	Mon 7/29/19	Tue 4/7/20								
J Box Wiring Updates	Thu 8/22/19	Sat 9/14/19								
Relay Material Procurement	Fri 9/27/19	Sun 10/6/19								
Relay Install Changes	Mon 10/7/19	Sun 10/20/19								
Relay Monitoring	Tue 10/22/19	Fri 11/1/19								
Worn Parts Assessment	Thu 11/7/19	Thu 12/5/19								
Procure/Install Replacement Hardware	Fri 12/6/19	Wed 1/22/20								

The critical path to the start of RAT and SRAT is through failover testing and reporting.



The critical path to Contract Completion is through the resolution of EMI. Alstom has not yet completed their safety review. For the purposes of this report it is assumed that the safety review will not be complete until 1/17/20 which accounts for a week lost over the holidays. This lack of progress will push the projected Contract Completion to 8/19/20



4. Station Finishes

The Station Finishes Contractor completed all punchlist items and warranty work 6/17/19. Draft AutoCAD format as-built drawings were submitted on 10/9/19 and review was completed on 11/12/19. The final AutoCAD drawings are forecast to be submitted, reviewed and approved by 12/31/19.

5. Vertical Contracts

The SBLRF Upfit (Contract 9B) contractor is submitting warranties and as-builts. All work was substantially complete as of 8/6/18. The Contractor submitted their testing and balance report and it has been reviewed. Comments were provided to the contractor on 9/23/19, indicating that one item was incomplete, installation of automatic flow control valve. The forecasted final completion is 12/16/19.

6. Fare Collection

The completion of the Fare Collection includes the installation and testing of Validators in each LRV. Prerequisites to the testing are the Change Configuration board meeting, a pilot program and notifications to both the UNCC students and the general riding public, and the procurement of the remaining stanchions which the validators are attached to in the design. These will need to be completed before full deployment of validators can occur. Final completion is expected on or before 3/14/20.

BLE Contract Schedule Dates

	Substantial Completion	Final Completion
02A: Civil - Segment A	5/28/19 (A) [^]	1/31/20
03: Civil - Segments B and C	11/9/18 (A)	9/4/19 (A)
05: Track and Systems	12/27/19 (ICT #9)	8/19/20
06: Station Finishes	3/12/18 (A)	12/31/19
08A: JW Clay Parking Garage	8/10/17 (A)	11/15/18 (A)
08B: UCB Parking Garage	7/21/17 (A)	11/6/18 (A)
09B: SBLRF Upfit	8/6/18 (A)	12/16/19
11: Fare Collection	12/30/19	3/14/20
12: North Yard Operations Building	10/6/17 (A)	8/2/19 (A)
16: Sugar Creek Parking Garage	1/12/18 (A)	9/7/18 (A)

[^] Reflects the completion of the FCN-210 10x12 box culvert end wall activities.

6.0 Risks

CATS has developed a Risk and Contingency Management Plan that describes the procedures CATS will use to manage risks to the Project budget and schedule. An update to the RCMP (Rev. 3) was issued in September 2017. An updated risk register was issued on 2/12/18 (Rev. 15). Four (4) risks were recommended to be retired. An updated risk register was issued on 5/18/18 (Rev. 16). Six (6) additional risks were recommended to be retired. The top risks were also updated (see below). Since revenue service was achieved on 3/16/18, the schedule risks now relate to contract completion/closeout.

PROJECT RISK REGISTER - TOP RISKS								Legend	Low (1)	Med (2)	High (3)	Very High (4)	Significant (5)	
REV: 94								Probability	< 10%	10><25%	25><50%	50% ><75%	>75%	
DATE ISSUED 12/6/2019								Cost	< \$250K	\$250K-<\$1M	\$1M-<\$3M	\$3M-<\$10M	>\$10M	
								Schedule	< 1 Mths	1 ><3 Mths	3><6 Mths	6><12 Mths	> 12 Mths	
								Rating	< =6	6.1-18.9	> =19			
Risk ID	SCC Code	Risk Description	Owner	Prob Rating (p)	Cost Impact (c)	Schedule (s)	Risk Rating (p)X(c+s)	Monthly status report						
1	C-50	10.00-50.00	Balfour Beatty construction issues. Track and Systems not meeting schedule productivity and contract completion may be delayed.	Brim	4	4	4	32	On 7/17/2014, CATS reported to FTA it was experiencing issues with Balfour Beatty related to Streetcar and BLE contracts. FTA requested that Balfour Beatty be added to the risk register. The Track and Systems schedule has been impacted due to the number of remaining submittals, the number of review cycles due to quality of submittals, the stacking of remaining activities, and the time for testing. On 8/8/17, CATS sent a letter to BBR's Surety Company and a meeting was held on 8/28/17. A second meeting with the Surety was held 12/21/17. On 4/18/19, BBR submitted a claim for changes, extended time and inefficiencies. Executive Partnering meetings were held on 11/8/19 and 11/19/19 to discuss the path to completion. In the latest schedule update BL132, the projected ICT#9 date is 12/27/19. The critical path to contract completion remains the EMI work, with a projected finish date of 8/19/20. As of 11/22/19, there were 87 open items; a decrease of 56 items since last month.					
2	C-20	10.40	Construction of the NS Line Relocation and 36th Street grade separation takes longer than planned.	Nichols	4	3	2	20	This risk was mitigated by a revision to the construction schedule that changes the relationship between the NS freight track relocation and light rail construction. The new construction sequence revised the schedule logic by allowing the LRV track bed to be installed prior to completion of the freight track relocation. The work was further delayed for a variety of construction issues. The contractor re-opened 36th Street on 10/25/18. Civil A is currently expected to complete all open punchlist items by the end of November 2019. On 6/20/19, the contractor submitted a claim for changes, extended time, and other costs. A good faith meeting was held on 10/29/19. The claim was not resolved, and mediation is scheduled for 12/16/19.					
3	C-68	50.00	Delays and quality issues with Communication submittals may cause schedule delays and increase costs.	Mock	4	2	2	16	Weekly communications submittal meeting are being held. Communications submittals continue to be an area of concern, with the focus being on test results. All systems are not fully tested and fully functional. CATS has developed mitigations plan for safety critical open items. CATS/HNTB proactively completed testing of the PA system, which was successful and has mitigated the contractor's schedule. CATS is currently progressing a similar course of action for other communications systems such as CCTV.					
4	C-74	10.00-50.00	Outstanding quality issues with Track and Systems items may delay contract completion.	Mock	3	3	2	15	There are several outstanding quality issues that need to be resolved by the Track and Systems contractor, including track movement, EGM (gate mechanism), GVM (Ground Volt Monitor), and Public Address System. To assist the contractor in resolving these quality issues, the CM team is working with the contractor and their vendors to bring these issues to completion. This involves CATS, the CMC and the Designer troubleshooting these elements with support from the contractor team. The team has made progress related to EGMs (Highway Grade Crossing Warning System) and Public Address. During the October maintenance shutdown, RJ Corman completed work to remediate the Toby Creek track movement issue. The Track and Systems contractor has made significant progress on corrective work for the gate crossing mechanisms, and this work was completed in October. Worn parts assessed is complete, and procurement of replacement parts is underway. On the EMI issue, the contractor continues to work on the notch filter solution.					
5	S-1	50.00	System integration and testing issues may increase project costs and impact schedule. (BBR)	Mock	3	2	2	12	The contractor's SIT Plan, submitted 10/20/17, has been approved. The contractor began SIT on 12/3/17. CATS has developed mitigations for any safety critical outstanding items, which has been approved by the SSRC. As of 12/1/19, per the S&S checklist, 98% of SIT testing is complete.					
6	C-45	40.00	New design criteria/requirements (ex. ADA compliance) may require design changes / re-construction.	Thorne Nichols	3	1	2	9	Changes identified during final ADA and safety inspections have been the biggest issues to work through before contract completion (Station Finishes, Civil B/C). These items have been resolved. The ADA compliance review for Fare Collection has identified some items to be corrected.					
7	D-25	80.00	There is a risk that the totals for Insurance (SCC 80.05), Legal Permits; review fees by others (SCC 80.06) and Start-Up (SCC 80.08) are inadequate.	Goforth	3	3	0	9	Due to schedule extensions for Civil A, Track and Systems, OCIP insurance coverages need to be extended. Additional review fees, flagging and engineering services are needed for CSX related to Civil A box culvert construction delays. On 8/1/18, CSX requested an increase of \$83,000. On 7/23/18, Norfolk Southern requested an increase of \$500,000 for additional flagging and engineering services. An additional \$100,000 was requested in November. OCIP coverages were extended through August 2019. The contractors have been notified that any remaining work will be covered by the contractor's liability insurance.					
8	C-72	50.00	Contractor not appropriately closing out CILs and providing as-builts and test reports for CCCs could delay the final S&S Certification of the BLE.	Mock	2	2	2	8	Interim certification for revenue service was signed on 3/8/18. Another interim certificate for revenue service was issued on 6/1/18, a third interim certificate was issued 8/30/18, and a 4th interim certification was issued on 12/20/18. Another Interim certificate was issued on 6/21/19, with an expiration date of 12/31/19. CATS is currently assessing whether final certification could be achieved by 12/31/19.					
9	C-67	50.00	Development of Firewall rulesets may delay software migration.	Mock	2	3	2	10	The contractor has asserted that there are issues related to the development of the rulesets for firewall necessary for the BLE, BLE and City Enterprise system. CATS brought additional resources to provide the contractor with support to overcome these issues. Train control system has been migrated. Testing ongoing. Contractor has submitted a claim for the firewall.					

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7.0 Safety and Security Checklist

The Interim Revenue Service Safety & Security Certification Certificates was re-issued 6/21/19, with an expiration date of 12/31/19. Following is the schedule for submission of key deliverables by K&J Consulting Services, Inc. Changes from the previous month are **highlighted**.

#	November 2019	LYNX BLE SSC Tasks and Status		
	SSC Tasks Accomplished / Underway	%	Completion Dates	Comments
1.	Safety and Security Management Plan (SSMP) CLOSED	100%	10/02/2017	
2.	Safety and Security Certification Plan (SSCP) CLOSED	100%	10/02/2017	
3.	Threat and Vulnerability Assessment (TVA) CLOSED	100%	01/25/2017	
4.	Preliminary Hazard Analysis (PHAs) CLOSED	100%	01/31/2018	
5.	Certifiable Elements & Sub-elements (CEL / CIL) CLOSED	100%	12/12/2014	
6.	Design Criteria Manual (DC) CLOSED	100%	03/17/2011	
7.	Safety and Security Design Reviews (DR) CLOSED	100%	02/21/2015	
8.	LRV Design / Testing / Final Certification CLOSED	100%	01/30/2018	
9.	Safety and Security Design Criteria Conformance Checklists (DCCC's) CLOSED	100%	02/25/2016	
10.	Safety and Security Construction Conformance Checklists (CCC's)			
	Checklist Development	100%	05/15/2016	
	Checklist Verifications:			
	- Contract 1C, Advanced Utility Segment C	100%	04/15/2016	
	- Contract 1A, Advanced Utility Segment A	100%	04/15/2016	
	- Contract 1B, Advanced Utility Segment B	100%	05/15/2016	
	- Contract 2A, Civil and Roadway Segment A			
	• 7 th to 9 th Street	100%	08/29/2017	
	• 9 th Street to North Yard	100%	08/30/2017	
	• North Yard to Old Concord Road	100%	05/22/2017	
	- Contract 3, Civil and Roadway Segment B/C	100%	05/22/2017	
	- Contract 5, Track, Systems, TP, OCS, Signals and Communications, LRV Tracks	99%	2019	4 Open Items
	- Contract 6, Station Finishes	100%	10/19/2017	
	- Contract 7A, Old Concord Park and Ride	100%	05/04/2017	
	- Contract 8A JWC Parking Garage	100%	06/22/2017	
	- Contract 8B UCB Parking Garage	100%	01/30/2017	
	- Contract 9, Upfit Existing VMF			
	• Contract 9A, SBLRF ROCC Upfit (Phase I)	100%	12/08/2016	
	• Contract 9B, SBLRF Upfit (Phase II)	100%	08/08/2017	
	• Contract 9B1, SBLRF Upfit (Phase III & IV)	100%	05/29/2018	
	- Contract 11, Fare Collections	100%	03/06/2018	
	- Contract 12, North Yard Operations Building	100%	06/14/2017	
	- Contract 14 Landscape			
	• Contract 14A, Landscape Segment A	100%	06/20/2017	
	• Contract 14B, Landscape Segment B	100%	06/20/2017	
	• Contract 14C, Landscape Segment C	100%	06/20/2017	
	• Contract 14D, Landscape JWCB & UCB Parking Garages	100%	06/20/2017	
	• Contract 14E, Landscape Stations	100%	06/20/2017	
	• Contract 14F, Landscape Old Concord Road Park & Ride	100%	06/20/2017	
	• Contract 14G, Landscape NYOB	100%	06/20/2017	
	• Contract 14H, Landscape Sugar Creek Parking Garage	100%	06/20/2017	

#	November 2019	LYNX BLE SSC Tasks and Status		
	SSC Tasks Accomplished / Underway	%	Completion Dates	Comments
	- Contract 16, Sugar Creek Parking Garage	100%	11/13/2017	
11.	Safety and Security Specification Conformance Checklists (SPCC's) CLOSED	100%	1/23/2017	
12.	Safety and Security Specification Conformance Checklists (SPCC's)			
	Checklist Verifications:			
	- Contract 1C, Advanced Utility Segment C	100%	04/15/2016	
	- Contract 1A, Advanced Utility Segment A	100%	04/15/2016	
	- Contract 1B, Advanced Utility Segment B	100%	05/15/2016	
	- Contract 2, Civil and Roadway Segment A			
	• 7 th to 9 th Street	100%	08/29/2017	
	• 9 th Street to North Yard	100%	08/28/2017	
	• North Yard to Old Concord Road	100%	08/29/2017	
	- Contract 3, Civil and Roadway Segment B/C	100%	08/29/2017	
	- Contract 5, Track, Systems, TP, OCS, Signals and Communications, LRV Tracks			
	• 7 th to 9 th Street	100%	05/16/2016	
	• 9 th Street to North Yard	100%	10/23/2017	
	• North Yard to UNCC	98%	2019	NO CHANGE 2 Open Items
	- Contract 6, Station Finishes	100%	2/12/2018	
	- Contract 7A, Old Concord Park and Ride	100%	04/19/2017	
	- Contract 8A, JW Clay Blvd Parking Garage	100%	07/21/2017	
	- Contract 8B, UC Blvd Parking Garage	100%	07/21/2017	
	- Contract 9, Upfit Existing VMF			
	• Contract 9A, SBLRF ROCC Upfit (Phase I)	100%	12/08/2016	
	• Contract 9B, SBLRF Upfit (Phase II)	100%	09/14/2017	
	• Contract 9B1, SBLRF Upfit (Phase III & IV)	80%	March 2018	
	- Contract 11, Fare Collections	96%	2019	NO CHANGE 1 Open Item
	- Contract 12, North Yard Operations Building	100%	08/08/2017	
	- Contract 14, Landscape			
	• 14A, Landscape Segment A	100%	04/17/2017	
	• 14B, Landscape Segment B	100%	03/13/2017	
	• 14C, Landscape Segment C	100%	03/13/2017	
	• 14D, Landscape JWCB & UCB Parking Garages	100%	04/17/2017	
	• 14E, Landscape Stations	100%	04/17/2017	
	• 14F, Landscape Old Concord Road Park & Ride	100%	03/13/2017	
	• 14G, Landscape NYOB	100%	04/17/2017	
	• 14H, Landscape Sugar Creek Parking Garage	100%	04/17/2017	
	- Contract 16, Sugar Creek Parking Garage	100%	01/10/2018	
13.	Systems Integration Testing Conformance Checklists			
	Integration Testing Conformance Checklists Development	100%	12/13/2017	
	Integration Testing Conformance Checklists Verification	98%	2019	8 Open Items
14.	Operational Verification Efforts			
	Pre-Revenue Service Testing Verification	100%	03/08/2018	
	Plans Rules and Procedures Verification	100%	03/06/2018	
	Training Requirements Verification	100%	1/10/19	Signals – Complete TPSS – Complete OCS – Complete Comms – Complete
	Organizational Changes Verification	100%	03/08/2018	
	Emergency Exercises Verification	100%	01/21/2018	

#	November 2019	LYNX BLE SSC Tasks and Status		
	SSC Tasks Accomplished / Underway	%	Completion Dates	Comments
	Final S&S ROW and Stations Operational Inspections	100%	03/01/2018	
15.	Final Certification Efforts			
	Contract and Element Certificates	100%	03/08/2018	
	Project Certificate	100%	03/08/2018	
	Draft - Safety and Security Certification Verification Report (SSCVR)	100%	02/13/2018	
	Final - Safety and Security Certification Verification Report (SSCVR)	90%	December 2019	

8.0 Environmental Mitigation Monitoring Plan Status Report

See the attached report.

**RECORD OF DECISION
MITIGATION COMMITMENTS AND MONITORING PLAN
STATUS REPORT – December 2019 (Open Items Only)**

Mitigation ID Number	Mitigation Measure	Implementation and Monitoring	Responsible Party	Timing	Status
1	<u>Traffic</u>			COMPLETE	
2	<u>Land Use</u>			COMPLETE	
3	<u>Neighborhoods</u>			COMPLETE	
4A	<u>Community Facilities</u>			COMPLETE	
4B	<u>Community Facilities</u>			COMPLETE	
5	<u>Environmental Justice</u>			COMPLETE	
6A	<u>Visual And Aesthetic</u>			COMPLETE	
6B	<u>Visual And Aesthetic</u>			COMPLETE	
6C	<u>Visual And Aesthetic</u>			COMPLETE	
7	<u>Parklands</u>			COMPLETE	
8	<u>Forests</u> Trees and landscaping will replace vegetation loss. Park-and ride lots will comply with Charlotte Tree Ordinance, which requires 8 percent coverage.	Include in design plans and specifications.	CATS	Final Design & Construction	The provision to comply with the Charlotte Tree Ordinance is included in the Final design plans. Three landscaping contracts were awarded in September 2016, and five were awarded in December 2016. Landscaping at UCB and JWC parking garages, OCR park-and-ride, Station Finishes, and Civil B/C is complete. Completion of landscaping for Civil A is dependent on fall planting season to repair damage from contractors at 36 th Street. Sugar Creek is dependent on NCDOT construction at Sugar Creek Rd and appropriate planting season.
9A	<u>Threatened and Endangered Species</u>			COMPLETE	
9B	<u>Wildlife</u>			COMPLETE	
10	<u>Groundwater</u>			COMPLETE	
11	<u>Surface waters</u>			COMPLETE	See item #27 related to construction.
12	<u>Floodplains and floodways</u>			COMPLETE	
13	<u>Wetlands</u>			COMPLETE	
14	<u>Air Quality</u>			COMPLETE	
15	<u>Noise and Vibration</u>			COMPLETE	
16	<u>Hazardous and Contaminated Materials</u>			COMPLETE	
17	<u>Safety and Security</u> Design review by CATS Safety and Security/CMPD, NCDOT Safety Oversight, and Charlotte Department of Transportation to ensure design meets safety and security requirements. Continued public outreach regarding railroad safety.	Ensure design review and safety and security certification of project design and construction. Continue railroad safety public	CATS	Final Design & Construction	The Preliminary Hazard Analysis (PHAs) and Threat and Vulnerability Assessment (TVAs) have been completed and approved by the Safety and Security Review Committee. The Design Criteria Conformance Checklists have also been completed. <u>As of 11/30/19, all Construction Conformance Checklists (CCC's) are complete, except for: Track and Systems – 99% complete. The SIT checklist is 98% complete. The interim certificate for revenue service was re-issued on 6/21/19 and expires 12/31/2019.</u>

Mitigation ID Number	Mitigation Measure	Implementation and Monitoring	Responsible Party	Timing	Status
		outreach program.			The Interim Certificate for Revenue Service was signed on 3/8/18. Revenue Service began on 3/16/18. The Interim Revenue Service Safety & Security Certification Certificates was re-issued 12/20/2018, with an expiration date of 6/30/2019.
18	<u>Acquisitions and Displacements</u> Uniform Relocation Assistance and Real Property Acquisition Policies Act will be followed.	Comply with the Uniform Relocation Assistance and Real Property Acquisition Policies Act.	CATS & City Real Estate Division	ROW, Final Design & Construction	CATS & City Real Estate follow the Uniform Relocation Assistance and Real Property Acquisition Policy Act for all ROW negotiations, as described in the Real Estate Acquisition Management Plan (RAMP). All 339 parcels have been acquired. <u>As of December 1, 2019, 116 of 117 condemnations have been settled and closed.</u> Relocation claims have been completed for all 21 businesses relocated.
19	<u>Construction (Utility)</u> <ul style="list-style-type: none"> Coordinate with utility owners to ensure maintenance of utility services and timely relocation Relocate, remove and protect existing utilities. 	Coordinate with utility owners and monitor relocation activities and schedule. Relocation agreements to be executed with Duke Energy and AT&T.	CATS	Final Design & Construction	CATS has executed agreements with both AT&T and Duke. CATS and Duke Energy executed an agreement for the transmission relocation. CATS and the Construction Management Consultant hired Utility Coordinators to monitor the relocation activity and schedule. The Communication staff has communication protocols in place regarding utility cuts to inform affected businesses and stakeholders. All relocations have been completed. The joint duct bank south of Institute Circle was installed too high and needs to be lowered. <u>This corrective work was released for bid in November.</u>
20	<u>Construction (Transportation, Traffic and Parking)</u>			COMPLETE	
21	<u>Construction (Land Use, Community Facilities and Businesses)</u>			COMPLETE	
22	<u>Construction (Visual and Aesthetic)</u> <ul style="list-style-type: none"> Shield and aim night work lights directly at the work zone. Stage construction activities to limit the duration of impacts at individual locations. Where practical, restore existing vegetation that serves as a buffer to adjacent properties. 	Include in contract specifications. Monitor contractor compliance during construction.	CATS	COMPLETE	
23	<u>Construction (Neighborhoods, Community Services and Environmental Justice)</u>			COMPLETE	
24	<u>Construction (Air Quality)</u> <ul style="list-style-type: none"> Shut off construction equipment not in direct use. Water areas of exposed soil to control dust. 	Include mitigation requirements in construction plans and contract	CATS	COMPLETE	

Mitigation ID Number	Mitigation Measure	Implementation and Monitoring	Responsible Party	Timing	Status
	<ul style="list-style-type: none"> Cover open body trucks transporting materials to and from construction sites. Reroute truck traffic away from schools and residential communities when possible. Repave and/or replant exposed areas as soon as possible following construction. Adequately secure tarps, plastic or other material over debris piles. Prohibit idling of delivery trucks or other equipment during periods of extended unloading or inactivity. 	specifications. Monitor contractor compliance during construction.			
25	<p><u>Construction (Noise and Vibration)</u></p> <ul style="list-style-type: none"> Construction activities will be carried out in compliance with all applicable local noise regulations including the City of Charlotte Noise Ordinance, FTA guidelines and UNC Charlotte specified parameters. At UNC Charlotte, construction will not be allowed near residence halls prior to 8:00 am nor within 200 feet of campus buildings during the week of final exams. Contractors will prepare a Construction Noise and Vibration Control Plan. Contractor(s) will involve an Acoustical Engineer to ensure noise and vibration levels are effectively managed and excessive noise and vibration is prevented. Contractors will provide a phone number and/or website for community complaints, and the Acoustical Engineer will respond and coordinate with the Construction Manager to resolve complaints. For blasting operations, contractors will consult with nearby sensitive receptors to schedule the least disturbing times and provide advance notice of blasting operations. The contractor shall prepare a Blasting Plan to be approved by CATS and others designated by CATS (e.g. UNC Charlotte). 	Include in construction plans and contract specifications. Monitor contractor compliance during construction.	CATS	COMPLETE	

Mitigation ID Number	Mitigation Measure	Implementation and Monitoring	Responsible Party	Timing	Status
25 (continued)	<ul style="list-style-type: none"> For blasting operations near UNC Charlotte, the contractor shall follow specific notification procedures to avoid damages to vibration sensitive equipment. The contractor shall provide a one-week advance notice of the start of blasting operations. The contractor shall facilitate a pre-blast meeting to define the entire schedule and scope of sequence of blasting. Blasting shall be scheduled in batches to the extent possible. The schedule shall be kept current at all times. The contractor shall provide a 24-hour notification for each blast. 	<p>Include in construction plans and contract specifications. Monitor contractor compliance during construction.</p>	CATS	COMPLETE	
25 (continued)	<ul style="list-style-type: none"> Contractors will conduct noise and vibration monitoring at locations where potential impact from construction activities may occur. Contractors will conduct pre-construction and post-construction surveys of buildings with the potential for structural damage. Specific construction noise and vibration measures to be implemented near sensitive receptors will be identified by the contractor in the Construction Noise and Vibration Control Plan. General noise mitigation measures including, but not limited to: operational restrictions; the use of alternative construction methods and equipment*; locating stationary equipment away from noise sensitive sites; the use of shields, shrouds or intake exhaust mufflers; the use of special back-up alarms; rerouting truck routes; use of temporary noise barriers or noise blankets; use of static rollers instead of vibratory rollers where practicable; pier drilling instead of pile driving where practicable. 	<p>Include in construction plans and contract specifications. Monitor contractor compliance during construction.</p>	CATS	COMPLETE	
26	<u>Construction (Natural Resources)</u>			COMPLETE	
27	<u>Construction (Water Resources)</u> <ul style="list-style-type: none"> Minimize disturbed areas. Apply prompt stabilization. Employ an Erosion and Sediment Control Plan to treat stormwater runoff. 	<p>Include in construction plans and contract specifications. Monitor</p>	CATS	Final Design & Construction	The Final Design Plans (Contract 2A CIV A, Contract 3 CIV B/C) and the contract specifications include sustainable practices in the city special provisions which cover the mitigation commitments to protect water resources during construction (007500 Special Provision Article 1, Sections 1.7). <i>Please refer to the CATS BLE Mitigation Checklist</i>

Mitigation ID Number	Mitigation Measure	Implementation and Monitoring	Responsible Party	Timing	Status
	<ul style="list-style-type: none"> Prevent the storage of fill or other materials in floodplains, to the extent practicable. Stage construction of proposed stormwater systems to reduce the duration of construction disturbances to a given area. Recycle topsoil removed during construction by using it to reclaim disturbed areas and enhance regrowth. Avoid excessive slopes during excavation and blasting operations to reduce erosion. Use isolation techniques, such as berming or diversion, for in-stream construction near wetlands. 	contractor compliance during construction.			<p><i>Matrix for detailed references to plan sheets and specifications sections for each mitigation measure.</i> Additionally, erosion control permits have been obtained through NCDENR for the construction contracts.</p> <p>The required NPDES inspections take place on a weekly basis and after .5" of rainfall and are conducted by the contractors/construction managers. Erosion control logs are submitted and verified by the ARE prior to the approval of pay estimates.</p> <p>City of Charlotte Land Development staff conducts weekly audit NPDES inspections. The subsequent reports consist of standard DENR forms and a digitally marked .pdf of the erosion control plans. These are emailed each week to the BLE Construction Manager and Manager of Construction, HNTB, and the Water Quality Administrator (Land Development). <u>NCDEQ staff conducted a final inspection on 9/12/2019 and closed the NPDES permit.</u></p> <p>In March 2015, NC DENR issued two Notices of Violation to the City for exceeding the total suspended solids (TSS) I and the pH limits in the Civil A construction area. The City worked with the contractor to implement both corrective actions and preventive measures to control exceedances. Subsequent monitoring confirmed that no further exceedances were occurring. The City responded to the Notice on 3/31/2015. On 9/10/15, NC DENR issued a penalty in the amount of \$396.97 for the TPSS exceedance.</p>
27 (continued)	<p><u>Construction (Water Resources)</u></p> <ul style="list-style-type: none"> Minimize disturbed areas. Apply prompt stabilization. Employ an Erosion and Sediment Control Plan to treat stormwater runoff. Prevent the storage of fill or other materials in floodplains, to the extent practicable. Stage construction of proposed stormwater systems to reduce the duration of construction disturbances to a given area. Recycle topsoil removed during construction by using it to reclaim disturbed areas and enhance regrowth. 	Include in construction plans and contract specifications. Monitor contractor compliance during construction.	CATS	Final Design & Construction	<p>On February 17, 2016, the NCDEQ Division of Water Resources conducted a field review of permit compliance on the BLE project. STV prepared a memo summarizing the issues that were identified, primarily related to erosion control. These issues have been addressed by HNTB with the construction contractors, and erosion control logs for Civil A and Civil B/C were provided as requested to DWR in March 2016.</p> <p>On October 6, 2016, the NCDEQ Land Quality Section conducted a Sedimentation/Construction Storm water Inspection of the Civil A contractor. Two violations and non-compliance with the NPDES permit were reported. HNTB worked with the contractor to ensure the issues were addressed immediately. NCR-78 was issued for the non-compliance, and corrective action was completed and verified by a CMC Inspector.</p>

