



March 1, 2013

Mr. Bob Dixon
Deputy Assistant Director
Department of Enterprise Services (DES)
Engineering and Architectural Services
P.O. Box 41012
Olympia, WA 98504

Application for Certification of Public Body to use GC/CM Contracting Procedure

Dear Mr. Dixon:

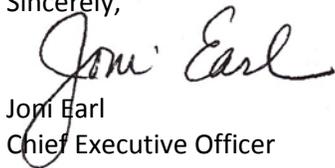
Since its inception in 1996, Sound Transit has planned, designed, constructed and commissioned nearly \$3 billion worth of transportation and transit infrastructure in the Puget Sound region. This includes numerous facilities to support our extensive express bus system in King, Pierce and Snohomish Counties, a commuter rail line from Lakewood to Everett, and a light rail system from downtown Seattle to Sea-Tac Airport. In 2009, Sound Transit began utilizing the GC/CM contracting procedure and is currently administering this methodology on three active contracts (University of Washington Station finishes, Capitol Hill Station finishes, and the University Link systems and trackwork). In addition, Sound Transit was approved to use the GC/CM contracting procedure on two upcoming Northgate Link Extension contracts (Roosevelt and U District Stations finishes).

As Sound Transit continues to implement our ST2 regional transit plan, the Agency is generating billions in new construction for our region. Going forward, we face many opportunities and challenges to ensure optimal delivery of our projects. In particular, the Agency must continue to objectively assess the use of alternate procurement procedures to maximize our ability and achieve the goals of our transit plan.

Therefore, we are submitting for your consideration our application for public body certification to use the GC/CM contracting procedure. We believe this application and our request are consistent with the goals of our plan. For this application, I have appointed Linneth Riley-Hall, Design & Construction Contracts Manager, to lead this process for Sound Transit. Please feel free to contact Linneth at 206-398-5072 or linneth.riley-hall@soundtransit.org if you have any questions or need additional information.

Sound Transit appreciates your consideration of this application and looks forward to your review and response.

Sincerely,


Joni Earl
Chief Executive Officer

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Pierce County Executive

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King County Councilmember

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Snohomish County Executive

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Tacoma Mayor

Peter von Reichbauer
King County Councilmember

CHIEF EXECUTIVE OFFICER

Joni Earl



State of Washington
Capital Projects Advisory Review Board (CPARB)
Project Review Committee (PRC)

**APPLICATION FOR CERTIFICATION of PUBLIC BODY
RCW 39.10 Alternative Public Works Contracting - GC/CM**

1. Identification of Applicant

Central Puget Sound Regional Transit Authority (dba: Sound Transit)
401 South Jackson Street, Seattle, WA 98104-2826
Contact: Linneth Riley-Hall, Design & Construction Contracts Manager
Phone: (206) 398-5072 Fax: (206) 398-5215
E-mail: linneth.riley-hall@soundtransit.org

2. Experience and Qualifications for Determining Whether Projects are Appropriate for GC/CM under Alternative Contracting Procedure

As described below and in the attached chart addressing Question 2, Sound Transit has established clear and deliberate processes for procurement control to evaluate whether specific projects are appropriate for alternate procurement delivery methods such as GC/CM. These processes bring together a wide variety of qualified Sound Transit staff, many with significant GC/CM experiences in discussing, assessing, and determining the best delivery method for each project. Staff from Sound Transit's Design & Construction Contracts (D&CC) team, including Linneth Riley-Hall (Manager), Thuy Hong (Supervisor), and Tina Davis (Sr. Design & Construction Contracts Specialist) have years of experience in GC/CM procurement and contracting both with Sound Transit and the City of Seattle, and help guide discussion within Sound Transit on project delivery methods. D&CC uses the *GC/CM Project Review Request* (see attached form) to determine whether the GC/CM delivery method is appropriate for a specific project. The timing of this evaluation coincides with the implementation of a number of Sound Transit's procedures that include: a) Phase Gate process, b) Risk Management Plan, c) Constructability Program Plan, and d) Change Control Board.

Phase Gate is a multi-disciplinary project management process requiring an Agency-wide collaborative effort providing comprehensive project information to the Sound Transit Board, CEO and Agency staff. Phase Gate includes eight (8) gates throughout the project lifecycle (e.g. progressions through design, to construction and service start-up). Gates are essentially checkpoints that allow the Agency to assemble and review information, project alternatives (including project delivery strategies) scope, costs, schedule, cash flows, risks and affordability. The Risk Management Plan (RMP) is a process and procedure utilized by the Agency to conduct risk assessment and identify primary and secondary risk treatments on our projects. One of categories includes "procurement/market" to assess various procurement strategies as means to reduce/mitigate risks in this category. In particular, the Agency has adopted the strategy to utilize various construction contract procurement strategies (e.g. traditional low bid, GC/CM, design/build) to complement the Agency's overall project objectives to administer primary and secondary treatments.

The Constructability Program Plan (CPP) describes the Agency's activities and processes to incorporate constructability reviews into a project program. The CPP identifies constraints and mitigation opportunities and the output from this effort frames the following: a) contract packaging approach and delivery method, b) phasing and staging plans, and c) construction sequencing and schedule logic.

The Change Control Board (CCB) is an assembly of senior management representatives from a number of key Agency departments including: a) Contracts; b) Finance; c) Safety and Quality Assurance; d) Operations; e) Planning, Environmental, and Project Development; and e) Design, Engineering, and Construction Management. The Agency utilizes this leadership forum to administer specific functions related to: procurement control, contract change control, baseline management, and third-party agreements.

Currently, the Agency is successfully implementing these plans and procedures in the management and administration of active construction in the region.

GC/CM Project Review Request

If the GC/CM delivery method is a potential procurement strategy based the findings from workshops described in the RMP and CPP, then the Project Team meets with the Design & Construction Contracts (D&CC) Manager early in the Phase Gate process to identify and discuss contracting options and develop an initial procurement strategy. If a contract package merits the GC/CM delivery method and the contract fulfills the criteria in RCW 39.10.340 for GC/CM, a formal *GC/CM Project Review Request* is developed. As the project proceeds through an alternatives analysis in the Phase Gate process, the D&CC Manager and Project Team finalize the procurement

Q2: Experience and Qualifications for Determining Whether Projects are Appropriate for GCCM under Alternative Contracting Procedure

PhG1 Project Development	PhG2 ID Alternatives	PhG3 ID Preferred Alts	Change Control Board	PhG4 Enter Final Design	PhG5 Establish Baseline
PT defines project scope, budget, schedule and programmatic requirements	PT progressing design to 10% Conceptual Engineering	Sound Transit Board approves Alternative to include in PE	PT presents to CCB for authorization to proceed with procurement (preconstruction services)	PT develops 60% design, scope elements and, cost estimate	PT finalizes design and establishes baseline cost and schedule
	PT meets with D&CC to discuss procurement strategies and agree on initial strategy	For GC/CM projects, PT completes 30% estimate and finalizes procurement strategy			
		D&CC reviews and issues determination on PT's <i>GCCM Project Review Request</i>			
	If GC/CM delivery method is potential, PT begins <i>GCCM Project Review Request</i>				

KEY

- CCB – Change Control Board
- D&CC – Design & Construction Contracts
- PhG – Phase Gate
- PT – Project Team

strategy. A final determination on using the GC/CM methodology will be issued at 30% design by the D&CC Manager. The *GC/CM Project Review Request* requires a description and documentation of the following information from the Project Team:

1. Brief description of the proposed project;
2. Anticipated project design and construction schedule;
3. Why the GC/CM delivery method is appropriate for this project;
4. How the project meets the criteria for use of GC/CM outlined in RCW 39.10.340;
5. How will the use of GC/CM delivery method benefit the public interest; and
6. Proposed staff qualifications, especially with regard to GC/CM experience.

