

Appendix Ha
AWV Replacement Project excerpted entry in the Puget Sound
Regional Council Metropolitan Transportation Program
2011 (Transportation 2040)

Appendix Hb
2015 FHWA STIP Approval Letter

Roadway Related - State Route Investments in Transportation 2040 Itemized Investment List *

Title	T2040 ID	From (or at)	To	On	Description	Lead Sponsor	Est. Cost (y2008\$) **	Status***	Complete	TIP Proj(s).	Corridor(s)
SR 99: S. King Street to Roy Street - Central Waterfront Viaduct Replacement	4281	S King St	Roy St	SR 99	The proposed bored tunnel would be constructed under downtown Seattle between the vicinity of S. King Street and Roy Street to replace the seismically vulnerable Alaskan Way Viaduct along the central waterfront. The proposed bored tunnel would move SR 99 to a below-ground alignment under downtown Seattle and would bypass the existing Bailtey Street Tunnel. The project includes removal of the existing viaduct structure and decommissioning of Battery Street Tunnel.	WSDOT	\$2,060,000,000	Approved	2016	WDUC-33	North King South King
SR 99/Viaduct Surface Restoration & Construction Transit Center	4282	S King Street	Roy Street	SR 99	Restoration and improvements of Surface Street/Alaskan Way following the demolition of the Alaskan Way Viaduct Structure. The project includes an allowance for construction mitigation to replace the loss of parking stalls from under the existing structure.	WSDOT	\$190,000,000	ROW Conditionally Approved	2018		North King South King
SR 99	4092	Battery Street Tunnel	N 105th St.	SR 99	Add business, access and transit lanes throughout this segment of the corridor. Project 1743 handles next segment to the north within Seattle CL.	Seattle	\$91,000,000	Candidate	2025		North King
SR 99	1743	N 105th St	N 145th St (Seattle - NCL)	SR 99	Add business, access and transit lanes throughout this segment of the corridor.	Seattle	\$48,000,000	Candidate	2020	SEA-127	North King
SR 99-- Shoreline--North Segment	4277	N 165th St.	N 185th St.	SR 99 (Aurora Ave N)	This corridor improvement will include access management, sidewalks, pedestrian crossings, landscaping and urban amenities, intersection improvements, congestion reduction, and Business Access and Transit (BAT) lanes. The improvements will occur on Aurora Avenue N (SR 99) between N 165th Street and N 185th Street. Partners include: WSDOT, King County Metro, and TIB.	Shoreline	\$40,000,000	Approved	2011	SL-1B	North King
Aurora Avenue North Multi-Modal Corridor Project (N 185th St to N 192nd St)	3569	N 185th St	N 192nd St	SR 99	The corridor improvement will include access management, sidewalks, pedestrian crossings, landscaping and urban amenities, intersection improvements, congestion reduction and Business Access and Transit (BAT) lanes. The improvements will occur on Aurora Avenue N (SR 99) between N 185th Street and N 192nd Street. Partners include: WSDOT, King County Metro and TIB.	Shoreline	\$13,000,000	Approved	2011	SL-1B	North King
Aurora Avenue North Multi-Modal Corridor Project (N 192nd St to N 205th St)	4283	N 192nd St	N 205th St/ 244th St SW	SR 99	The corridor improvement will include access management, sidewalks, pedestrian crossings, landscaping and urban amenities, intersection improvements, congestion reduction and Business Access and Transit (BAT) lanes. The improvements will occur on Aurora Avenue N (SR 99) between N 192nd Street and N 205th Street. Partners include: WSDOT, King County Metro and TIB.	Shoreline	\$38,000,000	ROW Conditionally Approved	2013		North King

9/28/2011
 * Investments appear in four groupings: Roadway-Related (State Routes), Roadway-Related (Arterials), Transit-Related (includes ferry), and Bicycle/Pedestrian.
 ** Investments with costs equal to zero have had their costs included in other related investments.
 *** Unprogrammed status indicates the investment is in the Unprogrammed portion of Transportation Reinvestment Project Federal Financial Part 2015 Annual Update Appendix
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U. S. DEPARTMENT OF TRANSPORTATION

FEDERAL HIGHWAY ADMINISTRATION
WASHINGTON DIVISION
SUITE 501, EVERGREEN PLAZA
711 SOUTH CAPITOL WAY
OLYMPIA, WA 98501

FEDERAL TRANSIT ADMINISTRATION
915 SECOND AVENUE, SUITE 3142
SEATTLE, WA 98174

January 9, 2015

HPP-WA.2/721.4

Ms. Lynn Peterson
Secretary of Transportation
Department of Transportation
Olympia, Washington

Attention: Kathleen Davis

**2015-2018 Statewide Transportation
Improvement Program (STIP)
Federal Approval**

Dear Ms. Peterson:

The Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) received Ms. Kathleen Davis' letter dated December 19, 2014, requesting approval for the 2015-2018 Statewide Transportation Improvement Program (STIP) and the Statewide Transportation Planning Process Certification.