Mitigation ID Number	Mitigation Measure	Implementation and Monitoring	Responsible Party	Timing	Status
	<ul style="list-style-type: none"> Avoid excessive slopes during excavation and blasting operations to reduce erosion. Use isolation techniques, such as berming or diversion, for in-stream construction near wetlands. 				<p>On 5/19/17, STV notified the US Army Corps of Engineers and the North Carolina Dept. of Environmental Quality that field changes were made to the approved plans for the Section 404 Permit. No permit modifications were necessary since the modifications did not result in impacts to the Little Sugar Creek. The NC DEQ representative expressed concern over the change without prior coordination with DEQ or COE. She recommended development of a procedure to prevent this in the future. CATS is modifying its Construction Management Manual to address this issue. NCDEQ also requested a copy of the Storm water Management Plan, which was provided on 6/14/17. On 8/22/17, NCDEQ confirmed it had received all requested information and this issue was closed.</p> <p>Coordination is underway with Mecklenburg County regarding the Floodplain Development Permit that was issued to CATS for the construction of the retaining wall and 72" pipe near 36th Street (Civil A). The permit requires that the site be restored to original elevations based on an as-built topographic survey. <u>The area has been surveyed and the information was reviewed by the Design team. It was found that there is an area that is approximately 2' high and needs to be fixed. The contractor is disputing responsibility, and claims it is a maintenance issue. Discussions are ongoing.</u> The contractor also had a temporary use permit within the floodplain for staging areas on Cullman Avenue, which also must be restored. The contractor has completed work on the Cullman Avenue restoration, and the County accepted the work (8/22/19 email).</p> <p>On 4/11/19, STV notified the Army Corps of Engineers and the North Carolina Dept. of Environmental Quality of revisions to the BLE design in the area of Streams D and C, due to the change from MSE wall to bridge along the CSX rail corridor. The design change eliminated the rock drop structure and piped in 18' of Stream D. This did not change the amount of impact to Stream D, as the permit had the entire length of stream as a permanent impact/loss, and mitigation credits were purchased. The impact to Stream C was reduced by 10'. The plan changes to the permit were accepted by NCDEQ on 4/15/19 and by the Corps on 4/16/19. No permit modification was required. NCDEQ conducted a site visit on 4/24/19 and was satisfied with permit compliance. A comment was made regarding CSX embankment stabilization, which was addressed by adding rip-rap to the embankment.</p>

Mitigation ID Number	Mitigation Measure	Implementation and Monitoring	Responsible Party	Timing	Status
					On 7/19/19, NCDEQ Division of Water Resources (DWR) conducted a site visit and final compliance inspection for the BLE permit. One comment provided was that there were a few places to be stabilized, and NCDWR requested those to be stabilized with coir fiber matting that does not catch and kill wildlife. Any future/warranty repairs should also use coir fiber matting for stabilization. On 7/31/19, NCDWR provided written confirmation that DWR considers the BLE permit work complete. To close the permit, CATS will need to complete and submit the Certification of Completion form to NCDWR. <u>CATS will submit this form once the Final Completion certificate is issued for Civil A.</u>
28	<u>Construction (Cultural Resources)</u>			COMPLETE	
29	<u>Construction (Parklands)</u>			COMPLETE	
30	<u>Construction (Energy)</u> Measures to minimize energy consumption during construction could include limiting the idling of construction equipment and employee vehicles, as well as locating staging areas and material processing facilities as close as possible to work sites.	Include in contract specifications. Monitor contractor compliance during construction.	CATS	COMPLETE	
31	<u>Construction (Hazardous and Contaminated Materials)</u>			COMPLETE	
32	<u>Construction (Safety and Security)</u> Provide construction barriers and fencing to secure construction sites and staging areas.	Include in contract specifications. Monitor contractor compliance during constructions.	CATS	Final Design & Construction	The contract specifications include in the city special provisions which cover the mitigation commitments to provide construction barriers and fencing to secure construction sites and staging areas during construction (007500 Special Provision Article 2 Paragraph 2.10). Construction activity creates needs for barriers and fencing protection for excavations, construction and staging areas. Special focus included monitoring BLE construction near school zones, open excavations, where equipment and or materials are stored, and areas representing attractive nuisance.
33	<u>Secondary Effects</u>			COMPLETE	
	<u>Cumulative Effects</u>			COMPLETE	

9.0 Quality Assurance

There are a total of **34** open NCRs as of 12/2/19. A description and status of each open NCR is shown below.

NCR Summary (Open NCRs as of 12/02/19)

Contract	Date Issued	Doc # - Subject	Status/Current Step
2A: Civil - Segment A (8 records)			
CIV A	12/19/17	NCR #00104 - Chain link fence base plates not per submittal	Contractor Review
CIV A	2/17/19	NCR # 00131- Craighead Bridge Girder Anchor Bolts not grouted in place	CMC ARE/RE Review
CIV A	9/30/19	NCR # 00142- Stray Current Corrosion Control System, Bonding Cable Discontinuity	CMC ARE/RE Review
CIV A	9/30/19	NCR # 00143 - Ditch Grading not per Plan Elevations	CMC ARE/RE Review
CIV A	10/02/19	NCR # 00144- Failure to remove Temporary Erosion Control Devices Throughout Project	CMC ARE/RE Review
CIV A	10/02/19	NCR # 00145 - Ground Cover (Stabilization) not installed per specification	CMC ARE/RE Review
CIV A	10/22/19	NCR # 00146 - Monthly CPM Schedule Submittal for August 2019	CATS/CMC QA Review
CIV A	10/22/19	NCR #00147 - Monthly CPM Schedule Submittal for September 2019	CATS/CMC QA Review
05: Track and Systems (26 records)			
TRK SYS	8/10/16	NCR #00051 - Concrete Ties Received and/or Installed with Defects	CATS QA Resolve dispute
TRK SYS	11/21/16	NCR #00060 - BLE Project - Firewall Policy Ruleset information not provided	CATS QA Resolve dispute
TRK SYS	2/5/18	NCR #00078 – As-built audit findings 2/1/18	Contractor Review
TRK SYS	4/2/18	NCR #00079 - Late submittals impacting completing of project	Contractor Review
TRK SYS	4/13/18	NCR #00085 - Contractor not addressing EAN comments to conform to the requirements of the contract documents	CATS/CMC QA Review
TRK SYS	4/25/18	NCR #00086 - Moxa Switch Test Results	CATS QA Resolve dispute
TRK SYS	5/14/18	NCR #00092 – Requested warranty/support agreement documentation not provided upon repeated request	Contractor Review
TRK SYS	5/14/18	NCR #00094 - North Tryon Underpass Comm. Cabinet (NTUP) operating at high temperature	CATS QA Resolve dispute
TRK SYS	5/21/18	NCR #00095 - Public Announcement (PA) System continuing issues	CATS QA Resolve dispute
TRK SYS	6/27/18	NCR #00096 - Comm. Systems Training	Contractor Work in Progress
TRK SYS	7/16/18	NCR #00098 - Track out of Tolerance due to Buckling at three locations	CATS QA Resolve dispute
TRK SYS	7/24/18	NCR #00099 - Wire size inadequate for crossing gate mechanisms	Contractor Review
TRK SYS	7/25/18	NCR #00100 - Highway Rail Grade Crossing locations' Battery Charger capacities not meeting specifications	Contractor Work in Progress
TRK SYS	8/17/18	NCR #00102 - Contractor not providing sufficient resources for Project completion	Contractor Review
TRK SYS	9/5/2018	NCR #00103 Contractor not following procedure for requesting Firewall Ruleset Changes	CATS QA Resolve dispute
TRK SYS	9/13/2018	NCR # 00104 TDX (Track Driver eXTRA) software application not meeting Contract requirements	CATS/CMC QA Review
TRK SYS	9/26/2018	NCR # 00105 Repeated Ground Voltage Monitor (GVM) trips	Contractor Review
TRK SYS	10/19/18	NCR #00110 - Cracking on Gate Arms	Contractor Review
TRK SYS	10/19/18	NCR #00111 - Contractor failure to fully follow agreed to QC Inspection Process	Contractor Review
TRK SYS	11/20/18	NCR #00112 - Contractor failure to follow submitted System Integration Test Plan	CATS/CMC QA Review
TRK SYS	12/17/18	NCR #00113 - Delivery of and Training for, the Contract specified Test Equipment for BLE Project	Contractor Review
TRK SYS	3/21/19	NCR #00114- Continued and repeated failure of CCTV camera system	Contractor Review
TRK SYS	5/9/19	NCR #00115- Excessive failures of UPS units	Contractor Review
TRK SYS	5/20/19	NCR #00116- Qognify CCTV System - Repeated failures of HDD in the NVR units	Contractor Review
TRK SYS	8/22/19	NCR #00117- Contractor not meeting requirements to provide test log per spec 01 40 00 3.1 B	CATS/CMC QA Review
TRK SYS	10/04/19	NCR #00118- Central Comm. House (CCH) continued issues with maintaining proper environmental controls	Contractor Review

10.0 Before and After Study

A revised Work Plan with updated schedule has been completed and submitted to FTA. CATS has completed development of the RFP and scope of work for the Origin-Destination survey. The RFP has not yet been issued by City Procurement.

V. CityLYNX Gold Line Phase 1 (Streetcar Starter Project)

1.0 Project Budget

The total expenditures to date are \$32,655,210 of the \$37 million total project budget. The grant monies expended to date are \$23,756,479. The expenditures to date reflect expenditures through December 31, 2018. The estimated accruals to date reflect accruals through January 31, 2019. *See attached Budget Summary Table.*

2.0 Award Closeout

- a. Balfour Beatty has been paid for all completed work. Balfour is working on release waivers from all subs to complete the final pay application. The final payment will be for less than \$500 of retainage.
- b. The City has submitted the final grant draw based on the project cost.

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**Streetcar Starter Project
Budget Summary
Expense As of August 31, 2019**

Project	A Current Budgeted Value	B Allocated Contingency	C Prior Spent to Date	D Current Monthly Expenditure	E Total Spent to Date*	F Total Cost with Accruals	G Encumbrance	H (A+B)-(F+G) Unrestricted Balance
10 Guideway & Track Elements								
Subtotal	\$ 5,628,886.88	\$ -	\$ 5,088,805.18	\$ 4,661.00	\$ 5,093,466.18	\$ 5,093,466.18	\$ 530,883.82	\$ 4,536.88
20 Stops								
Construction Contract	\$ 631,870.00	\$ -	\$ 599,205.44	\$ -	\$ 599,205.44	\$ 599,205.44	\$ 32,664.56	\$ -
Shelter Equipment	\$ 15,000.00	\$ -	\$ 13,602.40	\$ -	\$ 13,602.40	\$ 13,602.40	\$ -	\$ 1,397.60
Shelter Glass	\$ 19,600.00	\$ -	\$ 19,600.00	\$ -	\$ 19,600.00	\$ 19,600.00	\$ -	\$ -
Subtotal	\$ 666,470.00	\$ -	\$ 632,407.84	\$ -	\$ 632,407.84	\$ 632,407.84	\$ 32,664.56	\$ 1,397.60
40 Sitework & Special Conditions								
Construction Contract	\$ 8,561,172.72		\$ 8,463,968.32	\$ -	\$ 8,463,968.32	\$ 8,463,968.32	\$ 97,204.40	\$ -
Streetlighting	\$ 520,000.00	\$ 50,000.00	\$ 499,110.47	\$ -	\$ 499,110.47	\$ 499,110.47	\$ -	\$ 70,889.53
Traffic Signals	\$ 700,000.00		\$ 379,894.40	\$ -	\$ 379,894.40	\$ 379,894.40	\$ -	\$ 320,105.60
Landscaping	\$ 40,000.00		\$ 25,261.53	\$ -	\$ 25,261.53	\$ 25,261.53	\$ -	\$ 14,738.47
Subtotal	\$ 9,821,172.72	\$ 50,000.00	\$ 9,368,234.72	\$ -	\$ 9,368,234.72	\$ 9,368,234.72	\$ 97,204.40	\$ 405,733.60
50 Systems								
Construction Contract	\$ 7,838,886.32	\$ -	\$ 7,693,110.53	\$ -	\$ 7,693,110.53	\$ 7,693,545.45	\$ 105,249.55	\$ 40,091.32
Conduit Installation	\$ 80,575.00	\$ -	\$ 80,575.00	\$ -	\$ 80,575.00	\$ 80,575.00	\$ -	\$ -
Equipment	\$ 69,906.43		\$ 67,070.32	\$ -	\$ 67,070.32	\$ 67,070.32	\$ -	\$ -
Scada and TPSS connections	\$ 50,000.00	\$ 10,000.00	\$ 12,254.82	\$ -	\$ 12,254.82	\$ 12,254.82	\$ -	\$ 47,745.18
Subtotal	\$ 8,039,367.75	\$ 10,000.00	\$ 7,853,010.67	\$ -	\$ 7,853,010.67	\$ 7,853,445.59	\$ 105,249.55	\$ 87,836.50
60 ROW, Land, Existing Improvements								
Subtotal	\$ 2,053,900.00		\$ 1,902,647.80	\$ -	\$ 1,902,647.80	\$ 1,902,647.80		\$ 151,252.20
70 Vehicles								
Subtotal	\$ 414,000.00		\$ 196,654.34	\$ -	\$ 196,654.34	\$ 196,654.34	\$ -	\$ 217,345.66
80 Professional Services								
80.01 Preliminary Engineering	\$ 397,879.00		\$ 379,676.28	\$ -	\$ 379,676.28	\$ 379,676.28	\$ -	\$ 18,202.72
80.02 Final Design	\$ 4,702,271.00		\$ 4,423,231.77	\$ -	\$ 4,423,231.77	\$ 4,423,231.77	\$ -	\$ 279,039.23
Art in Transit Design	\$ 60,000.00		\$ 60,000.00	\$ -	\$ 60,000.00	\$ 60,000.00	\$ -	\$ -
80.03 Project Management	\$ 1,005,400.00		\$ 844,909.97	\$ 16,563.93	\$ 861,473.90	\$ 861,473.90	\$ -	\$ 143,926.10
R/W Acquisition Services	\$ 218,583.65		\$ 54,549.61	\$ -	\$ 54,549.61	\$ 54,549.61	\$ -	\$ 164,034.04
Art in Transit	\$ 56,023.00		\$ 10,423.54	\$ -	\$ 10,423.54	\$ 10,423.54	\$ -	\$ 45,599.46
Art in Transit Fabrication	\$ 94,477.00		\$ 94,477.00	\$ -	\$ 94,477.00	\$ 94,477.00	\$ -	\$ -
Art in Transit Artist Service in Fab	\$ 32,500.00		\$ 32,360.00	\$ -	\$ 32,360.00	\$ 32,360.00	\$ -	\$ 140.00
80.04 Construction Management	\$ 1,097,000.00		\$ 872,946.94	\$ 12,477.79	\$ 885,424.73	\$ 885,424.73	\$ -	\$ 211,575.27
80.07 Surveys, Testing, Inspection	\$ 700,000.00		\$ 565,229.36	\$ -	\$ 565,229.36	\$ 565,229.36	\$ -	\$ 134,770.64
80.08 Start-Up	\$ 550,000.00		\$ 241,943.01	\$ -	\$ 241,943.01	\$ 241,943.01	\$ -	\$ 308,056.99
Subtotal	\$ 8,914,133.65		\$ 7,579,747.48	\$ 29,041.72	\$ 7,608,789.20	\$ 7,608,789.20	\$ -	\$ 1,305,344.45

**Streetcar Starter Project
Budget Summary
Expense As of August 31, 2019**

Project	A Current Budgeted Value	B Allocated Contingency	C Prior Spent to Date	D Current Monthly Expenditure	E Total Spent to Date*	F Total Cost with Accruals	G Encumbrance	H (A+B)-(F+G) Unrestricted Balance
90 Contingency								
Unallocated Contingency	\$ -	\$ 1,186,463.92			\$ -	\$ -		\$ 1,186,463.92
Construction Contract Cont		\$ 205,605.08				\$ -		\$ 205,605.08
Subtotal	\$ -	\$ 1,392,069.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 1,392,069.00
Urban Circulator Grant TOTAL	\$ 35,537,931.00	\$ 1,452,069.00	\$ 32,621,508.03	\$ 33,702.72	\$ 32,655,210.75	\$ 32,655,645.67	\$ 766,002.33	\$ 3,565,515.89
TOTAL UCG Project Budget (A+B)	\$ 36,990,000.00							

*based on cash basis

A = const. bids and final estimate

B = escalation & contingency

Current Budgeted Value: Year of Expenditure Dollars based on Construction Contract Awards. Funds are appropriated to the project and are authorized to spend.

Allocated Contingency: Contingency monies based on escalation and risk assigned to noted tasks.

Prior Spent to Date: Expenses associated with the project that were incurred prior to the current month expenses

Current Monthly Expenditure: Expenses associated with the project that were incurred in the month of reporting; excludes retainage.

Total Spent to Date: Expenses associated with the project that were incurred in the month of reporting plus prior time periods; excludes retainage; based on cash expended

Total Cost with Accruals: Includes all expenditures paid, received invoices yet to be paid, retainage, and any work completed/acutal cost to the project that have not yet been invoiced.

Encumbrance: A contingent liability related to unfilled contracts or purchase order for goods or services that is chargeable to the project (reservation or fund balance)

Unrestricted Balance: Funds available for use, uncommitted; (appropriated funds)-(total costs + contract encumbrances)

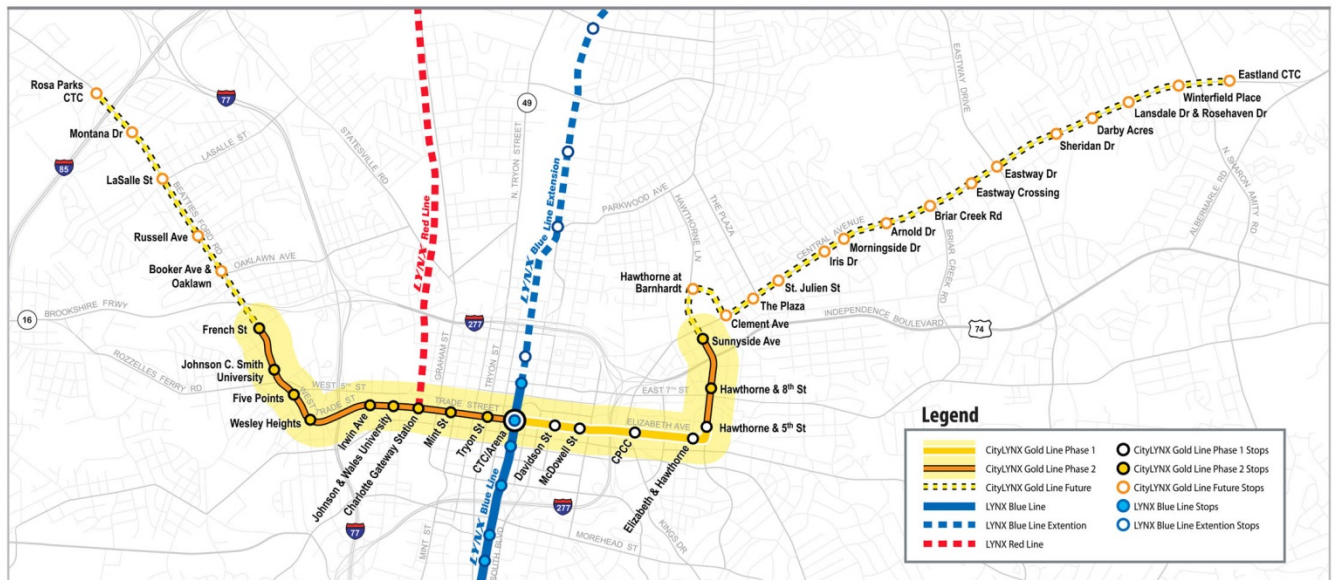
VI. CityLYNX Gold Line Phase 2 (Streetcar)

1.0 Project Overview


The CityLYNX Gold Line Phase 2 Project consists of the design and construction of approximately 2.5 miles of a double-track in street running streetcar line. The Project is an extension of the approximately 1.5 mile CityLYNX Gold Line Phase 1 Project completed in July 2015. This extension of the existing CityLYNX Gold Line will result in an approximately 4 mile long double track streetcar system through Center City Charlotte.

The Gold Line Phase 2 project will begin at the Charlotte Transportation Center (CTC), which is the primary transfer facility for the Charlotte Area Transit System (CATS) bus service, existing LYNX light rail service, and the current terminus for the Gold Line Phase 1 project. The Gold Line Phase 2 project will extend west, from the CTC along Trade Street, for approximately 2.0 miles, and terminate at French Street near Johnson C. Smith University campus on Beatties Ford Road. It will also extend northeast approximately 0.5 miles along Hawthorne Lane from the eastern terminus of Phase 1 at 5th Street and Hawthorne Lane near Novant Health Presbyterian Medical Center to Sunnyside Avenue.

The Project includes 11 new stops and the modification of 6 stops along the existing Phase 1 alignment. The Project will utilize six modern streetcar vehicles with hybrid technology to allow for some off-wire segments along the planned alignment. These modern vehicles will replace the existing Gomaco replica trolley vehicles being used in Phase 1. The six existing stops will be modified to allow for the level boarding with the new vehicles. All platforms will utilize either a side or center platform configuration.



Entire Project Alignment Map


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2.0 Project Administration

2.1 FTA Coordination

The initial PMOC monthly meeting was held on October 30, 2015.

- Monthly meetings have been held with the PMOC. In October 2016, we were notified by FTA that the PMO meetings would be held quarterly in November, February, May, and August, instead of monthly.
- On July 2, 2019, CATS emailed FTA our evaluation of the vehicle cost savings generated due to the Secondary Mitigation of reducing the number of vehicles from 7 to 6.
- On July 3, 2019, CATS submitted a formal request to FTA for an extension of the SYGA Revenue Service Date from August 31, 2020 to August 31, 2021.
- FTA approved extending the SYGA RSD for the GL2 Project from August 31, 2020 to August 31, 2021.

2.2 Project Staffing

During last quarter no staff changes occurred:

3.0 Project Finance

3.1 Federal Funds

CATS received a Small Starts Grant for 50% (\$74,999,999) of the \$150,000,000 project cost. CATS submitted a rating application in September 2014 and an update in September 2015. The CityLYNX Gold Line Phase 2 project is rated Medium-High by FTA and was recommended for funding in the President's FY2016 budget at \$74,999,999. In March 2016, CATS submitted the formal electronic grant request in the TRAMS system for the Small Starts Grant and received appropriation in May 2016.

3.2 Local Funds

The City of Charlotte has appropriated \$75,000,000 for the local share of the project cost. See the attached Funding Summary

**CITYLYNX GOLD LINE PHASE 2 STREETCAR
Funding Summary
As of October 31, 2019**

<u>Sources of Capital Funding</u>	<u>Grant ID</u>	<u>Funding Share</u>	<u>Amount</u>	<u>Expended to Date*</u>	<u>Percent Fund Source Expended to Date</u>	<u>Remaining Balance</u>	<u>Reimbursement to Date</u>
Section 5309 Small Starts Federal Funds							
SYGA Grant Award Funds	NC-2016-001-00		\$ 74,999,999	\$ 35,949,728	47.93%	\$ 39,050,271	\$ 31,247,701
Appropriated Federal Funds			74,999,999	35,949,728	47.93%	39,050,271	31,247,701
Subtotal - Small Year Grant Award		50%	\$ 74,999,999	\$ 35,949,728	47.93%	\$ 39,050,271	\$ 31,247,701
State Funds							
Appropriated State Funds			-	-	0.00%	-	-
Subtotal - State Funds		0%	\$ -	\$ -	0.00%	\$ -	\$ -
Local Funds							
City Funds			\$ 75,000,000	\$ 35,949,728	47.93%	\$ 39,050,272	\$ -
Appropriated Local Funds			75,000,000	35,949,728	47.93%	39,050,272	-
Subtotal - Local Funds		50%	\$ 75,000,000	\$ 35,949,728	47.93%	\$ 39,050,272	\$ -
TOTAL APPROPRIATED FUNDS			\$ 149,999,999	\$ 71,899,457	47.93%	\$ 78,100,542	\$ -
TOTAL SYGA AWARD BUDGET		100%	\$ 149,999,999	\$ 71,899,457	47.93%	\$ 78,100,542	\$ -

*Expended to date reported on accrual basis

LEGEND

Sources of Capital Funding: Designates Funds as Federal, State or Local and provides description of source of funds.

Grant ID: Grant Number assigned to appropriated federal and state funds

Funding Share: Distribution percentage of total SYGA Project Budget

Amount: Total Dollar Amount

Expended to Date: Expenditures including accruals, as of the report date

Percent Fund Source Expended to Date: Expended to Date / Amount

Remaining Balance: Funds available (Amount - Expended to Date)

Reimbursement to Date: Drawdown amount of grants reimbursed to grantee

4.0 Project Budget

4.1 Budget Overview

Effective upon the execution of the Small Starts Grant Agreement in May 2016, the full \$75,000,000 in local funds and \$74,999,999 in federal funds are available to the project. To date, \$71,899,457 has been expended or accrued on advancing the project.

See attached Budget Summary table.

Based on the \$150 million total project budget, this job was estimated to create or maintain 1,562 jobs. (Per Council of Economic Advisors: 1 job per \$96,000).

4.2 Cash Flow

The Cash Flow Forecast provides an estimate of the expected project expenses over the next three months.

See attached Cash Flow table.