Steps to Evaluate Request and Make Determination

1. If GC/CM delivery method is a potential procurement strategy, the Project Team meets with D&CC staff to discuss initial procurement strategies and the Project Team is directed to begin the *GC/CM Project Review Request*.
2. Project Team submits *GC/CM Project Review Request* to D&CC for review.
3. D&CC staff review the *GC/CM Project Review Request* to determine if the project meets criteria for use of GC/CM outlined in RCW 39.10.340 and evaluate the proposed Project Team's GC/CM experience.
4. D&CC Manager issues determination approving or disapproving use of GC/CM delivery method.

3. Project Delivery Knowledge and Experience

Knowledge and Experience in Project Delivery

Over the past ten years, Sound Transit has demonstrated its ability to successfully procure, manage, and deliver complex transit infrastructure projects in the Puget Sound region. The Agency's success is based upon a foundation of highly knowledgeable and experienced staff in the construction, engineering, legal, and procurement fields. Key staff within the Design, Engineering and Construction Management (DECM) Department, Procurement & Contracts Division (P&CD), and the Legal Department have relevant GC/CM experience and are active participants in the management and decision-making processes as it relates to alternative contracting.

- **Successful Project Delivery:** In the last ten years, Sound Transit successfully completed the Initial Segment and Airport Link projects, a 15.6 mile light rail route from downtown Seattle to Sea-Tac Airport with a construction cost of approximately \$1.6 billion and an overall project budget of \$2.7 billion. Both segments opened on-time with a final cost of \$2.6 billion; approximately \$137 million under budget demonstrating the Agency's ability to successfully manage and deliver complex design-bid-build projects. These projects were subjected to critical oversight by the FTA, local jurisdictions, and the general public. These reviews verified Sound Transit's adherence to budget, schedule, quality and state and federal contracting regulations.
- **GC/CM Experience:** In the last four years, Sound Transit has awarded three GC/CM contracts – University of Washington Station (UWS), Capitol Hill Station, and the University Link Systems GC/CM, which are all currently in active construction. Sound Transit staff successfully managed the procurement, preconstruction services, and MACC negotiations. All three contracts utilized the alternative selection process allowed by RCW 39.10.385 to select electrical and mechanical subcontractors. Beginning with the UWS, staff convened periodic GC/CM Round Tables as a forum to discuss lessons learned, identify best practices and share experiences with future project teams.
- **Personnel Experience and Training:** Sound Transit has built an organization of construction and procurement professionals that are experienced in the nuances of the GC/CM delivery method. Project Directors, Construction Managers, Project Controls Leads, and Contracts Specialists are all experienced in the GC/CM delivery method. In addition, Sound Transit staff with GC/CM projects have attended the annual Associated General Contractors GC/CM Training and attended specialized GC/CM training sessions at Sound Transit, conducted by Mike Purdy Associates. Additionally, this year, Sound Transit's Design & Construction Contracts Manager, assisted with the Associated General Contractors GC/CM training.

Delivery Methods

Sound Transit has utilized Design-Bid-Build (DBB), GC/CM, and Design-Build (DB) delivery methods to successfully deliver complex transit infrastructure projects throughout the greater Puget Sound region (see list of projects in the chart in response to Question 6).

GC/CM Projects: The Project Review Committee (PRC) has authorized Sound Transit to utilize the GC/CM delivery method on five projects:

1. **University of Washington Station (UWS)** (\$141 million) was approved by the PRC in 2009. Work on the UWS contract includes civil and architectural finishes within the station box and the north and south entrance structures. Sound Transit has successfully negotiated the MACC for the UWS, which is currently under construction.
2. **Capitol Hill Station** (\$105 million) was approved by the PRC in May 2011. This work includes civil and architectural finishes within the station box; construction of the west entrance and the Broadway pedestrian tunnel, head-houses and the north and south entrance structures. Sound Transit has successfully negotiated the MACC for the Capitol Hill Station, which is currently under construction.
3. **University Link Systems** (\$119 million) was approved by the PRC in May 2011. This work includes the procurement of systems equipment, detailed design of the signaling, traction

power and communications systems. Sound Transit has successfully negotiated the MACC for this project, which is currently under construction.

4. **Roosevelt Station** (\$100 million) was approved by the PRC in October 2012. The selection process for a GC/CM is anticipated to begin in mid-March 2013.
5. **U District Station** (\$100 million) was approved by the PRC in October 2012. The selection process for a GC/CM is anticipated to begin in the third quarter of 2013.

Design-Build Project: In addition, the PRC authorized Sound Transit to utilize the DB delivery method on the South 200th Link Extension Contract S440 in May 2011. Major project elements of this complex project include: 1.7 miles of double-track elevated light rail guideway; elevated center platform station; traction power substation, overhead catenary system, signal and communication system. This contract has been awarded to a design-builder and is currently in the design phase.

Management Structures and Project Controls: As a large public body that has contracted for complex public works construction over the last ten years, Sound Transit has established sophisticated management structures and project controls to ensure effective management of these projects and compliance with applicable federal and state regulations. These structures and controls are a critical component of Sound Transit's success in managing the three GC/CM projects currently under construction, as well as the projects delivered under other delivery methods. There are two major organizations within Sound Transit that play pivotal roles in the management of public works projects 1) The Design, Engineering and Construction Management (DECM) Department, and 2) The Procurement and Contracts Division (P&CD).

1) Design, Engineering and Construction Management Department: DECM is responsible for final design and construction of all of the Agency's major capital projects, and is linked closely to Sound Transit's senior leadership - DECM's Executive Director, Ahmad Fazel reports directly to Mike Harbor, Deputy CEO. The DECM senior management team includes Deputy Executive Directors and Executive Project Directors for each of the major light rail capital programs. DECM is supported by over 200 design engineers, project control specialists, cost estimators, schedulers, architects, permitting specialists, project managers, and construction managers who provide professional and technical capacity to manage the various elements of capital project delivery. Internal capacity is augmented by Consultants.

The Project Controls group within DECM implements policies and procedures to monitor and report on project scope, schedule, and budget so that the potential for scope creep, schedule delays, and cost over runs can be identified early and adjustments made to minimize the impact on project delivery. On GC/CM projects, Project Controls staff work as an integrated member of the Project Team managing the Schedule of Values, reviewing Progress Payments, and ensuring payments are made in accordance with the GC/CM Cost Allocation Matrix.

2) Procurement and Contracts Division (P&CD): P&CD supports DECM by offering specialized knowledge and skills in the area of procurement and contract administration. The following are some of the roles and functions of P&CD:

- **Advice and Compliance:** Responsible for advising and ensuring that Sound Transit is in compliance with the Revised Code of Washington, Federal Transit Administration (FTA) and Federal Highway Administration (FHWA) procurement regulations, Sound Transit Procurement Procedures, and "best practice" contracting and contract administration procedures that have been implemented by Sound Transit.
- **Integrated Project Management:** Provides experienced staff during all phases of a project to coordinate with DECM staff in the integrated management and administration of the work.
- **Contractor Performance:** Collaborates with DECM to ensure that contractors perform in accordance with the Contract Documents and Sound Transit procedures during the contract administration phase.