FHWA and FTA conducted a year-long planning finding, which is a comprehensive review that focused on the statewide and metropolitan transportation planning processes. (*Regulatory requirements and authorities for this effort can be found at 23 U.S.C. Sections 134 and 135, 49 U.S.C. Sections 5303-5304, and 23 CFR 450 Subparts A, B, and C.*)

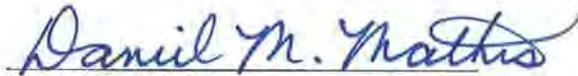
During 2014, we worked with your staff to review the planning, programming, and project development functions as well as the adequacy of coordination, communication, documentation, and reporting for WSDOT and the MPOs. We shared and discussed the results of that review with your staff and noted improvement of the planning process in Washington. We discussed with your staff the actions that need to be taken to correct the process to align it more specifically with the regulations cited above.

We approve the 2015-2018 STIP, based on the following:

- Federal review of the State DOT's and MPOs' self-certifications of their statewide and metropolitan transportation planning processes,
- Federal certification of TMAs within the State,
- FHWA and FTA involvement in the State and MPO transportation planning processes,
- WSDOT's state transportation planning process substantially meets the requirements of regulations noted above, and
- the condition that WSDOT will address the corrective actions documented in the joint FHWA /FTA Planning Finding report, which will be sent to you under separate cover.

Please note that the approval of a STIP is not to be construed as a Federal-aid eligibility determination. Each project programmed in the STIP must satisfy the specific requirements of the program from which Federal funds are requested, as well as other Federal requirements, as appropriate, before Federal funds are authorized.

If you have any questions, please contact Sid Stecker of FHWA at 360-753-9555 and/or Ned Conroy of FTA at 206-220-4318.



Daniel M. Mathis, P.E.
Washington Division Administrator
Federal Highway Administration



R. F. Krochalis
Regional Administrator
Federal Transit Administration

cc: Judy Lorenzo, MS-47370; Cliff Hall, MS-47370
Ben Franklin Council of Governments (BFCG)
Cowlitz-Wahkiakum Council of Governments (CWCOG)
Lewis-Clark Valley Metropolitan Planning Organization (LCVMPO)
Puget Sound Regional Council (PSRC)
Southwest Washington Regional Transportation Council (SWRTC)
Skagit Council of Governments (SCOG)
Spokane Regional Transportation Council (SRTC)
Thurston Regional Planning Council (TRPC)
Whatcom Council of Governments (WCOG)
Wenatchee Valley Transportation Council (WVTC)
Yakima Valley Council of Governments (YVCOG)
Walla Walla Valley Metropolitan Planning Organization (WWVMPO)

Jurisdiction: WSDOT Alaska Way Viaduct Project

Project Number: WDUC-33 **County:** King **Title:** SR-99: S King Street Vicinity to Roy St - Viaduct Replacement

Phase	Programmed Year	Oblig. Date	Funding Source	Federal Funds	State Funds	Local Funds	Phase Total
PE	2015	7/1/15	State	\$0	\$8,686,112	\$0	\$8,686,112
CN	2015	1/15/15	Local	\$0	\$0	\$147,700,000	\$147,700,000
CN	2015	10/1/15	NHPP	\$15,200,000	\$0	\$0	\$15,200,000
CN	2015	10/1/15	Local	\$0	\$0	\$117,929,929	\$117,929,929

WSDOT PIN: 809936E

Totals: \$15,200,000 \$8,686,112 \$265,629,929 \$289,516,041

Federal Aid/FTA Grant Number(s): NHS-0099(111)

Functional Class: Principal Arterial - Expressway OVER 5,000 area

Improvement Type: New Facility -- Roadway

Location: SR 99

From: S King St

To: Roy St

Total Cost \$2,239,460,810

Regionally Significant: Yes

Environmental Status: EIS

Year of Expenditure for Total Cost: 2013

MTP Status: Approved

MTP Reference(s): 4281

Description:

The proposed bored tunnel would be constructed under downtown Seattle between the vicinity of S. King Street and Roy Street to replace the seismically vulnerable Alaskan Way Viaduct along the central waterfront. The proposed bored tunnel would move SR 99 to a below-ground alignment under downtown Seattle and would bypass the existing Battery Street Tunnel. As covered in the Environmental Impact Statement, the project includes removal of the existing Viaduct, the Decommissioning of Battery Street Tunnel, and construction mitigation. This project is eligible for advanced construction, and is a multi-year construction project.