**CITYLYNX GOLD LINE PHASE 2 STREETCAR
 SCC Budget Summary
 As of October 31, 2019**

PROJECT	A	B	C	D	E	F	G	B - (F+G)
	SYGA GRANT BUDGET	APPROPRIATED FUNDS	PREVIOUSLY SPENT TO DATE	CURRENT MONTH EXPENSES	TOTAL EXPENSES TO DATE	TOTAL COST (ACCRUAL)	ENCUMBRANCE	H UNOBLIGATED BALANCE
10 Guideway & Track Elements								
10.04 Guideway: Aerial Structure	\$ 5,249,791	\$ 4,103,494	\$ 1,133,310	\$ -	\$ 1,133,310	\$ 2,523,712	\$ 1,579,782	\$ -
10.10 Track: Embedded	12,145,322	\$ 12,045,880	\$ 5,872,476	\$ -	\$ 5,872,476	\$ 7,370,679	\$ 4,675,201	\$ -
10.12 Track: Special (switches, turnouts)	2,180,544	\$ 2,400,000	\$ -	\$ -	\$ -	\$ -	\$ 2,400,000	\$ -
10.90 Construction Contingency*	-	927,469	-	\$ -	\$ -	\$ -	-	927,469
Subtotal	\$ 19,575,657	\$ 19,476,843	\$ 7,005,786	\$ -	\$ 7,005,786	\$ 9,894,391	\$ 8,654,983	\$ 927,469
20 Stations, Stops, Terminals, Intermodal								
20.01 At-grade station, stop, shelter, mall, terminal, platform	\$ 2,997,737	\$ 1,754,700	\$ -	\$ -	\$ -	\$ 103,950	\$ 1,643,250	\$ 7,500
20.90 Construction Contingency	-	79,860	-	-	-	-	-	79,860
Subtotal	\$ 2,997,737	\$ 1,834,560	\$ -	\$ -	\$ -	\$ 103,950	\$ 1,643,250	\$ 87,360
30 Support Facilities: Yards, Shops, Admin. Bldgs								
Subtotal	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
40 Sitework & Special Conditions								
40.01 Demolition, Clearing, Earthwork	\$ 4,357,128	\$ 7,188,319	\$ 3,527,951	\$ -	\$ 3,527,951	\$ 4,102,121	\$ 3,115,218	\$ (29,019)
40.02 Site Utilities, Utilities Relocation	12,326,362	\$ 9,768,625	\$ 5,233,588	\$ -	\$ 5,233,588	\$ 6,116,643	\$ 3,253,755	398,227
40.03 Haz. Mat'l, contam'd soil removal, ground water treatment	208,604	\$ 370,000	\$ 40,379	\$ -	\$ 40,379	\$ 44,515	\$ 325,485	-
40.05 Site structures including retaining walls, sound walls	160,340	\$ 289,140	\$ -	\$ -	\$ -	\$ -	\$ 289,140	-
40.06 Pedestrian / Bike access and accomodation, landscaping	849,335	\$ 1,372,301	\$ 29,794	\$ -	\$ 29,794	\$ 113,609	\$ 1,258,692	-
40.07 Automobile, bus, van accessway including roads, parking lots	3,036,427	\$ 5,836,015	\$ 1,230,416	\$ -	\$ 1,230,416	\$ 1,819,665	\$ 3,746,065	270,285
40.08 Temporary facilities & other indirect costs during construction	5,544,410	\$ 6,361,274	\$ 4,870,151	\$ -	\$ 4,870,151	\$ 5,439,797	\$ 921,477	-
40.90 Construction Contingency	-	\$ 1,500,913	\$ -	\$ -	\$ -	\$ -	\$ -	1,500,913
Subtotal	\$ 26,482,606	\$ 32,686,587	\$ 14,932,281	\$ -	\$ 14,932,281	\$ 17,636,350	\$ 12,909,832	\$ 2,140,406
50 Systems								
50.01 Train control and signals	\$ 733,317	\$ 138,000	\$ -	\$ -	\$ -	\$ -	\$ 138,000	\$ -
50.02 Traffic signals and crossing protection	787,612	\$ 1,647,900	\$ -	\$ -	\$ -	\$ -	\$ 1,647,900	-
50.03 Traction power supply: substations	11,117,815	\$ 16,024,570	\$ 462,500	\$ -	\$ 462,500	\$ 462,500	\$ 15,562,070	-
50.04 Traction power distribution: Catenary and third rail	9,487,452	\$ 8,397,180	\$ 1,865,771	\$ -	\$ 1,865,771	\$ 2,416,878	\$ 5,980,302	-
50.05 Communications	167,467	\$ 307,194	\$ -	\$ -	\$ -	\$ -	\$ 307,194	-
50.06 Fare collection system and equipment	111,190	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	-
50.07 Central Control	-	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	-
50.90 Construction Contingency	-	1,325,742	\$ -	\$ -	\$ -	\$ -	\$ -	1,325,742
Subtotal	\$ 22,404,853	\$ 27,840,586	\$ 2,328,271	\$ -	\$ 2,328,271	\$ 2,879,378	\$ 23,635,466	\$ 1,325,742
60 ROW, Land, Existing Improvements								
60.01 Purchase or Lease of Real Estate	\$ 1,201,415	\$ 1,201,415	\$ 656,789	\$ -	\$ 656,789	\$ 656,789	\$ 390,325	\$ 154,301
60.02 Relocation of Existing Households & Businesses	-	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	-
Subtotal	\$ 1,201,415	\$ 1,201,415	\$ 656,789	\$ -	\$ 656,789	\$ 656,789	\$ 390,325	\$ 154,301

**CITYLYNX GOLD LINE PHASE 2 STREETCAR
SCC Budget Summary
As of October 31, 2019**

PROJECT	A	B	C	D	E	F	G	B - (F+G)
	SYGA GRANT BUDGET	APPROPRIATED FUNDS	PREVIOUSLY SPENT TO DATE	CURRENT MONTH EXPENSES	TOTAL EXPENSES TO DATE	TOTAL COST (ACCRUAL)	ENCUMBRANCE	H UNOBLIGATED BALANCE
70 Vehicles								
70.01 Light Rail Vehicles	\$ 37,510,622	\$ 37,413,625	\$ 22,122,928	\$ 70,479	\$ 22,193,406	\$ 22,349,135	\$ 15,629,993	\$ (565,503)
70.07 Spare Parts	3,375,956	3,906,359	390,636	-	390,636	390,636	2,985,320	530,403
70.90 Vehicle Contingency		1,080,016	-	-	-	-	-	1,080,016
Subtotal	\$ 40,886,578	\$ 42,400,000	\$ 22,513,564	\$ 70,479	\$ 22,584,042	\$ 22,739,771	\$ 18,615,314	\$ 1,044,916
80 Professional Services								
80.01 Project Development	\$ 16,733,383	\$ 16,733,383	\$ 14,151,212	\$ -	\$ 14,151,212	\$ 14,209,710	\$ 1,402,710	\$ 1,120,964
80.02 Engineering	-	-	-	-	-	-	-	-
80.03 Project Management for Design & Construction	1,660,160	1,660,159	2,441,798	-	2,441,798	2,441,798	189	(781,828)
80.04 Construction Administration & Management	1,844,622	1,844,622	1,101,178	-	1,101,178	1,101,178	-	743,444
80.06 Legal; Permits & Review Fees	51,239	51,239	13,555	-	13,555	13,555	-	37,684
80.07 Surveys, Testing, Investigation, Inspection	1,185,017	1,185,017	199,103	-	199,103	222,587	124,494	837,937
80.08 Start-Up	2,561,975	1,053,975	-	-	-	-	-	1,053,975
Subtotal	\$ 24,036,396	\$ 22,528,395	\$ 17,906,846	\$ -	\$ 17,906,846	\$ 17,988,828	\$ 1,527,392	\$ 3,012,175
90 Unallocated Contingency								
Project Contingency	12,414,759	2,031,613	-	-	-	-	-	2,031,613
Subtotal	\$ 12,414,759	\$ 2,031,613	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 2,031,613
100 Finance Charges								
Project Financing	-	-	-	-	-	-	-	-
Subtotal	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
TOTAL CITYLYNX GOLD LINE PHASE II STREETCAR	\$ 150,000,000	\$ 149,999,999	\$ 65,343,536	\$ 70,479	\$ 65,414,015	\$ 71,899,457	\$ 67,376,560	\$ 10,723,982

LEGEND

SYGA Grant Budget: Year of Expenditure Dollars approved in the SSGA project budget

Previously Spent to Date: Expenses associated with the project that were incurred prior to the current period

Current Month Expenses: Expenses associated with the project that were incurred in the month of reporting

Total Expenses To Date: Expenses associated with the project that were incurred in the period of reporting plus prior periods

Total Cost (Accrual): Includes all expenditures paid, received invoices yet to be paid, and any work completed/actual cost to the project that have not yet been invoiced

Encumbrance: A contingent liability related to unfilled contracts or purchase order for goods or services that is chargeable to the project (reservation of fund balance)

Unobligated Balance: Funds available for use, uncommitted; (appropriated funds) - (total expenses to date including accruals+ contract encumbrances)

CASH FLOW FORECAST

as of October 31, 2019

(Note: period not closed as of report date)

	A	B	C	D	E	F
	TOTAL thru September 2019	Oct 2019	Nov 2019	Dec 2019	Jan 2020	4 Month
Standard Cost Category	Actual	Actual	Forecast	Forecast	Forecast	Total Forecast
10 - Guideway and Track Elements	\$ 7,005,786	\$ -	\$ (59,271)	\$ 1,042,674	\$ 1,905,202	\$ 2,888,605
20 - Stations, Stops, Terminals, Intermodal	\$ -	\$ -	\$ 31,500	\$ -	\$ 72,450	\$ 103,950
30 - Support Facilities: Yards, Shops, Admin. Bldgs.	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
40 - Site Work and Special Construction	\$ 14,932,281	\$ -	\$ 648,859	\$ 801,237	\$ 1,253,793	\$ 2,703,889
50 - Systems	\$ 2,328,271	\$ -	\$ 72,350	\$ 401,475	\$ 77,283	\$ 551,107
60 - ROW, Land, Existing Improvements	\$ 656,789	\$ -	\$ 3,043,386	\$ 3,000,000	\$ 3,000,000	\$ 9,043,386
70 - Vehicles	\$ 22,517,578	\$ 70,479	\$ 116,806	\$ 100,000	\$ 100,000	\$ 387,285
80 - Professional Services	\$ 17,906,846	\$ -	\$ 3,853,631	\$ 5,345,386	\$ 6,408,727	\$ 15,607,744
90 - Unallocated Contingency	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
100 - Finance Charges	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Monthly Total		\$ 70,479	\$ 7,707,261	\$ 10,690,772	\$ 12,817,454	\$ 31,285,966
Running Total (Projected Expenditures to Date)	\$ 65,347,550	\$ 65,418,029	\$ 73,125,290	\$ 83,816,063	\$ 96,633,516	\$ 96,633,516

LEGEND

Column A: Life to date expenses associated with the project; excludes retainage. Reported on a cash basis. Does not include accruals.

Column B: Expenses associated with the project that have been paid up to the date of filing.

Column C, D and E: Monthly projected expenses associated with the project that are expected to be paid within the next three (3) months from the month of reporting.

Column F: Total projected expenses associated with the project that is expected to be incurred for the next three (3) months from the month of reporting.

4.3 Concurrent Non-Project Activities

The Gold Line Phase 2 contracts will also include infrastructure improvements that are funded by others and are not funded as part of the SSGA. There are five City stakeholders who partnered with the project in order to perform upgrades to their respective systems. See the table below for a list and status of requested additions to the Gold Line Phase 2 construction contracts.

RELATED INFRASTRUCTURE IMPROVEMENTS (NON-SYGA)

As of April 30, 2017

	Item	Amount	Status
1	Storm Water – upsize pipes along alignment	\$4,996,921	Signed March 29, 2016: Amount based Johnson Bros. Encumbered Contract
2	Charlotte Water – upsize and replace water main and select sewer main along alignment	\$5,973,002	Amount based Johnson Bros. Encumbered Contract
3	Charlotte Department of Transportation – signal upgrade	\$1,252,217	Signed April 7, 2016: Amount based Johnson Bros. Encumbered Contract
4	Comprehensive Neighborhood Improvement Program – Frazier Avenue Realignment and Street Lighting	\$1,210,223	Signed April 4, 2016: Amount based Johnson Bros. Encumbered Contract
5	Art in Transit – City Program	\$400,000	Approved from City funds November 2016
	Total	\$13,832,363	

5.0 Contracts / Procurement

5.1 Active Contracts

The Gold Line Phase 2 project currently has active contracts related to vehicle specification development, financial modeling, final design, Art-in-Transit, right of way acquisition agents, appraisers, attorneys, vehicle manufacturing, construction, and construction testing services. The status of the contracts is shown in the Contract Listing Table.

5.2 Disadvantaged Business Enterprise (DBE) Participation

Civil Rights staff is monitoring the contracts on the Gold Line Phase 2 project. DBE Participation will be reported quarterly. The construction contract was previously advertised with a DBE goal of 11.8%. The DBE goal was reevaluated based on the re-bid project and the DBE goal remains at 11.8%. See attached DBE Table.

CITYLYNX GOLD LINE PHASE 2 – CONTRACT LISTING
As of October 31, 2019

CONTRACT NAME	CONTRACT NUMBER	Vendor #	SCOPE OF WORK	CURRENT CONTRACT VALUE	EXPENDITURES TO DATE (including accruals and retainage)	CURRENT REMAINING CONTRACT VALUE TO EXPEND	CURRENT CONTRACT REMAINING %	Status	Contract Savings to Unallocated Contingency
10 - 50 CONSTRUCTION									
Johnson Brothers Corporation	2017000790	303413	Construction	\$ 80,671,157	\$ 29,736,712	\$ 50,934,445	63.1%	Open	
United of Carolinas Inc.	2019000193	110070	Construction	\$ 67,418	\$ 63,566	\$ 3,852	5.7%	Open	
United of Carolinas Inc.	2019000542	110070	Construction	\$ 29,000	\$ 12,000	\$ 17,000	58.6%	Open	
TOTAL 10 - 50 CONSTRUCTION				\$ 80,738,575	\$ 29,812,278	\$ 50,938,298	63.1%		
60 ROW, LAND, EXISTING IMPROVEMENTS									
Fortenberry Lambert, Inc	2016000732	55094	Real Estate Acquisition	\$ 20,000	\$ 4,050	\$ 15,950	79.8%	Pending Closure	
Horack Talley Pharr & Lowndes	2016000716	5088	RE Title/Closing Services	\$ 36,000	\$ 28,314	\$ 7,686	21.4%	Pending Closure	\$ 7,686
Horack Talley Pharr & Lowndes	2016000713	5088	RE Condemnation Services	\$ 48,000	\$ -	\$ 48,000	100.0%	Open	
Integra Realty Resources	2016000731	40399	Real Estate Acquisition	\$ 70,000	\$ 10,400	\$ 59,600	85.1%	Open	
Kimberly E. Fox, PLLC	2016000718	123343	RE Title/Closing Services	\$ 30,000	\$ 14,815	\$ 15,186	50.6%	Pending Closure	\$ 15,186
Nexsen Pruet, Inc	2016000717	61044	RE Title/Closing Services	\$ 36,000	\$ 32,183	\$ 3,817	10.6%	Open	
Nexsen Pruet, Inc	2016000715	61044	RE Condemnation Services	\$ 48,000	\$ -	\$ 48,000	0.0%	Pending Closure	\$ 48,000
Parker, Poe, Adams & Bernstein, LLP	2016000714	27083	RE Condemnation Services	\$ 48,000	\$ -	\$ 48,000	100.0%	Open	
TB Harris Jr & Associates	2016000733	49812	Real Estate Acquisition	\$ 75,000	\$ 43,424	\$ 31,576	42.1%	Open	
THC, INC	2016000746	5979	Real Estate Acquisition	\$ 225,000	\$ 152,564	\$ 72,436	32.2%	Open	
The Hanes Group, Inc	2016000738	49592	Real Estate Acquisition	\$ 20,000	\$ 1,000	\$ 19,000	95.0%	Open	
William R. Morgan Company	2016000723	30455	Real Estate Acquisition	\$ 35,000	\$ 13,925	\$ 21,075	60.2%	Open	
TOTAL 60 ROW, LAND, EXISTING IMPROVEMENTS				\$ 841,000	\$ 300,675	\$ 502,070	59.7%		

CITYLYNX GOLD LINE PHASE 2 – CONTRACT LISTING
As of October 31, 2019

CONTRACT NAME	CONTRACT NUMBER	Vendor #	SCOPE OF WORK	CURRENT CONTRACT VALUE	EXPENDITURES TO DATE (including accruals and retainage)	CURRENT REMAINING CONTRACT VALUE TO EXPEND	CURRENT CONTRACT REMAINING %	Status	Contract Savings to Unallocated Contingency
70 VEHICLES									
LTK Engineering Services, Inc	2015001052	104005	Vehicle Engineering	\$ 1,980,907	\$ 1,811,494	\$ 169,413	8.6%	Open	
Siemens Industry Inc	2017000930	306251	Vehicles	\$ 39,319,984	\$ 20,883,150	\$ 18,436,834	46.9%	Open	
Siemens Mobility Inc	2019000301								
TOTAL 70 VEHICLES				\$ 41,300,891	\$ 22,694,644	\$ 18,606,247	45.1%		
80 PROFESSIONAL SERVICES									
STV Incorporated	2018000081	121069	Testing	\$ 249,871	\$ -	249,871	100.0%	Open	
URS Corporation	1400890	70803	Preliminary Engineering	\$ 14,421,445	\$ 12,853,412	\$ 1,568,033	10.9%	Open	
Terracon Consultants	2017000627	110947	Testing	\$ 350,000	\$ 199,103	\$ 150,897	43.1%	Open	
TOTAL 80 PROFESSIONAL SERVICES				\$ 15,021,316	\$ 13,052,515	\$ 1,968,802	13.1%		
TOTAL CONTRACT VALUES THROUGH October 31, 2018				\$ 137,901,782	\$ 65,860,111	\$ 72,015,417	52.2%		

CITYLYNX GOLD LINE PHASE 2 DBE TABLE

Contract Number	Prime Contracts	Contract Type	Contract Value	CATS Payments to Prime Contractors		Prime Contractor Payment to Subcontractors		DBE Goal %	DBE Commitment	DBE % Payments from Prime	Latest DBE Report	Comments
				Period	Cumulative	Period	Cumulative					
Construction												
2017000790	Johnson Bros.	Construction	\$94,103,520	\$	\$23,255,103	\$	\$4,599,133	11.80%	11.87%	19.78%	Jul-19	Contract amount includes concurrent non-project activities.
Vehicles												
2015001052	LTK	Vehicle Engineering	\$1,980,907	\$	\$1,684,890	\$0	\$333,853	9.80%	10%	19.81%	Oct-19	
Professional Services												
14-00890	URS	Design Services	\$14,421,445	\$329,985	\$12,735,963	\$0	\$1,669,585	8%	11.40%	13.11%	Jun-19	

5.3 Buy America

The project was designed to comply with Buy America. Both the vehicle specifications and the project specifications ensure that the products specified comply with Buy America and CATS is monitoring the contractor's compliance with Buy America. The vehicle contract and specifications require compliance with the new Buy America requirements for rolling stock and the submittals are being monitored for compliance. CATS has communicated to Siemens Mobility Inc. that the domestic content requirements for the CityLYNX Gold Line vehicle procurement is 70% or above under the current Buy America Guidance based upon FTA's final review of the vehicle contract with between Siemens and CATS.

A post-delivery Buy America audit was conducted in August 2019 and confirmed a 76% domestic content based on a 70% domestic content threshold.

5.4 Procurement Activities

The procurement process for the shelters is nearing contract execution. The Shelter Glass will be procured under an RFP process for incorporation of the project selected images within the glass.

GOLD LINE PH2 CONTRACTS – IN PROGRESS

Description	Contractor	Advertise	Bid Due Date	RCA Date (Request for Council Action)	Contract Amount	Execution Date
Shelters	Tolar Mfg	Sole Source	6/28/19	7/8/19	\$325,000	Pending

5.5 Contracting Schedule

Following is the current Gold Line Phase 2 contracting schedule based on the current schedule. After the monthly PMOC meeting in January 2016, the FTA determined that a Before and After Study is not required for the project. A Fare and Equity Study will be performed prior to the revenue service date.

GOLD LINE PH2 CONTRACTS ADVERTISE/AWARD SCHEDULE

Description	Estimated Advertise Date	Estimated Award Date	Estimated NTP Date
Shelters	May 2019	<u>Dec 2019</u>	<u>Jan 2020</u>
<u>Shelter Glass RFP</u>	<u>Dec 2019</u>	<u>March 2020</u>	<u>April 2020</u>
<u>Fare Collection System</u>	<u>Sole Source</u>	<u>Jan 2020</u>	<u>March 2020</u>
Landscaping	May 2020	Aug 2020	Nov 2020

6.0 Streetcar Vehicles

City Council authorized the award of the vehicle manufacturing contract to Siemens Corporation for 6 hybrid vehicles on November 28, 2016. The Limited Notice to Proceed was issued on February 23, 2017 and the full Notice to Proceed was issued on March 3, 2017.

6.1 Schedule Status

Siemens continues vehicle design. Weekly conference calls are held with staff and the manufacturer to advance the design.

Design continued to progress and the CDRL status report shows:

- Closed: 208
- Open, Submitted: 65
- Open, Not submitted: 48

(Note: The total number of CDRLs has increased in the current update as the test matrix has been expanded and the CDRL list has been updated to include both test procedures and reports for each system. These numbers will be modified over time to account for joint submittals by the car builder)

PDR Packages:

- Approved: 16
- Disapproved: 0

FDR Packages:

- Approved: 13
- Submitted, Open: 6
- Un-submitted: 0

FAIs:

- Completed, Approved: HVAC, Traction Drive, Carshell Unpainted, Pantograph, ATP, APS, Passenger Seats, Brakes & Suspension, Cab Window, Interior FRP, Carshell Painted & Clad, Coupler & Draft Gear
- Completed, Not Yet Approved: Passenger Doors, Center Truck, Power Truck, OESS, First Vehicle.

6.2 Production/Manufacturing Status

- Vehicle 1 Arrived – 8/7/19
- Vehicle 1 Contractual Delivery – December 2019
- Vehicle 2 Arrived – 9/12/19
- Vehicle 2 Contractual Delivery – February 2020
- Vehicle 3 – Arrived – 9/25/19
- Vehicle 3 Contractual Delivery – February 2020
- Vehicle 4 – Arrived – 10/16/19
- Vehicle 4 Contractual Delivery – March 2020
- Vehicle 5 – Shipped – 10/22/19
- Vehicle 5 Contractual Delivery – March 2020
- Vehicle 6 – Scheduled to ship December 2019
- Vehicle 6 Contractual Delivery – April 2020

6.3 Upcoming Milestones

- Final Design Review Approvals – Several design review Approvals are tied to Qualification Testing that is expected to be completed by the end of 2019
- Change Order #1 for Validator Wiring has been issued
- Post Delivery Buy America Audit completed: 76% domestic content
- Vehicle 401 has begun on-site acceptance and qualification testing; Contractual Delivery is scheduled for December 2019



Vehicle 405 Shipped



Vehicle 406 at Siemens



Vehicle 405 at N. Yard

7.0 Project Schedule

7.1 Schedule Status

The detailed baseline schedule is based on the following milestone schedule:

Milestone	Baseline Schedule Start	Baseline Schedule Completion	Status
Real Estate Condemnations	January 2017	June 2019	Close-out awaiting final condemnations
Construction (Civil, Track, Systems) ¹	February 2017	March 2020	NTP issued Feb 27, 2017
Vehicle Manufacturing & Delivery of First Vehicle	March 2017	April 2019	August 7, 2019
Contractual Delivery (CATS Acceptance) of First Vehicle pursuant to Milestone G	March 2017	October 2019 ²	Amended to December 15, 2019 ²
Deliver Remaining Vehicles	October 2019	March 2020	September – November 2109
Bridge Construction Complete			April, 2020
- Remove Existing Girders			September 23, 2019
- Install New Girders			<u>November 2019</u>
OCS Complete			May 2020
Vehicle Burn-in and Testing	October 2019	May 2020	June 2020
Systems Integration & Ops Testing	October 2019	May 2020*	September 2020 ³
- Static Testing (Contractor Lead)			June 2020
- Integrated Testing (CATS Lead)			September 2020
Substantial Project Construction Completion			September 2020
Pre-Revenue Service Testing (begin)	October 2020	February 2021 ³	
Target Revenue Service Date		May 2020	February 2021 ³
Renewed Schedule Contingency			August 2021 ⁴
SYGA Revenue Service Date		August 2020	August 2021 ⁴

1 Excludes Systems Integration Testing

2 Not to exceed date triggers liquidated damages due to likely delay to project

3 Anticipated dates based upon contractor schedule and delays

4 Pending SYGA Revenue Service Date extension

7.2 Critical Path

Critical Path for the project:

- Construction (Track, Civil, Systems)
 - Hawthorne Ln Bridge Replacement
- Vehicle Delivery
- System Integration Testing
- Pre-Revenue Service
- Revenue Service

7.3 Schedule Concerns

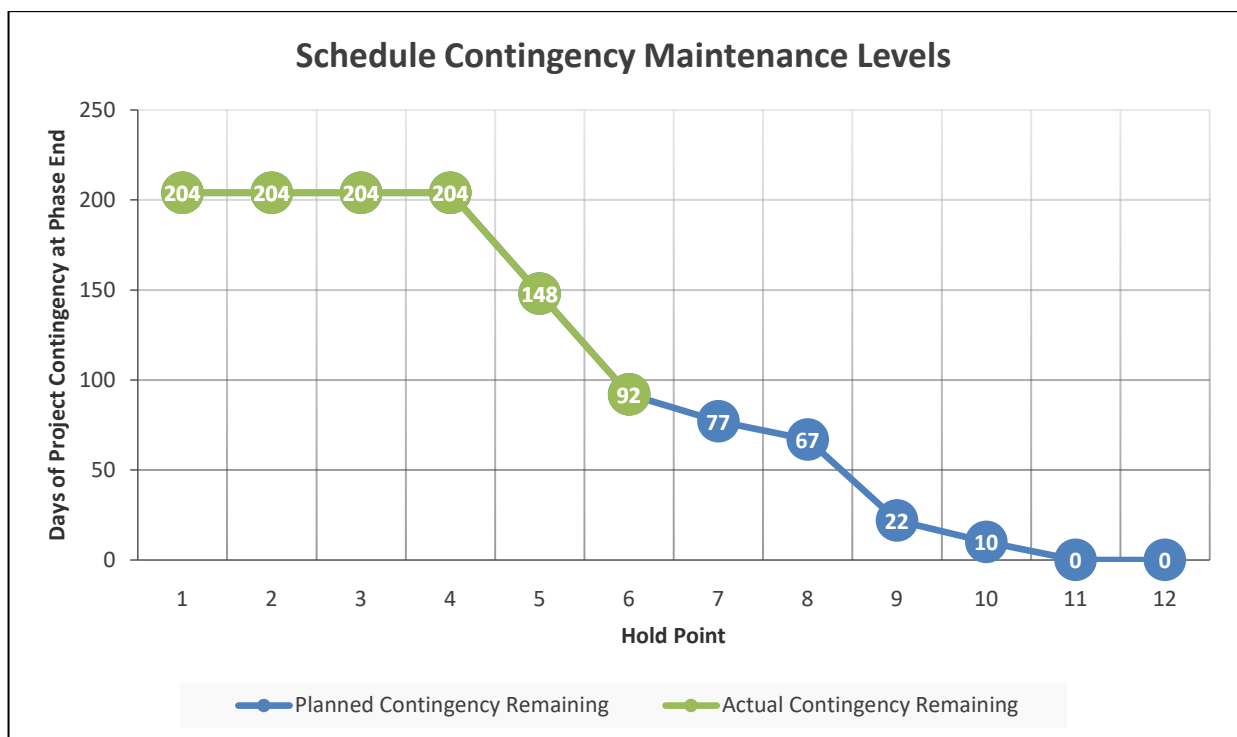
The next critical step for the vehicle delivery schedule is the completion of the CDRL Approvals, First Article Inspections and onsite testing. On the construction side, the Hawthorne Lane Bridge girders are being replaced with new girders. The shop drawings for the replacement girders have been approved. Girder manufacture is in progress, arrival in September/Oct 2019. Additionally, the contractor must continue to advance underground work along the project in order to stay ahead of the Track work and recover lost time.