4. Personnel with Construction Experience Using various Contracting Procedures

See attached

5. Management Plan and Rationale for Alternative Contracting Projects

See attached

6. Contracting Procedures

See attached

Question 4: Personnel with Construction Experience using various Contracting Procedures

Name	Summary of Experience	Project Name	Project Size	Project Delivery Type	Role During Project Phases					Role Start	Role Finish
					Planning	Design	Construction	Commissioning, Startup, Closeout			
DESIGN, ENGINEERING & CONSTRUCTION MANAGEMENT (DECM)											
Ahmad Fazel	27 years experience in transportation specializing in approaches and management structures, engineering techniques, and procedures for implementing light rail transit projects in complex urban areas.	Sound Transit, Roosevelt Station	\$100M	WA GC/CM	OEX	OEX				2011	present
		Sound Transit, U District Station	\$100M	WA GC/CM	OEX	OEX				2011	present
		Sound Transit, UW Station	\$141M	WA GC/CM	OEX	OEX	OEX			2009	present
		Sound Transit, Capitol Hill Station	\$105M	WA GC/CM	OEX	OEX	OEX			2009	present
		Sound Transit, University Link Systems	\$119M	WA GC/CM	OEX	OEX	OEX			2010	present
		Sound Transit, South Link Project Airport to S 200th	\$169M	WA DB	OEX	OEX				2011	present
Don Davis	30 years experience in the management of public infrastructure projects	Sound Transit, Roosevelt Station	\$100M	WA GC/CM	OEX	OEX				2011	present
		Sound Transit, U District Station	\$100M	WA GC/CM	OEX	OEX				2011	present
		Sound Transit, UW Station	\$141M	WA GC/CM	OEX	OEX	OEX			2009	present
		King County, Brightwater Wastewater Treatment Facility	\$250M	WA GC/CM		OCM	OCM			2002	2006
Joe Gildner, PE	20 years experience managing design and construction of light rail systems	Sound Transit, UW Station	\$141M	WA GC/CM		OEX	OEX			2009	present
		Sound Transit, Capitol Hill Station	\$105M	WA GC/CM		OEX	OEX			2009	present
		Sound Transit, University Link Systems	\$119M	WA GC/CM		OEX	ODM			2010	present
		Metropolitan Area Express (MAX), Washington Park Station	\$72M	OR CM/GC			OENG	OENG		1992	1998
Justin Garrod, PMP	12 years project management experience in transportation	Sound Transit, Light Rail Vehicles	\$243M	DBB		OPM	OPM	OPM		2004	present
		Sound Transit, University Link Systems	\$119M	WA GC/CM		ODM	ODM			2010	present
		Initial Segment Systems C802 Signals, C803 Communications, C807 Traction Power & OCS	\$106M	DBB		OREP	OREP	OREP		2004	2009
Peter Brown, PMP	12 years project management experience in transportation	Sound Transit, University Link Systems	\$119M	WA GC/CM			OCM	OCM		2011	present
		DC Tunnels Asset Management	\$29M	DBB		CON	CON			2007	2011
		Lane Cove Tunnel - Sydney	\$1.1B	DBOT			CON	CON	CON	2006	2007
		Jubilee Line 7th Car (Infrastructure) - London Underground	\$20M	PPP		CON	CON	CON		2003	2006
		Airport Rail Link - Sydney	\$762M	DBOT				SUBCON		2001	2003
Jonathan Gabelein	20 years of project/construction management of private and public works projects, including transit, building, and heavy/civil projects	Sound Transit, Roosevelt Station	\$100M	WA GC/CM			OCM			2012	present
		WSDOT, Hood Canal Floating bridge Retrofit & replacement	\$471M	DBB			CON			2003	2005
		Sound Transit, C700/C810 Central link and Maintenance Facility	\$130M	DBB			CON			2006	2007
		Washington State Convention Center Expansion	\$77M	DBB			CON	CON		2001	2002
		WSDOT, Kirkland I-405 design-build highway/bridge reconstruction	\$48M	DBB		CON	CON			2005	2006
		Bemarova Hall Music Center	\$77M	WA GC/CM			CON	CON		1997	1998
		Safeco office building/parking garage campus	\$134M	DBB		PRECON	CON			1999	2001
Miles Haupt, CCM	33 years of design and construction experience as construction manager and general contractor project manager. Currently serving as the Project Director for the S 200th Link Extension, Sound Transit's first major Link Light Rail design-build project	Sound Transit, U220 TBM Tunnels CHS to UWS	\$310M	DBB			OCM			2009	2012
		SNC-Lavalin, Cut & Cover Tunnel w/ (4) station sites	\$250M	DBOM		CON	CON	CON		2006	2009
		Seattle Monorail	\$1.7B	DBOM	USM	USM				2003	2005
		Lease Crutcher Lewis, Northgate North - 800,000 SF Retail/Garage Shell & Core	\$42M	GMP		CON	CON			1999	2000
		Lease Crutcher Lewis, Edmonds School District - Meadowdale HS	\$26M	DBB	CON	CON	CON	CON		1996	1998
		Lease Crutcher Lewis, POS - Ball Street Pier and Conference Center	\$52M	DBB	CMC	CMC	CMC	CMC		1994	1995
Chisty Sanders-Meena	33 years of project and construction management experience with transportation and other infrastructure public works projects, including job order contracts and design-build	Sound Transit, Capitol Hill Station	\$105M	WA GC/CM			OCM			2012	present
		Sound Transit, University Link Systems	\$119M	WA GC/CM			OCM			2012	present
Chad Brown, PE	12 years of design and construction management experience on public works projects	Sound Transit, Capitol Hill Station	\$105M	WA GC/CM			OCM			2011	present
		WSDOT, SR 522 Snohomish River to Monroe Widening	\$75M	DBB			OCM			2011	2011
		WSDOT, SR 522/U2 Interchange Flyover Ramp	\$30M	DBB			OCM			2010	2011
		WSDOT, I-405 195th to SR 527 Auxiliary Lane	\$20M	WA DB			OCM			2009	2010
Carol Rhodes, PE	18 years of project and construction management experience	Sound Transit East Link	\$2.8B	DBB/DB/GCCM			OCM			2012	2013
		Sound Transit Director of Project Management		DBB			OEX			2010	2012
		Sound Transit Sounder and Regional Express Program	\$4.2B	DBB		OEX	OEX	OEX		2008	2010
		Pacific Plaza	\$21M	GC/CM			CON			2007	2008
		Great Wolf Lodge	\$80M	GC/CM			CON			2006	2007
		Muckleshoot Reservation Expansions	\$16M	GC/CM			CON			2005	2006
		TriMet Interstate Max Light Rail Expo Segment	\$31M	DB			CON			2000	2001
		ODOT Camelot Interchange HW 26	\$32M	DBB			CON			1998	2000
		Seville Square Theater & Parking	\$20M	GC/CM			CON			1997	1998
		Modgen Wastewater Treatment Expansion	\$132M	GC/CM			CTR			1995	1997
		Conoco Refinery Retrofit	\$23M	CMUP			CTR			1994	1994
		Tenaska Ferndale Combined Cycle Power Plant	\$125M	DB			CTR			1993	1994
DECM PROJECT CONTROLS											
Adam Strutyński, PMP, PSP, AVS, PMI-RMP	29 years of project and construction management experience, specifically in the management, development and implementation of cost and schedule controls, risk management and value engineering	Sound Transit, Roosevelt Station	\$100M	WA/GC/CM	OCTR	OCTR				2011	present
		Sound Transit, U District Station	\$100M	WA/GC/CM	OCTR	OCTR				2011	present
		Sound Transit, Capitol Hill Station	\$105M	WA/GC/CM	OCTR	OCTR				2011	present
		Sound Transit, UW Station	\$141M	WA/GC/CM	OCTR	OCTR	OCTR			2009	present
		City of Kent, Kent Event Center	\$75M	WA/GC/CM			OCTR	OCTR	OCTR	2007	2009
		City of Seattle, Fire Station/Emergency Operations and Command Center	\$44M	WA/GC/CM			OCTR	OCTR		2005	2008
		City of Seattle, Fire/Police Joint Training Center	\$38M	WA/GC/CM			OCTR	OCTR	OCTR	2004	2007
		City of Seattle, City Hall	\$72M	WA/GC/CM			OCTR	OCTR	OCTR	1999	2003
		City of Seattle, Justice Center/Police Headquarters	\$20M	WA/GC/CM			OCTR	OCTR	OCTR	1999	2003
Brian Ellingson	15 years of design and construction management experience	Sound Transit, Capitol Hill Station	\$105M	WA/GC/CM			OCTR	OCTR		2011	present
		Sound Transit, UW Station	\$141M	WA/GC/CM			OCTR	OCTR		2009	present
Juan Gonzales	10+ years of design and construction management experience on public works projects	Sound Transit, Capitol Hill Station	\$105M	WA/GC/CM	OCTR	OCTR	OCTR			2011	present
Jerry DeMuro, PMP	25 years of project and construction management experience for public agencies and private industry specializing in development and implementation of scope, schedule and budget monitoring and reporting systems and controls.	Sound Transit, Issaquah Transit Center	\$20.5M	DBB			OCTR	OCTR		2008	2009
		Sound Transit, Kirkland Transit Center	\$6.7M	DBB			OCTR	OCTR	OCTR	2008	2012
		Sound Transit M Street to Lakewood Track and Signal Improvements	\$36.2M	DBB			OCTR	OCTR	OCTR	2008	2012
		Sound Transit D to M Street Track and Signal Improvements	\$64.8M	DBB			OCTR	OCTR	OCTR	2008	2012
		Eike Arkel Trust, Fike Chemical Superfund Site Remediation	\$170M	DBB	PM	PM	PM	PM	PM	1997	1999
		US EPA Region 10 Multiple Superfund Remediation Programs	\$200M	DBB	PM	PM	PM	PM	PM	2000	2005
Tae-Hee Han	15 years of construction project management experience, specifically in the full range of GC/CM construction	Sound Transit, Capitol Hill Station	\$105M	WA/GC/CM			OCTR			2011	present
		Sound Transit, UW Station	\$141M	WA/GC/CM			OCTR			2011	2012
		Walsh Const., Univ. of Washington Site 35 & 33	\$59M	WA/GC/CM		PRECON	CON			2009	2011

