



December 28, 2015

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

Application for Re-Certification of Public Body to use GC/CM 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 2009, Sound Transit began utilizing the GC/CM contracting procedure and became a certified Public Body in 2013. Sound Transit is currently administering five GC/CM and four Heavy Civil GC/CM projects on our Link Light Rail extensions for University Link, Northgate Link, and East Link. In addition, we are currently in the process of procuring two Heavy Civil GC/CMs for Lynnwood Link.

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. Re-Certification as a public body to use GC/CM 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 GC/CM contracts since 2009. Therefore, we are submitting for your consideration our application for public body re-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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Dow Constantine
King County Executive

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Everett Councilmember

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Tacoma Mayor

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Joni Earl

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

APPLICATION FOR RECERTIFICATION OF PUBLIC BODY
RCW 39.10 Alternative Public Works Contracting- GCCM and/or DB

The CPARB PRC will consider recertification applications based upon agency's experience, capability, and success in undertaking Alternative Public Works Contracting utilizing the General Contractor/Construction Manager (GCCM) and/or Design-Build (DB) project delivery process. **Incomplete applications may delay action on your application.**

1. Identification of Applicant

- (a) Legal name of Public Body (your organization: **Central Puget Sound Regional Transit (dba Sound Transit)**)
- (b) Address: **401 S. Jackson Street, Seattle, WA 98104-2826**
- (c) Contact Person Name and Title: **Linneth Riley-Hall, Design & Construction Contracts Manager**
- (d) Phone number: **206-398-5072** Fax: **(206) 398-5215**

E-mail: **linneth.riley-hall@soundtransit.org**
- (e) Effective Date of current Certification: **3/28/2013** [GCCM] **5/28/2015** [DB]
- (f) This Re-Application is for GCCM X DB
[Check one or both as applicable]

2. Experience and Qualifications for Determining Whether Projects Are Appropriate for GCCM and/or DB under Alternative Contracting Procedure(s) in RCW 39.10 (RCW 39.10.270 (3)(a)) Limit response to two pages or less.

If there have been any changes to your agency's processes addressing items (a) and (b) below, please submit the revised process chart or list.

- (a) The steps your organization takes to determine that use of GCCM and/or DB is appropriate for a proposed project; and
- (b) The steps your organization takes in approving this determination.

Include and describe any such process *changes* since your original certification (and reasoning for same) to your determination process based upon your experience to date in utilizing the delivery method(s)

Sound Transit has established clear and deliberate processes and procedures in determining whether a project is appropriate for the General Contractor/Construction Manager (GC/CM) delivery method. These processes bring together various department personnel for input and review throughout the agency. As an agency, Sound Transit practices continuous process improvement and has continued to refine our delivery method selection process.

GC/CM Selection Process

The delivery method selection process begins in the earlier 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 (CRP) 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). This is a new step in the process that has been implemented since Sound Transit's Certification in 2013.

For the Contract Packaging Workshop a committee is created which is 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 CRP 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 GC/CM, the project team starts developing a formal GC/CM Project Review Request.

During this time, the project will be progressing through gates 1 through 3 of the Phase Gate process described below. The Sound Transit Phase Gate process, 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 project team will refine the procurement strategies based on the discussions of the Phase Gate Reviews and once GC/CM is determined to be the most appropriate delivery method the GC/CM Project Review Request is finalized and submitted to the Procurement and Contracts, Design and Construction Contracts Manager for review. 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) section, is involved with the evaluation, discussion, and final determination on whether a project is appropriate for the GC/CM method.

GC/CM Project Review Request

Sound Transit has written criteria to assess the suitability of a project for GC/CM delivery. A request documenting that GC/CM is an appropriate delivery method and that the project meets the RCW 39.10 criteria for GC/CM is submitted by the Executive Director of DECM to the D&CC Manager for final review and approval or disapproval. A sample of the GC/CM Project Review Request Form is included as Attachment A of this application.

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 GC/CM delivery method.

Below is the process chart for the process described above. The Contract Packaging Workshop steps are circled.

