



May 1, 2015

Mr. Bill Phillips
Program Supervisor
Engineering and Architectural Services
Dept. Of Enterprise Services
P.O. Box 41476
Olympia, WA 98504

Application for Certification of Public Body to use Design Build Contracting Procedure

Dear Mr. Phillips:

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 regional 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 2010, Sound Transit began utilizing the Design Build delivery method and is currently administering this methodology on three active contracts: South 200th Link Extension Guide Way and Station, South 200th Extension Parking Garage, and the Maintenance of Way Facility, which will open in 2016. In addition, Sound Transit is procuring two Design Build contracts: SR520 to Overlake Transit Center and Sounder Yard Expansion.

As Sound Transit continues to implement our ST2 regional transit plan and develop the ST3 plan, the Agency is generating billions of dollars in new design and construction contracts for the Puget Sound region. Our constituents are accustomed to Sound Transit delivering high quality transit infrastructure quickly, efficiently, and within budget. Certification as a public body to use Design Build as a potential delivery method will ensure we continue to deliver on these expectations.

Sound Transit has the qualifications and experience, and it has successfully managed Design Build contracts since 2010. Therefore, we are submitting for your consideration our application for public body certification.

I have appointed Linneth Riley-Hall, Design & Construction Contracts Manager to lead the application 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,

Mike Harbour
Acting Chief Executive Officer

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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 – Design Build

1. Identification of Applicant

Central Puget Sound Regional Transit Authority (dba: Sound Transit)
401 South Jackson Street, Seattle, WA 98104
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 DB under Alternative Contracting Procedure (RCW 39.10.270 (2)(a).)

Sound Transit has established clear processes and procedures in determining whether a project is appropriate for the Design Build delivery method. These processes bring together various departments throughout the agency, each possessing significant Design Build experience as demonstrated in response to question four. The determination of whether Design Build is an appropriate delivery method for a project goes through a deliberate process with interdepartmental input and review throughout.

Phase Gate:

Sound Transit 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). The Gates are essentially checkpoints that allow the Agency to assemble and review information, project alternatives, the project delivery method, scope, costs, schedule, cash flows, risks and affordability. Each Gate is approved by the CEO or delegate.

Design Build Selection Process

The process begins in the early stages of project design. The agency will complete a Risk Management Workshop (RMP) which, among other items, discusses the risk with the various procurement strategies. Additionally, Sound Transit will complete a Constructability Review Program (CPR) thereby developing the framework contract packaging approach and delivery method. The design firm and Sound Transit will then undertake a Contract Packaging Workshop where all potential delivery methods are discussed (e.g. traditional low bid, GC/CM, and Design Build). A committee is created composed of representatives from various stakeholder departments like Planning, Environmental and Project Development (PEPD), Design, Engineering, and Construction Management (DECM), and Procurement & Contracts.

The committee reviews the completed RMP and CPR as well as establishing the project goals. The committee will review amongst other things the potential packaging configurations based on the following six criteria; size and complexity, contract interfaces, jurisdictional boundaries, construction access and staging, maintenance of traffic, and staffing requirements along with the requirements of RCW 39.10. The committee will make its recommendations to the Executive Director of DECM and if a project is a candidate for Design Build, the project team starts developing a formal Design Build Project Review Request.

During this time, the project will be progressing through gates 1 through 3 of the Phase Gate process described above. Each project team will refine the procurement strategies based on the discussions of the Phase Gate Reviews and once Design Build is determined to be the most appropriate delivery method the Design Build Project Review Request is finalized and submitted to the Procurement and Contracts, Design and Construction Contracts Manager for review. A final determination is issued by the D&CC Manager no later than 30% design completion. The process is represented as a chart in Figure 1 below.

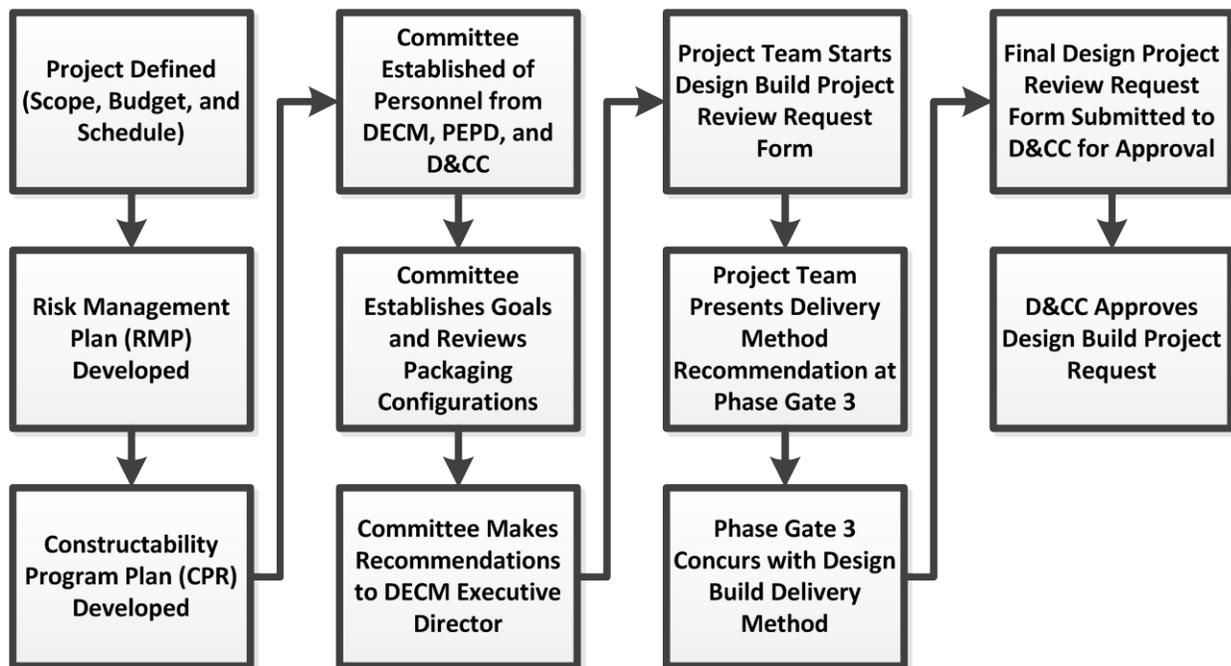
Throughout the entire process, the central public works contracting authority for the agency, the Design and Construction Contracts (D&CC) group, is involved with the evaluation, discussion, and final determination on whether a project is appropriate for the Design Build method.

Design Build Project Review Request:

Sound Transit has written criteria to assess the suitability of a project for Design Build delivery. A request is submitted to the D&CC Manager for final review and approval that Design Build is an appropriate delivery method that meets the RCW 39.10 criteria. A sample of the Design Build Project Review Request Form is included as Exhibit A of this application.