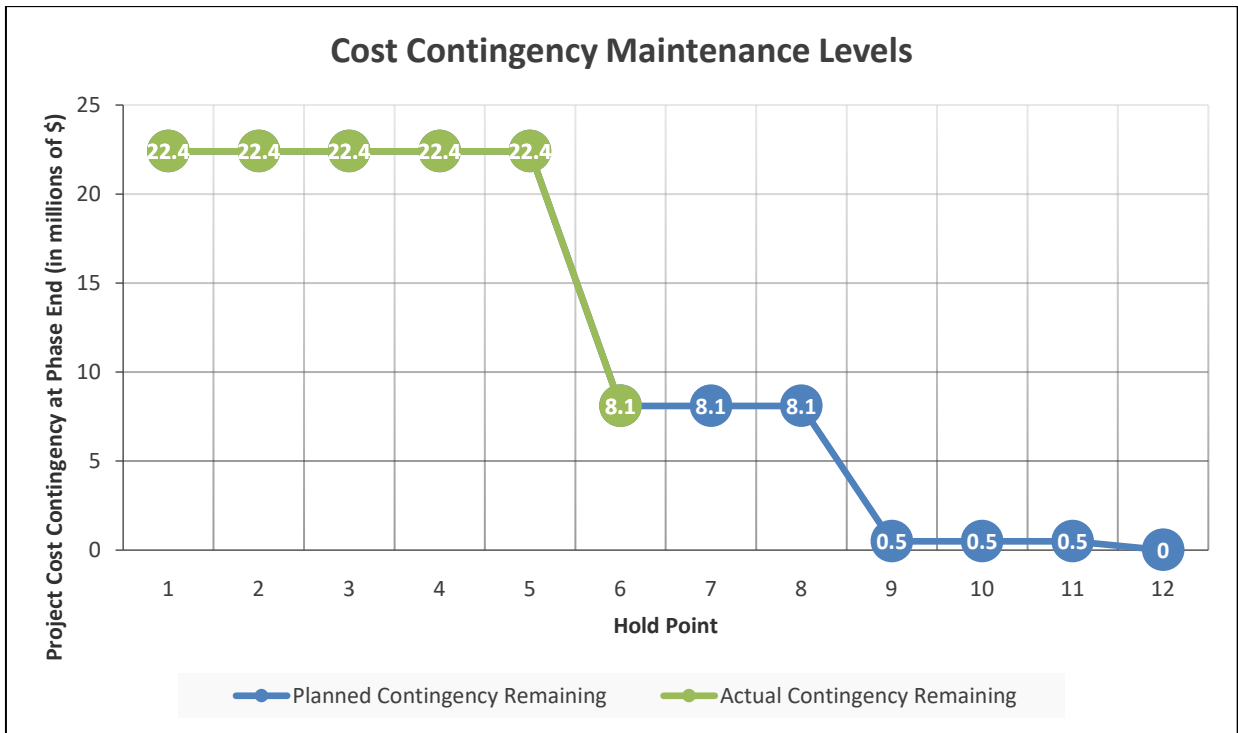
8.0 Risks

CATS has developed a Risk and Contingency Management Plan that describes the procedures CATS will use to manage risks to the Project budget and schedule. The Risk and Contingency Management Plan originally issued as a draft in October which included comments received at the Risk Assessment Workshop held on September 29-30, 2015, was reissued for review. The Risk and Contingency Management Plan was officially adopted by the PMT in March 2017 and signed in April 2017. The Project was operating under a draft RCMP, prior to formal adoption of the plan. The RCMP was adopted after the acceptance of the construction bids and included the contingency drawdowns based on the actual construction contract. The contingency drawdown charts are shown below. The charts are reviewed at milestones/ hold points. The Risk Register is monitored monthly.

CityLYNX Gold Line Phase 2 Project Milestones / Hold Points

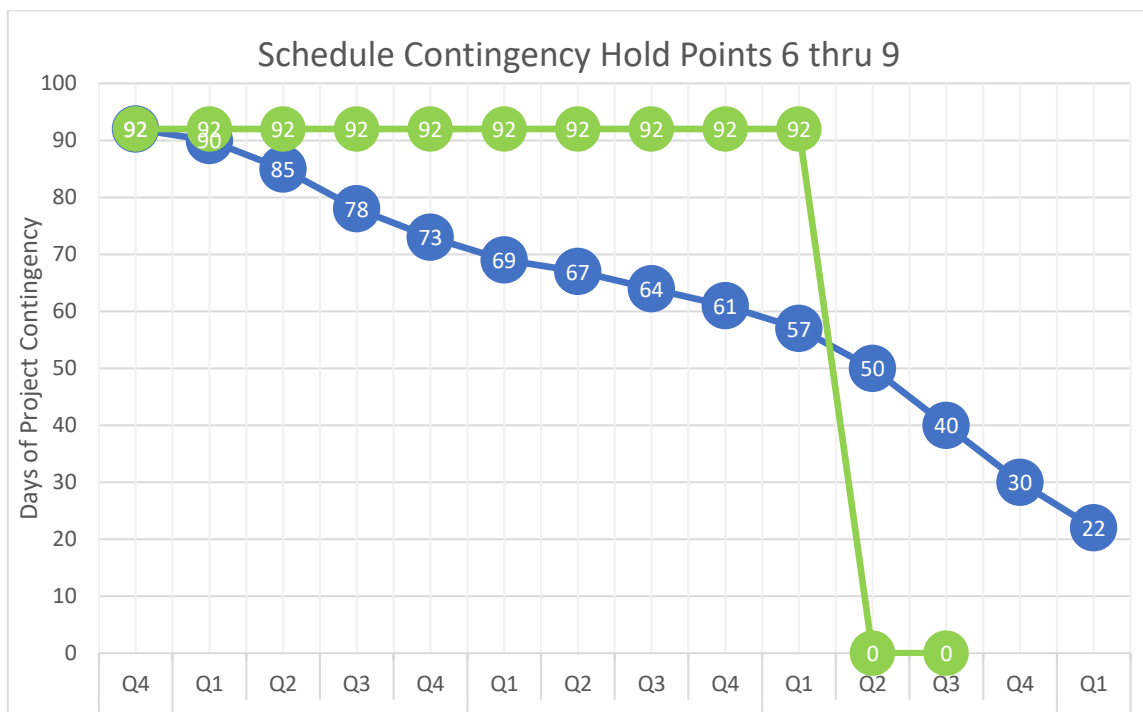
Milestone	Project Milestone	Milestone Target
1	LONP for Vehicle Procurement	January 2016
2	Vehicle Procurement Bid Advertisement	April 2016
3	Project Construction Bid Advertisement	April 2016
4	Issuance of Small Starts Funding Grant Agreement (SSGA)	May 2016
5	Vehicle Procurement Contract Award	November 2016
6	Construction Contract Award	November 2016
7	Vehicle Burn-In (first vehicle)	November 2019
8	System Integrated Testing (begin)	December 2019
9	Substantial Project Construction Completion	February 2020
10	Pre-Revenue Service Testing (begin)	March 2020
11	Target Revenue Service Date	May 2020
12	SSGA Revenue Service Date	August 2020

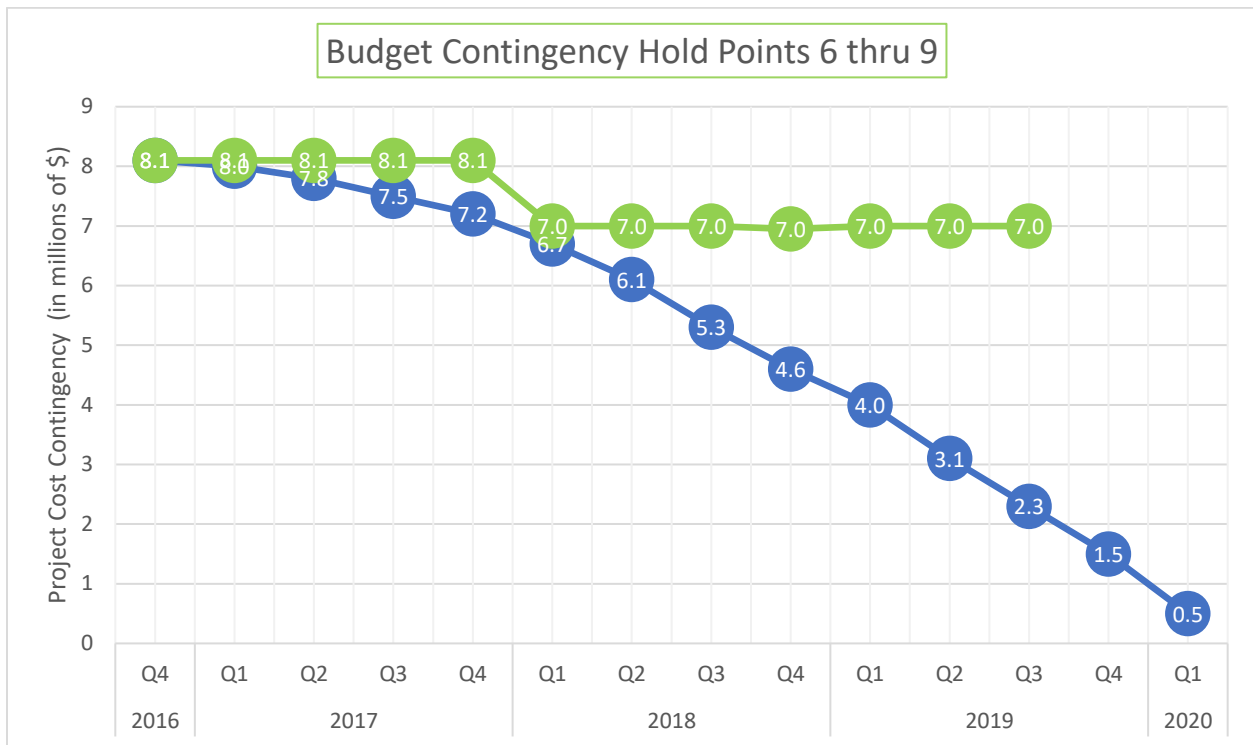




During the bid phase, less than 4 months (112 days) of schedule contingency was used for the rebid process. After the bids were received, \$14.3M budget contingency was used. This was reflected in the adopted RCMP.

The majority of the schedule contingency and cost contingency is scheduled to be drawn down during the construction phase of the project which is represented by hold points 6 thru 9. The following graphs depicting schedule and cost contingency have been added to supplement the RCMP maintenance level graphs above.





The Risk Register was reviewed by the Project Management Team in August 2018 and one new risk item related to the City’s hosting of the RNC in August 2020 was added. No items were retired. This new risk item # 54 is ranked #3 and is included in the top 10 risks listed in the Risk Register.

In February 14, 2019 the PMT added a new stand-alone construction risk associated with the Hawthorne Lane bridge. Hawthorne Lane Bridge Delay is Risk item #55 and is ranked #4. It is rated 3 for Probability, 3 for Cost Impact and 3 for Schedule Impact. This risk is tied for our highest-ranking risks on the project.

Risk Category Legend

D=Design
R=Regulatory
P=Procurement
C=Construction

Risk Matrix

Legend	Low (1)	Medium (2)	High (3)
Probability	< 10%	10% - 25%	> 25%
Cost	< \$100k	\$100k - \$500k	> \$500k
Schedule	< 1 month	1 - 3 months	> 3 months
Rating	<= 6.0	6.1 - 12.0	12.1 - 18.0

October 31, 2019

Current Rank	Risk ID	FTA SCC	Discipline	Risk Category	Risk Description (Event and Outcome)	Responsibility	Probability [P]	Cost Impact [C]	Schedule Impact [S]	Risk Rating P*(C+S)	Mitigation	Date Added	Status	Date Closed	Monthly Status Report - Oct 2019
1	52	All	Construction	C	Gateway Station Bridge over Trade Street could have impacts on the construction and testing schedule of the GL2	T. Wimberly	3	3	3	18	Increase coordination efforts with NCDOT and consider going wireless in this stretch until Gateway Bridge is constructed.	Jul-17	Open		Meeting monthly with NCDOT regarding their design. NCDOT bid the center pier for the Trade Street Bridge separately in January 2018. Construction began in April 2018 and was completed in late 2018. The CGS project was awarded to Crowder in June 2018. Both end bents were completed in mid-2019, and girders have been set. CGS is working on decking.
2	20	All	Construction	C	Civil Contractor is ineffective in project specific trades like project management, rail installation and bridge construction resulting in poor budgeting, scheduling, construction, and/or quality	T. Wimberly	3	3	3	18	Include specific trades within the contractor pre-qualification process.	Jul-15	Open		Contractor's qualification statement for the prime and major subs was submitted with bid documents in November 2016 and found to be acceptable. The contractor's progress has not gone as planned. The PMT decided in November 2017 to look at re-rating this risk. In January 2018 this risk was re-rated. Progress is being monitored monthly during construction. City upper management is meeting with contractor upper management. Progress is still behind schedule.
3	54	All	Construction	C	City's Hosting of the RNC, tentatively in August 2020, may impact the availability of the worksite and the schedule for project completion including final certification and testing.	T. Wimberly	3	3	3	18	Continue to monitor date of event and dates and areas of work restrictions preceding and following the event. Work with contractor to accelerate work in the affected area if feasible.	Aug-18	Open		Mitigation strategies and impacts are being evaluated and the item will continue to be monitored. Allowed Phase 1 to be taken out of service in June 2019, prior to completion of the infrastructure, in order to allow platforms to be modified prior to the RNC prep activities. Contractor is working to complete trackwork and platform modifications near the arena in Spring 2020 prior to RNC.

Risk Category Legend

D=Design
R=Regulatory
P=Procurement
C=Construction

Risk Matrix Legend

Legend	Low (1)	Medium (2)	High (3)
Probability	< 10%	10% - 25%	> 25%
Cost	< \$100k	\$100k - \$500k	> \$500k
Schedule	< 1 month	1 - 3 months	> 3 months
Rating	<= 6.0	6.1 - 12.0	12.1 - 18.0

Current Rank	Risk ID	FTA SCC	Discipline	Risk Category	Risk Description (Event and Outcome)	Responsibility	Probability [P]	Cost Impact [C]	Schedule Impact [S]	Risk Rating P*(C+S)	Mitigation	Date Added	Status	Date Closed	Monthly Status Report - Oct 2019
4	55	40.00	Civil	C	Hawthorne Lane Bridge Delay	D. McDonald	3	3	3	18	1. Allow Contractor to pursue alternative design to modify existing girders and vertical profile to use existing girders. 2. Re-order steel girders and examine feasibility of phased opening if overall project delay exceeds 6 months .	Feb-19	Open		Contractor has submitted initial alternative in February 2019. The alternative was not feasible. Contractor has to remanufacture the girders. This risk will affect the substantial completion date by at least 6 months. Began setting new girders in October 2019 and will complete in early November. Girders will be adjusted to their final locations on bearings in December 2019.
5	1	40.00	Private Utility	C	Difficulty in scheduling of private utility relocations resulting in overcrowding of contractors, inefficient and multiple roadway, sidewalk, driveway closures, delay of Gold Line construction activities while waiting for private contractors to complete work	A. Widenhouse	3	1	3	12	Coordinate with private utilities as early and efficiently as possible to obtain relocations and set construction schedules.	Jul-15	Open		Duke relocated the downtown underground ductbank from May 23, 2016 to February 27, 2017. Duke overhead relocation on Hawthorne began in mid-August 2016 and completed in January 2017. Duke began their relocation on Beatties Ford Overhead in November 2016 and completed in March 2017. PNG began relocations on Hawthorne Lane in October 2016 and completed in March 2017. Duke completed the underground on Beatties Ford in January 2017. Level 3 completed their overhead to underground relocation on Beatties Ford in March 2017. AT&T has completed relocations on Beatties Ford and is still completing punchlist items on Hawthorne.
6	2	10.00	Traffic Control	C	Traffic control impacts to Highway 74 during the demolition and reconstruction of the Hawthorne Lane bridge require bridge work to only occur during small periods of time each day and delay the project schedule.	T. Wimberly	2	3	3	12	Maintain frequent coordination with NCDOT. Especially coordinate with concurrent NCDOT project on Highway 74 to optimize opportunity to combine traffic control as possible	Jul-15	Open		NCDOT comments were incorporated into the final plan and approved in August 2016. The timeframes for work were included in the project specifications. NCDOT approved the traffic control plan in August 2017. Lane closures are allowed from 9pm to 6am Sunday thru Thursday. As of October 2017, single lane closures on US 74 are allowed daily from 9am-3pm and on weekends both during the daytime and at nighttime. Bridge demolition completed in January 2018. The contractor implemented the same plan for demo and erection of the replacement girders.
7	6	40.00	Private Utility	C	Unknown utility conflicts are discovered during the construction phase requiring private utility involvement and/or public utility redesign resulting in construction delays	C. Jiles	3	1	3	12	Maintain efficient methods of coordination with private utilities so response is quick.	Jul-15	Open		Design team held weekly utility coordination conference calls to monitor utility relocation progress during design. In March 2017, the team began holding bi-weekly utility meetings with the Contractor and active utilities. Monitored during construction.

Risk Category Legend

D=Design
R=Regulatory
P=Procurement
C=Construction

Risk Matrix Legend

Legend	Low (1)	Medium (2)	High (3)
Probability	< 10%	10% - 25%	> 25%
Cost	< \$100k	\$100k - \$500k	> \$500k
Schedule	< 1 month	1 - 3 months	> 3 months
Rating	<= 6.0	6.1 - 12.0	12.1 - 18.0

October 31, 2019

Current Rank	Risk ID	FTA SCC	Discipline	Risk Category	Risk Description (Event and Outcome)	Responsibility	Probability [P]	Cost Impact [C]	Schedule Impact [S]	Risk Rating P*(C+S)	Mitigation	Date Added	Status	Date Closed	Monthly Status Report - Oct 2019
8	10	40.00	Traffic Control	D	Construction sequencing developed during the design phase, including determining, organizing, and maintaining road closures, does not translate to real world environment during construction resulting in delays and extra cost	T. Wimberly	3	2	2	12	Construction sequencing workshops with City staff and general contractors will occur to identify pros and cons of current design.	Jul-15	Open		In October 2015, City staff reviewed the construction sequencing and made significant changes to the traffic control plan. These changes were incorporated into the plans, specifications, and cost estimate. Staff is working with the contractor monthly on his work schedule and sequencing. The City has allowed the contractor to resequence work in order to make up time.
9	11	60.00	Real Estate/ROW	P	Design revisions during construction may require additional right-of-way resulting in project delays and increased cost	A. Widenhouse	2	2	3	10	Carefully consider real estate impacts during design revisions and avoid impacts where possible, using alternative design and/or construction methods as possible	Jul-15	Open		The real estate needs on the plans were reviewed in October 2015, December 2015, and again in February 2016 to ensure that enough easement was obtained. Redesign is being monitored during construction as changes occur. No additional real-estate needs are anticipated at this time.
10	27	40.00	Construction	C	City Project (Frazier Avenue Realignment) is not in place for use as an alternative traffic route during GL2 construction resulting in traffic control changes, delays and cost impacts	T. Wimberly	2	2	3	10	City will attempt to advance execution of Frazier Avenue Relocation project	Jul-15	Open		The City designed the Frazier Avenue Realignment project. The designer for GL2 coordinated with the designer for Frazier. Frazier was incorporated into the bid package for GL2 which was advertised in April 2016 and in the readvertisement in September 2016. Frazier is in the contractors schedule with grading completed. The contractor chose to not complete the Frazier Avenue realignment prior to installing trackwork. Thus the Frazier work occurs later in the contractor's schedule.

9.0 Safety and Security

9.1 Safety & Security Activities

- The Gold Line Phase 2 Project was included in the SSP and SSPP documents that were adopted in February 2016, 2017, and 2018.
- The PHA and TVA were approved as noted at the November 16, 2015 SSRC meeting. The PHA and TVA were finalized and signed in January 2016.
- The SSMP and the SSCP were signed on November 24, 2015. SSMP Revision 1 dated July 2019 and SSCP Revision 1 dated July 2019 were released after final approval in September 2019.
- The Design Criteria Conformance Checklists (DCCC) were compiled based on the Project Design Criteria. They were reviewed by the team in January 2016. They were formally accepted by the PMT in April 2016. The consultant prepared the exceptions list. A partial list was provided for the PMT to review in March 2016. The PMT approved the exceptions in April 2016. The DCCC, including the exceptions, were updated based on the final conformed plans dated December 2016. The DCCC were signed in July 2017. Ten additional exceptions were generated and were approved by the PMT in September 2017.
- The Design Criteria Conformance Checklist for items associated with the vehicle design and manufacture were compiled based on the Siemens vehicle. These items are included in the Vehicle Safety Certification Package.
- The PHA/TVA items associated with the infrastructure design package were closed in April 2016. The PHA and TVA include vehicle hazards and threats. The project team has organized the PHA/TVA items into six (6) categories for tracking and has identified items that can be closed.
- In December 2016, staff began developing the Construction Specification Conformance Checklist (CSCC) associated with the construction contract.
- A Safety and Security Workshop was held in July 2017 and was attended by staff and consultants (LTK, AECOM and Dovetail). The vehicle DCCC and PHA/TVA items were reviewed, and revisions are being incorporated into these documents to address staff comments. The draft checklists numbers have been incorporated into the CEL/CIL Summary Table. The CSCC have been finalized and a tracking spreadsheet has been generated to show what items have been closed to date through design or submittals.
- Vehicle manufacturer, Siemens, has begun submitting design packages as part of their Final Design Review process. As these are approved by CATS, Vehicle Safety Certification and PHA/TVA items will be closed as appropriate.
- Also in July 2017, a Tabletop and Full-Scale Exercise preliminary meeting was held and planning and milestone dates were established for each. Follow up planning exercises for the Tabletop and Full Scale were held in May 2018.
- In March 2017, the contractor, Johnson Bros., began submitting weekly and monthly safety reports as required in the contract documents. There were no lost work incidents reported during this quarter.
- In October 2018, a draft Start Up and Testing Plan was developed. The draft plan has been routed for review and the project team will meet bi-monthly to discuss the comments and further development of the plan

Upcoming Safety and Security activities:

- Monitor and close PHA/TVA items as submittals allow
- Monitor and close CSCC items as submittals allow
- Discuss Plans/Procedures development strategies with staff and consultants
- Hold Tabletop and Full-Scale Planning Meetings

The project team meets with the Safety and Security Review Committee (SSRC) monthly regarding the project.

- The SSRC meetings were held in September, October and November 2019.

9.2 Updates Checklists

The Certifiable Elements/Items List (CEL/CIL) as adopted on November 24, 2015 is included in the table below. The FTA Safety and Security Checklist along with the CEL/CIL checklist are included in the Monthly Report

CITYLYNX GOLD LINE PHASE 2

Updated 11/5/2019

SAFETY AND SECURITY CERTIFICATION STATUS REPORT				
CEL / CIL SUMMARY TOTALS				
Certifiable Element	Number of Items	Items Completed	Items In Progress	Percent Complete
Design Criteria Conformance	301	277	24	92%
Bridges and Retaining Walls	37	37	0	100%
Civil/Infrastructure	39	39	0	100%
Stops	32	32	0	100%
Traction Power	34	34	0	100%
Track	35	35	0	100%
Public Utilities	9	9	0	100%
Landscaping (ON HOLD)	24	0	24	0%
Stray Current / Corrosion Control	44	44	0	100%
Traffic Control	16	16	0	100%
Exceptions	31	31	0	100%
Construction Specification Conformance	139	38	101	27%
Bridges and Retaining Walls	6	0	6	0%
Civil/Infrastructure	18	2	16	11%
Stops	15	0	15	0%
Traction Power	29	10	19	34%
Track	30	3	27	10%
Public Utilities	0	0	0	0%
Landscaping (ON HOLD)	0	0	0	0%
Stray Current / Corrosion Control	28	14	14	50%
Traffic Control	0	0	0	0%
Exceptions	0	0	0	0%
TPSS #19 Specific Items	13	9	4	69%
Vehicle Safety Certification	237	156	81	66%
System Safety Plans	5	5	0	100%
System Security Plans / Procedures	2	1	1	50%
Operations and Maintenance Plans / Procedures	10	1	9	10%
System Integration Testing Plans / Procedures	3	0	3	0%
Hazard Resolutions:				
Design Verification	198	175	23	88%
Specification Verification	7	6	1	86%
Public Policy / Procedure Verification	17	0	17	0%
Construction / Testing Verification	108	1	107	1%
System Integrated Testing Verification	6	0	6	0%
Operations / Maintenance Procedure Verification	118	0	118	0%
Hazard Total	454	182	272	40%
Threats and Vulnerabilities Resolutions:				
Design Verification	28	23	5	82%
Specification Verification	0	0	0	----
Public Policy / Procedure Verification	11	0	11	0%
Construction / Testing Verification	21	0	21	0%
System Integrated Testing Verification	0	0	0	----
Operations / Maintenance Procedure Verification	29	0	29	0%
Threats/Vulnerabilities Total	89	23	66	26%
	1,240	683	557	55%

 = items completed number has changed since last update

**SAFETY AND SECURITY CERTIFICATION STATUS REPORT
PLANS / PROCEDURES CONFORMANCE**

Certifiable Element	Certifier	Number of Plans	Completed	Date Completed or Scheduled Completion Date	Status	Assigned to	Comments
SYSTEM SAFETY							
Design Criteria Manual	CATS / E&PM	1	1	Sep-15	Complete	Andy Widenhouse	
Accident/Incident Investigation Plan	CATS	1	1	Mar-19	Complete	David Moskowitz	
Safety and Security Management Plan (SSMP)	CATS / E&PM	1	1	Jan-16	Complete	Tonia Wimberly	Revision 0 was adopted in November 2015 and signed in January 2016. Revision 1 adopted in 2018. In Progress revision for Rev 2
Safety and Security Certification Plan (SSCP)	CATS / E&PM	1	1	Jan-16	Complete	Tonia Wimberly	Revision 0 was adopted in November 2015 and signed in January 2016. Revision 1 adopted in 2018. In Progress revision for Rev 2
System Safety Program Plan (SSPP)	CATS	1	1	Mar-19	Complete	Celia Gray / David Moskowitz	Revision 14 February 2017 included the GL2 for Project Development. To be updated prior to Revenue Service and upon adoption of 49CFR673. Revision 15 March 2019
SYSTEM SECURITY							
Emergency Preparedness and Continuity Plan (EPCP)	CATS	1	0	Sep-19	In Progress	David Moskowitz / BJ Johnson	
System Security Plan (SSP)	CATS	1	1	Feb-17	Complete	Celia Gray / BJ Johnson	Revision 14 February 2017 included the GL2 for Project Development. To be updated prior to Revenue Service in 2020
OPERATIONS AND MAINTENANCE							
Drug & Alcohol Testing Program/Procedures	City of Charlotte – Human Resources	1	1	Aug-16	Complete	Monique	The operators and maintenance staff are included in the existing Drug & Alcohol Testing Program
Inspection and Maintenance Policies/Procedures	CATS	1	0	Mar-20	In Progress	Andy Widenhouse / Stephen Newcomb / Thurston Davis	
Maintenance Manuals	CATS	1	0	May-20	In Progress	Andy Widenhouse / Gary Lee / Dennis Thompson / Stephen Newcomb	individual portions received from contractor then processed by CATS
Operating Policies/Procedures	CATS	1	0	Mar-20	In Progress	Marie Darby	
Operations & Maintenance Plan	CATS	1	0	Mar-20	In Progress	Gary Lee / Stephen Newcomb / Thurston Davis	
Rail Operations Control Center (ROCC) Procedure	CATS	1	0	Mar-20	In Progress	Tonia Wimberly / Marie Darby	ROCC Procedures Manual
Rule Book	CATS	1	0	Mar-20	In Progress	Tonia Wimberly / Marie Darby	
Operations & Maintenance Training Plan	CATS	1	0	Sep-19	In Progress	Tina Hall	
Training Program	CATS	1	0	Oct-19	In Progress	Tina Hall	
Training Certifications (Initial and Continuing)	CATS	1	0	Mar-20	In Progress	Tina Hall	
SYSTEM INTEGRATION TESTING							
Start Up and Testing Plan (System Integration Tests, Pre-Revenue Operations Tests)	E&PM / CATS	1	0	Sep-19	In Progress	Tonia Wimberly / Marie Darby	Pre-Revenue Operations Plan will be appended to System Start-Up and Testing Plan
System Readiness Drills (TTX)	E&PM / CATS	1	0	Feb-20	In Progress	Andy Widenhouse	
System Readiness Drills (FSE)	E&PM / CATS	1	0	May-20	In Progress	Andy Widenhouse	

	20	7
% Complete	35%	

Updated 5/13/2019

FTA Safety and Security Checklist

Project Overview			
Project Mode (Rail, Bus, BRT, Multimode)	Rail		
Project Phase (PE, Final Design, Construction, Start-Construction)	Construction		
Project Delivery Method (Design/Build, DBOM, CMGC, etc.)	DBB		
Project Plans	Version	FTA	Status
Safety and Security Management Plan (SSMP)	0	Y	<u>SSMP Rev. 1 to PMOC for review in Nov 2019</u>
Safety and Security Certification Plan (SSCP)	0	Y	<u>SSCP Rev. 1 to PMOC for review in Nov 2019</u>
System Safety Program Plan (SSPP)	14	TBD	<u>Rev 15 is complete. Agency Safety Plan will be finalized by 7/20/20.</u>
System Security Plan (SSP) or Security and Emergency Preparedness Plan (SEPP)	14	TBD	The SSP is reviewed annually in February. The plan currently includes the project in design/construction. The documents will be updated for GL2 prior to revenue service.
Construction Safety and Security Plan (CSPP)		Y	The GL2 SSMP Section 8, Construction Safety and Security includes the requirements for construction safety and security. CATS requires construction contractors to develop a project-specific construction safety and security plan. This requirement is in the Project Specifications for the construction contract. The CSPP was approved in March 2017.