March 01, 2013

Sound Transit Application for PRC Certification to use GC/CM

Question 4: Personnel with Construction Experience using various Contracting Procedures

Name	Summary of Experience	Project Name	Project Size	Project Delivery Type	Role During Project Phases					Role Start	Role Finish
					Planning	Design	Construction	Commissioning, Startup, Closeout			
DESIGN & CONSTRUCTION CONTRACTS											
Linneth Riley-Hall, CPPO	13 years in public sector procurement and contract administration, including DB and GC/CM contract administration	Sound Transit, Roosevelt Station	\$100M	WA GC/CM	OPROC	OPROC				2012	present
		Sound Transit, U District Station	\$100M	WA GC/CM	OPROC	OPROC				2012	present
		Sound Transit, Capitol Hill Station	\$105M	WA GC/CM	OPROC	OPROC	OPROC			2010	present
		Sound Transit, University Link Systems	\$119M	WA GC/CM	OPROC	OPROC	OPROC			2011	present
		Sound Transit, South Link Project Airport to S 200th	\$169M	WA DB	OPROC	OPROC				2011	present
		Sound Transit, UW Station	\$141M	WA GC/CM	OPROC	OPROC	OPROC			2010	present
		City of Seattle, South Recycling and Disposal Station	\$60M	WA DB	OPROC	OPROC	OPROC			2008	2010
		City of Seattle, Morse Lake Pump Plant	\$32M	WA GC/CM	OPROC	OPROC	OPROC			2008	2009
		Sound Transit, U District Station	\$100M	WA GC/CM	OPROC	OPROC				2012	present
		Sound Transit, Roosevelt Station	\$100M	WA GC/CM	OPROC	OPROC				2012	present
Thuy Hong, JD, CPPB	7 years in public sector procurement and contract administration, including DB and GC/CM contract administration	Sound Transit, Capitol Hill Station	\$105M	WA GC/CM	OPROC	OPROC	OPROC			2010	present
		Sound Transit, University Link Systems	\$119M	WA GC/CM	OPROC	OPROC	OPROC			2011	present
		Sound Transit, South Link Project Airport to S 200th	\$169M	WA DB	OPROC	OPROC				2011	present
		Sound Transit, UW Station	\$141M	WA GC/CM	OPROC	OPROC	OPROC			2010	present
		City of Seattle, South Recycling and Disposal Station	\$60M	WA DB	OPROC	OPROC	OPROC			2008	2010
		City of Seattle, Morse Lake Pump Plant	\$32M	WA GC/CM	OPROC	OPROC	OPROC			2008	2009
		Sound Transit, U District Station	\$100M	WA GC/CM	OPROC	OPROC				2012	present
		Sound Transit, Roosevelt Station	\$100M	WA GC/CM	OPROC	OPROC				2012	present
		Sound Transit, Capitol Hill Station	\$105M	WA GC/CM	OPROC	OPROC	OPROC			2010	present
		Sound Transit, University Link Systems	\$119M	WA GC/CM	OPROC	OPROC	OPROC			2011	present
Tina Davis, CPPB	8 years in public sector procurement and contract administration, including DBB, JOC, and GC/CM contract administration	Sound Transit, UW Station	\$141M	WA GC/CM	OPROC	OPROC	OPROC			2010	present
		City of Seattle, South Recycling and Disposal Station	\$60M	WA DB	OPROC	OPROC	OPROC			2008	2010
		City of Seattle, Morse Lake Pump Plant	\$32M	WA GC/CM	OPROC	OPROC	OPROC			2008	2009
		Sound Transit, U District Station	\$100M	WA GC/CM	OPROC	OPROC				2012	present
		Sound Transit, Capitol Hill Station	\$105M	WA GC/CM	OPROC	OPROC	OPROC			2010	present
LEGAL	Loren Armstrong, JD and Jim Niemer, JD Combined 30 years of experience in contract development, construction procurement, claims resolution, and litigation for horizontal and vertical construction projects of all kinds including DBB, DB, GC/CM and various other competitively procured and negotiated project delivery methods.	City of Seattle, Windermere CSO Reduction	\$35M	WA GC/CM	OPROC	OPROC	OPROC			2010	2011
		City of Seattle, Fire Station 14	\$6M	WA GC/CM	OPROC	OPROC				2010	2011
		Sound Transit, Roosevelt Station	\$100M	WA GC/CM	OPROC	OPROC				2012	present
		Sound Transit, U District Station	\$100M	WA GC/CM	OPROC	OPROC				2012	present
		Sound Transit, South Link Project Airport to S 200th	\$169M	WA DB	OPROC	OPROC				2011	present
		Sound Transit, Capitol Hill Station	\$105M	WA GC/CM	OPROC	OPROC	OPROC			2010	present
		Sound Transit, University Link Systems	\$119M	WA GC/CM	OPROC	OPROC	OPROC			2011	present