The Project Review Committee has approved Sound Transit to apply the Design Build delivery method on three projects and Sound Transit has been successfully administering Design Build projects since that first approval. Sound Transit’s experience, along with its established processes and procedures, demonstrates Sound Transit’s ability and commitment to properly evaluating each project ensuring it is appropriate for the Design Build delivery method.

Figure 1



3. Project Delivery Knowledge and Experience (RCW 39.10.270 (2)(b)(i).)

Knowledge and Experience

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. 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 overall project cost of \$2.6 billion; approximately \$137 million under budget demonstrating the Agency's ability to successfully manage and deliver highly complex design-bid-build projects.

In 2016, Sound Transit will open Link service to the University of Washington (2 underground stations 3.1 miles of twin bored tunnels) and the Link extension south of the Airport to Angle Lake. For the \$1.76 billion University Link Extension, Sound Transit used GC/CM and Design-Bid-Build contracting. The project will open ahead of schedule and nearly \$150M under budget. The S. 200th Link Extension (to Angle Lake elevated station with 1.6 miles of elevated guide way and a 1,050 stall parking garage is also scheduled to open early and within its \$383 million budget. Design Build delivery is being used for the station, guide way, and the parking garage elements of this project.

These projects have been subjected to critical oversight by the FTA, local jurisdictions, and the general public. This oversight verified Sound Transit's adherence to budget, schedule, quality and state and federal contracting regulations. 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 DECM Department and the D&CC group possesses relevant Design Build experience and are active participants in the management and decision-making processes as it relates to Design Build and other delivery methods. Sound Transit is able to maintain its expertise through continued training and hands on experience.

Design Build Experience: The ability of Sound Transit to cultivate and maintain its Design Build proficiency is demonstrated through the active Design Build projects currently being constructed. Over the last four years, Sound Transit has awarded three Design Build projects; South 200th Link Extension Guideway and Station, South 200th Link Extension Parking Garage, and the Maintenance of Way Facility. In addition to the three awarded contracts, Sound Transit is currently in the process of procuring two additional Design Build contracts; the SR 520 to Overlake Transit Station and the Sounder Yard Extension. Continuing the process established for Sound Transit's GC/CM projects, a round table forum is convened quarterly to discuss lessons learned, share experiences with future project teams, and identify best practices for future Design Build projects.

Personnel Experience and Training: Sound Transit has built an organization of construction and contracting professionals who are experienced in the nuances of the Design Build delivery method. Project Directors, Construction Managers, Project Controls Leads, and Contracts Specialists are all experienced in the Design Build Delivery Method. This knowledge is not only gained through hands on experience, but a number of employees have completed the training courses offered by the Design Build Institute of America (DBIA) and many of which are certified DBIA professionals. At this time, 12 employees at Sound Transit have completed the DBIA training courses and 10 employees are certified DBIA Professionals or Associate DBIA Professionals. In addition to the DBIA training and certification, Sound Transit employees are active participants in various design build forums and trainings throughout the region and country.

Project Delivery Methods

Sound Transit has utilized Design Build, GC/CM, and Design-Bid-Build delivery methods to successfully deliver complex transit infrastructure projects. Please refer to the table provided in response to question #6 for additional projects and information.

Design Build Projects:

- **South 200th Link Extension Elevated Guideway and Station (\$261 Million):** Approved by the PRC in July 2010, the project extends light rail 1.6 miles from existing airport station to a new Angle Lake station at 200th St. The contract was awarded in September 2012 and is scheduled to open ahead of the baseline schedule in the second quarter of 2016 and four years earlier than the voter-approved Sound Transit Plan 2.
- **South 200th Link Extension Parking Garage (\$30 Million):** Approved by the PRC in April 2013. The parking garage includes 1,050 parking stalls, roadwork, sidewalks, urban improvements, landscaping, utility work, and plaza and retail space connecting to the Angle Lake Light Rail Station.
- **Maintenance of Way Facility (\$12 Million):** The Facility includes a 28,991 square foot pre-engineered metal building that will house the Track, Facilities and Power Department for Sound Transit's light rail operations and an adjacent 4,175 square foot accessory storage building supporting the MOW and the Operations and Maintenance Facility (OMF). The facility is scheduled to open in February 2016.
- **SR520 to Overlake Transit Center (\$258 Million):** Approved by the PRC in September 2013. The project is a 1.8 mile segment and includes the following major elements; double-track aerial and at-grade guide way, two at grade stations, a parking garage, and two pedestrian bridges over SR 520. This project is currently in the RFP phase of the procurement.
- **Souder Yard Expansion (\$13 Million):** This project will construct up to a 3,600 square foot modular building with adjacent parking to provide permanent crew, office and storage facilities for the BNSF and Amtrak crews that operate the trains. An additional storage track will also be constructed to store Souder commuter rail trains when not in service. The project is currently in the RFQ phase of procurement.

GC/CM Projects: In 2013, the PRC approved Sound Transit as a certified agency to utilize the GC/CM project delivery method. Under this authority granted by the PRC, Sound Transit has approved three projects for the GC/CM delivery method; Downtown Bellevue to Spring District Heavy Civil, Northgate Station and Parking Garage Heavy Civil, and Seattle to South Bellevue Heavy Civil. Prior to its agency certification, the PRC approved Sound Transit to use the GC/CM delivery method on five other GC/CM projects.

Management Structures and Project Controls

Sound Transit has established management structures and project controls to ensure effective management of all its complex public works projects while ensuring compliance with applicable local, state, and federal regulations. These structure and controls are a critical component to Sound Transit's success in managing its five current Design Build projects as well as projects being constructed under other delivery methods. Two organizations in Sound Transit play pivotal roles in the management of Sound Transit's project; the Design, Engineering, and Construction Management department and the Design and Construction Contracts group.

Design, Engineering and Construction Management Department (DECM): 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 Harbour, Sound Transit Application for

Acting 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 Design Build Project Management Consultants, many of whom are co-located, offering specialized experience in engineering, Design Build contracting, and construction management.

The Project Controls and Value Engineering Division within DECM includes over 40 staff who implement 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 mitigate the impact on project delivery. On Design-Build Projects, Project Control staff work as an integrated member of the Project Team to monitor the cost and schedule for design and construction deliverables by managing the Schedule of Values, reviewing Progress Payments, and performing Earned Value analysis.

Design and Construction Contracts (D&CC): The D&CC group supports DECM by providing specialized knowledge and skills for procurement and contract administration. The following are some of the roles and functions of the D&CC group.