Appendix I

WSDOT Design-Build Methodology Summary

WSDOT Design-Build Methodology

To speed delivery, promote innovative approaches, and secure early price certainty, the Washington State Department of Transportation (WSDOT) can employ a design-build approach to design and construct a project. This process is described in WSDOT's guidebook for design-build projects.¹

In design-build methodology, WSDOT focuses on describing performance rather than on how to obtain that performance. WSDOT identifies a conceptual plan and completes the design to approximately a 15 percent level. This conceptual plan is put out for development of a design-build proposal. Each design-build team evaluates the conceptual plan and develops a proposal. Each proposal includes a technical proposal and price proposal that reflects the product that the design-builder commits to deliver to meet WSDOT's objectives. WSDOT then chooses the design-builder with the best combination of technical proposal and price.

The contract is a single contract between WSDOT and the design-builder for design and construction services to provide a finished product. The design-builder completes the design, with WSDOT's involvement in the design process. Because each bidder will have a different design approach to address the identified project need, this Initial Financial Plan will not discuss the cost of specific design components.

After selection of a design-builder and execution of the contract, WSDOT performs administrative functions and the design-builder performs design, construction, quality control (QC), and quality assurance (QA) functions. WSDOT's quality verification (QV) role during contract execution ensures that the products being developed by the design-builder are in conformance with contract requirements.

The QC/QA Program is a critical component of the design and construction of the project. The focus of WSDOT's QA program is on product compliance with contract documents, verification of the design-builder's QC measures, and meeting Federal quality requirements. QA activities focus on monitoring contract execution with respect to a negotiated Quality Control Plan. WSDOT provides the quality verification and independent testing. Contract Provisions require that the QC/QA Program submitted with the proposal be brought into conformance prior to execution of the contract.

¹ http://www.wsdot.wa.gov/NR/rdonlyres/46196EB8-F9D0-4290-8F55-68786B1DA556/0/DesignBuild_GuidebookJun2004.pdf

Appendix J

WSDOT Design-Bid-Build Methodology Summary

WSDOT Design-Bid-Build Methodology

The design-bid-build project development process and contracting format used by the Washington State Department of Transportation can result in lower risk ranges than design-build projects because design engineering (Plans, Specifications, and Estimates (PS&E)), environmental clearances and permitting work is complete prior to award of the construction contract.

To reduce risk as part of the process WSDOT conducts Value Engineering (VE) studies at appropriate stages of design, as required by the Federal Highway Administration, and incorporates the results of those studies in the design process when possible. In order to lower risk for design choices and project costs, WSDOT employs a process called Cost Estimate Validation Process® (CEVP®) or Cost Risk Assessment (CRA) as part of its program and project level cost risk assessments between the 15 to 90 percent design levels. This process is identified in WSDOT project management and cost risk documents.

For more information on the WSDOT design process, see the WSDOT Design Manual at the following link:

<http://www.wsdot.wa.gov/Publications/Manuals/M22-01.htm>

Appendix Ka

Memorandum of Agreement, funding commitment between
WSDOT and Port of Seattle (GCA 6444)

Appendix Kb

Memorandum of Agreement, funding commitment between
WSDOT and Port of Seattle (GCB 1140)

**MEMORANDUM OF AGREEMENT
NO. GCA 6444
ALASKAN WAY VIADUCT AND
SEAWALL REPLACEMENT PROGRAM
BORED TUNNEL ALTERNATIVE**

This agreement ("Agreement") for the Alaskan Way Viaduct and Seawall Replacement Program ("AWVSRP") is made and entered into between the State of Washington ("State") and the Port of Seattle ("Port"), collectively the "Parties" and individually the "Party."