Area of Focus	Y/N	Notes/Status
Safety and Security Authority		
Is the Project Sponsor subject to 49 CFR Part 659 state safety oversight requirements?	Y	The agency has been operating under 49 CFR Part 659 since 2007 and will operate under 49 CFR Part 673 effective July 2020
Has the state designated an oversight agency as per 49 CFR Part 659.9?	Y	North Carolina DOT is the SSOA
Has the oversight agency reviewed and approved the Project Sponsor's Security Plan or SSPP as per 49 CFR Part 659.17?	Yes	NCDOT reviews and approves the CATS SSPP and SSP on an annual basis. The current version of the plans are approved and in effect. CATS conducts an annual review of the SSPP and SSP. Each plan has been identified as a certifiable item in the GL2 SSCP and will be updated for GL2 prior to revenue service.
Did the oversight agency participate in the last Quarterly Program Review Meeting?	Y	NCDOT SSO participates in the FTA quarterly meetings by calling into the meetings. In addition, SSO & CATS hold separate quarterly meetings as required by 49 CFR Part 674.
Has the Project Sponsor submitted its safety certification plan to the oversight agency?	Y	The SSCP was submitted to NCDOT SSO on 10/15/15. The updated Revision 1 was submitted in September 2019
Has the Project Sponsor implemented security directives issued by the Department of Homeland Security and/or Transportation Security Administration?	N/A	CATS has not received a grant from DHS/TSA for the GL2 project. No security directives are applicable to the GL2 project.
SSMP Monitoring		

Is the SSMP project-specific, clearly demonstrating the scope of safety and security activities for this project?	Y	The GL2 SSMP Section 1, discusses the safety and security program purpose, scope, goals, objectives and activities specific to the GL2 project. <ul style="list-style-type: none"> •
Does the Project Sponsor review the SSMP and related project plans to determine if updates are necessary?	Y	SSMP was reviewed and updated July 2019
Does the Project Sponsor 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 GL2 SSMP Section 2, describes the safety and security tasks of the project through all phases, including the procedures and resources, and interface between the various project team functions regarding safety and security issues. Specifically, the SSMP describes the interface between executive management, CATS Safety & Security, the GL2 Project Team, Safety and Security Review Committee, Fire Life Safety Committee, testing group and others.
Does the Project Sponsor maintain a regularly scheduled report on the status of safety and security activities?	Y	The Quarterly FTA report and the SSRC minutes include the status of S&S activities. S & S activities and milestones are included in the overall project schedule.
Has the Project Sponsor established staffing requirements, procedures and authority for safety and security activities throughout all project phases?	Y	CATS has a Safety and Security Division currently in place. The SSMP, Section 2.2 and Table 2.2-1, reflects the staffing requirements and the roles and responsibilities for the staff for GL2.
Does the Project Sponsor update the safety and security responsibility matrix/organizational chart as necessary?	Y	The GL2 SSMP, , Section 2.2 includes a responsibility matrix for all stakeholders of the project. The matrix is updated with each SSMP update.
Has the Project Sponsor allocated sufficient resources to oversee or carry out safety and security activities?	Y	The GL2 SSMP, Section 3, Assignment of Safety and Security Responsibilities demonstrates sufficient resources have been allocated to the GL2 project, including: <ul style="list-style-type: none"> • CATS Executive Management • CATS Safety and Security • Rail Operations • Rail Maintenance • Technology • Engineering & Property Management • Construction Management • Procurement • Community Relations • County/City Police, Water, and Fire Departments • Design Consultants • Safety and Security Consultants • Construction Contractors • Project Committees

Has the Project Sponsor developed hazard and vulnerability analysis techniques, including specific types of analysis to be performed during different project phases?	Y	<p>The GL2, SSMP Section 4, Safety and Security Analysis describes the hazard and vulnerability analysis techniques for the GL2 project. The analysis techniques are further described in the GL2 SSCP. The preliminary hazard and vulnerability analyses are complete and have been documented as follows:</p> <ul style="list-style-type: none"> • TVA's were performed during Project Development. TVA Rev 0 was officially adopted in November 2015 and signed by the City in January 2016. • PHA's were performed during Project Development. PHA Rev 0 was officially adopted in November 2015 and signed by the City in January 2016.
Area of Focus	Y/N	Notes/Status
Does the Project Sponsor implement regularly scheduled meetings to track to resolution any identified hazards and/or vulnerabilities?	Y	SSRC meetings are held at least once every two months. The GL2, SSMP, Rev 0, Sections 2.3 and 3.10, describe the committees involved in hazard and threat management project for the project.
Does the Project Sponsor monitor the progress of safety and security activities throughout all project phases? Please describe briefly.	Y	Progress is monitored by the project team and reported at the SSRC meetings.
Does the Project Sponsor ensure the conduct of preliminary hazard and vulnerability analyses? Please specify the analyses conducted.	Y	<p>The GL2, SSMP, Section 4, Safety and Security Analysis describes the hazard and vulnerability analysis techniques for the GL2 project. The analysis techniques are further described in the GL2 SSCP. The preliminary hazard and vulnerability analyses are complete and have been documented as follows:</p> <ul style="list-style-type: none"> • TVA's were performed during Project Development. TVA Rev 0 was officially adopted in November 2015 and signed by the City in January 2016. • PHA's were performed during Project Development. PHA Rev 0 was officially adopted in November 2015 and signed by the City in January 2016.
Has the Project Sponsor ensured the development of safety design criteria?	Y	Safety elements are integrated in the project Design Criteria. The GL2 SSMP, Section 5, Safety and Security Design Criteria describes the process used by CATS to integrate safety into the project Design Criteria.
Has the Project Sponsor ensured the development of security design criteria?	Y	Security elements are integrated in the project Design Criteria. The GL2 SSMP, Section 5, Safety and Security Design Criteria describes the process used by CATS to integrate security into the project Design Criteria.

Has the Project Sponsor ensured conformance with safety and security requirements in design?	Y	<p>The GL2 SSMP, Section 5.1.6, Conformance Checklists, describes the process being used by CATS to ensure conformance with safety and security requirements in design. The process is further described in the GL2 SSCP.</p> <ul style="list-style-type: none"> The design criteria conformance checklists have been prepared and checked against the final design. Checklists have been prepared and signed. Exceptions have been generated and approved.
Has the Project Sponsor verified conformance with safety and security requirements in equipment and materials procurement?	TBD	<p>The GL2 SSMP, Section 5.1.6, Conformance Checklists, describes the process that will be used by CATS to ensure conformance with safety and security requirements in equipment and materials procurement.</p> <ul style="list-style-type: none"> The vehicles and the construction contracts have been reviewed by CATS for conformance with safety and security requirements. CATS reviews contractor submittals for safety and security conformance upon receipt.
Has the Project Sponsor verified construction specifications conformance?	TBD	<p>The GL2 SSMP, Section 5.1.5, Construction / Manufacturing Verification, describes the process that will be used by CATS to verify construction specification conformance.</p> <ul style="list-style-type: none"> The construction specification conformance checklist has been reviewed by CATS. Completion of these checklist items will be ongoing throughout construction.
Has the Project Sponsor identified safety and security critical tests to be performed prior to passenger operations?	TBD	<p>The GL2 SSMP, Section 2.4, Interface with Management provides an overview of the System Integrated Testing Program that will apply to the project.</p> <ul style="list-style-type: none"> A separate plan from the SSMP will be developed that identifies the safety and security critical tests and procedures for the GL2 project.
Has the Project Sponsor verified conformance with safety and security requirements during testing, inspection and start-up phases?	TBD	<p>The GL2 SSMP Section 7.3, Integrating Testing and Inspection Verification describes the process CATS will use to verify conformance with safety and security requirements during testing, inspections, and start-up. This process is further described in the GL2 SSCP.</p> <ul style="list-style-type: none"> This activity will take place during the construction and start-up and testing phases.
Has the Project Sponsor evaluated change orders, design waivers, or test variances for potential hazards and/or vulnerabilities?	Y	<p>The GL2 SSMP Section 5.3, describes the process CATS used to evaluate design variances.</p> <ul style="list-style-type: none"> Design changes were reviewed prior to finalizing the construction plans for bid. <p>The GL2 SSMP describes the process CATS uses to evaluate change orders during construction and variance requests during testing.</p>

Has the Project Sponsor ensured the performance of safety and security analyses for proposed work-arounds?	TBD	The GL2 SSCP Sections 7 and 12 describe the process that will be used by CATS to perform safety and security analyses of proposed work-arounds.
Has the Project Sponsor demonstrated through meetings or other methods the integration of safety and security in the following: <ul style="list-style-type: none"> • Activation Plan and Procedures • Integrated Test Plan and Procedures • Operations and Maintenance Plan • Emergency Operations Plan 	TBD	The GL2 SSMP Section 7 describes how CATS will demonstrate the integration of safety and security in the Integrated Testing, Start-Up and Testing, and Operations and Maintenance Readiness processes. <ul style="list-style-type: none"> • Separate plans from the SSMP including a System Integrated Test Plan, Start-Up Plan (also known as a Rail Activation Plan), and Operation and Maintenance Plan will be developed during the construction phase.
Has the Project Sponsor issued final safety and security certification?	TBD	The GL2 SSMP Section 7.6, Safety and Security Certification Requirements describe the process that will be used by CATS to issue conformance certificates and a final report for safety and security certification.
Has the Project Sponsor issued the final safety and security verification report?	TBD	The GL2 SSMP Section 7.6, Safety and Security Certification Requirements describe the process that will be used by CATS to issue conformance certificates and a final report for safety and security certification.
Construction Safety		
Does the Project Sponsor have a documented/implemented Contractor Safety Program with which it expects to comply?	Y	The GL2 SSMP Section 8, Construction Safety and Security Program includes the requirements for safety and security during construction. Per the construction contract, the contractor developed a Construction Safety and Security Plan. This plan was approved in March 2017.
Does the Project Sponsor's contractor(s) have a documented company-wide safety and security program plan?	Y	The GL2 SSMP Section 8, Construction Safety and Security Program includes the requirements for construction safety and security. CATS requires construction contractors to develop a project-specific construction safety and security plan. <ul style="list-style-type: none"> • Per the construction contract, the contractor developed a Construction Safety and Security Plan. This plan was approved in March 2017.
Does the Project Sponsor's contractor(s) have a site-specific safety and security program plan?	Y	The GL2 SSMP Section 8, Construction Safety and Security Program includes the requirements for construction safety and security. CATS requires construction contractors to develop a site-specific construction safety and security plan. <ul style="list-style-type: none"> • Per the construction contract, the contractor developed a Construction Safety and Security Plan. This plan was approved in March 2017.
How do the Project Sponsor's OSHA statistics compare to the national average for the same type of work?	TBD	This information is required monthly from the contractor and will be included in the FTA quarterly report throughout construction.

If the comparison is not favorable, what actions are being taken by the Project Sponsor to improve its safety record?	TBD	If this report is not favorable, the contractor has to submit and implement mitigation measures. Should this occur a discussion will be included in the FTA quarterly report.
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Federal Railroad Administration

Area of Focus	Y/N	Notes/Status
If shared track: has the Project Sponsor submitted its waiver request application to FRA? (Please identify specific regulations for which waivers are being requested.)	N/A	The GL2 SSMP, Section 10, FRA Coordination explains that the GL2 project does not meet any conditions that trigger FRA coordination.
If shared corridor: has the Project Sponsor specified specific measures to address safety concerns?	N/A	---
Is the Collision Hazard Analysis underway?	N/A	---
Other FRA required Hazard Analysis – Fencing, etc.?	N/A	---
Does the project have Quiet Zones?	N/A	---
Does FRA attend the Quarterly Review Meetings?	Y	FRA is invited to attend the meetings.

10.0 Project Development

10.1 Real Estate Acquisition

Current # of Parcels	# Final Plats Completed	# Appraisals Completed	# Offers Made	# Signed Agreements Closing Pending	Acquisition Parcels Acquired	<u>Condemnations Filed</u>	<u>Settled Condemnations</u>
32	32	32	32	0	21	11	4

Status

The 33 parcels identified require easements. Thirteen parcels were identified as priority parcels in order to facilitate utility relocations.

In September 2016, 8 priority parcels were sent to Council to begin condemnation proceedings. These were parcels 45, 54, 56, 58, 63, 65, 67, and 69. The condemnation for Parcels 45, 56, 58, 63, 65, 67, and 69 was filed in October 2016. The condemnation for Parcel 54 was filed in early November 2016.

In October 2016 during the relocation of the overhead power lines, a field change was made which eliminated Parcel 209 from the priority parcels list. The remaining twelve priority parcels were acquired as of November 2016.

In November 2016, 3 parcels were sent to Council to begin condemnation proceedings. These were parcels 59, 61, and 303. The condemnation for Parcels 59, 61, and 303 were filed in December 2016. The last remaining parcel, 209, closed in June 2017.

The City of Charlotte and Johnson C. Smith University (JCSU) entered into a real estate transaction agreement (a.k.a. real estate special provision) in lieu of fee: The special provision says the City of Charlotte will remove the university owned pedestrian bridge that currently crosses over Beatties Ford Road and construct a new at-grade pedestrian crossing at the proposed signalized intersection of the new JCSU entrance during GL2 construction; in exchange JCSU conveyed Easements to the City on which to place GL2 OCS poles, sidewalk and utility upgrades. The final terms of the agreement were based on the appraised value of the easements needed versus the cost of removing the pedestrian bridge. All of the appraisals for the five JCSU properties were completed as of July 2016. The easements were recorded in October 2016.

All parcels have been closed.

The condemnation was settled for parcels 54, 56, and 58 in November 2017. The condemnation has also been settled for parcel 45. Only condemnation proceedings on 7 parcels remain.

Upcoming Council Approval Agenda Items:

None

Parcels in Condemnation Proceedings:

59, 61, 303 (Trial date continued); 63, 65, 67, 69 (Trial date continued)

Parcels Acquired to Date (includes Acquisition: Parcels Acquired and Condemnations Filed):

18, 19, 20, 21, 22, 23, 25, 26, 27, 28, 34, 45, 54, 56, 58, 59, 61, 62, 63, 65, 67, 69, 71, 73, 81, 124, 209, 212, 222, 235, 243, 303

10.2 Environmental

The NEPA process was completed for the 10-mile CityLYNX Gold Line corridor in June 2011. A FONSI was issued June 2011.

10.3 Final Design

The track, civil, bridge, and systems plans are being designed and advanced as one procurement package.

- **Track/Civil:** Final plans and specifications were developed in April 2016 and the plan set was advertised on April 25, 2016. The bids were opened on July 1, 2016. The bids were reviewed and were determined to be unreasonable. The bids were rejected on July 20, 2016 and negotiations with the two bidders were held the first week in August 2016 to try to reach an agreeable price. In August 2016 negotiations were terminated and the City elected to re-bid the project. The project was re-bid on September 13, 2016, and the pre-bid meeting was held September 28, 2016. The bids were opened on November 1, 2016. The conformed plan set was issued in December 2016. Plan sheets are being reissued in response to Requests For Information (RFI's) and field changes as necessary. The plans were revised to reflect the extension of the off-wire segment from Tryon Street to Mint Street.
- **Systems:** The systems plans are included in the track and civil plan set. Final plans and specifications were developed in April 2016 and the plan set was advertised on April 25, 2016. The bids were opened on July 1, 2016. The bids were reviewed and were determined to be unreasonable. The bids were rejected on July 20, 2016 and negotiations with the two bidders were held the first week in August 2016 to try to reach an agreeable price. In August 2016 negotiations were terminated and the City elected to re-bid the project. The project was re-bid on September 13, 2016, and the pre-bid meeting was held September 28, 2016. The bids were opened on November 1, 2016. The conformed plan set was issued in December 2016. Plan sheets are being reissued in response to Requests For Information (RFI's) and field changes as necessary. The plans were revised to reflect the extension of the off-wire segment from Tryon Street to Mint Street.
- **Bridge:** Final plans and specifications were developed in April 2016 and the plan set was advertised on April 25, 2016. NCDOT final approval of the bridge plans was received in July 2016. The bids were opened on July 1, 2016. The bids were reviewed and were determined to be unreasonable. The bids were rejected on July 20, 2016 and negotiations with the two bidders were held the first week in August 2016 to try to reach an agreeable price. In August 2016 negotiations were terminated and the City elected to re-bid the project. The project was re-bid on September 13, 2016, and the pre-bid meeting was held September 28, 2016. The bids were opened on November 1, 2016. The conformed plan set was issued in December 2016. Plan sheets are being reissued in response to Requests For Information (RFI's) and field changes as necessary.

11.0 Third Party Coordination

11.1 Public Utilities

Sewer: The project is leaving the existing sewer system in place along the alignment. Charlotte Water, the sewer line owner and also a department of the City, is performing maintenance and lining of the existing sewer line. The Gold Line project planned to reconstruct the manholes that were in conflict with the track slab and relocate sewer segments that fell under stop platforms. Charlotte Water completed their plans and advertised for bids in June 2016. The contact was

awarded on September 12, 2016. Construction began in November 2016. This work was completed in December 2017. Charlotte Water negotiated with their contract to add the reconstruction of manholes and sewer relocation to their maintenance contract in order to accelerate the completion of the work. Charlotte Water was successful in negotiating these changes. In March 2018, the sewer relocation and manhole reconstruction was removed from the Gold Line contractor and added to the Charlotte Water contractor. Charlotte Water began the additional work in March 2018 and completed the work in June 2018 with the exception of the work in the 5 Points intersection.

Water: Charlotte Water, the water line owner and also a department of the City, has partnered with the project to improve their existing water main and increase capacity. The water line improvements will be performed in conjunction with the Gold Line project as a betterment. The waterline design is included in the Gold Line Phase 2 plan set and contract. The waterline work began on Hawthorne lane in early May 2017. The waterline on Hawthorne Lane between 5th Street and 7th Street was activated in January 2018. Waterline work continued on Hawthorne Lane between 7th Street and the Bridge and between the Bridge and Central Avenue. Waterline work continued on the west side of the project between French Street and the Charlotte Transit Center(CTC).

Storm: Storm Water Services, the storm system owner and a department of the City, has partnered with the project to improve their existing storm system along the alignment and increase capacity. The storm improvements will be performed in conjunction with the Gold Line project as a betterment. The storm water plans are included in the Gold Line Phase 2 plan set and contact. Storm Water Services also plans to perform maintenance work on their existing system utilizing existing maintenance contracts. The Irwin Creek outfall project began in late November 2016 and was completed in early February 2017. The French Street Outfall began in late February and was completed in July 2017. The Hawthorne Lane Outfall at 7th Street began in September 2017 and was completed in January 2018. Storm Water is in the process of procuring a contractor to perform the Central Avenue outfall. The work began in August 2019 and was completed in September 2019..

Art in Transit: As of the approval of the SSGA in May 2016, the Art-in-Transit program became a concurrent non-project activity (betterment) for the project. The art will be funded by local funds designated for art. The proposed artwork is integral to the stop platforms and shelters; thus we are reporting on the status of this activity. The City has received the first design for the shelter windscreens and platform surface treatment. The fabrication of the windscreens is scheduled to coincide with the schedule for completing the stop platforms.

11.2 Private Utilities

Duke Energy: Duke Energy has an agreement with the City for aerial facilities whereby the City and Duke will share in the relocation costs 60/40. This agreement was adopted in 1999 and has been in effect since. Duke finalized their design in February 2016. The contract for payment based on the City/Duke 60/40 agreement was approved by City Council on March 14, 2016. The Duke design was broken into 4 distinct areas as listed below.

- Downtown Underground Segment (I-77 to Phase 1 tie-in) –The construction was completed in February 2017.
- Beatties Ford Aerial (French Street to I-77) – Duke began work on October 27, 2016 and was completed in April 2017.
- Hawthorne Aerial (5th Street to Central Avenue) –Duke began the relocation work in mid-August 2016 and completed the work in January 2017.
- Streetlighting (entire corridor) – Duke has incorporated temporary lighting into their relocation plans. The permanent streetlighting duct bank is being installed with the Gold Line Project. Duke will install the light fixtures onto the OCS poles once they are erected by the Gold Line contractor. Duke has completed the installation of temporary lights on Hawthorne Lane and on Beatties Ford Road.

AT&T: AT&T has both underground and aerial telephone communications facilities on the project. AT&T chose to work the relocation for the project in segments. The open segments are as follows:

- Beatties Ford (French Street to Rozzelles Ferry) – AT&T proposed to relocate their existing aerial lines to underground. The plan was finalized in April 2016. AT&T submitted a right of way permit for this work in July

2016. The City approved their right of way permit in October 2016. AT&T looked at revising their design for this segment in order to avoid the Trade Street/ Rozzelles Ferry intersection but then decided to go with the original design in August 2017. AT&T began this work in October 2017 and completed the conduit duct bank installation in January 2018. AT&T completed conduit installation at the French Street intersection in July 2018. The fiber and cutover were completed in July 2019.

- Hawthorne (5th Street to Central Avenue) – AT&T proposed to relocate their existing aerial lines to underground. The plan was finalized in April 2016. AT&T was granted conditional approval in September 2016 to install a portion of this work from 7th Street to 8th Street in October 2016. AT&T began the relocation of aerial to underground from Central Avenue to the Hawthorne Lane Bridge in March 2017. In April 2017, NCDOT approved AT&T's encroachment agreement to be included in the storm drainage trench for the GL2 project. The contractor laid the AT&T line with the storm crossing in July 2017. AT&T completed the installation of conduit in January 2018. AT&T has pulled the new fiber and cutover to its new system in July 2019.

Piedmont Natural Gas (PNG): PNG has underground gas line facilities along the corridor. PNG has plans to upgrade their existing lines and relocate several existing lines along the corridor. In April 2016 PNG identified areas of work that will be performed during construction in conjunction with the Gold Line contractor. They also identified work that would be performed prior to October 2016. PNG submitted a plan for review and approval to proceed with their work on Hawthorne and in uptown ahead of the Gold Line construction. Their permit was approved in September 2016 and work began on the Hawthorne segment in October 2016. PNG has completed the Hawthorne work as of the end of March-2017. PNG began their uptown relocation work in February 2017 and completed their work in September 2017.

Time Warner Cable (TWC): TWC notified the City in December 2015 that they plan to relocate their system from aerial to underground on both Hawthorne Lane and Beatties Ford Road. TWC had to relocate off of the Hawthorne Lane bridge in order to keep service during construction. In July 2016, TWC received an aerial attachment permit from Duke Energy to cross US-74 at a new location so that they will not be attached to the Hawthorne Bridge. The City issued TWC right of way permits in October and December 2016 to relocate their facilities on Hawthorne Lane, Beatties Ford, and Trade Street. TWC started construction on Hawthorne Lane in February 2017 and cleared their facilities from the bridge at the end of April 2017. TWC has completed their work on Hawthorne Lane and Beatties Ford Road. They completed a run from Cedar Street to the Norfolk Southern Bridge in December 2017.

Telecommunication Companies: The UBO plans were updated to include Duke, AT&T, and PNG relocations in March 2016. The UBO plans and the utility conflict matrix were distributed to all utility companies including the telecommunication providers on March 28, 2016. In May 2016, the completed UBO plans were sent to the telecommunication companies. A meeting was held with the telecommunication companies to coordinate their relocation plans on June 2, 2016. The utility companies identified infrastructure that they would need to relocate. The telecommunication companies have completed their planned relocations as of February 2018

11.3 NCDOT Coordination

Encroachment Agreements for the Hawthorne Bridge, 7th Street, Graham Street, and I-77 Underpass were approved by NCDOT in September 2015. NCDOT revised the Encroachment Agreements based on the conformed plan set in April 2017.