- **Procurement and Contract Administration:** The D&CC, managed by Linneth Riley-Hall, group is the central contracting authority for all Architectural and Engineering and Public Works contracts. The D&CC group is integrated with each project team during all phases of the project, from procurement through close out. This close integration gives the D&CC group the ability to provide timely advice and knowledge to the project team, closely weaving together procurement and technical requirements.
- **Advice and Compliance:** The D&CC group is responsible for providing advice to the project teams while ensuring that each contract is in compliance with all applicable regulations, procedures, and best practices for contracting and contract administration. This includes the Revised Code of Washington, Federal Transit Administration regulations and best practices, and Sound Transit procurement policies and procedures.
- **Contractor Performance:** The D&CC group collaborates with DECM to ensure the contractor is performing in accordance with the Contract Documents and Sound Transit procedures during the contract administration phase. The D&CC group worked with DECM staff and members of the Association of General Contractors of Washington (AGC) to develop and launch a Contractor Evaluation Program that, with the increase in the use of alternative contracting strategies, is critical to ensuring that contractors selected have the technical capacity and capability to successfully deliver the project.

Design Build Honorarium: This is discussed in response to question #9.

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	Comm., Startup, Closeout			
DESIGN, ENGINEERING & CONSTRUCTION MANAGEMENT (DECM)											
Ahmad Fazel , Executive Director DECM	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, Maintenance of Way Building	\$12M	DB	EX	EX				2011	Present
		Sound Transit, E360, Overlake Village to Overlake Transit Center Extension	\$250M	DB	EX	EX				2011	Present
		Sound Transit, Souder Yard Expansion	\$12M	DB	EX	EX	EX			2011	Present
		Sound Transit, South 200th Link Extension - Airport to S 200th (S440)	\$169M	DB						2009	Present
		Sound Transit, South 200th Link Extension - Parking Garage (S445)	\$30M	DB	EX	EX				2009	Present
Ron Lewis , Executive Project Director East Link	28 years of experience within the transportation industry, both private and public sectors. Experience includes managing and directing all phases of light rail project delivery from planning, design, construction, construction management through testing, commissioning, and start up.	Sound Transit, E360, Overlake Village to Overlake Transit Center Extension	\$250M	DB						2011	Present
		Sound Transit, Airport Link	\$169M	DB, GCCM, all	EX	EX	EX	EX	EX	2005	Present
		Sound Transit, Initial Segment, Seattle CSA	\$55M	Negotiated Procurement	PM	PM	PM	PM	PM	2002	Present
John Sleavin , Deputy Project Director East Link	30 years experience in the production industry both public and private sectors, management, design, planning and construction projects	Sound Transit, E360, Overlake Village to Overlake Transit Center Extension	\$250M	DB	PM	PM				2010	Present
		Sound Transit, Capitol Hill Station	\$105M	GC/CM	PM	PM	PM	PM	PM	2010	Present
		Sound Transit, UW Station	\$141	GC/CM						2010	Present
		Sound Transit, Airport Link	\$169M	DB, GCCM, all	PM	PM			PM	2006	2011
		Sound Transit, Initial Segment Systems	\$161M	DBB	PM	PM	PM	PM	PM	2006	2008
Richard Sage , PE, CCM, Construction Management Director	48 years of experience in construction, construction management and design.	Sound Transit, E360, Overlake Village to Overlake Transit Center Extension	\$250M	DB	EX	EX				2014	Present
		Sound Transit, Souder Yard Expansion	\$15M	DB	EX	EX	EX			2014	Present
		Sound Transit, South 200th Link Extension - Parking Garage (S445)	\$30M	DB	EX	EX				2013	Present
		Sound Transit, Maintenance of Way Building	\$12M	DB	EX	EX				2013	Present
		Sound Transit, South 200th Link Extension - Airport to S 200th (S440)	\$169M	DB						2009	Present
Debora Ashland , Architect, LEED AP, Director of Architecture and Art	17 years of architectural experience in rail transportation planning, design, and construction. 10 additional years in all phases of architecture work. Completed DBIA certification training in 2015.	Sound Transit, E360, Overlake Village to Overlake Transit Center Extension	\$250M	DB	EX	EX				2014	Present
		Sound Transit, South 200th Link Extension - Parking Garage (S445)	\$30M	DB	EX	EX				2013	Present
		Sound Transit, Maintenance of Way Building	\$12M	DB	EX	EX				2013	Present
		Sound Transit, U District Station	\$100M	GC/CM	EX	EX				2011	Present
		Sound Transit, South 200th Link Extension - Airport to S 200th (S440)	\$169M	DB	EX	EX	EX			2009	Present
Rae Bennett , PE, DBIA, Director of Civil and Structural Engineering	31 years of project and construction management in highway and transit.	Sound Transit, South 200th Link Extension - Airport to S 200th (S440)	\$169M	DB	ENG	ENG	ENG			2011	Present
		Port of Tacoma, Blair Hylebos Peninsula Terminal Redevelopment	\$2.1 B	DBB	DM	DM				2006	2009
		WSDOT, SR 167 Extension Project	\$1.8B	DB/DBB	DM					2000	2006
Miles Haupt , CCM, DBIA, Project Director South Link	33 years of design and construction experience as construction manager and general contractor project manager.	Sound Transit, South 200th Link Extension - Parking Garage (S445)	\$30M	DB	EX	EX	EX			2013	Present
		Sound Transit, South 200th Link Extension - Airport to S 200th (S440)	\$169M	DB	EX	EX	EX			2011	Present
		Sound Transit, U220 TBM Tunnels CHS to UWS	\$310M	DBB			CM			2009	2012