WHEREAS, in the 1950s, the City of Seattle ("City") and the Washington State Department of Transportation jointly designed and built the Alaskan Way Viaduct ("Viaduct") to accommodate passenger and freight mobility into the foreseeable future; and

WHEREAS, the central waterfront section of the Viaduct is a critical north-south transportation facility of regional, state and national significance, one of two limited access routes through Seattle's urban core carrying more than 100,000 vehicles daily; and

WHEREAS, the Duwamish and Interbay industrial areas in Seattle are served by the SR 99 corridor and constitute a significant portion of Seattle's maritime and industrial sector which accounts for more than 120,000 jobs and an estimated \$28.5 billion in annual revenue city-wide; and

WHEREAS, in 2001 the Nisqually earthquake damaged the Viaduct and Seawall; and

WHEREAS, the Viaduct and Seawall are at risk of sudden and catastrophic failure in an earthquake and are nearing the end of their useful lives; and

WHEREAS, a failure to maintain the Viaduct capacity would result in unacceptable congestion for freight and other traffic within the harbor and industrial areas; and

WHEREAS, in March 2007, the Washington State Governor, the King County Executive, and the Mayor of Seattle pledged to advance a series of key SR 99 projects (Moving Forward Projects) that will facilitate the removal and/or repair of key portions of SR 99, which are Yesler Way Vicinity Stabilization Project, Electrical Line Relocation, Battery Street Tunnel Fire and Life Safety Upgrades, SR 99 Lenora to Battery Street Tunnel Improvements, the SR 99 South Holgate Street to South King Street Viaduct Replacement Project, and Transit Enhancements and Other Improvements; and

WHEREAS, in 2008 the State and its partners agreed to guiding principles for replacing the Viaduct: improve public safety; provide efficient movement of people and goods now and in the future; maintain or improve downtown Seattle, regional, Port and state economies; enhance Seattle's waterfront, downtown and adjacent neighborhoods as a place for people; create solutions that are fiscally responsible; and improve the health of the environment; and

WHEREAS, in 2008 the State and its partners considered public comment from 16 meetings of a stakeholder advisory committee made up of representatives from business, labor, environmental,

and neighborhood interests and more than one thousand public comments collected during quarterly public meetings; and more than 50 community briefings; and

WHEREAS, on December 15, 2008 the Port of Seattle Commission (Port Commission) cited the advantages of a sub-surface option and approved a motion calling for further study of a sub-surface option coupled with surface and transit improvements; and

WHEREAS, in January 2009, the Governor of Washington state, the Mayor of Seattle and the King County Executive jointly recommended replacing the Viaduct with a bored tunnel beneath downtown Seattle in conjunction with improvements in surface streets and transit service, and Port of Seattle CEO, Tay Yoshitani, endorsed the deep-bore tunnel concept; and

WHEREAS, the Washington State Legislature passed ESSB 5768 and the Governor signed the bill into law designating and funding the Bored Tunnel Program as the replacement for the Viaduct; and

WHEREAS, in October 2009, the City and the State entered into a Memorandum of Agreement agreeing to principles to proceed with the AWVSRP; and

WHEREAS, the State and the Port are committed to a replacement for the Viaduct that will improve transportation access to and through the waterfront, including access for over eight million annual ferry riders, ensure connectivity between the Interbay, Ballard and Duwamish industrial areas and Seattle-Tacoma International Airport, including a corridor for oversized vehicles, provide access to port cargo, fishing and cruise facilities, minimize construction disruption, and increase opportunities for the public and freight to access the shoreline and waterfront; and

WHEREAS the Port's international trade, aviation, economic development, tourism and passenger terminal activities are vital to the economic growth of the region and the state, supporting nearly 194,000 jobs in the region, and the State and the Port support infrastructure improvements necessary to achieve growth in trade and jobs and increase our region's competitiveness in global markets; and

WHEREAS the Viaduct corridor is crucial to the region's freight mobility because it provides for 1.5 million freight trips annually by grade-separation of through traffic, rail lines and industrial corridors near the Port's marine terminals, which support the movement of \$30 billion in international and domestic cargo through the Port each year; and

WHEREAS the improvements to the surface street system in the vicinity of the corridor segment from S. Holgate Street to King Street are designed to increase access to Terminal 46 and other port waterfront facilities; and

WHEREAS the Port is funding projects that are part of or complement the AWVSRP and which will provide capacity for future growth and improved safety, including the East Marginal Way Overpass, Spokane Street widening, Duwamish Intelligent Transportation System (ITS) and the SR 519 South Seattle Intermodal Access Project Phase 2; and

WHEREAS, the parties recognize the uniqueness of the City's Mercer Corridor West Project (Mercer Corridor West) in providing access for freight, cruise buses and public transit, and the need to sustain north-south mobility in the period following completion of the tunnel and during construction of waterfront street improvements.