11.4 Third Party Agreements

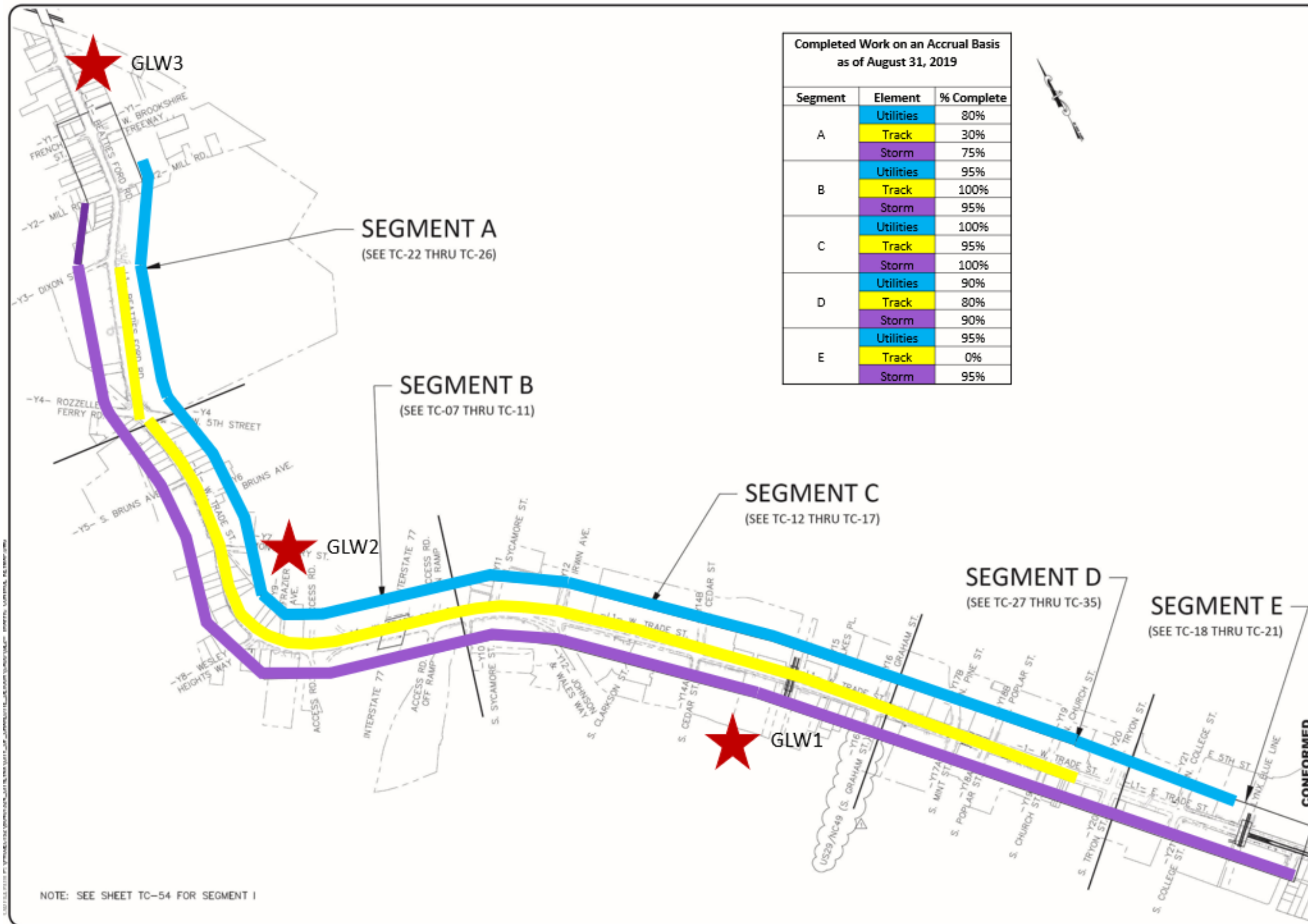
The critical third party agreements for the project are listed in the table below.

Agency	Agreement	Approval Date
NCDOT	Encroachment Agreement – I-77 OCS Poles & Hawthorne Lane Bridge Replacement	September 4, 2015 *updated April 10, 2017
NCDOT	Encroachment Agreement – Graham and 7 th Street Crossings	September 4, 2015 *updated April 10, 2017
Duke Energy Corporation	Standing Agreement for Overhead Utility Relocation	April 26, 1999

12.0 Construction

City Council awarded the construction contract to Johnson Bros. Corporation, a Southland Holding Company (JBC) on November 28, 2016. Johnson Bros. was the low bidder with a total bid price of \$94,103,520 including betterments and contingency. The formal groundbreaking ceremony was held on January 14, 2017. A Pre-Construction Conference and a Utility Pre-Construction Conference was held with City staff and the contractor staff on January 24, 2017. An Administrative-Notice to Proceed was issued to the contractor on January 24, 2017 to allow the contractor to begin submittals, paperwork, meetings, and material ordering. The Notice to Proceed was issued effective February 27, 2017.

The project has been divided into eight (8) segments for traffic control purposes. The segments are A-I with segment I being the existing CityLYNX alignment of 1.5 miles. The remaining segments are the areas of expansion. A map of the segments is included on the next page



Completed Work on an Accrual Basis as of August 31, 2019


Segment	Element	% Complete
A	Utilities	80%
	Track	30%
	Storm	75%
B	Utilities	95%
	Track	100%
	Storm	95%
C	Utilities	100%
	Track	95%
	Storm	100%
D	Utilities	90%
	Track	80%
	Storm	90%
E	Utilities	95%
	Track	0%
	Storm	95%

NOTE: SEE SHEET TC-54 FOR SEGMENT I




CHARLOTTE

Plans Prepared By:



URS
URS Corporation • North Carolina
1000 Park Road, Suite 200
Charlotte, North Carolina 28202
Phone: (704) 366-4400
License # 1-0000

NO.	DATE	BY	DESCRIPTION



2019-14-002 JOB NO. DATE	N.T.S. SCALE DATE
JMS PREPARED BY DATE	JMS CHECKED BY DATE

CONFORMED

CITYLYNX GOLD LINE

TRAFFIC CONTROL

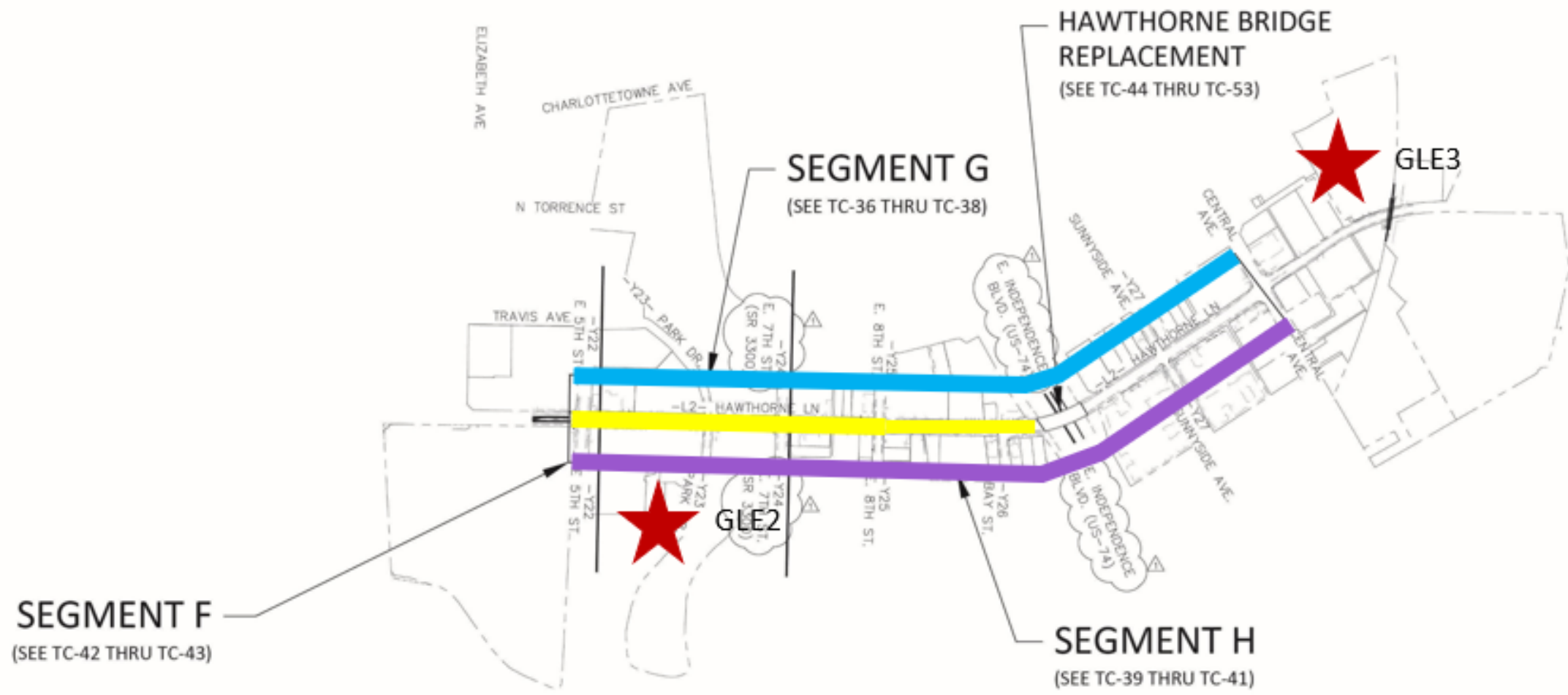
KEY MAP

SHEET
TC-05

SHEET
TC-54

Completed Work on an Accrual Basis
as of August 31, 2019

Segment	Element	% Complete
F	Utilities	100%
	Track	0%
	Storm	100%
G	Utilities	95%
	Track	90%
	Storm	95%
H	Utilities	95%
	Track	50%
	Storm	95%



SEGMENT F
(SEE TC-42 THRU TC-43)

SEGMENT G
(SEE TC-36 THRU TC-38)

SEGMENT H
(SEE TC-39 THRU TC-41)

HAWTHORNE BRIDGE
REPLACEMENT
(SEE TC-44 THRU TC-53)

GLE2

GLE3

NOTE: SEE SHEET TC-54 FOR SEGMENT I



NO.	DATE	BY	DESCRIPTION
1	12/18/19	JRS	REVISION FOR NODOT COMMENTS



DESIGNED BY	JRS	DATE	04/13/2018
CHECKED BY	DOM	DATE	

CONFORMED

SHEET	TC-06	CITYLYNX GOLD LINE
OF	TC-54	TRAFFIC CONTROL KEY MAP

The contractor's progress in each segment is reported below::

Civil:

- Roadway: JBC submitted asphalt and concrete materials for approval. JBC has maintained traffic control and detours for the work in the Hawthorne segment and for work on W. Trade Street at I-77. JBC reopened Hawthorne Lane between 5th Street and 7th Street to two-way traffic at the beginning of March 2018. JBC also opened Hawthorne Lane between 7th and 8th to restore traffic to one lane in each direction in March 2018. Work began along W. Trade St. between Graham St. and Rozzelles Ferry / W. 5th St. in March 2018 and continues. Work began on Trade St. between the end of Phase 1 and Tryon Street in July 2018. Roadwork continued in segments B,C,D, G and H this quarter.
- Water: In April 2017, JBC began the water line installation on Hawthorne Lane. The water line between 5th Street and 7th Street has been activated. JBC completed the installation of the waterline trunk line on Hawthorne Lane between 7th Street and the Hawthorne Bridge in April 2018. JBC began the waterline installation on Hawthorne Lane between the Hawthorne Bridge and Central Avenue in March 2018 and completed the trunk line in April 2018. The waterlines on Hawthorne between 7th and the Bridge and between the Bridge and Central are being tested for activation in August 2018. JBC began installing the water line on W. Trade Street in March 2018. Overall water installation percent complete is approximately 90%.
- Sewer: JBC has completed the sewer installation on Hawthorne between Park Drive and 7th Street. JBC completed the sewer in the 7th Street intersection. No sewer line work occurred during this quarter.
- Storm: JBC has installed the storm trunk line on Hawthorne Lane between 5th Street and the Hawthorne Lane Bridge. They have also installed the storm trunk line on Hawthorne Lane between the Hawthorne Lane Bridge and Sunnyside. JBC incorrectly installed a portion of the storm drainage system along Hawthorne Lane and the City has requested a repair plan and schedule for the rework. The repair plan was submitted in August 2018 but was not acceptable. The repair plan was approved in October and is scheduled for November. This work began in late January. The contractor installed the first of the 72" pipe on West Trade Street under the I-77 Northbound off ramp at the end of October 2017. JBC has continued along W. Trade St. from under the I-77 overpass through the I-77 Southbound on-ramps to the west. JBC began installing storm drain to the east between Irwin and Graham Streets in June 2018. Storm has progressed westbound through Dixon St. (Segment A) and eastbound towards the CTC (Segment E). Storm Drainage installation percentage complete is approximately 85% complete.
- Conduit: JBC has completed the conduit installation on Hawthorne Lane from 5th Street to 7th Street during the last months of 2017. JBC began installation of the conduit duct bank trunk line between 7th Street and 8th Street in December 2017 and completed the trunk line in April 2018. JBC has continued placing duct bank along Hawthorne Ln. through 8th St. and is almost to the bridge. JBC began installing conduit on the north side of the bridge between the Bridge and Sunnyside in April 2018 and completed the trunk line in August 2018. Conduit has been installed between on W. Trade between Irwin Avenue and the southbound I-77 on ramp. Conduit installation continues in segments D, E and A. Conduit installation percentage complete is approximately 80% complete.
- Frazier: JBC began preliminary grading for Frazier Avenue in July 2017. Began and completed conduit installation to service TPSS GLW #2 near Frazier in April 2018. JBC has graded the Frazier alignment to grade.

Hawthorne Bridge:

- Began monthly meetings with NCDOT, JBC, and City in March 2017 to coordinate the replacement of the bridge. Traffic control is being coordinated at these meetings.
- The demo plan was approved by NCDOT in July along with the Disc Bearings and Reinforcing Steel. The structural steel was approved by NCDOT in August 2017. The structural steel and disc bearings entered manufacturing in September 2017 and were completed in November 2017.

- The bridge closed to traffic on July 24, 2017. Duke Energy removed the power cables from the lighting on the bridge. JBC installed safety fence and removed the lighting and handrailing at the end of July 2017. The demolition of the bridge deck began in September 2017 after the completion of the parapet wall removal. The deck removal was completed in December 2017. The contractor removed 2 girders in December 2017 and then removed the remaining 12 girders in January 2018. The center pier demolition was completed on February 2, 2018.
- The contractor began excavations for the center pier footing in February 2018 and plans to begin reconstruction with pile driving for the footings in mid-February.
- The contractor drove piles (48) for the center pier footing in April 2018. Contractor completed center pier footing excavation in early May 2018.
- The contractor poured the center pier footings in June 2018.
- The contractor poured the columns for the center pier in July 2018. The center piers had to be modified because the contractor did not secure the rebar cage properly.
- Girder installation is currently on hold due to a fabrication issue with the girders discovered in November 2018. Contractor began submitting potential resolutions in December 2018. Their latest submittal was in early February 2019 and the Project Team has provided detailed comments in preparation for a meeting in early March 2019. The contractor has installed the new girders and is working to adjust to final location.



New Bridge Girders installed

Track:

- Contractor has scheduled the rolling of the rail for late November 2017. The running rail was delivered to Charlotte in December 2017 and was off-loaded to the contractor's storage yard in January 2018.
- Contractor poured a test track section in his yard in July 2018. The contractor's rail installation plan was approved in December 2018. Additional test pours occurred in September and October in contractor's yard. The test section (under I-77 overpass) was completed in December 2018. Contractor continued track installation in segments A, B, D, G and H this quarter (approx. 60% installed to date).
- 7th St/Hawthorne Ln Intersection Trackwork completed on schedule and reopened Aug 11, 2019
- Graham Street Trackwork was finished and the intersection re-opened in September 2019.
- 5 points intersection trackwork to be completed in November 2019.
- Special Trackwork Factory Inspection scheduled for November 2019

Hawthorne Track 7th to 8th StHawthorne Track 5th to 7th St

Five Points Intersection Before Pour



Five Points Intersections after Pour

Systems:

- OCS
 - Approx. 65% of foundations installed
 - OCS pole installation began in November 2019.

- TPSS
 - Conduit installation for GLW1, GLW2, GLW3, GLE2 and GLE3 is complete.
 - Installation of grounding grid and pouring foundations for GLW1, GLW2, GLW3, and GLE3 and TPSS#19 is complete.
 - GLW2 was set in October. FAT for GLW3 and GLE3 complete, punch list issues being addressed. GLW1 FAT scheduled for November 2019.

GLE2 – view from Park DrGLE2 view from St Johns Parking Lot

- Phase 1 operations ceased on June 3, 2019 and be replaced by a CityLYNX Connector Bus service to allow the contractor to take down the Phase 1 power and decommission the TPSS at CMPD and Great Aunt Stella in preparation for the new TPSS to be installed at CMPD.

- Stops
 - Three stop platforms have been poured.

- General

City staff continues to meet regularly with JBC staff regarding their productivity and quality.

Construction Look Ahead

- Continue underground civil installation
- Begin bridge deck construction on Hawthorne Bridge
- Continue OCS pole foundations on Hawthorne and W. Trade
- Continue track installation.
- Continue TPSS installation
- Continue OCS pole installation
- Deliver Special Trackwork
- Begin Phase 1 Stop modifications
- Begin Traffic Signal work

13.0 Quality Assurance

Document Review

The FTA issued the Project Management Oversight Program Quality Assurance/Quality Control Review for the CityLYNX Gold Line Phase 2 Streetcar Project in February 2016. The PMOC concluded that CATS QA/QC program is an acceptable management tool for Small Starts Grant Agreements. PMO Partnership conducted a CATS GL2/QA/QC Project review on August 16, 2018.

The CATS Project Quality Plan was updated and Revision 13 was issued in April 2016. CATS also updated CATS procedure ROD901 *Control and Calibration of Measuring and Test Equipment* to incorporate PMOC recommendations.

The JBC Quality Control Plan Revision 3 was received in August 2018. The JBC Quality plan was accepted with exceptions as noted (EAN). An audit of JBC was conducted on November 6, 2018, to verify compliance with their Quality Control Plan (submittal 010-A) Revision 3. Three audit findings were issued because of the audit. The JBC Quality Manager has a dual role as the Assistant Project Manager and does not have time to perform both duties effectively. In June 2019, JBC informed CATS that QC Officer Jason Bowen and Quality Control Supervisor Carlos Cook would be assisting the Quality Control Manager in her QA role. The Quality Manager has committed to submit their updated Quality Plan. JBC submitted the JBC Quality Plan Revision 4 in hard copy at the October Quality Meeting.

Kleinfelder is performing testing for JBC. Their Quality plan was submitted as an attachment to the JBC Quality Control Plan. JBC performed an audit of Kleinfelder in June 2019. There was one audit finding for the soil retest reports not being tied to the failed reports.

JBC submitted monthly reports for August through October 2019. They are making progress on their monthly reports. The City and JBC meet monthly on the status of the quality program. Future meetings will include a review of the Nonconformance Reports Log

In April 2019, CATS QA performed a Quality Audit of the GL2 project with a focus on the PMP. In November, JBC will perform a Quality Audit of ATS/Mass Electric in conjunction with TPSS FAT testing.

14.0 Community Relations

14.1 Current Activities

- September 19 – CATS communications announced resuming construction on the Hawthorne Bridge via media event and subsequent press release
- September 19 – 26- The project team continued to engage with citizens and stakeholders regarding the Hawthorne Bridge update online and in-person
- September – October – CATS staff sent daily bridge updates to residents of the Elizabeth community throughout girder placement
- October 21- a quarterly newsletter, highlighting summer milestones, was distributed to the Gold Line subscription n list
- October 29 – CATS submitted a newsletter article to the Elizabeth Community Association regarding Traction Power Substations to be distributed to entire community.
- November 6- Several members of the project team participated in a walking-tour and meeting with leaders in the Elizabeth Community.

14.2 Upcoming Community Outreach

- Project team to present to tenants of Gateway Village in late November
- CATS communications will continue to share weekly updates, as needed, with Charlotte City Council
- Quarterly newsletters will continue to be distributed.

14.3 Social Media Efforts

The CityLYNX Gold Line Phase 2 Communications Team continues to execute its social media strategy for the two main Gold Line social media channels, Facebook and Twitter. This content includes: CityLYNX Gold Line Phase 2 project facts and statistics, public meeting information, business support activities, road closure notifications and available informational web tools.

VII. Economic Development

1.0 Economic Development

LYNX Blue Line Extension (Northeast Corridor)

See BLE report.

LYNX Blue Line (South Corridor)

See LYNX Blue Line report.

CityLYNX Gold Line, Phase 2 (Streetcar)

See Streetcar report.

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LYNX Blue Line Extension (BLE) Economic Development Report - December 2019

Station	Project Name	Land Use	Residential	Affordable	Non Res. Sq Ft	Status	Estimated Project Cost	Anticipated Project Cost
9th Street	Completed Projects 2012-2017		100		0		\$20,000,000	
	The Ellis	Multi-Family	549	0	0	UC		
	First Ward Parking Deck	Parking Deck	0	0	431,117	UC	\$50,000,000	
Parkwood	Completed Projects 2012-2017		119		0		\$61,900,000	
	Optimist Park Townhomes	Townhouse	59	0	0	UC	\$20,000,000	
	1824 Brevard	Mixed Use	0	0	0	PR		
	Alta Purl II	Multi-Family	310	0	0	UC	\$42,900,000	
	Optimist Hall	Commercial	0	0	165,000	C	\$40,000,000	
	Alexan @ Optimist Park	Multi-Family	238	0	0	C	\$38,000,000	
	The Parkwood at Optimist Park	Multi-Family	309	0	0	C	\$40,000,000	
	Optimist Park Apartments	Residential	307	0	0	UC	\$40,000,000	
	Hunter Auto	Industrial	0	0	0	P		\$17,000,000
	Wood Partners	Multi-Family	0	0	0	Rez		
	300 Optimist Park	Multi-Family	50	0	0	C	\$18,000,000	
25th Street	Completed Projects 2012-2017							
	Bainbridge NoDa	Mixed Use	227	0	40,000	UC	\$35,000,000	
	NoDa Flats	Townhouse	6	0	0	Rez		
	The Collective/NoDa at 27th	Mixed Use	250	0	2,000	C	\$50,000,000	
	2100 NoDa	Commercial	0	0	21,000	C	\$4,500,000	
	Alta Warp+Weft	Multi-Family	280	0	0	C	\$38,000,000	
	Residential	Townhouse	29	0	0	PR		
	Faison Homes	Multi-Family	6	0	0	C	\$500,000	
36th Street	Completed Projects 2012-2017		304		32,413		\$44,960,000	
	Studio 6	Multi-Family	6	0		C	\$300,000	
	NODA 40	Multi-Family	40	0	0	P		\$3,200,000
	NODA Terrace	Multi-Family	8	0	0	P		\$750,000
	Novel NoDa	Multi-Family	350	0	7,500	C	\$65,000,000	
	Flywheel	Multi-Family	313		800	PR		
	Yards @ NODA	Multi-Family	342	0	0	UC	\$37,000,000	
	Landings at NoDa	Mixed Use	55	6	0	PR		
	NoDa at 37th	Mixed Use	0	0	10,000	PR		
	Highland Park	Townhouse	33	0	0	UC	\$18,150,000	
	Asana	Mixed Use	0	0	36,100	PR		
	Commercial	Commercial	0	0		PR		
Sugar Creek	Completed Projects 2012-2017		54		28,831		\$7,200,000	
	Flywheel Station House	Office/Retail	0	0	50,000	UC		
	Flywheel Trailhead	Office/Retail	0	0	94,611	UC		
	Stonehenge NoDa	Multi-Family	299	0	0	UC		
	Metromont Town Center	Mixed Use	0	0	0	PR		
	Imprint/Indigo	Mixed Use	88	0	56,315	Rez		\$4,000,000
	NoDa Sugar Creek	Residential	239	0		PR		
Old Concord	Completed Projects 2012-2017							
	Platform Lofts	MF	0	198	160,000	UC	\$23,265,000	
Tom Hunter	Completed Projects 2012-2017	MF	380		0	C	\$5,090,638	
	Amenity Center	Commercial	0	0		PR		
	LIV Development	MF	266	0	0	UC	\$47,000,000	
University City	Completed Projects		195		3,847		\$29,570,000	
	Tapestry University City Apartments	Apartments	0	0	0	PR		
	Tryon Station/Sanctuary	Apartments	0	0	0	PR		
	V & Three/Oxford Gateway	Apartments	302	0	0	C	\$40,000,000	
	Gateway University Apts.	Apartments	309	0	0	P		\$40,000,000
	Top Golf	Recreation	0	0	80,000	Rez	\$40,000,000	
McCullough	Completed Projects 2012-2017							
	Verde at McCullough	Mixed Use	278	0	5,300	UC		
	UC Station Mixed-Use	Mixed Use	300	0	5,000	P		\$5,000,000
JW Clay Blvd	Completed Projects 2012-2017	Commercial	96		8,032	C	\$11,010,300	
	UNC Charlotte Marriott Hotel	Hotel	0	0	190,000	UC	\$84,000,000	
	Waters Edge at University Place	Commercial	0	0	0	PR		
UNCC Main								
Grand Total			7,096	204	1,427,866		\$951,345,938	\$69,950,000

Report Summary

Projects 1/4 mile or less from a station - 25
 Projects within >1/4 mile of a station - 17
 Total number of housing units constructed/under construction - 4863
 Affordable housing units - 204
 Hotel rooms - 230
 Total non-residential square feet completed - 1,427,866
 Total estimated project value (all) - \$951,345,938

Project Status

C - Complete
 P - Proposed
 PR - Plan Review
 Rez - Rezoning in Progress
 Anticipated Project Cost - Proposed projects only



LYNX Gold Line Economic Development Report-December 2019

Corridor	Project Name	Address	Land Use	Res.	Affordable	Non Res. Sq Ft	Status	Estimated Project	Anticipated Project
Phase 2 - East	One305 Central	1305 Central Av.	Multi-Family	246	0	14,700	C	\$109,470,390	
	Belmont Mills	E. 10th St.	Mixed Use	0	0	117,000	C	\$10,000,000	
	The Gibson	1000 Central Av.	Multi-Family	250	0	0	C	\$30,000,000	
	Metro 808	808 Hawthorne Ln.	Multi-Family	237	0	0	C	\$42,257,300	
	Plaza 25	1114 Clement Av.	Townhouse	25	0	0	C	\$3,000,000	
	The Nook	1421 Central Av.	Multi-Family	24	0	0	C	\$2,500,000	
	Marvel Apartments	1925 Central Av.	Multi-Family	36	0	0	C	\$5,000,000	
	Towns on Central	2329 Central Av.	Townhouse	12	0	0	PR		
	Overton Row	1201 Central Av.	Multi-Family	323	0	0	C	\$40,000,000	
	Supperland	1212 The Plaza	Commercial	0	0	7,500	PR		
	Midwood Station	2017 Central Av.	Mixed Use	97	0	5,000	PR		\$15,000,000
	The Oaks at Cherry	1604 Luther St.	Multi-Family	81	81	0	C	\$14,200,000	
	Metropolitan Townes	1433 Luther St.	Townhouse	4	0	0	C	\$420,000	
	7th and Caswell	1950 E. 7th St.	Mixed Use	0	0	103,500	PR		
	7th Street @ Caswell	1958 E. 7th St.	Mixed Use	150	0	2,643	UC	\$21,750,000	
	Axiom Brewing	1426 E. 4th St.	Commercial	0	0	9,760	PR		
	1233 The Plaza	1233 The Plaza	Commercial	0	0	25,680	PR		
	Caldwell Health	1615 E. 5th St.	Institutional	0	0	0	PR		
	Resident Culture	2101 Central Av.	Commercial	0	0	14,400	C	\$115,000	
	ADULIS, LLC	3717 Sharon Amity Rd.	Commercial	0	0	5,000	PR		
Phase 2 - West	Grandin Heights	131 Grandin Rd.	Townhouse	45	0	0	C	\$6,125,000	
	Grandin Heights	137 Grandin Rd.	Multi-Family	4	0	0	C		
	Uptown West Terraces	200 Wesley Heights Way	Townhouse	74	0	0	UC	\$10,625,000	
	Mosaic Village Phase 2	1607 W. Trade St.	Mixed Use	170	0	215,000	PR		
Grand Total				1,778	81	520,183		\$295,462,690	\$15,000,000

Report Summary

Total number of Projects (This reporting period) - 24

Total number of housing units constructed/under construction - 1,499

Total number of affordable housing units-81

Total non-residential square feet completed/under construction - 200,103

Total estimated project cost - \$294,927,690

C-Completed Project

P-Proposed

PR-Under Plan Review

UC-Under Construction

Anticipated Project Cost - Proposed projects only

VIII. Other Corridor Status

1.0 Charlotte Gateway Station

a) Project Overview

The Charlotte Gateway Station (CGS) Project is part of the City's 2030 Transit System Plan and will include a signature multi-modal facility in the City of Charlotte's vibrant downtown connecting local rail, streetcar, local and regional buses, and intercity buses. The project will also culminate in the relocation of intercity passenger rail from an existing station with limited multimodal connections for rail passengers located outside of the center city, to the region's employment, entertainment, and cultural center in downtown Charlotte. Other benefits of these improvements include enhanced flow of freight and passenger trains and added capacity for future train growth in the Charlotte area.