		SN, Lavalin, Cut & Cover Tunnel w/ (4) station sites	\$250M	DBOM			CON	CON	CON	2006	2009
		City of Seattle, Seattle Monorail	\$1.7B	DBOM	USM	USM				2003	2005
Mark Johnson , DBIA, Project Director	29 years of design and construction experience public works and infrastructure projects.	Sound Transit, Souder Yard Expansion	\$12M	DB	PM	PM	PM	PM	PM	2014	Present
		Sound Transit, South 200th Link Extension - Parking Garage (S445)	\$30M	DB						2013	2014
		Sound Transit, South 200th Link Extension - Airport to S 200th (S440)	\$169M	DB	PM	PM				2010	2014
		Sound Transit, Lakewood Souder Station	\$33M	DB	PM	PM	PM	PM	PM	2010	2014
		Sound Transit, D to M Street Track and Signal Souder Improvements	\$161M	DBB	PM	PM			PM	2006	2011
Jeffrey DeMarre , Systems Corridor Design Manager South Link	33 years of design, engineering management, including operation and maintenance management, construction of electrical and electronic systems, including complex people movers and light rail transportation systems, for public and private industry.	Sound Transit, South 200th Link Extension - Airport to S 200th (S440)	\$169M	DB	DM					2012	Present
		Sound Transit, South 200th Link Extension - Parking Garage (S445)	\$30M	DB	DM					2013	Present
		Sound Transit - Resident Engineer for C802 Signals, C803 Communications, C807 Traction Electrification	\$100M	GC/CM	ENG	CM				2008	2013
		Port of Seattle, Satellite Transit System's Replacement Project at Sea-Tac Airport	\$170M	DB	EX					1998	2004
Rod Kempkes , PE, Corridor Design Manager South Link	29 years of design and construction experience in light rail. Experience includes design-build projects as an owner and design consultant. DBIA training 2014, WA AGC GC/CM training 2015.	Sound Transit, Lynnwood Link Project	\$1.5B	GC/CM	DM					2014	Present
		Sound Transit, South 200th Link Extension - Airport to S 200th (S440)	\$169M	DB	DM					2012	Present
		MNDOT, Hiawatha Light Rail Project	\$550M	DB	DES					1998	1999
		Utah Transit Authority, University Light Rail Project	\$105M	DB	DES	DES				1998	1999
		Sound Transit, Airport Link	\$73M	Negotiated Procurement	DM	DM	DM	DM	DM	2005	2009
Henry Cody , PE, Principal Construction Manager South Link	33 Years of project and construction management in wastewater and transit.	Sound Transit, South 200th Link Extension - Parking Garage (S445)	\$30M	DB	CM	CM	CM	CM	CM	2013	Present
		Sound Transit, South 200th Link Extension - Airport to S 200th (S440)	\$169M	DB	PM	CM	CM			2011	Present
		West Point, Water Reclamation Facility	\$14M	DB	PM	PM	PM			1994	1996
		West Point, Batch Plant Project	\$30M	DB	PM	PM	PM			1990	1994
Tony Raben , PE, Principal Construction Manager	24 years experience within the transportation industry in both the public and private sectors, including managing or supporting multiple phases light rail project delivery including preliminary engineering, final design, construction and construction management, testing, commissioning and start-up. Completed DBIA training in 2014	Sound Transit, E360, Overlake Village to Overlake Transit Center Extension	\$250M	DB			CM			2009	Present
		Sound Transit, Downtown Bellevue to Spring District (E335)	\$265M	GC/CM	CM	CM	CM			2009	Present
		Sound Transit - U215 I-5 UC	\$23M	DBB			CM			2009	2010
		Initial Segment Systems C803 Communications Resident Engineer	\$43M	RFP			CM			2008	2009
Christy Sanders-Meena , Principal Construction Manager	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	GC/CM			CM			2012	Present
		Sound Transit, University Link Systems	\$119M	GC/CM			CM			2012	Present
		KCWTD, Brightwater Outfall Design-Build Project	\$40M	DB			CMC	CMC		2008	2008
Mark Pickerill , Construction Manager	30 years of experience in construction including; commercial office, retail, warehouse and a manufacturing facility.	Sound Transit, Maintenance of Way Building	\$12M	DB			CM	CM		2014	Present
		Sound Transit, UW Station	\$141M	GC/CM			CM			2011	Present
Tom Dean , PE, DBIA Associate, Construction Manager	35 years of experience in construction and construction management.	Sound Transit - Lakewood Layover Yard Expansion	\$12M	DB			CM	CM		2015	Present
		GLY / Microsoft, West Campus Expansion	\$300M	GMP	CON	CON	CON	CON	CON	2007	2009
Madeleine S. Greathouse , PMP, Assoc. DBIA, Project Manager	23 years of design and construction experience as a general contractor specializing in commercial and multifamily housing construction and ; project controls and construction/project management experience in transportation capital projects.	Sound Transit, Maintenance of Way Building	\$16M	DB	PM	PM	PM	PM	PM	2013	Present
		Sound Transit, University Link - U230 - CHS to PSST Tunnels	\$154M	DBB			CM	CM	CM	2010	2013
		Sound Transit, University Link - U240 Capitol Hill Station	\$105M	GC/CM			CM			2010	2011
		Sound Transit, Airport Link Extension (C410, C420, C430R)	\$152M	DBB/Negotiated Procurement			CM	CM	CM	2006	2009
		Sound Transit, Initial Segment (C735 Rainier Valley and C710 Beacon Hill Station and Tunnel)	\$472M	DBB	PC	PC	PC	PC	PC	2003	2006
Jon Mihkels , AIA, LEED AP, Architect	25 years of architectural experience with the design, entitlement, construction of numerous public sector civic , private university and non-profit projects.	Sound Transit, E360, Overlake Village to Overlake Transit Center Extension	\$250M	DB	DM	DM				2014	Present
		Sound Transit, South 200th Link Extension - Airport to S 200th (S440)	\$169M	DB	DM	DM	DM			2013	Present
		Sound Transit, South 200th Link Extension - Parking Garage (S445)	\$30M	DB	DM	DM	DM			2011	Present
		City of Seattle, Fire Station 6	\$7M	DBB	CON	CON				2009	2011
		City of Seattle, FS 10, Emergency Operations Center, Fire Alarm Center	\$42M	GC/CM	CON	CON	CON	CON	CON	2004	2008