PROJECT DELIVERY TYPE KEY

WA DB	WA State Design-Build project administered under RCW 39.10.
PU DB	A public/federal Design-Build project
PR DB	A Design-Build project for a private owner
WA GC/CM	WA State GC/CM project administered under RCW 39.10.
OR CM/GC	OR State CM/GC project
PU CM@R	A public/federal CM at Risk project
PR CM@R	A CM at Risk project for a private owner
DBB	Public or Private Design-Bid-Build project
DBOM	Design-Build Operate Maintain
DBOT	Design-Build Operate Transfer
PPP	Public Private Partnership
CMUP	CM Unit Price

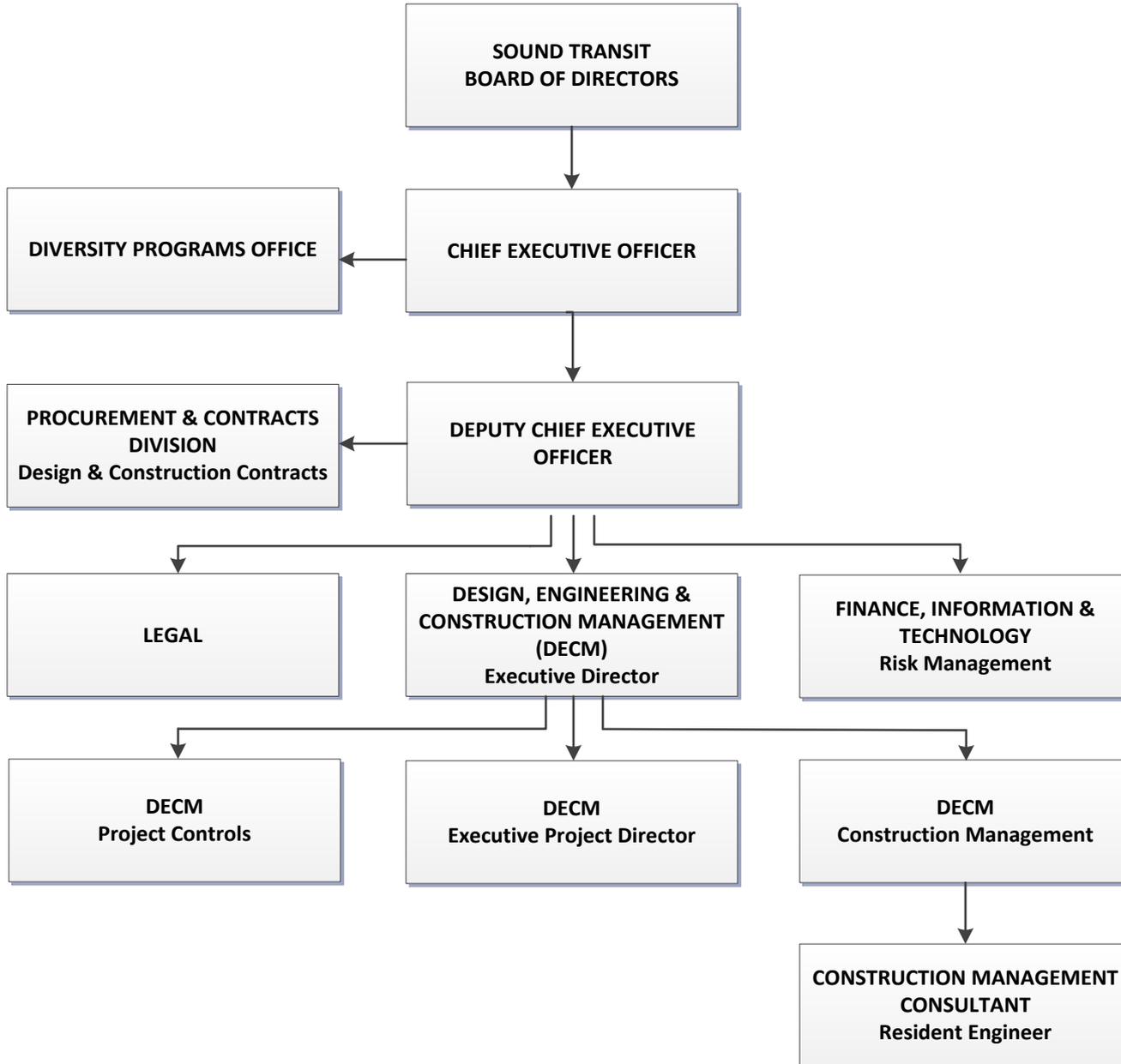
INDIVIDUAL ROLE KEY

As the Public Body:	
OEX	The executive or manager for the Owner responsible for the project
OPM	The Owner's Project Manager
ODM	The Owner's Design Manager
OCM	The Owner's Construction Manager
OENG	As the Owner acting as the resident engineer or field engineer
OREP	The Owner's Representative
OPROC	The Owner's Procurement Manager or Attorney
OCTR	Provided project controls, scheduling, or estimating support to the project as the Owner
As a Prime Consultant or Prime Contractor providing service to the Public Body:	
PROC	A prime consultant providing procurement services
ADV	A prime consultant providing project advisory, oversight, or audit services
PM	A prime consultant providing project management services
CTR	A prime consultant providing project controls, scheduling, or estimating services
DES	Designer of Record or prime consultant providing design services
CM	A prime consultant providing construction management, resident engineering, or field engineering services
CON	The prime contractor responsible for building the project
PRECON	The prime contractor responsible for preconstruction services
As a Subconsultant or Subcontractor to a Prime:	
SUBPROC	A subconsultant providing procurement services
SUBADV	A subconsultant providing contract advisory, oversight, or audit services
SUBPM	A subconsultant providing project management services
SUBCTR	A subconsultant providing project controls, scheduling, or estimating services
SUBDES	A subconsultant providing design or engineering services
SUBCM	A subconsultant providing construction management, resident engineering, or field engineering services
SUBCON	A subcontractor to the prime on the project

March 01, 2013

Sound Transit Application for PRC Certification to use GC/CM

Q5: Management Plan and Rationale for Alternative Contracting Projects



Roles and Responsibilities

Sound Transit Board of Directors – Sound Transit is governed by an 18-member Board made up of elected officials and the Secretary of the Washington State Department of Transportation. The Board establishes policies and gives direction and oversight.

Chief Executive Officer – Subject to Board oversight, and in accordance with Resolution 78-2, the Sound Transit Board delegated authority to the CEO to operate the agency and to implement the mission, goals, objectives, policies, and guidelines established by the Board.

Deputy Chief Executive Officer – The Deputy CEO provides executive oversight to DECM and P&CD.

Diversity Programs Office (DPO) – DPO manages Sound Transit’s Small Business Program and reports directly to the CEO. DPO staff collaborate with DECM and P&CD staff throughout the procurement and contract administration phases.

Procurement & Contracts Division (P&CD) – Administers agency procurements in accordance with the Revised Code of Washington, FTA Regulations and standardized policies and procedures set forth in the Procurement and Contracts Administration Manual (PCAM). P&CD coordinates with DECM in an integrated project management approach.

Legal – Provides staff attorneys during all phases of the Project to assist in the oversight and administration of the Work.

Risk Management – The Risk Management Division assists the project team in the administration of the Agency’s Owner Controlled Insurance Program (OCIP).

Design, Engineering & Construction Management (DECM) – DECM is principally responsible for final design and construction of all major capital projects. DECM provides professional and technical resources throughout the design and construction phases of each project. The department provides project control and construction management services for capital projects.

DECM Executive Director (ED) – Reports directly to the Deputy CEO and provides overall leadership and direction for all DECM activities. The DECM ED is responsible for the performance and overall management of DECM programs providing direction, oversight, monitoring and, strategic direction on policy issues, and board briefings.