The Charlotte Gateway Station is the nexus of nearly twenty years of inter-agency planning, coordination and partnership. The City of Charlotte and the North Carolina Department of Transportation (NCDOT) are partners in this significant transportation project that will be implemented in phases. The first phase will see the completion of track, structures, and signal infrastructure necessary to relocate the existing station. In 2015, the City of Charlotte received \$30 Million in TIGER funds, which along with local funding will complete this first phase. Future phases will include the completion of the transit hub, including the intercity passenger rail facility and a bus hub to supplement bus operations at the existing transit center currently operating over capacity. The CGS will also include a long-range public-private master development that will integrate residential, commercial, retail, and transportation infrastructure.

b) Status

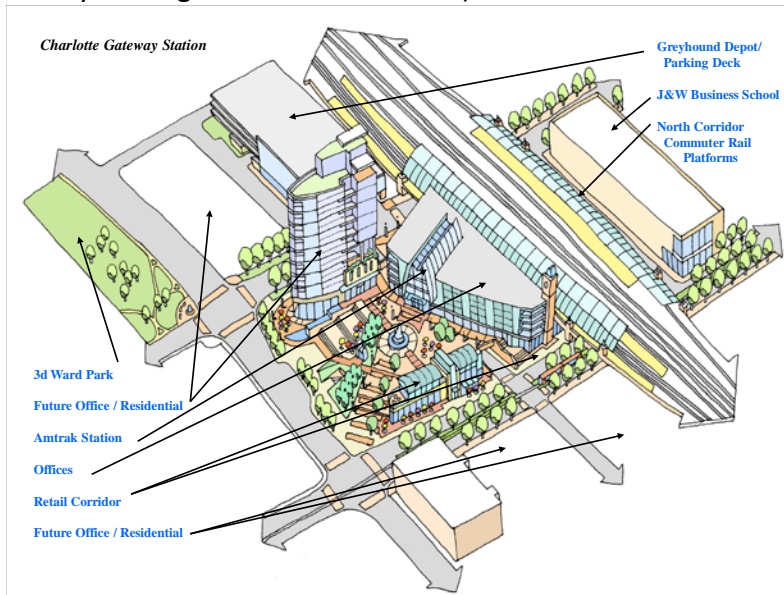
FTA Grant Status

Staff from the City and from the NC Department of Transportation, Rail Division meet regularly to discuss this Project, including property acquisition, engineering & design and construction. The City of Charlotte has acquired property from Mecklenburg County on the block south of the CGS Main Block. This property is where the CATS local and express bus component was programmed in the Station Area Plan completed in July 2017. The team continues to develop the plan on the South Block, where Greyhound and CATS Buses will be located. This is seen as being developed as an early phase of the Public-Private Development process, which has begun in Summer 2019 with the release of the RFQ to solicit a master developer.

CATS completed an environmental reevaluation of the 2009 Environmental Assessment for Charlotte Gateway Station. On April 25, 2018, FTA concluded that the Finding of No Significant Impact was still valid and no new documentation was required.

Timeline

- 1991- City/NCDOT Complete Preliminary Feasibility Study
- 1998 – 2012- NCDOT acquires 18 acres for CGS Project
- 2002 – NCDOT Complete Feasibility Study (Assumes Greyhound on South Block and CATS Bus facility underground on Main Block)



- 2005-2008 – CATS secures FTA funding
- 2009 – Municipal Agreement signed between NCDOT and City of Charlotte
- 2014 – NCDOT & NSR begin capacity study
- 2015 – TIGER VII Application and Grant Announcement
- 2015 – CATS purchases the Main Block from NCDOT with FTA Grant funds
- 2016 – Phase 1 design begins
- 2017 – Station Area Plan completed (Assumes Greyhound and CATS Bus facility on South Block)



- 2017 – Mecklenburg County approached by an unsolicited developer to purchase County parcels which Greyhound/CATS facility is assumed to locate
- Summer 2018 – Phase 1 Infrastructure design complete and begin construction
- Spring 2019 – Purchase Mecklenburg County parcels for permanent Greyhound/CATS facility (possibly using FTA Grant money for a portion of the purchase)

- Summer 2019 – Relocate Greyhound to CATS land on Main Block to clear the existing facility to construct Phase 1
- Summer 2019 – Advertisement of an RFQ from the City to seek a master developer for the station development.
- October 2019 - Three development teams shortlisted from RFQ
- November 2019 – Advertisement of an RFP to the three shortlisted firms to submit development proposals

Next Steps

- April 2020 – Award a contract to a master developer
- 2020 – Work with the master developer to design the phasing of the CGS development
- 2021 – Begin construction of early phase of development, assumed to be the development of the South Block to relocate Greyhound and CATS into a permanent facility
- 2022 – Complete construction of South Block (CATS Bus facility and FTA Grants)
- 2021-2023 – Begin construction on the Main Block, locating Amtrak at CGS
- 2023 – Phase 1 Infrastructure Construction complete

c) Funding/ Budget Summary

See the following Budget Summary Table.

d) Tiger VII Grant (FRA)

Representatives from the U. S. DOT, FRA, City, CATS and NCDOT Rail Division meet via conference call on a monthly basis to discuss the Track, Structures and Signals (TS&S) phase of the Project. This Phase 1 is conceptually estimated at \$85M, with \$30M available from TIGER VII.

A contract for the Phase 1 Track Structures and Signals project was awarded in June 2018. Crowder Construction was the winning bidder and construction began in July 2018.

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PROJECT	A	B	C	D	E	F	G	B - (F+G) H
	FTA AWARD	MUNIS BUDGET	PREVIOUSLY SPENT TO DATE	CURRENT MONTH EXPENSES PAID	TOTAL EXPENSES TO DATE*	TOTAL COST (ACCRUAL)	ENCUMBRANCE	UNRESTRICTED BALANCE
10 Guidway & Track Elements								
Subtotal	-	-	-	-	-	-	-	-
20 Stations, Stops, Terminals, Intermodal								
20.01 At-Grade Station, Stop, Shelter Mall, Terminal, Platform			-	-	-	-	-	-
Subtotal	-	-	-	-	-	-	-	-
30 Support Facilities: Yards, Shops, Admin Bldgs								
Subtotal	-	-	-	-	-	-	-	-
40 Sitework & Special Conditions								
Subtotal	-	-	-	-	-	-	-	-
50 Systems								
Subtotal	-	-	-	-	-	-	-	-
60 ROW, Land & Existing Improvements								
60.01 Purchase or Lease of Real Estate	15,749,106	15,749,106	15,749,106	-	15,749,106	15,749,106	-	-
60.02 Relocation of Existing Households & Businesses	-	-	-	-	-	-	-	-
Subtotal	15,749,106	15,749,106	15,749,106	-	15,749,106	15,749,106	-	-
70 Vehicles								
Subtotal	-	-	-	-	-	-	-	-
80 Professional Services								
80.01 Preliminary Engineering	1,344,340	1,344,340	1,344,340	-	1,344,340	1,344,340	-	-
80.02 Final Design	-	-	-	-	-	-	-	-
80.03 Project Management for Design & Construction	820,150	820,150	820,150	-	820,150	820,150	-	-
80.04 Construction Administration & Management	8,132,256	8,132,256	-	-	-	-	-	8,132,256
80.06 Legal; Permits & Review Fees	-	-	-	-	-	-	-	-
80.07 Surveys, Testing, Investigation, Inspection	-	-	-	-	-	-	-	-
80.08 Start-Up	-	-	-	-	-	-	-	-
Subtotal	10,296,746	10,296,746	2,164,490	-	2,164,490	2,164,490	-	8,132,256

PROJECT	A	B	C	D	E	F	G	B - (F+G) H
	FTA AWARD	MUNIS BUDGET	PREVIOUSLY SPENT TO DATE	CURRENT MONTH EXPENSES PAID	TOTAL EXPENSES TO DATE*	TOTAL COST (ACCRUAL)	ENCUMBRANCE	UNRESTRICTED BALANCE
90 Unallocated Contingency								
Project Contingency	-	-	-	-	-	-	-	-
Subtotal	-	-	-	-	-	-	-	-
100 Finance Charges								
Subtotal	-	-	-	-	-	-	-	-
Non-CGS Grant Project Expenses								
Non-CGS Grant Project Expenses (Bus Rolling Stock)	2,764,463	2,764,463	2,764,463	-	2,764,463	2,764,463	-	-
TOTAL CHARLOTTE GATEWAY STATION	28,810,315	28,810,315	20,678,059	-	20,678,059	20,678,059	-	8,132,256

*Total Expenses to Date reported on a cash basis

LEGEND

- Grant Budget:** Year of Expenditure Dollars approved in the Grant project budget
- Current Budget:** Year of Expenditure Dollars based on latest Engineering Cost Estimate and Construction Contract Awards.
- Appropriated Funds:** Authorization to spend monies for the activity or activities covered by the appropriation and up to its amounts
- Previously Spent to Date:** Expenses associated with the project that were incurred prior to the current month expenses
- Current Month Expenses:** Expenses associated with the project that were incurred in the month of reporting; excludes retainage
- Total Expenses To Date:** Expenses associated with the project that were incurred in the month of reporting plus prior time periods
- Total Cost (Accrual):** Includes all expenditures paid, received invoices yet to be paid and any work completed/actual cost to the project that have not yet been invoiced
- Encumbrance:** A contingent liability related to unfilled contracts or purchase order for goods or services that is chargeable to the project (reservation of fund balance)
- Unrestricted Balance:** Funds available for use, uncommitted; (appropriated funds) - (total expenses to date including accruals+ contract encumbrances)

Grants Included	Status
NC-03-0064-04	Closed
NC-06-0077-00	Closed
NC-04-0006-03	Active
NC-04-0018-00	Active



Charlotte Gateway Station		as of 11/18/2019				
Sources of Capital Funding	Funding Share	Amount	Expenses	Encumbrances	Total including encumbrances	
Federal Railroad Administration						
Federal TIGER VII Grant Program (FRA)	57%	\$ 30,000,000	12,098,078	-	12,098,078	
Match to TIGER VII Grant	43%	22,719,131	11,555,782	-	11,555,782	
FRA Federal Project Total	100%	\$ 52,719,131	\$ 23,653,860	\$ -	\$ 23,653,860	
Federal Transit Administration						
Federal Grants NC-03-0064, NC-03-0077, NC-04-0006 & NC-04-0018 for engineering & construction	80%	\$ 24,065,729	\$ 14,330,877	\$ -	\$ 14,330,877	
Match to FTA Grant	20%	6,016,432	3,582,719	-	\$ 3,582,719	
FTA Project Total	100%	\$ 28,810,315	\$ 17,913,596	\$ -	\$ 17,913,596	
Other Funding Sources & Uses:						
North Carolina Department of Transportation for engineering & construction						
STI-PE	n/a	5,200,000	-	-	-	
STI- Construction (portion of \$30M award to match TIGER FY2015)	n/a	7,280,869	-	-	-	
Proceeds from Sale of Land	n/a	11,841,625	11,841,625	-	11,841,625	
NCDOT Rail Division PE Funds	n/a	400,000	-	-	-	
Surface Transportation Block Grant	n/a	18,750,000	-	-	-	
City of Charlotte funds for engineering, construction & other uses	n/a	33,000,000	4,981,435	9,927	4,991,363	
Other Funding Sources Total		76,472,494	16,823,060	9,927	16,832,988	
TOTAL CGS PROJECT		\$ 158,001,940	\$ 58,390,517	\$ 9,927	\$ 58,400,444	

2.0 Silver Line

a) Design

Project Description - On 2/27/19, the MTC approved the Locally Preferred Alternative (LPA) for the LYNX Silver Line, combining the West and Southeast Corridors into one continuous LYNX Silver Line light rail corridor. The 26-mile alignment runs along US74 from the Town of Belmont in Gaston County, to the Charlotte Douglas International Airport and Center City Charlotte, and the continues to the southeast connecting the Town of Matthews and Central Piedmont Community College (CPCC) Levine Campus. In addition, the MTC directed that CATS study the feasibility of extending the LPA to the Town of Stallings in Union County. CATS will also evaluate an alignment to Indian Trail in Union County. There are currently 28 stations planned.

CATS believes it is critical to advance the design and environmental process to coordinate with the multiple NCDOT project that are currently in planning/design along the Silver Line, to facilitate developer coordination, and to initiate corridor preservation. CATS will complete “pre-project development” to advance the design and begin environmental studies prior to requesting entry into the FTA Project Development phase of the New Starts (CIG) program.

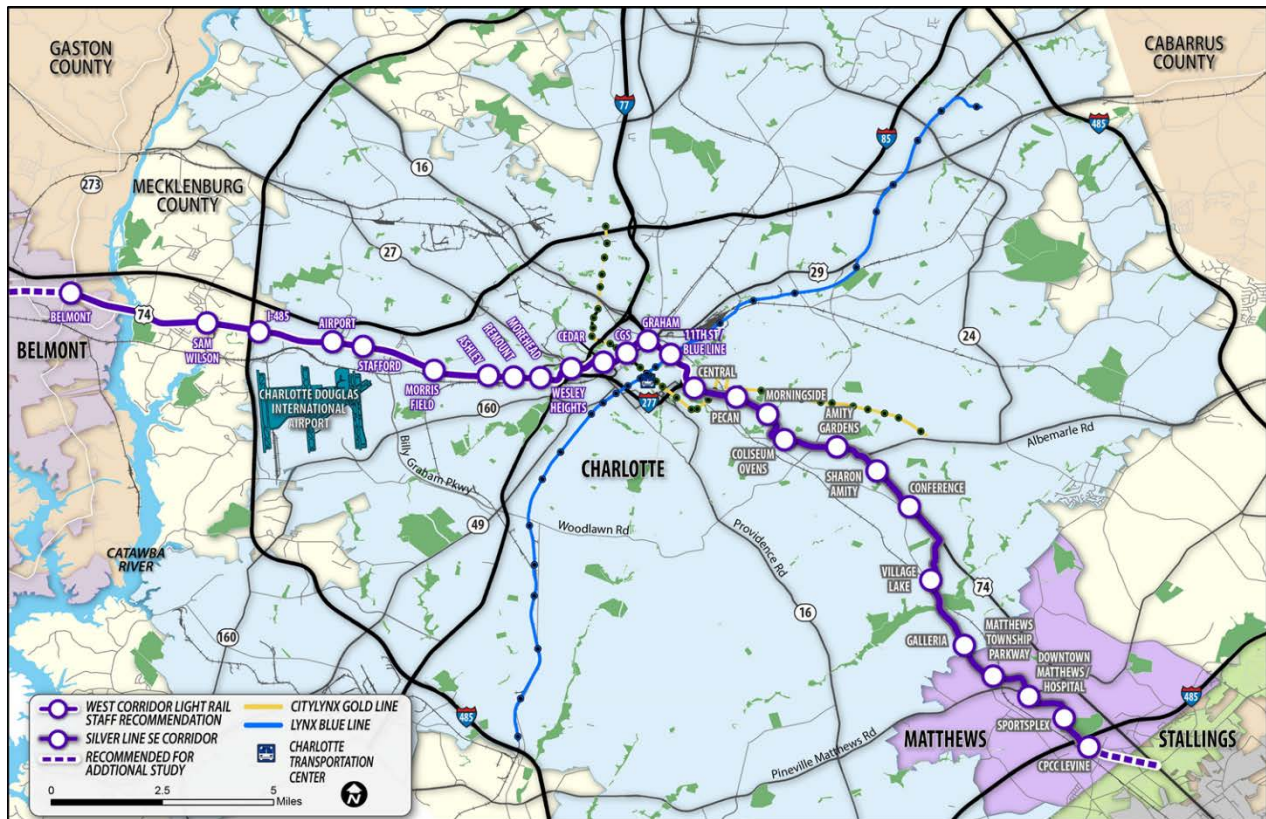
Project Management – The Project Management Team and Steering Team have been identified for the project. The Silver Line Project Management Plan (Rev. 0) has been issued.

Corridor Preservation – Several private development plans are emerging that are potentially in conflict with the LYNX Silver Line project. CATS staff are working with key developers and property owners through the City of Charlotte Land Development and Rezoning process to accommodate the LYNX Silver Line, but there may be instances where corridor preservation, as outlined in the *FTA Final Guidance on the Application of 49 USC 5323 to Corridor Preservation for a Transit Project* may be appropriate. A letter was issued to the FTA on December 6, 2019 requesting approval to initiate corridor preservation

Budget - The CATS FY20-24 capital budget includes \$50 million over the next 5 years to support this work.

Procurement - A Request for Qualifications was issued on June 19, 2019 for consultants to provide design and environmental services through the completion of the FTA Project Development phase. In response to the RFQ, the City received three proposals from interested professional service providers. WSP USA Inc. was selected by a multi-departmental evaluation team as the best qualified firm. Negotiations are underway. On November 12, 2019, Charlotte City Council awarded the contract to WSP. A Notice to Proceed is expected to commence the first phase of the contract in January 2020, however CATS and WSP are pursuing a Letter of Intent to begin key schedule sensitive activities, such as aerial photography before leaves emerge on the tress in the spring, in advance of the final contract execution. The DBE goal for this contract is 11.7%.

Environmental – CATS and the FTA will hold a LYNX Silver Line NEPA kickoff on January 17, 2020



b) FTA TOD Pilot Program

CATS in partnership with Charlotte Planning, Design + Development Department, City of Gastonia, City of Belmont, Town of Matthews, Town of Stallings, and Town of Indian Trail was awarded a planning grant for TOD planning from the FTA. Below are additional details on the project.

- The project focuses on the LYNX Silver Line and West Corridor, which connects three counties and the largest economic generators of the region with the Charlotte Douglas International Airport and Uptown Charlotte.
- This grant will allow CATS and partners to conduct comprehensive community engagement and critical advance planning to ensure a successful and equitable investment in this important transit corridor.
- Specific outcomes of this work will include; determining future land use around stations, identifying supporting infrastructure, advance actions for corridor preservation and affordable housing, and the identification of innovative economic development and financing strategies.
- The grant application is supported by a shared financial match among our partners of \$230,000 and additional in-kind support resources. CATS contributed in-kind resources in the form of procurement services, project oversight, grant management, and FTA reporting.
- The TOD Planning team will work collaboratively with the Silver Line Design team in the early stages to finalize the alignment and station locations.
- The planning work would begin in the summer/fall of 2019 and conclude in 2022.
- A Request for Proposals was issued on August 2, 2019. Seven proposals were received and are under review by a multi-jurisdictional evaluation team. Contract award is currently scheduled for the October 28, 2019 City Council meeting.

c) Rail Trail Study

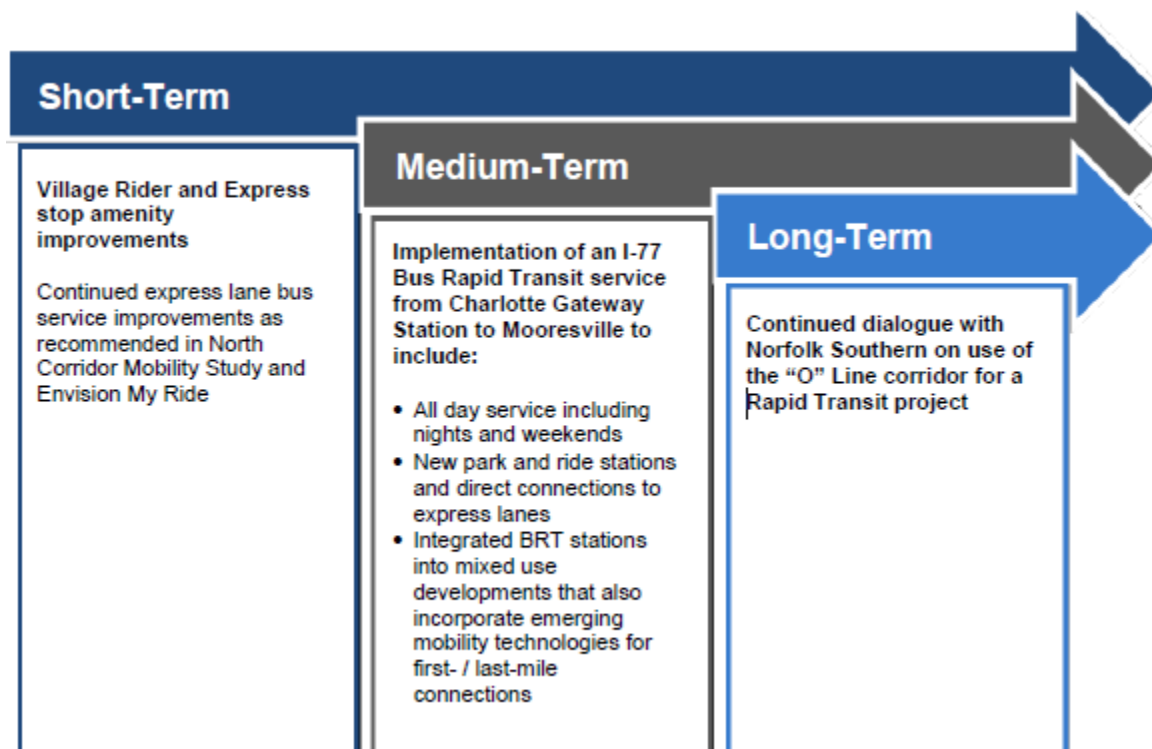
Currently along the LYNX Blue Line is a parallel running 4.5-mile-long rail trail in Charlotte's South End neighborhood and Uptown. The facility is now an integral part of Charlotte's urban fabric, with thousands of daily users who use it not only to access transit, but for jogging, cycling, commuting, and a variety of other activities. Due to popularity of this facility, there is a desire from the public and CATS to explore rail trail opportunities for all future rapid transit corridors. To further that goal for the LYNX Silver Line, CATS in partnership with Charlotte Department of Transportation and the Town of Matthews have received funds through the Charlotte Regional Transportation Planning Organization's Unified Planning Work Program-Planning Funds to study rail trail opportunities along the entire LYNX Silver Line Light Rail alignment. Additionally, the study would inform how the rail trail connections to The Town of Matthews' existing and planned pedestrian and bike facilities, Mecklenburg County greenway network, and the City of Charlotte's Capital Improvement Program pedestrian and bike program. This study will be carefully coordinated with the LYNX Silver Line Design and TOD efforts. Since the last quarterly the following activities have taken place:

- A RFQ was advertised on October 9, 2019
- On November 6, 2019 four proposals were received
- Two firms were advanced to interviews
- On December 9, 2019, Alta Planning was selected
- CATS has begun scope and fee negotiations with Alta Planning.

3.0 LYNX North Corridor BRT

a) Background

On February 19, 2019, the MTC approved a new Locally Preferred Alternative (LPA) for the North Corridor. Since 2002, the LYNX Red Line Commuter Rail was the North Corridor LPA. However, until Norfolk Southern's passenger rail policy changes, there is no means to implement this project. In order to meet the public's desire for rapid transit service and increased mobility now, a phased approach to service enhancements is recommended. The recommendation for these three phases are as follows:



b) Project Description

The recommendation for North Corridor Bus Rapid Transit (BRT) provides further enhancements to the short-term strategies to utilize the express lanes to improve reliability and passenger experience. The North Corridor BRT option is defined by opportunities to utilize the express lanes for significant transit mobility enhancements that are complementary to longer-term investments. The following improvements would be implemented as part of this phase of the project recommendations:

- All day service including nights and weekends;
- Four new park and rides and two new express lane direct connects; and
- Integrated BRT stations into mixed use developments that also incorporate emerging mobility technologies for first/last mile connections.

The I-77 BRT alternative extends along I-77 from I-277 (Exit 11) to Langtree Road (Exit 31), and potentially beyond to Exit 36 (NC 150). The following conceptual station locations and related infrastructure elements are included in the I-77 BRT alternative (with color-coding to the map below):

New or Expanded Park n Rides/Stations:

- Mooresville
- Langtree
- Catawba
- NorthCross
- Gilead
- Hambright
- Northlake Mall

New Direct Connects / Access Improvements:

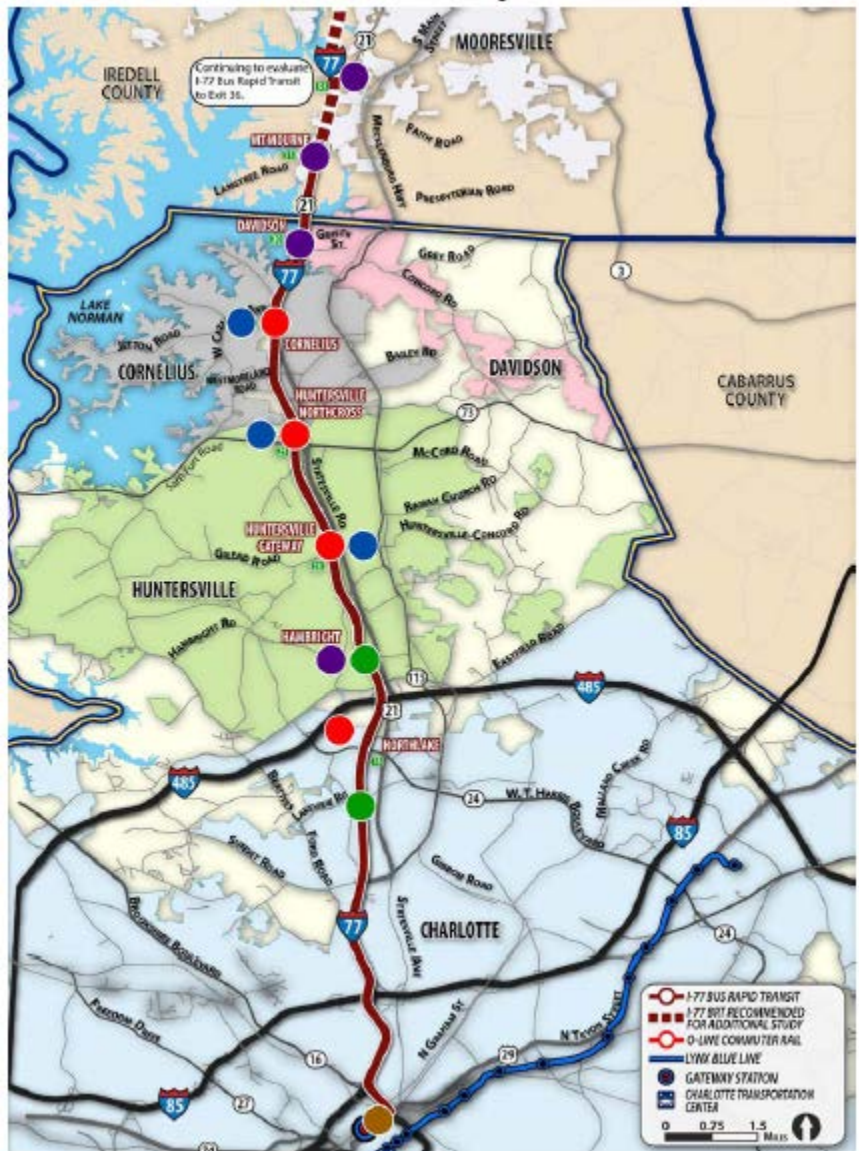
- Catawba (bus access to station)
- NorthCross (direct connect)
- Stumptown/Gilead (direct connect)

Use of Existing Direct Connects:

- Hambright
- Lakeview

On-Street Transit Prioritization/Amenities:

- Center City Charlotte



c) Request for Qualifications

CATS has developed a RFQ to develop the North Corridor BRT concept further. This phase will focus on alternative analysis planning, station location and park and ride evaluation, implementation strategy, and operations planning. The RFQ will be released in January 2020 and a consultant will be selected Spring 2020.