NOW, THEREFORE, the Parties agree to the following principles to proceed with the AWVSRP:

I. GENERAL PRINCIPLES:

A. The Port supports the proposed AWVSRP with the bored tunnel alternative and related system improvements, as the design which affords essential transportation capacity, significant environmental benefits, and minimizes construction-related disruption on the waterfront.

B. The Port recognizes the economic importance of an efficient SR 99 roadway network with complementary system improvements for the effective movement of freight and goods locally, nationally and internationally.

C. The Port and State will continue to work collaboratively toward the successful completion of the AWVSRP.

D. Complementary system upgrades to the transportation system will be completed, including SR 519, Spokane Street Widening, Mercer Corridor from Interstate 5 to Elliott Avenue, East Marginal Way Overpass, North Argo Access, Duwamish Intelligent Transportation Systems, Seawall Replacement (or rehabilitation), and transit enhancements, to support the priorities of the efficient movement of freight, cruise-related traffic and public transit.

E. The State and the Port will work together to review funding plans by the City and King County for their implementation of the aforementioned complementary elements of the AWVSRP.

II. RESPONSIBILITIES:

A. STATE:

1. The State shall endeavor to open the bored tunnel for operation by the end of 2015.

2. The AWVSRP will be designed to provide functionality equal to or better than what is available today to facilitate efficient movement of freight and other traffic on the west side corridors of the Seattle transportation system from the Duwamish neighborhood to Ballard-Interbay and protect access to fishing, cruise and other Port facilities. Of critical importance is the ability of the 15th/Elliott and Mercer corridors to provide sufficient capacity for the purposes listed above.

3. The design of the north and south portals and their connection to the street system shall be designed to accommodate freight movements and provide access for buses serving the port's cruise facilities. The State will coordinate with the Port prior to making any changes to the design elements reviewed by the Port under II B below.

4. The State shall work to minimize and mitigate its construction impacts on Port activities, customers and tenants, and will coordinate with the Port and its tenants to ensure productive operations during construction.

5. The central waterfront segment from Pine Street to Colman Dock will have two lanes in each direction plus a turning lane; the segment south of Colman Dock will have three lanes in each direction plus a turning lane.

B. PORT:

1. Port staff shall participate in timely review and comment of the State's design elements of the tunnel and north and south portals and the Central Waterfront surface street to ensure adequate connection to freight and cruise facilities.

2. Port staff shall participate in the State's planning for construction mitigation and maintenance of traffic.

III. FUNDING:

A. STATE: As defined by ESSB 5768, the total state contribution for AWVSRP is \$2.4 billion in state funds and no more than \$400 million in toll revenue for a total state contribution of \$2.8 billion toward the following state program elements:

1. The proposed bored tunnel from north of S. Royal Brougham Way to Harrison Street; and

2. Surface street connection from S. King Street along Alaskan Way to Elliott and Western avenues, ending at Battery Street, including replacement of the Marion Street pedestrian overpass; viaduct removal; Battery Street Tunnel decommissioning; and

3. Completion of the Moving Forward Projects; and

4. Central Waterfront Construction Mitigation.

B. PORT: To the extent feasible and authorized by the Port Commission, the Port shall fund or procure funding within the life of the project not to exceed \$300 million toward the state's program elements, except as described in Section 4 below:

1. Funding must be for elements that will improve transportation access to and through the waterfront; ensure connectivity for freight and cruise-related vehicles between Interbay, Ballard and Duwamish industrial areas, Interstate 5 and Interstate 90 and Seattle-Tacoma International Airport; provide access for port cargo, fishing and cruise facilities; minimize construction disruption; and increase opportunities for the public and freight to access the shoreline and waterfront.

2. The Port will take steps to obtain funding as described herein while retaining at all times the strategic financial capability to meet its overarching public obligations: maintaining current assets; responding to emerging customer or market demands; continuing significant environmental remediation and restoration projects; and maintaining sufficient transportation access in and around its facilities.

3. The Port and State acknowledge that contributions will be made during the life of the AWVSRP but no funds are being authorized by the Port Commission upon approval of this Agreement. The Parties intend to request authorization from the Port Commission for a portion of the Port's contribution to AWVSRP as early as possible in 2010.