DECM Project Controls – Project Controls is responsible for scheduling, monitoring, and coordinating the process for procuring construction and professional services. A Project Control Lead (PCL) is assigned to each contract and is responsible for overseeing activities associated with requisitions. During construction, the PCL is responsible for reviewing, approving and processing progress payments and invoices.

DECM Executive Project Director – Reports directly to the DECM Executive Director and participate in DECM’s executive management team and oversee the day-to-day management and administration of all project management activities.

DECM Construction Management – DECM Construction Management Division provides resources (staff and consultants) to oversee/manage constructability reviews during the design phase and oversight of the Construction Management Consultant (CMC) RE during construction.

Construction Management Consultant Resident Engineer (RE) – The RE reports directly to DECM Construction Management and is responsible for managing the day-to-day administration of the work. The RE is the primary point of contact for the Contractor and determines the acceptable fulfillment of the Contract.

Question 6: Contracting Procedures - 10 year Construction History

No.	Contract Name	Project Description	Delivery Method	General Contractor	Lead Design Firm	Planned Start	Planned Finish	Actual Start	Actual Finish	Original Budget	Final Cost	Cost Overrun Reason	Schedule Overrun Reason
1	Capitol Hill Station (U240)	Construction of a cut-and-cover light rail station that includes open cut retained excavation, below and above grade structures, waterproofing, station finishes, electrical, mechanical and site restoration.	GC/CM	Turner Construction Scott Paul (206) 505-6600	North Link Transit Partners Dan Adams (206) 398-5495	11/12	04/15	11/12	NA	\$105M	NA	NA	NA
2	UW Station (U250)	Construction of a cut-and-cover light rail station that includes open cut retained excavation, below and above grade structures, head house, pedestrian bridge, waterproofing, station finishes, electrical, mechanical and site restoration.	GC/CM	Hoffman Construction David Johnson (206) 286-6687	North Link Transit Partners Dan Adams (206) 398-5495	04/11	11/14	04/11	NA	\$141M	NA	NA	NA
3	University Link Systems (U830)	U830 Systemwide elements include a double crossover at UWS train signal system, communications systems, and traction electrification system.	GC/CM	Stacy & Witbeck, Inc. Steve Wood (206) 395-2200	LTK Engineering Services Lloyd Mack (206) 689-4919	12/12	02/16	12/12	NA	\$119M	NA	NA	NA
4	South 200th Link Extension (S440)	1.6 mile extension of light rail from SeaTac/Airport Station to S. 200th. Includes elevated guideway and tail track, S. 200th Station and track, signal and systems elements.	D/B	PCL Civil Constructors, Inc. Chris Stack (425) 394-4200	Huitt Zollars (PE) Francis Wall (206) 324-5500	10/12	09/16	10/12	NA	\$169M	NA	NA	NA
5	Downtown Seattle Transit Tunnel Retrofit	Retrofit of the existing Downtown Seattle Transit Tunnel (DSTT) for joint rail and bus operations and construction of a tunnel beneath Pine Street to accommodate a tailtrack.	D-B-B	Balfour Beatty Infrastructure Virgil Curtis (425) 251-0153	PSTC Amarjit Marwana (206) 324-5500	08/04	09/07	8/04	09/07	\$74.6M	\$82.2M	Acceleration and Differing Site Conditions	Differing Site Conditions
6	E3 Busway	Construction of the LRT guideway on the east side of the existing E-3 Busway, including SODO Station at Lander Street and Stadium Station at So. Royal Brougham Way.	D-B-B	Kiewit Pacific David C. Zemek (425) 255-8333	Huitt Zollars (PE) Francis Wall (206) 324-5500	11/03	10/05	11/03	05/06	\$40.7M	\$49.3M	Differing Site Conditions	Differing Site Conditions
7	Beacon Hill Project	Construction of an approximately one-mile-long, twin tube tunnel beneath Beacon Hill, including a deep mined tunnel station and fully enclosed aerial Mount Baker Station.	D-B-B	Obayashi Hiroaki Sugiyara (206) 359-2217	Hatch-Mott MacDonald/ Jacobs Engineering Steve Mauss (206) 838-2886	06/04	06/08	6/04	07/08	\$280M	\$307.4M	Differing Site Conditions	Differing Site Conditions
8	C735 Rainier Valley	Construction of the at-grade LRT guideway in MLK Way right of way, including a new MLK Way roadway, curb, gutter, and sidewalks, pedestrian crossings, signalized intersections, relocation of wet utilities including sewer, storm drainage, and water supply.	D-B-B	RCI/Herzog Michael Cooper (253) 299-3200	Berger Abam Bob Griebenow (206) 431-2300	06/04	04/07	06/04	11/08	\$114.2M	\$163.3M	Utility Interferences Differing Site Conditions	Utility Interferences Differing Site Conditions
9	C755 S Boeing Access Rd to S 154th St	Construction of the predominantly aerial guideway from south of Norfolk Street and MLK Way to South 154th Street. The alignment continued south along the west side of I-5 and then west along the north side of SR-518 to reach an aerial station and park-ride at South 154th Street.	D-B-B	PCL Construction Services Karl Benjamin (425) 454-8020	PSTC Amarjit Marwana (206) 324-5500	04/05	01/08	04/05	06/08	\$231.6M	\$239.8M	Minor Changes within contingency	Minor Changes within contingency
10	South Center Blvd. Improvements	Modification and improvements to South Center Blvd. access.	D-B-B	SCI Infrastructure Tyson Lashbrook (253) 218-0444	PSTC Amarjit Marwana (206) 324-5500	01/08	06/09	01/08	10/09	\$21.3M	\$26.1M	Differing Site Conditions	Differing Site Conditions
11	Operations & Maintenance Facility	Construction of a light rail operations and maintenance facility for track and vehicle repair and maintenance, vehicle storage and administration building on a 25 acre industrial site in Seattle's SODO area.	D-B-B	Kiewit Pacific David C. Zemek (425) 255-8333	LTK Engineering Services Lloyd Mack (206) 689-4919	11/03	04/06	12/03	08/07	\$54M	\$74M	Added Scope	Added Scope
12	Airport Link - C410: 154th Street to 160th Street	Construction of aerial guideway between 154th and 160th Streets including all trackwork (aerial and at-grade) and guideway.	D-B-B	PCL Construction Services Karl Benjamin (425) 454-8020	PSTC Amarjit Marwana (206) 324-5500	09/06	03/08	9/06	03/08	\$37.95M	\$39.6M	Minor Changes	NA
13	Airport Link - C420: 160th Street to Airport Station	Construction of LRT infrastructure from the terminus of Contract C410 at the Sea-Tac International Airport. Work included the at-grade section from the terminus of Contract C410 to approximately S. 168th St. and the aerial guideway from S. 168th St. to the SeaTac/Airport Light Rail Station.	D-B-B	PCL Construction Services Karl Benjamin (425) 454-8020	PSTC Amarjit Marwana (206) 324-5500	06/06	01/08	06/06	08/08	\$40.71M	\$44.78M	Minor Changes	Minor Changes
14	Airport Link - C430R: Airport Station and Trackwork	Construction of the elevated SeaTac/Airport Light Rail Station, the International Boulevard pedestrian bridge and plaza and trackwork from S. 160th St. through the station.	D-B-B	Mowat Construction Co. Mike Bell (425) 806-7919	Hatch Mott MacDonald Steve Mauss (206) 838-2886	04/07	09/09	08/07	07/09	\$53.54M	\$73.55M	Bid Climate	Follow on Work
15	Signals System	Signal system for the complete line (Initial Segment to Airport plus Yard Expansion), including a joint operating (Bus and Train) signal system in the DSTT.	D-B-B	GE Transportation Systems James Schmitz (321) 435-7365	LTK Engineering Services Lloyd Mack (206) 689-4919	10/04	08/08	10/04	07/09	\$33.6M	\$36.8M	Minor Change	Follow on Work
16	Traction Power	Integrated 1500v dc voltage traction power system with overhead contact system (OCS) for the Initial Segment and Airport Link	D-B-B	Mass Electric Construction Co. Walead Atlyeh (303) 598-2149	LTK Engineering Services Lloyd Mack (206) 689-4919	09/04	06/08	10/04	07/09	\$36.4M	\$48.6M	Added Scope	Follow on Work