Question #4: Personnel with Construction Experience Using Various Contracting Procedures

DECM PROJECT CONTROLS											
Anita McConnell, Sr. Project Control Spec., South Link	20 years of project control and construction management experience for public works projects in the public agencies and in private industry.	Sound Transit, South 200th Link Extension - Airport to S 200th (\$440)	\$169M	DB		PC	PC			2012	Present
		Sound Transit, South 200th Link Extension - Parking Garage (\$445)	\$30M	DB		PC	PC			2013	Present
Brian Ellingson, Sr. Scheduling Engineer	15 years of design and construction management experience	Sound Transit, South 200th Link Extension - Parking Garage (\$445)	\$30M	DB		PC	PC			2013	Present
		Sound Transit, South 200th Link Extension - Airport to S 200th (\$440)	\$169M	DB		PC	PC			2012	Present
		Sound Transit, Capitol Hill Station	\$105M	GC/CM		PC	PC			2011	Present
		Sound Transit, UW Station	\$141M	GC/CM		PC	PC			2009	Present
Juan Gonzales, Sr. Project Controls Specialist	15 years of project and construction management experience on private and public works projects	Sound Transit, Maintenance of Way Building	\$12M	DB		PC	PC	PC		2014	Present
		Sound Transit, UW Station	\$141M	GC/CM		PC	PC	PC		2012	Present
		Sound Transit, Capitol Hill Station	\$105M	GC/CM		PC	PC	PC		2011	Present
Wit Ekman, Corridor Project Controls Supervisor	15+ years of Procurement/contract administration, engineering and construction management experience in private and public sectors.	Sound Transit, E360, Overlake Village to Overlake Transit Center Extension	\$250M	DB	PC	PC				2011	Present
		Sound Transit, UW Station	\$141M	GC/CM		PC				2007	2010
		Sound Transit, Capitol Hill Station	\$105M	GC/CM		PC				2007	2010
		Sound Transit, University Link Systems	\$119M	GC/CM		PC				2007	2010
		Sound Transit, University Link Early Works	\$30M	DBB		PC	PC			2007	2010
DESIGN & CONSTRUCTION CONTRACTS											
Linneth Riley-Hall, CPPO, DBIA, D&CC Manager	15 years in public sector Procurement and contract administration, including DB and GC/CM contract administration	Sound Transit, Sounder Yard Expansion	\$12M	DB		C				2013	Present
		Sound Transit, E360, Overlake Village to Overlake Transit Center Extension	\$250M	DB		C				2011	Present
		Sound Transit, Maintenance of Way Building	\$12M	DB		C	C	C		2011	Present
		Sound Transit, South 200th Link Extension - Airport to S 200th (\$440)	\$169M	DB		C	C	C		2009	Present
		Sound Transit, South 200th Link Extension - Parking Garage (\$445)	\$30M	DB		C	C	C		2009	Present
Thuy Hong, JD, CPPB, Assoc. DBIA, D&CC Supervisor	8 years in public sector Procurement and contract administration, including DB and GC/CM contract administration	Sound Transit, Sounder Yard Expansion	\$12M	DB		C				2014	Present
		Sound Transit, E360, Overlake Village to Overlake Transit Center Extension	\$250M	DB		C				2013	Present
		Sound Transit, Maintenance of Way Building	\$12M	DB		C	C	C		2012	Present
		Sound Transit, South 200th Link Extension - Parking Garage (\$445)	\$30M	DB		C	C	C		2009	Present
		Sound Transit, South 200th Link Extension - Airport to S 200th (\$440)	\$169M	DB		C	C	C		2009	Present
Nick Datz, Assoc. DBIA, Sr. D&CC Contracts Analyst	7 years in public sector Procurement and contract administration, including DB and GC/CM contract administration	Sound Transit, Seattle to South Bellevue (E130)	\$319M	GC/CM		C				2014	Present
		Sound Transit, Downtown Bellevue to Spring District (E335)	\$265M	GC/CM		C				2014	Present
		Sound Transit, South 200th Link Extension - Parking Garage (\$445)	\$30M	DB		C	C	C		2013	Present
		Sound Transit, South 200th Link Extension - Airport to S 200th (\$440)	\$169M	DB		C	C	C		2011	2011
		City of Seattle, South Recycling and Disposal Station	\$60M	DB		C	C	C		2008	2010
John F Santiago, CPPB, Sr. D&CC Contracts Specialist	30 years of federal and public procurement and construction contract administration, including design build, design bid build procurement and contract administration.	Sound Transit, Maintenance of Way Building	\$12 M	DB		C	C	C		2014	Present
		Sound Transit, South 200th Link Extension - Airport to S 200th (\$440)	\$169M	DB		C	C	C		2011	Present
Steven Johnson, CPPO, Assoc. DBIA, Sr. D&CC Contracts Specialist	8 years in public sector procurement and contract administration, including DB contract administration.	Sound Transit, South Lynnwood Link Extension	\$400M	GC/CM		C	C			2015	Present
		Sound Transit, Sounder Yard Expansion	\$12M	DB		C	C			2014	Present
Brian Barson, Assoc. DBIA, Sr. D&CC Contracts Specialist	3+ years of public procurement and contracting experience including DB Procurement and GC/CM contract administration. 19 years of construction experience that includes 3 years of construction management.	Sound Transit, U-Link Light Rail Systems Construction (U830)	\$119M	GC/CM				C		2014	Present
		Sound Transit, E360, Overlake Village to Overlake Transit Center Extension	\$250M	DB		C				2012	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.	Sound Transit, Sounder Yard Expansion	\$12M	DB		L				2013	present
		Sound Transit, E360, Overlake Village to Overlake Transit Center Extension	\$250M	DB		L				2011	present
		Sound Transit, Maintenance of Way Building	\$12M	DB		L	L	L		2011	present
		Sound Transit, South 200th Link Extension - Airport to S 200th (\$440)	\$169M	DB		L	L	L		2009	present
		Sound Transit, South 200th Link Extension - Parking Garage (\$445)	\$30M	DB		L	L	L		2009	present