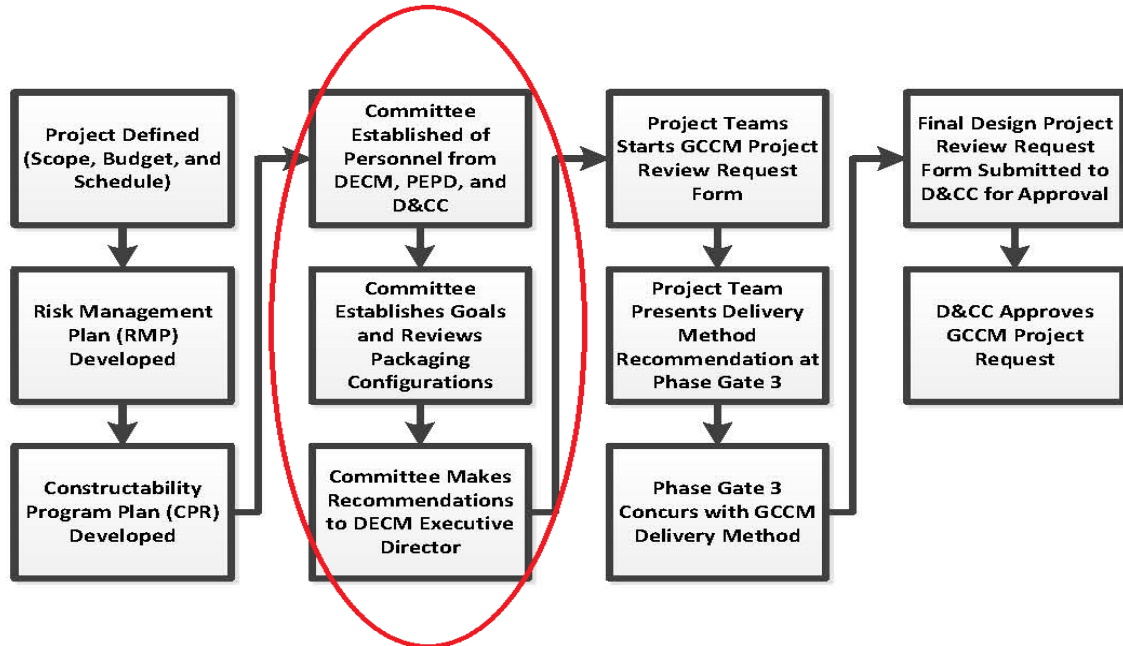


Figure 1

3. Project Delivery Knowledge and Experience (RCW 39.10.270 (3)(b)(i))
Limit response to four pages or less.

Please describe your organization’s experience in delivering projects under Alternative Public Works in the past three years and summarize how these projects met the statutes in RCW 39.10.

- (a) Include the status of each **alternative delivery** project [planned, underway, or complete, dates, and projected/determined construction cost].

Please see Attachment 1.

DESCRIBE any LITIGATION AND SIGNIFICANT DISPUTES ON any Alternative Delivery Project since PREVIOUS certification.

There is no litigation arising from any of the Sound Transit projects that utilized alternative contracting methods; however, none of those projects (all of which involve large civil infrastructure construction) have yet achieved substantial completion. On two of the projects, there are outstanding issues relating primarily to compensation for perceived change work and design propriety. The total amount at issue is less than five percent of the total value of the contracts. All parties involved are working toward, and hopeful for, negotiated resolutions.

4. Personnel with Construction Experience Using the Alternative Contracting Procedure(s)
[RCW 39.10.270 (3)(b)(ii)]

Please provide an updated matrix/chart showing changes in your agency's personnel with management and construction experience using the alternative contracting procedure(s) since **PREVIOUS** certification. Provide a current organizational chart and highlight changes since **PREVIOUS** certification.

Please see Attachment 2.

5. Resolution of Audit Findings on Previous Public Works Projects (RCW 39.10.270 (3)(c).) *(Limit Response to one page or less.)*

If your organization had audit findings on any public works project since the **PREVIOUS** certification application, please specify the project, briefly state those findings, and describe how your organization is resolving them.

No audit findings have been made on any Sound Transit Public works projects.

6. Project Data Collection

Please provide a matrix listing of all projects with a total value of greater than \$5 million with a design agreement or design-build agreement in place **as of July 1, 2005**. This list shall also include projects within the public body's capital plan **projected** for the next three (3) years.

- Project Title
- Agency's Project Number
- Project Value
- Delivery Method [DBB, DB, or GCCM- either actual or as-planned]
- Whether or not project data has been entered into the CPARB Data Collection System? *(RCW 39.10.,320 and .350)* [Yes or No; if No, why not?]
- Is the project complete [Yes or No]

Please see Attachment 3. Sound Transit has not been able to enter the data into the CPARB Data Collection System due to technical difficulties.

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 in order to adequately evaluate recertification under RCW 39.10. You agree to submit such information in a timely manner and understand that failure to do so shall render your application incomplete.

Should the PRC approve your request for recertification you agree to continue to provide data on such projects in accordance with RCW 39.10 data collection criteria covering the complete history of each of these construction projects. You understand that this information is being used in a study by the State to evaluate the effectiveness of the alternative contracting procedure(s). Additionally, you understand that should this recertification be approved it is only valid for one additional three year period beyond your current certification expiration and that re-certification must be applied for under RCW 39.10

Name (please print) Linneth Riley-Hall

Title: Design + Construction contracts Manager

Date: 12/18/15