Question 6: Contracting Procedures - 10 year Construction History

No.	Contract Name	Project Description	Delivery Method	General Contractor	Lead Design Firm	Planned Start	Planned Finish	Actual Start	Actual Finish	Original Budget	Final Cost	Cost Overrun Reason	Schedule Overrun Reason
17	I-5 Undercrossing Construction Pits	I-5 under-crossing construction pits (contract U215) and other utility works by third parties in preparation of University Link Extension tunneling between the Pine Street Stub Tunnel and the University of Washington.	D-B-B	Condon-Johnson Associates Rowland Stow (206) 575-8248	North Link Transit Partners Dan Adams (206) 398-5495	11/08	07/11	02/09	03/11	\$19.7M	\$23.5M	Added Scope	Added Scope
18	TBM Tunnel (UWS to CHS)	Construction of 11,400 foot long segmentally lined twin-bored tunnels between UW Station and Capitol Hill Station. Work also includes civil and structural work for UW Station crossover.	D-B-B	Traylor Frontier - Kemper (TFK) JV Matt Burdick (206) 285-8888	North Link Transit Partners Dan Adams (206) 398-5495	03/09	08/13	03/09	NA	\$309.1M	NA	NA	NA
19	TBM Tunnels (CHS to PSST)	Construction of a 3,800 ft long segmentally lined twin-bored tunnels between Capitol Hill Station and Pine Street Stub Tunnel	D-B-B	JCM JV Glen Frank (206) 384-4700	North Link Transit Partners Dan Adams (206) 398-5495	12/09	03/13	12/09	NA	\$153.5M	NA	NA	NA
20	Construction of Tacoma Link Light Rail System	Complete 1.6-mile at-grade LRT line with five passenger stations in Downtown Tacoma.	D-B-B	Gary Merlino Construction Co. Brian Kittleson (206) 762-9125	Otak Chad Weiser (425) 822-4446	07/01	08/03	07/01	08/03	\$22.8M	\$28.4M	NA	NA
21	Lynnwood Transit Center	Construction of twenty bus bays, larger passenger waiting areas, a customer service center, improved and expanded weather protection, increased lighting, and a 300 stall surface parking area at an existing park and ride facility.	D-B-B	Bayley Construction David Denning (206) 621-8884	Tetra Tech Michael Gillespie (425) 635-1000	09/02	12/04	09/02	12/04	\$10.7M	\$10.7M	NA	NA
22	Federal Way Transit Center	Construction of a transit center and 1,200 stall, five level parking structure including linking I-5 HOV lanes with direct-access HOV ramps at 317th.	D-B-B	PCL Construction Services Jim Pitman (425) 454-8020	KPFF Ron Leimkuhler (206) 622-5822	07/04	06/06	07/04	11/05	\$21M	\$21.7M	Minor Change	NA
23	Issaquah Transit Center	Construction of a Transit Center including bus shelters and improved weather protection for riders; rider amenities; bus layover space; and an 800 stall structured parking facility.	D-B-B	Harbor Pacific Contractors, Inc. John Welch (425) 488-7131	KPFF Ron Leimkuhler (206) 622-5822	02/08	02/08	02/08	03/09	\$18.4M	\$20.5M	Differing Site Conditions	Differing Site Conditions
24	Lakewood Station	Commuter rail station construction including 1000 foot boarding platform, bus transfer facility, 1,000 stall parking structure and three miles of track improvements	D-B-B	PCL Construction Services Trevor Gallagher (425) 454-8020	KPFF Ron Leimkuhler (206) 622-5822	02/07	09/08	02/07	06/09	\$17.1M	\$17.6M	Minor Change	Minor Change
25	M Street to Lakewood Track and Signal Improvements	Track and signal improvements on 7 miles of existing rail corridor for commuter rail use.	D-B-B	RailWorks Track Systems, Inc. David Landreth (206) 262-9444	HDR Wayne Short (425) 453-7107	05/09	01/10	05/09	03/11	\$34M	\$36.2M	Differing Site Conditions	Minor Change

Sound Transit has managed 35 projects with a total cost of at least \$5M over the past 10 years.

7. Demonstrated Success in Managing at Least One Project Using the GC/CM Contracting Procedure Within the Last Five Years

Sound Transit's demonstrated success in managing three current GC/CM projects is the result of staff with GC/CM experience, effective management structures and project controls, standard and robust contract documents tailored to GC/CM, and Sound Transit's continuous improvement culture. The following three major construction projects are currently under construction as GC/CM projects: University of Washington Station (UWS), Capitol Hill Station, and the University Link Systems contract (traction power, communications and trackwork).

Appropriateness of GC/CM: Sound Transit chose the GC/CM method for the UWS as the most appropriate project delivery procedure for the following reasons, all of which have been confirmed during actual construction of the project:

- 1.) **Complex Construction:** The complex underground station construction using a top-down construction method within a constrained work environment made it critical for the GC/CM to have early involvement during design. The top-down construction allows surface area restoration prior to the completion of station interior work. During Preconstruction, the GC/CM conducted a series of reviews that supplement the Agency's RMP and CPP and provided input into the top-down construction technique that resulted in substantial time savings, allowing Sound Transit to meet its time commitments to the University of Washington (UW).
- 2.) **Property Ownership:** The UWS project involves construction on property owned by the UW with an additional component, the Montlake Triangle pedestrian improvements, spanning Montlake Boulevard.
- 3) **Minimizing Impact to Adjacent Facilities and Construction:** The project was initiated when Husky Stadium was in use by the UW; approximately one year later, reconstruction of the stadium began. Maintaining athletic operations and later minimizing impacts of Sound Transit construction to the reconstruction of Husky Stadium and traffic flow on Montlake Boulevard. These requirements demand complex scheduling, phasing and coordination with the adjacent Husky Stadium contractor and third parties involved in the Montlake Triangle project including the UW, King County Metro, and Seattle Department of Transportation, UW's highly active campus schedule, UW Medical Center, surrounding residents, and the Sound Transit contractors performing tunneling and systems work.
- 4.) **Preconstruction Planning Was Critical:** The GC/CM input to scheduling, sequencing, and coordination during Preconstruction Services was invaluable to managing seamless coordination between contractors, minimizing impacts of Sound Transit construction to stadium access, traffic flow, transit operations and area residents while maximizing construction efficiencies.

Lessons Learned: In an effort to continuously improve our management of GC/CM projects, we have created an internal GC/CM Round Table forum to discuss experiences, best practices, lessons learned, and institutionalize GC/CM improvements. Some of the lessons learned from the UWS project include:

- **Structure for Developing Cost Matrix:** Sound Transit realizes the importance of bringing together a multi-disciplinary team during the production of RFQ documents for a GC/CM Cost Matrix Workshop, where the GC/CM cost categories are discussed and decisions are made.
- **Early Selection of GC/CM:** Although significant benefits were gleaned from the UWS Preconstruction services phase, the design for UWS was well advanced when the GC/CM was selected. For the Northgate Link Extension, we will procure GC/CM contractors for station finishes at the U District and Roosevelt Stations at 60% design. For the East Link Extension, we plan to procure the GC/CM for two major construction projects at 30% design.