4.0 Corridor System Plan Update

a) Pineville-Ballantyne Rapid Transit Study

As part of the LYNX System Update, CATS staff recommended an evaluation of rapid transit options for the Town of Pineville and the Ballantyne community. An initial round of public outreach was conducted in April 2019 to better understand transit and mobility needs. In May 2019 a second round of outreach was focused on the presentation of rapid transit options developed from public feedback and technical analysis. A final round of public meetings was held in June 2019 to detail the staff recommendations. Below are highlights of the outreach and study timeline:

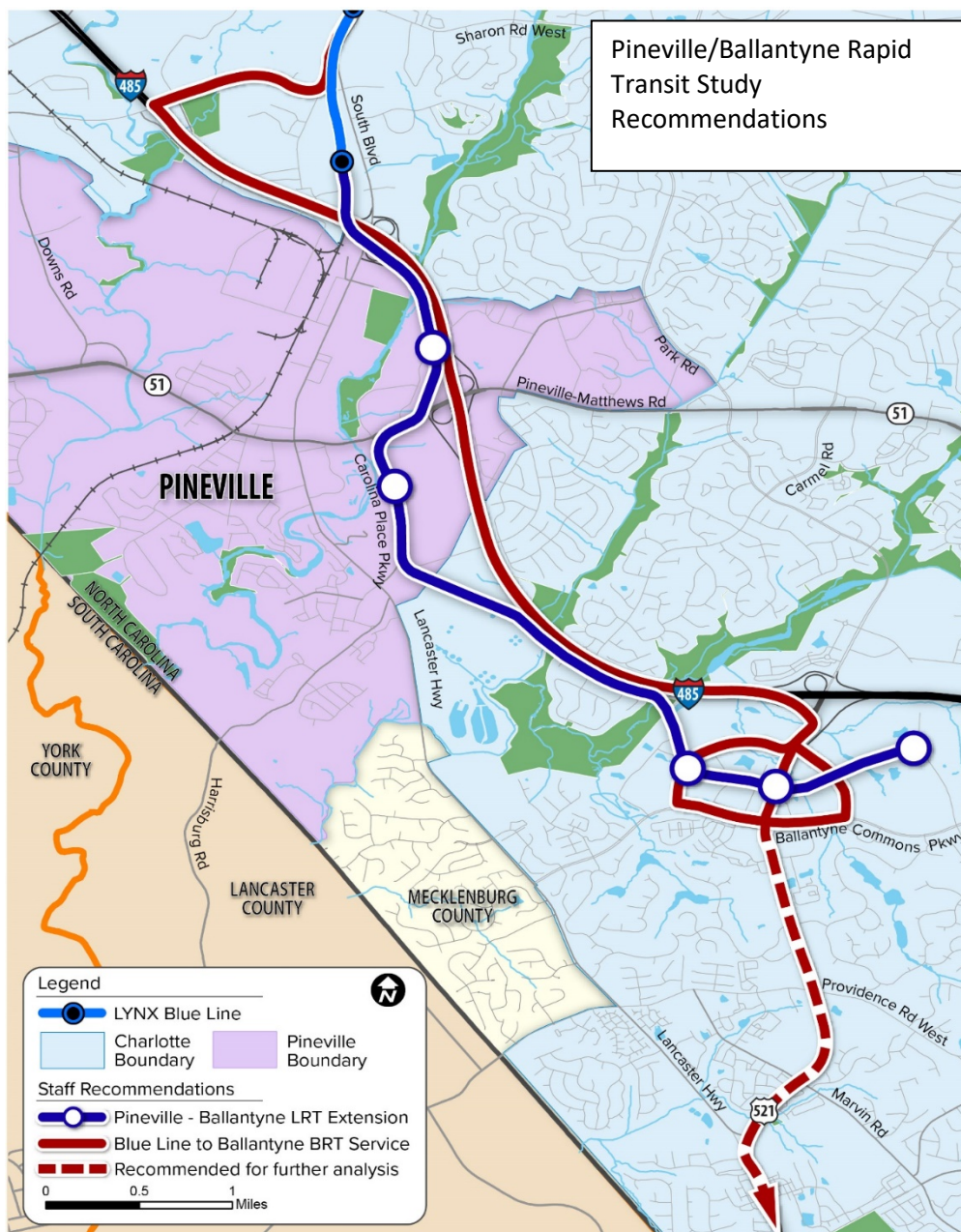
On August 28, 2019 CATS presented the following staff recommendations to the MTC as an information item.

- Extend light rail from the LYNX Blue Line southern terminus to Carolina Place Mall in Pineville and to the Ballantyne Corporate Park.
- Advance light rail design in order to coordinate with the Town of Pineville and Ballantyne Corporate Park ownership.
- Begin BRT service to Ballantyne Corporate Park when the I-485 express lanes open.
- Advance BRT design in order to coordinate with Ballantyne Corporate Park Ownership.
- Evaluate rapid transit corridors to York and Lancaster Counties in South Carolina as part of the Regional Transit Study.

Additionally, staff recommended that the MTC consider the following as improvements to be constructed with the proposed Pineville/Ballantyne Blue Line extension or as separate projects:

- Expansion of remaining Blue Line stations to accommodate 3-car platforms
- Consider parking expansion at I-485 / South Blvd. station

At the September 25, 2019 MTC meeting, CATS presented the staff recommendations as an action item. MTC unanimously approved and adopted into the 2030 Transit System Plan the staff recommendations.

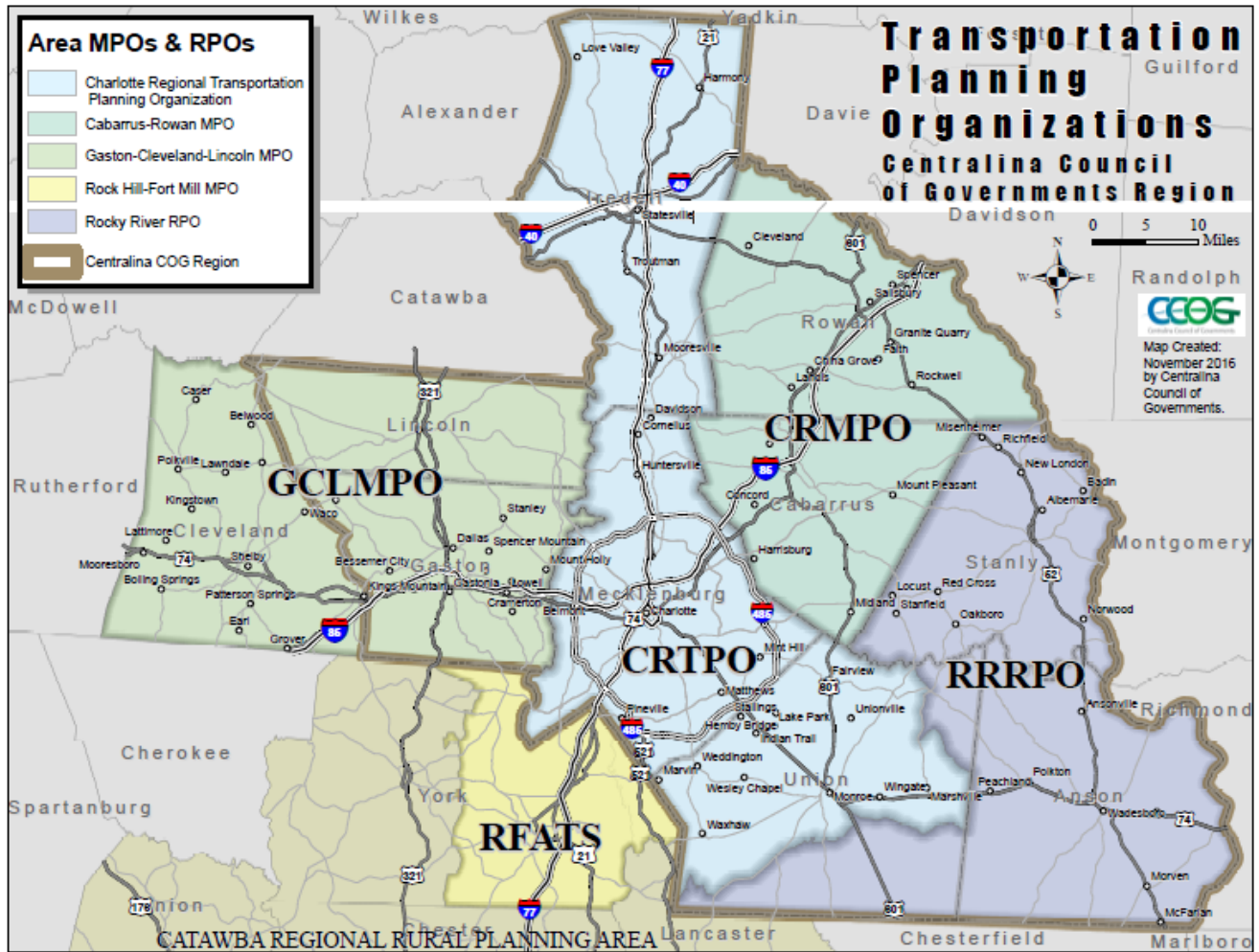


b) Regional Transit Public Engagement (RTES)

Centralina Council of Governments (CCOG) and CATS staff have collaborated over the last two years on a Regional Transit Engagement Series throughout a 12-county, 2 state region. The result of that outreach was a clear consensus on the value of a regional transit plan. To facilitate that need, CCOG staff in collaboration with CATS, Charlotte Regional Transportation Planning Organization, NCDOT and adjacent Metropolitan Planning Organizations have assembled funding for the development of a Regional Transit Plan and Implementation Strategies. With funding secured, the CCOG issued a Request for Qualifications (RFQ) on September 3, 2019. Since the last quarterly the following activities have taken place:

- A selection committee, made up of cross-regional staff representing plan funding agencies, was convened on 9/25/19 to score and select firms to interview, with 3 firms ultimately interviewed on 10/1/19. A recommendation to CATS/COG Executive leadership that HDR be selected as the firm to proceed with negotiations.
- The Metropolitan Transit Commission received an update on the RTP process at its 9/25/19 meeting and expressed strong interest in both upcoming participation in the RTP and having specific representation in the anticipated “Policy Committee” to be formed as part of the RTP process. Additionally, the Centralina COG Board provided additional input on important issues to address early on in the RTP process, and developed a cross-regional list of Policy Committee nominees at its 10/9/19 meeting.
- COG Planning and CATS staff have since held several detailed meetings with the selected Regional Transit Plan consultant team around topics including scope elements (as developed during the Regional Transit Engagement Series that ran from 2017-2019) and the broader topic of communications and outreach. A full budget to accompany a near-final scope is expected to be delivered within the next week.
- On 10/28/19 Charlotte City Council adopted a resolution to approve a contract with Centralina that includes current and pending funding from CATS, CRTPO, and NCDOT that make up a portion of the funding for this plan. Contracts have been developed for all funding agencies including CRTPO, CATS, NCDOT, SCDOT, RFATS, GCLMPO, and CRMPO. The CRMPO and GCLMPO contracts are in the process of being executed this week. The other contracts are in various stages of development through the funding organizations, which is a critical path for this project moving forward on time.
- Staff proposed at the Centralina COG Board meeting on November 13th that the Board extends CCOG officers’ authority to approve a Regional Transit Plan consultant contract, pending the completion of contract negotiations.
- CATS/CCOG staff have continued negotiations with HDR and anticipate completing that process in January 2020.
- The study will kick off in early Spring 2020

Regional Transit Plan study area MPOs



c) Corridor Bus Study (Envision My Ride)

As a continuation of the Envision My Ride (EMR) effort, CATS will begin a Corridor Bus study in Fall 2019. The study will develop speed and reliability recommendations for the proposed EMR high frequency network. This analysis will include an evaluation of the following: queue jumpers, signal priority/preemption, dedicated bus lanes and related bus priority treatments. Additional deliverables will include proposed bus stop amenity improvements, mobility hub locations, and recommendations to improve the customer experience. To kick off this study, CATS and the Charlotte Department of Transportation will conduct a bus/bike only lane beginning December 16, 2019.

IX. Other Program Activities

1.0 Grant Review

ACTIVE FEDERAL TRANSIT GRANT STATUS

Oct-19

	TYPE	PROJECT	EXEC DATE	FTA GRANT NUMBER	OBLIGATED	REIMBURSED	REIMBURSEMENT REMAINING	PROJECTED CLOSE-OUT
1	5307-2	FY13 Formula	7/2/2014	NC-90-X541-00	\$ 17,193,080	\$ 11,463,646	\$ 5,729,434	9/30/2020
2	5307-2	FY14 Formula	4/30/2015	NC-90-X569-00	\$ 16,779,047	\$ 15,930,061	\$ 848,986	9/30/2020
3	5307-2	FY15 Formula	12/13/2016	NC-2016-043-00	\$ 18,205,206	\$ 15,367,497	\$ 2,837,709	9/30/2020
4	5307-2	FY16 Formula	7/12/2017	NC-2017-019-00	\$ 17,254,083	\$ 11,171,310	\$ 6,082,773	9/30/2020
5	5307-3	FY06 CMAQ	3/30/2007	NC-90-X403-00	\$ 2,147,545	\$ 2,072,260	\$ 75,285	9/30/2020
6	5309-2	FY07 Charlotte Gateway Station	9/9/2009	NC-04-0006-03	\$ 11,326,917	\$ 8,277,139	\$ 3,049,778	6/30/2021
7	5309-2	FY08/09 Charlotte Gateway Station	3/1/2010	NC-04-0018-00	\$ 10,557,344	\$ 4,678,853	\$ 5,878,491	6/30/2021
8	5309-2	FY10 Maintain and Restore System (MARS)	6/14/2012	NC-04-0046-00	\$ 1,549,600	\$ 1,516,516	\$ 33,084	9/30/2020
9	5309-5	FFGA-LYNX Blue Line Extension (BLE) NE	5/30/2008	NC-03-0082-07	\$ 577,347,248	\$ 475,272,728	\$ 102,074,520	6/15/2020
10	5309-5	CityLYNX Gold Line Phase 2	5/23/2016	NC-2016-001-00	\$ 74,999,999	\$ 31,282,940	\$ 43,717,059	12/31/2021
11	5310	FY13 Enhanced Mobility	9/21/2015	NC-16-X015-00	\$ 615,992	\$ 555,033	\$ 60,959	9/30/2020
12	5310	FY14 Enhanced Mobility	9/20/2016	NC-2016-033-00	\$ 778,869	\$ 670,599	\$ 108,270	9/30/2020
13	5310	FY15/16 Enhanced Mobility	7/11/2017	NC-2017-030-00	\$ 1,606,722	\$ 899,627	\$ 707,095	9/30/2020
14	5337	FY15 & 16 State of Good Repair	3/24/2017	NC-2017-009-00	\$ 3,312,077	\$ 1,917,219	\$ 1,394,858	9/30/2020
15	5337	FY14/17 State of Good Repair	7/27/2017	NC-2017-045-01	\$ 3,452,759	\$ 1,600,074	\$ 1,852,685	9/30/2020
16	5339	FFY17 Bus & Bus Facilities	7/12/2018	NC-2018-029-00	\$ 1,782,544	\$ -	\$ 1,782,544	3/30/2021
17	5307	FY 2018 CMAQ- LYNX Blue Line Extension Startup Operational Support	6/5/2018	NC-2018-015-02	\$ 17,230,656	\$ 14,034,942	\$ 3,195,714	3/30/2022
18	5307	FY 2018 CMAQ - Hybrid Bus Purchase	11/30/2018	NC-2018-076-00	\$ 3,864,000	\$ -	\$ 3,864,000	3/30/2023
19	5307	FFY17 Formula	11/30/2018	NC-2018-068-00	\$ 17,508,348	\$ 8,017,937	\$ 9,490,411	3/30/2024
20	5339	FFY18 Bus and Bus Facilities	9/17/2018	NC-2018-049-00	\$ 1,176,479	\$ -	\$ 1,176,479	3/30/2023

ACTIVE FEDERAL TRANSIT GRANT STATUS

Oct-19

	TYPE	PROJECT	EXEC DATE	FTA GRANT NUMBER	OBLIGATED	REIMBURSED	REIMBURSEMENT REMAINING	PROJECTED CLOSE-OUT
21	5307-3	Farebox Replacement Project (STP-DA)	8/22/2016	NC-2016-018-02	\$ 3,500,000	\$ 3,164,167	\$ 335,833	12/31/2019
22	5339	FY15/16 Bus & Bus Facilities	5/5/2017	NC-2017-016-00	\$ 3,488,755	\$ 3,426,529	\$ 62,226	9/30/2020
23	5310	FFY17 (5310) Enhanced Mobility	3/5/2019	NC-2019-004-00	\$ 857,040	\$ -	\$ 857,040	3/30/2022
24	5309	Transit Oriented Development (TOD) Planning- LYNX Silverline LRT	7/1/2019	NC-2019-027-00	\$ 920,000	\$ -	\$ 920,000	3/30/2022
25	5339	Infrastructure Investment; North Corridor Bus Service	7/31/2019	NC-2019-039-00	\$ 5,932,800	\$ 5,932,800	\$ -	1/31/2019
26	5337	State of Good Repair	8/7/2019	NC-2019-040-00	\$ 4,094,167	\$ -	\$ 4,094,167	3/30/2023
27	5307 & 5339	Multi-Source funding, Bus & Bus Facilities	9/12/2019	NC-2019-050-00	\$ 20,602,259	\$ -	\$ 20,602,259	3/30/2023
28	9/12/2019	CMAQ Flex Funds; Ops Assistance: North Mecklenburg Express Route	9/13/2019	NC-2019-054-00	\$ 292,000	\$ -	\$ 292,000	3/30/2023
Scheduled For Close-Out								

ACTIVE FEDERAL TRANSIT GRANT STATUS

Oct-19

	TYPE	PROJECT	EXEC DATE	FTA GRANT NUMBER	OBLIGATED	REIMBURSED	REIMBURSEMENT REMAINING	PROJECTED CLOSE-OUT
29	5309-5	Charlotte Streetcar Starter Project	9/21/2011	NC-03-0084-00	\$ 24,990,000	\$ 23,756,477	\$ 1,233,523	3/31/2020

*Balance remaining as of October 31, 2019

TOTAL

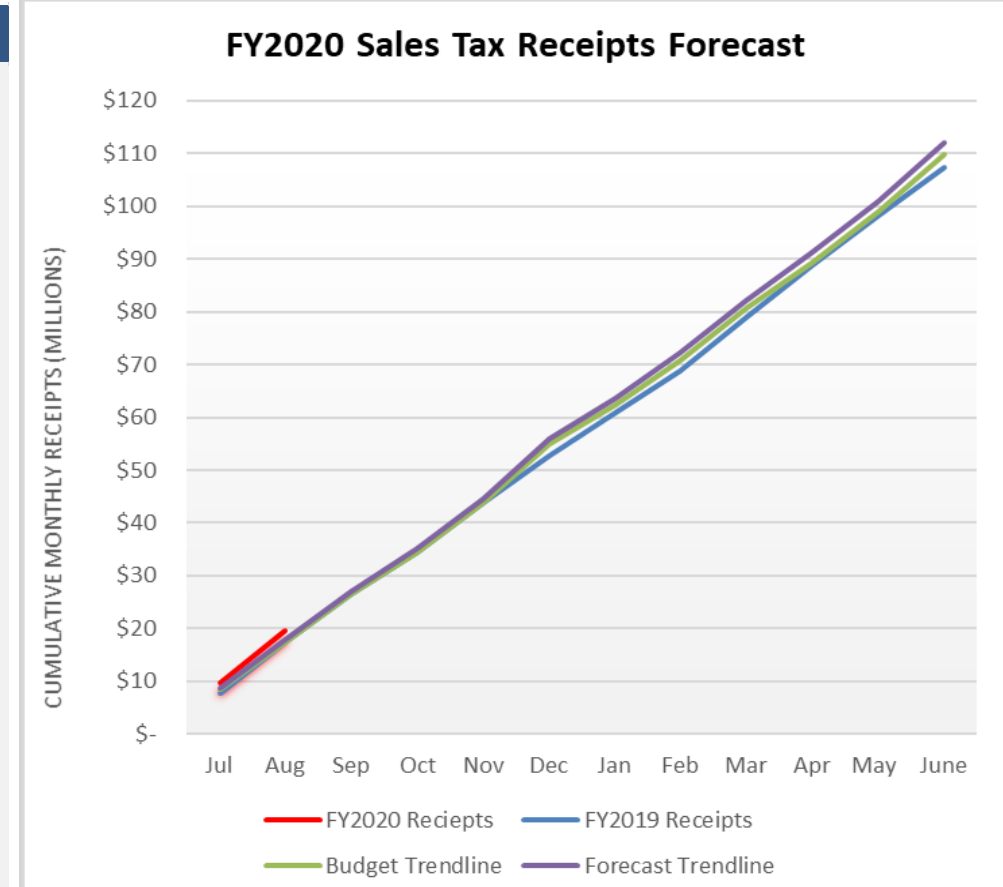
\$ 863,365,536

\$ 641,008,354

\$ 222,357,182

2.0 Sales Tax Revenue

October | CATS Sales Tax Report FY2020



July Receipts

Sales Tax Collections and Distribution – August 2019

- August 2019 receipts of \$9,787,973 were \$655,935 (7.18%) above the budget target for the month
- August 2019 receipts were \$166,588 (1.7%) above August of 2018

Sales Tax Budget Data

- The model projects FY2020 year-end receipts of \$112,142,011, which is \$2,208,626 (1.97%) above the budget target
- FY2020 sales tax budget is \$109,933,384
- FY2019 actual sales tax was \$107,535,197

Local Government Sales and Use Tax Distribution

- Source: North Carolina Department of Revenue Sales & Use Distribution Report for the month ending September 30, 2019
- Published by NC Secretary of Revenue on 11/12/2019 with actual receipts through August 2019
- CATS sales tax report only includes Mecklenburg County Article 43 sales tax

Jurisdiction	Population	% of Total	Jul 19 actuals	Aug 19 actuals	Sep 19 estimate	Oct 19 estimate	Nov 19 estimate	Dec 19	Jan 20	Feb 20	Mar 20	April 20	May 20	June 20	Total	
Charlotte	40.59%	830,258	40.5%	\$ 3,930,152	\$ 3,972,525	\$ 3,796,062	\$ 3,236,687	\$ 3,847,837	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$18,783,264.00	
Cornelius	1.46%	30,207	1.5%	141,321	142,845	136,499	116,385	139,995	-	-	-	-	-	-	\$677,044.00	
Davidson	0.61%	12,572	0.6%	59,316	59,956	57,292	48,850	58,265	-	-	-	-	-	-	\$283,680.00	
Huntersville	2.76%	57,145	2.8%	266,988	269,867	257,879	219,879	264,839	-	-	-	-	-	-	\$1,279,451.00	
Matthews	1.51%	30,849	1.5%	145,777	147,349	140,803	120,055	142,970	-	-	-	-	-	-	\$696,954.00	
Mint Hill	1.29%	26,690	1.3%	125,384	126,736	121,106	103,260	123,695	-	-	-	-	-	-	\$600,181.00	
Pineville	0.43%	8,873	0.4%	41,895	42,347	40,466	34,503	41,122	-	-	-	-	-	-	\$200,334.00	
Meck. County	51.35%	1,053,545	51.4%	4,972,736	5,026,350	4,803,075	4,095,310	4,882,662	-	-	-	-	-	-	\$23,780,134.00	
Total	100.00%	2,050,139	100.0%	\$ 9,683,570	\$ 9,787,973	\$ 9,353,183	\$ 7,974,930	\$ 9,501,385							\$ 46,301,041	
Year-over-Year Comparison (FY20-FY19)				25.6%	1.7%	2.7%									9.9%	
FY20 Budget Target				\$ 8,818,165	\$ 9,132,038	\$ 8,444,238	\$ 8,460,092	\$ 8,734,473	\$11,111,792	\$ 8,401,451	\$ 8,375,431	\$ 9,860,806	\$ 9,167,984	\$ 9,220,066	\$ 10,206,848	\$ 109,933,383
% of FY20 Budget Achieved				472.3%	19.8%	29.3%	37.5%	47.1%	47.1%	47.1%	47.1%	47.1%	47.1%	47.1%	47.1%	42.1%

Sales Tax Receipts: FY2016 – FY2019

Fiscal Year	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	Total
FY2019	\$ 7,708,503	\$ 9,621,386	\$ 9,103,726	\$ 8,067,019	\$ 9,425,129	\$ 8,906,774	\$ 8,195,787	\$ 7,918,012	\$ 10,155,89	\$ 9,880,419	\$ 9,435,500	\$ 9,117,052	\$ 107,535,197
FY2018	\$ 8,147,197	\$ 8,436,960	\$ 8,784,051	\$ 7,883,713	\$ 8,884,437	\$ 9,324,267	\$ 6,897,695	\$ 7,842,800	\$ 9,303,951	\$ 8,539,748	\$ 9,277,676	\$ 9,699,263	103,021,757
FY2017	6,706,169	8,123,310	8,099,598	6,984,259	8,275,157	9,927,120	5,142,666	7,510,514	9,105,261	7,459,176	6,747,425	8,520,759	92,601,412
FY2016	7,470,371	6,971,746	7,551,677	6,188,499	6,607,520	9,383,261	6,142,552	6,944,204	7,858,189	7,952,022	7,781,259	8,765,518	89,616,819
FY2015	6,087,774	6,938,945	5,932,063	7,114,003	6,853,209	8,378,347	5,947,801	5,641,898	6,914,523	6,057,389	7,522,357	7,762,101	81,150,409

X. Open Discussion

XI. PMOC Activity

1.0 90 Day Look-ahead Calendar

See the following calendar months.

SEPTEMBER 2019

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
1	2 Labor Day	3	4	5	6 Final CATS_GL2_Q3 PQR_Report to FTA	7
8	9	10	11	12	13 Send draft PMP Review Report to FTA	14
15	16	17 FTA_CATS Q3_2019 QRM 10am - 1pm Atlanta, GA	18	19	20	21
22	23	24	25	26	27 Draft_FTA_CATS QRM_Notes Q3_2019	28
29	30					

JANUARY 2020

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
			1 New Year's Day	2	3 Final_FTA_CATS QRM Notes_Q4_2019 to FTA	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20 M L King Day	21	22	23	24	25
26	27	28	29	30	31	

FEBUARY 2019

Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
						1
2	3	4	5	6	7	8
9	10	11 Draft Agenda for CATS_GL2 PQR Meeting_Q1_2020	12	13	14 Valentine's Day	15
16	17 Presidents' Day	18 CATS_GL2_PQR Meeting_Q1_2020	19	20	21	22
23	24	25	26	27	28 Draft CATS_GL2_Q1_2020 PQR_Report to FTA	29

XII. Review of New Action Items/ Follow Up

Next Meeting: March 2020 in Charlotte, NC