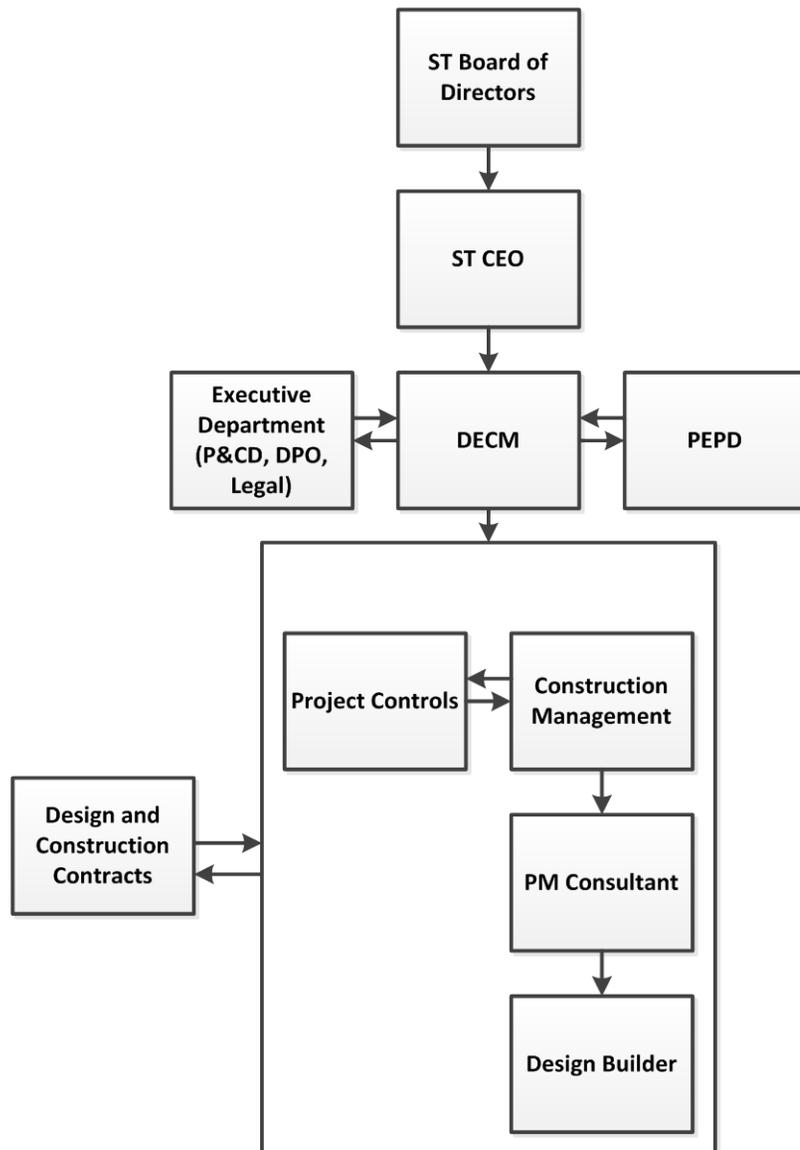
PROJECT DELIVERY TYPE KEY

- DB Design-Build Project
- GC/CM GC/CM Project
- DBB Design-Bid-Build project

INDIVIDUAL ROLE KEY

- EX Owner's Executive or Manager
- PM Owner's Project Manager
- DM Owner's Design Manager
- CM Owner's Construction Manager
- ENG Owner's Resident Engineer or Field Engineer
- C Owner's Contracts Specialist
- PC Owner's Project Controls Specialist
- L Owner's Legal Representative
- CON Prime Contractor/Prime Consultant
- DES Designer of Record
- CMC Consultant Construction Manager

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, and approves projects that will advance into design and construction.

Chief Executive Officer – The CEO has delegated authority to operate the agency and to implement the mission, goals, objectives, policies, and guidelines.

Executive Department:

- **Diversity Programs Office (DPO)** – DPO manages Sound Transit’s Small Business and DBE Program and reports directly to the CEO. DPO staff collaborates with DECM and P&CD staff throughout the procurement and contract administration phases.
- **Legal** – Provides staff attorneys during all phases of the Project to assist in the oversight and administration of the Work.
- **Procurement & Contracts Division (P&CD)** – Administers agency procurements in accordance with the Revised Code of Washington, FTA Regulations and standardized Sound Transit policies and procedures. Design and Construction Contracts (D&CC) coordinates with DECM in an integrated project management approach to consider and select project delivery methods while also administering contracts through completion. The Contracts Specialist assigned to each project will have experience with the Design Build delivery method.

Planning, Environment & Project Development (PEPD) – Provides project planning, alternative studies, and project development from inception through project selection, including preliminary engineering. PEPD also provides sustainability environmental strategies and compliance.

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 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 change control, records management, payment verification and processing, and cost estimating as well as coordinating risk assessments, value engineering and constructability reviews.
- **DECM Construction Management** – DECM Construction Management Division provides resources (staff and consultants) to oversee/manage the design and construction phases on Design-Build projects and oversight of the Design Build Project Management Consultant.
- **Design Build Project Management Consultant (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: Demonstrated Success in Managing Public Works Projects Involving All Types of Contracting Procedures

No.	Contract Name	Project Description	Delivery Method	General Contractor	Lead Design Firm	Planned Start	Planned Finish	Actual Start	Actual Finish/Percent Complete	Original Budget	Final Cost	Cost Overrun Reason	Schedule Overrun Reason
1	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.	DB	PCL Civil Constructors, Inc. Chris Stack (425) 394-4200	Huitt Zollars (PE) Francis Wall (206) 324-5500	10/12	09/16	10/12	70%	\$169M	TBD	NA	NA
2	South 200th Link Extension Parking Garage (S445)	Construction of a parking garage that includes 1,050 parking stalls, roadwork, sidewalks, urban improvements, landscaping, utility work, and plaza and retail space connecting to the Angle Lake Light Rail Station	DB	Harbor Pacific-Graham, JV John Welch (425) 488-7131	Berger Abam Bob Griebenow (206) 431-2300	10/14	12/15	8/14	75%	\$30M	TBD	NA	NA
3	Maintenance of Way Facility	Construction of a 28,991 square foot building which will house the Track, Facilities and Power Department for Sound Transit's light rail operations and an adjacent 4,175 square foot accessory storage building.	DB	Forma Construction Chris Colley 206 626-0256	T-C-F Architecture Randy Cook 253-382-6344	5/14	9/15	5/14	10%	12 M	TBD	NA	NA
4	SR 520 to Overlake Transit Center (E360)	Construction of 1.8 miles of light rail section consisting of at-grade, retained fill, retained cut sections and aerial guideway along the south and east sides (WSDOT Right-of-Way) of SR 520 from NE 20th Street to NE 40th Street in Bellevue/Redmond area. The project also includes two light rail stations at Overlake Village and Overlake Transit Center which includes a new parking garage and reconstructed bus/shuttle facilities. Each station includes a new bike/pedestrian bridge spanning over SR 520.	DB	TBD	H-J-H Final Design Partners Kevin Collins 206-398-5365	3/16	9/19	TBD	NA	TBD	TBD	NA	NA
5	Sounder Yard Expansion	Construction of a prefabricated modular building containing permanent crew, office, and storage facilities for the BNSF crews that operate the trains and the Amtrak Drummac crews that perform janitorial services on the trains. In addition, a parking area and guard shacks will be constructed as well as adding an additional storage track by September 2016.	DB	TBD	TBD	11/14	4/17	TBD	NA	\$12M	TBD	NA	NA
6	Seattle to South Bellevue (E130)	Construction of at-grade stations, at grade track, floating bridge track, elevated track, tunnel ventilation, site work for four Traction Power Substations and various signal buildings, bridge removals at Rainier Avenue Station, retrofits and weight mitigation on the floating bridge, overhead catenary system on the HMM floating bridge, and site improvements around stations.	GC/CM	TBD	H-J-H Final Design Partners Kevin Collins 206-398-5365	10/15		TBD	NA	TBD	TBD	NA	NA
7	Downtown Bellevue to Spring District (E335)	Construction of the East Main Station, 6th Street Station, Hospital Station, and the 120th Ave NE Station; civil work including demolition, restoration, at-grade, elevated and retained cut-fill guideway; track, civil/systems, mechanical, electrical, structures, drainage and utilities from just south of Main Street Station to 124th Ave NE.	GC/CM	Stacy and Witbeck-Atkinson, JV Jim Abramson 503-209-5478	H-J-H Final Design Partners Kevin Collins 206-398-5365	02/15		02/15	NA	\$265M	TBD	NA	NA
8	Northgate Station (N160)	The scope of the Northgate Station, Elevated Guideway and Parking Garage contract includes constructing elevated station and guideway, including tail track structure, Transit roadway, Civil and architectural finishes at the Maple Leaf Portal and Parking garage with at least 450 stall capacity. The Northgate Station is an elevated station spanning NE 103rd Street and has a south entrance on the site of the current King County Transit Center and a north entrance on the site of the Northgate Mall.	GC/CM	Mortenson Construction Mike Bell 425-497-6645	Jacobs Associates Greg Davidson 206-398-5118	3/15	TBD	3/15	NA	\$145M	TBD	NA	NA
9	Roosevelt Station (N150)	The Roosevelt Station is located at Roosevelt Way NE and NE 65th Street and approximately 395 feet long, 82 feet wide, and 72 feet below grade to the passenger platform. The scope of the Roosevelt Station contract includes open cut retained excavation, below and above grade structures, waterproofing, station finishes, mechanical, electrical, and the restoration of at-grade features, including streets, sidewalks, and landscaping.	GC/CM	Hoffman Construction Dave Johnson 206-438-2762	Jacobs Associates Greg Davidson 206-398-5118	10/13	TBD	10/13	NA	\$130M	TBD	NA	NA
10	U District Station (N140)	U District Station has two separate above ground entrances and is approximately 395 feet long, 82 feet wide, and ranging from 80 to 95 feet below grade to the passenger platform. The scope of the U District Station contract includes constructing below and above grade structures, waterproofing, station architectural finishes, mechanical, electrical, and the restoration of at grade features, including streets, sidewalks, and landscaping.	GC/CM	Hoffman Construction Trevor Thies 206-286-6697	Jacobs Associates Greg Davidson 206-398-5118	7/14	TBD	7/14	NA	\$122M	TBD	NA	NA
11	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	80%	\$105M	TBD	NA	NA
12	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	100% - Substantial Completion	\$141M	TBD	NA	NA