Value of EC/CM and MC/CM: Based on our experience, Sound Transit believes that procurement of EC/CM and MC/CM subs has provided valuable information relative to constructability, identification, evaluation, and quantification of project risks thereby improving quality of risk assessments and defining construction sequencing to optimize schedule.

8. Ability To Properly Manage the Public Body's Capital Facilities Plan

Since its inception in 1996, Sound Transit has successfully delivered over \$4 billion in transit infrastructure improvements within the Puget Sound region, dramatically changing the way area residents in the region travel. Sound Transit accomplishments include the establishment of an 85 mile commuter rail system linking Everett to Lakewood, a light rail system between Sea-Tac International Airport and downtown Seattle, HOV access enhancements to the region's freeways, establishment of a regional express bus system and construction of a number of park and ride facilities. We have embarked on the second phase of our capital program Sound Move 2 (ST 2) which includes significant expansion of our light and commuter rail systems and improvements to our existing facilities valued in excess of \$10 billion. In its 2012 performance audit, the Washington State Auditor's Office reported that Sound Transit has an organizational structure, policies and procedures, expertise, and other resources in place to successfully accomplish its capital program (*Sound Transit: Performance Audit of the Citizen Oversight Panel, Adjustments to Planned Investments, Construction Management and Ridership Forecasts October 25, 2012*). It highlighted progress the Agency has made in continuously improving its structure to manage projects, our implementation of standardized guidelines on cost estimating, change and cost management, project management, and risk assessments, as well as improvements in construction planning and management processes representing "best industry practices."

Currently, the Agency maintains a staff of approximately 30 schedule, cost and risk engineers and project control specialists responsible for validating cost estimates, project budgets and schedules, monitoring and reporting on schedule and budget status, risk analyses and administration of engineering services and construction contracts including procurement and change control and progress payments. These staff members develop and oversee the implementation of our PMPs including the hierarchy of project control policies and procedures outlining requirements for contracting, change management, schedule and budget development, monitoring and reporting, value engineering and risk analysis. They are integrated with project management teams and coordinate their functions with those of the Agency contracting, finance, and accounting teams.

As a public agency that relies upon tax revenue to fund our capital program we are continuously validating our revenue forecasts and updating our financial plan and capital program plan accordingly to ensure the agency has the financial capacity available to complete projects on schedule. As required by our funding partners (e.g., Federal Transit Administration), the Agency has also developed and maintain a detailed Resource Management Plan to ensure that Sound Transit maintains the technical capacity to manage on-going capital program elements.

9. Ability to Meet the Requirements of Chapter 39.10 of the Revised Code of Washington

Sound Transit's D&CC Manager, Linneth Riley-Hall has been actively involved in the alternative public works contracting arena since 2005. Currently, she attends the Capital Projects Advisory Review Board (CPARB) meetings, is a member of the Project Review Committee (PRC), and CPARB's Re-authorization Subcommittee. In addition, Linneth was a panelist at the Associated General Contractors January 2013 GC/CM Workshop. Linneth's active involvement demonstrates her knowledge and expertise in GC/CM and Sound Transit's commitment to the successful management and administration of public works contracts.

Sound Transit's D&CC Supervisor, Thuy Hong is the Agency's GC/CM subject matter expert. Thuy is a licensed attorney and works with Sr. Design & Construction Contracts Specialists assigned to GC/CM projects to ensure projects are managed in compliance with Revised Code of Washington, FTA and Sound Transit policies and procedures. Thuy mentors additional members of the D&CC team to gain alternative public works contracting experience while ensuring consistent and effective administration of GC/CM projects.

To supplement the expertise and experience of the D&CC team, project control staff assigned to the contracts relies on well-established project control policies and procedures that were developed and in consideration of applicable regulatory requirements. In addition, Sound Transit procures Construction Management consultants for the major capital programs. Consultants working on GC/CM contracts are selected in part based on their experience and expertise in GC/CM contracting and applicable regulatory requirements.

The Design & Construction Contracts (D&CC) team of Sound Transit's Procurement and Contracts Division developed standard procurement procedures for the GC/CM delivery method. Utilizing Sound Transit's standard Procurement Activity List (PAL) format, D&CC staff developed a GC/CM PAL to ensure consistent, compliant, and effective procurement administration. In addition, standard GC/CM-specific General Conditions, boilerplates, and templates were developed and posted to the team's SharePoint site. Development of standardized GC/CM documents ensures effective and consistent administration of GC/CM projects.

Sound Transit is well positioned to meet the alternative public works contracting requirements set forth in Chapter 39.10 of the Revised Code of Washington. In 2011, the National Institute of Governmental Purchasing (NIGP) awarded Sound Transit its Pareto Award of Excellence in Public Procurement recognizing the Agency's Procurement and Contracts Division for distinguished best practices in procurement leadership, strategic planning, customer service, process management, technology, and performance improvement. The internationally recognized Pareto Award represents the highest form of peer recognition that can be bestowed on an agency for outstanding achievements in public procurement and commitment to successful contract management.

10. Resolution of Audit Findings on Previous Public Works Projects

Sound Transit has had no audit findings on any project identified in response to Question 6. Annually, Sound Transit is subjected to three separate audits:

1. Financial Statements by an independent third party auditor, currently KPMG — fourteen consecutive clean audit opinions.
2. Federal Compliance required by OMB Circular A-133, also performed by KPMG — No findings related to construction contracts.
3. State and Local Government Accountability conducted by the Washington State Auditor's Office — No findings related to construction contracts.

In addition to these annual audits, Sound Transit is also subjected to various federal audits, including:

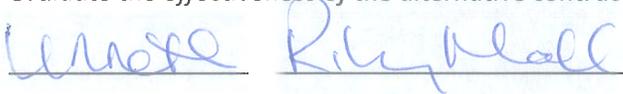
- FTA Triennial Review (most recent 2010)
- FTA Procurement Review (most recent 2012)
- FTA Title VI Compliance Review (August 2005)
- FTA DBE Compliance Review (July 2006)
- FTA ADA Compliance Review (Sept. 2007)

None of these audits and reviews including the 2010 FTA Triennial Review, resulted in findings related to Sound Transit's construction program. Finally, in 2007, the Washington State Auditor's Office (SAO) conducted a performance audit of Link light rail construction, which was performed under contract by Talbot, Korvola & Warwick. While this audit did not identify any findings, the SAO did have a number of recommendations to enhance our ability to effectively manage our capital program. In a 2012 follow up to the 2007 audit (*Sound Transit: Performance Audit of the Citizen Oversight Panel, Adjustments to Planned Investments, Construction Management and Ridership Forecasts October 25, 2012*), the SAO concluded that all of the recommendations had been successfully addressed, including their recommendation that Sound Transit consider the use of alternative project delivery methods.

Signature of Authorized Representative

In submitting this application, you, as the authorized representative of your organization, understand that the PRC may request additional information about your organization, its construction history, and the experience and qualifications of its construction management personnel. You agree to submit this information in a timely manner and understand that failure to do so shall render your application incomplete.

Should the PRC approve your request for certification, you also agree to notify CPARB when your organization approves the construction of a project using the alternative contracting procedure(s) for which you are certified; and to participate in brief, state-sponsored surveys at the start and completion of each of these construction projects. You understand that this information will be used in a study by the state to evaluate the effectiveness of the alternative contracting procedure(s).



Name (please print): Linneth Riley-Hall, CPPO

Title: Design & Construction Contracts Manager

Date: March 1, 2013