Question 6: Demonstrated Success in Managing Public Works Projects Involving All Types of Contracting Procedures

No.	Contract Name	Project Description	Delivery Method	General Contractor	Lead Design Firm	Planned Start	Planned Finish	Actual Start	Actual Finish/Percent Complete	Original Budget	Final Cost	Cost Overrun Reason	Schedule Overrun Reason
13	University Link Systems (U830)	U830 System wide 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		\$119M	TBD	NA	NA
14	Northgate Tunnel (N125)	This Contract includes approximately 18,435 feet of segmentally lined, twin-bored running tunnels. The work includes 23 cross passages excavated at intervals between the bored tunnels, placement of the tunnel invert slab, walkways and utilities, as well as shoring, dewatering and excavation for the Maple Leaf Portal, Roosevelt Station and U-District Station.	D-B-B	JCM Northlink LLC Glen Frank 206-423-8348	Jacobs Associates Greg Davidson 206-398-5118	8/13	2/18	9/13	50%	\$443M	TBD	NA	NA
15	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
16	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
17	Airport Link - C430R: Airport Station and Track work	Construction of the elevated SeaTac/Airport Light Rail Station, the International Boulevard pedestrian bridge and plaza and track work 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
18	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
19	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
20	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
21	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
22	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 Sugiara (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
23	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
24	Airport Link - C410: 154th Street to 160th Street	Construction of aerial guideway between 154th and 160th Streets including all track work (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
25	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 tail track.	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

Sound Transit has managed 34 projects with a total cost of at least \$5M over the past 10 years.

Question #7: Demonstrated Success in Managing at Least One Project Using DB Contracting Procedure Within the Last Five Years (RCW 39.10.270 (2)(b).)

Sound Transit’s demonstrated success in managing three current Design Build projects is the result of staff with Design Build experience, effective management structures and project controls, standard and robust contract documents tailored to Design Build, and Sound Transit’s continuous improvement culture. The South 200th Link Extension Aerial Station and Guideway (S440) is an excellent example of how Sound Transit has successfully managed a Design Build project.

Appropriateness of the Design Build Delivery Method

Sound Transit determined that the Design Build delivery method was the most appropriate delivery method for the S440 project for a number of reasons, all of which were confirmed during construction.

Highly Specialized Construction Activities:

The design and construction of an elevated light rail guide way, track work and train systems is highly specialized and requires project-specific design and construction methodologies. The ability of the Design Builder to match its anticipated construction method with final design, locate the design and construction of an elevated guide way and columns in a complex airport Right of Way (ROW), and design and construct specialized track work and systems were benefits the Agency hoped to realize with the Design Build delivery method. All of these benefits were delivered during design of the project.

The Contractor utilized a segmental precast system for the guide way, which greatly increased efficiency and reduced overall costs. They were able to minimize construction impacts on a highly dense and complicated roadway system at Sea-Tac International Airport by providing a second long span bridge in lieu of more columns. And finally the contractor was able to coordinate the civil, systems and station designs, reducing construction and design inefficiencies.

Significant Savings in Project Delivery Time:

Sound Transit also looked to take advantage of the potential for time savings with the Design Build delivery method. In Sound Transit’s experience, it typically takes several more years to complete one of its light rail segments from design to opening with other contracting methods. The voter approved ST2 package, listed S440 as opening in 2020. Sound Transit sought to take advantage of the potential time savings with the Design Build delivery method, and as a result, the Agency is on track to open the S440 station in 2016, four years ahead of the original schedule.

Honorarium

For the S440 project, Sound Transit established an honorarium of \$400,000 for each of the unsuccessful proposers. This amount was determined through the process outlined in response to Question 9.

Alternative Dispute Resolution Process

Sound Transit’s General Conditions for the S440 contract established a Project Partnering process. This process includes a “kick-off” workshop, an Action Plan (project charter), a Dispute Escalation Process (tiered issue resolution ladder), and regular partnering sessions, training and evaluations (surveys). In the event the dispute is not resolved using the Dispute Resolution or the contract claims processes, the dispute shall be referred to mediation prior to any potential civil action. Sound Transit’s focus on partnering has benefited the S440 project, with all disputes being settled at the project level without being escalated to the Dispute Escalation Process.

Lessons Learned

In an effort to continuously improve the management of its Design Build projects, Sound Transit has established an internal Design Build Round Table forum to discuss experiences, best practices, and lessons learned in order to capture and standardize any improvements. The following are a few of the lessons learned and best practices from the S440 project that we have implemented into our Design Build process:

Duration of Key Personnel: The Request for Qualifications and Request for Proposals should specify the duration (in terms of achieving project milestones) for key personnel, thus allowing the project to retain knowledge on the job throughout construction.

Design Management Plan: The Request for Proposals should focus on the proposers' design management plan, as this is critical for a successful project and ensures the team is prepared for the expedited process afforded in Design Build.

Subcontracting Plan: The Request for Proposals should require the proposer to include a subcontracting plan for key subcontractors and consultants as part of the proposal. This ensures the Contractor and the Agency take advantage of the construction experience and ensures that all designers and key subcontractors are working together during the design phase. This should reduce the potential for conflicts later during construction.

Concept Validation Submittal (CVS): Produced by the contract awardee may be a useful tool in finalizing the Project Commitments Letter to ensure the awardee understands required work elements, better defines the value added of awardee's approach, and advance agreements with the jurisdictional stakeholders.

Design Submittals: Sound Transit contractually required the design build contractor to provide 50%, 100% and Issued for Construction (IFC) design deliverables. Sound Transit realized that the 50% design was not developed to the level of detail to provide a thorough review in advance of the 100% design deliverables. In future contracts, a 75% rather than 50% deliverable is preferable.

Question 8: Ability To Properly Manage the Public Body's Capital Facilities Plan (RCW 39.10.270 (2)(b)(vi).)

Since its inception in 1996, Sound Transit has successfully delivered over \$6 billion in transit infrastructure improvements within the Puget Sound region, dramatically changing the way area residents in the region travel. Sound Transit's 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. Sound Transit is currently into its second phase of the capital program Sound Move 2 (ST2). ST2 is valued at over \$10 billion dollars and includes a significant expansion of the existing light and commuter rail systems while also improving existing facilities.

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 program¹. The report highlighted the Agency's continuous improvements to how

¹ *Sound Transit: Performance Audit of the Citizen Oversight Panel, Adjustments to Planned Investments, Construction Management and Ridership Forecasts October 25, 2012*

it manages projects, the implementation of standardized guidelines on cost estimating, change management, cost management, project management, risk assessments, and improvements in construction planning and management processes representing “best industry practices.”

Sound Transit maintains a staff of approximately 47 schedule engineers, cost engineers, risk engineers, and project control specialists responsible for validating cost estimates, project budgets, and project schedules while also monitoring and reporting the schedule status, budget status, and risk analyses for each project. They are integrated with the project teams while also coordinating their functions with Contracts, Finance, and various accounting teams. This staff allows Sound Transit to be proactive in its planning and management of the approved capital facilities plan.

As a public agency that relies upon tax revenue to fund its capital program, Sound Transit is continuously validating its revenue forecasts and updating its financial and capital program plan to ensure there is financial capacity available to complete projects on schedule. As required by its funding partners (e.g., Federal Transit Administration), Sound Transit has developed and maintains a detailed Resource Management Plan to ensure the technical capacity to manage on-going capital program elements is maintained. The structure, staff, policies and procedures that Sound Transit has established allow it to manage its capital facilities plan, ensuring the Agency is able to deliver the voter approved transit infrastructure on time and within budget.

Question #9: Ability to Meet the Requirements of Chapter 39.10 of the Revised Code of Washington (RCW 39.10.270 (2)(b)(vii).)

Honorarium Determination

For Design Build projects, Sound Transit takes a deliberate approach when determining an amount for the honorarium. The Agency is experienced with estimating and negotiating Architectural and Engineering projects and it takes advantage of this experience when determining an honorarium for a Design Build project. The project team will evaluate each project separately, evaluating the deliverables requested in the Request for Proposals, the complexity of the project, and then estimating the number of staff necessary to accomplish these deliverables. The project team will come up with an estimated cost for this work and then determine an amount appropriate for the project. This amount becomes the honorarium for unsuccessful finalists. Sound Transit’s method for determining an honorarium is generally consistent with honorariums for design build projects of similar size and complexity around the country and ensures the agency attracts meaningful competition while lessening the financial burden for unsuccessful finalists.

Procurement Process

To ensure consistency and compliance with RCW 39.10, the D&CC group has developed standard procurement procedures for the Design Build delivery method. This consistency starts with a Design Build Procurement Activity List, which outlines the steps and documents necessary to ensure the contract is in compliance with RCW 39.10. Additionally, the D&CC group in coordination with DECM has developed standardized Design Build General Conditions, boilerplates, and templates which are available to all staff through the D&CC SharePoint site. The documents are reviewed and updated regularly to ensure changes in regulations, best practices, or any recent lessons learned are captured and utilized on future contracts.

Sound Transit is well positioned to meet the alternative public works contracting requirements set forth in Chapter 39.10 of the RCW. In 2011, the National Institute of Governmental Purchasing (NIGP) awarded Sound Transit its Pareto Award of Excellence in Public Procurement recognizing the Agency’s Sound Transit Application for Certification of Public Body for Design Build

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.

Alternative Dispute Process

Sound Transit has a clearly defined alternative dispute process established in the General Conditions for each contract. Its dispute process is focused on preventing conflicts through partnering with the contractor. If Sound Transit and the Contractor are unable to resolve the issue, the issue would follow the process established in the General Conditions, potentially culminating with the issue being resolved by a Dispute Resolution Board. Sound Transit has not had to utilize its alternative dispute process.

Contingency Determination

Sound Transit determines project contingency on a project by project basis. Typically, projects will have a contingency between five and ten percent of the contract value. The Agency determines this amount based on the Risk Management Plan and the complexity of each project.

Question #10 - Resolution of Audit Findings on Previous Public Works Projects (RCW 39.10.270 (2)(c).)

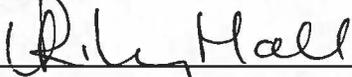
Sound Transit is subject to multiple audits from the Washington State Auditor’s Office, FTA, and other third parties. Despite being audited on a regular basis, Sound Transit has received no audit findings on any project identified in response to Question 6 or Question 7.

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).

I have carefully reviewed the information provided and attest that this is a complete, correct and true application.

Signature: 

Name (please print) Linneth Riley-Hall

Title: Design & Construction Contracts Manager

Date: 5/1/15

Exhibit A

Design Build Contract Review Request

Contract Title: [Title]

Date: [Date]

Construction Manager: [Name and Extension]

Total Project Cost: [Amount]

Current Level of Design: [Enter Percentage]

Please complete the following and e-mail to Linneth.Riley-Hall@soundtransit.org. Attach additional sheets if necessary.

1. Contract meets the following requirements in RCW 39.10.300:

- The construction activities are highly specialized and a design-build approach is critical in developing the construction methodology.
- The projects selected provide opportunity for greater innovation or efficiencies between the designer and the builder.
- Significant savings in project delivery time would be realized.
- The project is a parking garage.
- The project is the construction or erection of portable facilities, pre-engineered metal buildings, or not more than ten prefabricated modular buildings per installation site.

2. Brief description of the proposed contract:

3. Anticipated design and construction schedule:

4. Why is the Design Build delivery method appropriate for this contract?

5. How will the use of the Design Build delivery method benefit the public interest?

6. DECM Staff Qualifications. Please identify the proposed Project Director, Construction Manager, Project Controls Lead, and Resident Engineer and list their Design Build contracting experience.

Submitted By:

Signature

Date

Name and Title

Design and Construction Contracts Use Only

APPROVED – Contract meets RCW requirements, staff are qualified and the Design Build delivery method is appropriate.

DISAPPROVED – Contract does not meet RCW requirements.

NOTES:

Reviewed By:

Signature

Date

Linneth Riley-Hall, Design and Construction Contracts Manager