4. The sum of \$25 million will be counted toward the Port's \$300 million contribution to the AWVSRP as follows:
- Up to \$19 million for existing or recently completed Port funding commitments on transportation projects related to the SR 99 system (such as the East Marginal Way Overpass, SR 519 Phase 2, the Spokane Street Viaduct, and the Duwamish ITS).
 - The remaining \$6 million will be allocated to those projects complementary to the AWVSRP, such as Mercer Corridor West, as negotiated by the Parties. Allocation of the \$6 million under this subsection will be based upon valid data and traffic analysis agreed to by the Parties.
5. A funding plan describing the specific timing and amounts of the Port's contribution over the life of the AWVSRP will be developed by the Parties. It is understood that the majority of the Port's contribution will occur in the years 2016-2018.

IN WITNESS WHEREOF, the Parties hereto have executed this Agreement as of the last day and year written below.

PORT OF SEATTLE

By: *William Bryant*
 Print: William Bryant
 Title: President, Seattle Port Comm.
 Date: 4-12-2010

STATE OF WASHINGTON

By: *Christine Gregoire*
 Print: CHRISTINE GREBOIRE
 Title: GOVERNOR
 Date: 4-12-2010

PORT OF SEATTLE

By: *Z. Yoshitani*
 Print: Z. YOSHITANI
 Title: CEO
 Date: 4-12-2010

APPROVED AS TO FORM:

Elizabeth H. Layberry
 By (print)
Elizabeth H. Layberry
 Signature
 Assistant Attorney General
 Date: 4-5-2010



Bob Ferguson

ATTORNEY GENERAL OF WASHINGTON

Transportation & Public Construction Division

PO Box 40113 • Olympia WA 98504-0113 • (360) 753-6126

MEMORANDUM

August 26, 2013

TO: Todd Trepanier
WSDOT Public Transportation

FROM: Susan Cruise, Assistant Attorney General
Transportation & Public Construction Division, MS 40113

SUBJECT: *GCB 1140 SR 99 Alaskan Way Viaduct Replacement Program
Funding Agreement between WSDOT and Port of Seattle*

I have signed and approved as to form the attached two original GCB 1140 SR 99 Alaskan Way Viaduct Replacement Program Funding Agreements between WSDOT and Port of Seattle.

Thanks for all your assistance!

SC:caa
Attachments



GCB 1140
SR 99
ALASKAN WAY VIADUCT REPLACEMENT PROGRAM
Funding Agreement

THIS AGREEMENT (“Agreement”) for the Alaskan Way Viaduct Replacement Program (“PROGRAM”) is made and entered into between the State of Washington, hereinafter the “STATE,” and the Port of Seattle hereinafter the “PORT,” collectively the “Parties” and individually the “Party.”

WHEREAS, in the 1950s, the City of Seattle (“City”) and the Washington State Department of Transportation jointly designed and built the Alaskan Way Viaduct to accommodate passenger and freight mobility into the foreseeable future; and

WHEREAS, the central waterfront section of the Alaskan Way Viaduct passes through and is adjacent to downtown Seattle’s urban core and the Seattle waterfront; and

WHEREAS, the Duwamish and Ballard-Interbay industrial areas in Seattle are served by the SR 99 corridor and constitute a significant portion of Seattle’s maritime and industrial sector jobs and annual city-wide revenue; and

WHEREAS, in 2001 the Nisqually earthquake damaged the Alaskan Way Viaduct; and

WHEREAS, the Alaskan Way Viaduct is at risk of sudden and catastrophic failure in an earthquake and is nearing the end of its useful life; and

WHEREAS, a failure to maintain the Alaskan Way Viaduct capacity would result in unacceptable congestion for freight and other traffic within and between Seattle’s harbor and industrial areas; and

WHEREAS, in March 2007, the Washington State Governor, the King County Executive, and the Mayor of Seattle pledged to advance a series of key SR 99 projects (Moving Forward Projects) that will facilitate the removal and/or repair of key portions of SR 99, including the Yesler Way Vicinity Stabilization Project, the Electrical Line Relocation project, Battery Street Tunnel Fire and Life Safety Upgrades, SR 99 Lenora to Battery Street Tunnel Improvements, the SR 99 South Holgate Street to South King Street Viaduct Replacement Project, Transit Enhancements and Other Improvements; and

WHEREAS, in January 2009, the Governor of Washington State, the Mayor of Seattle and the King County Executive jointly recommended replacing the Alaskan Way Viaduct with a bored tunnel beneath downtown Seattle in conjunction with improvements in surface streets and transit service, and Port of Seattle Chief Executive Officer, Tay Yoshitani, endorsed the deep-bore tunnel concept; and

WHEREAS, the PROGRAM includes system-wide projects led by the Washington State Department of Transportation (such as Holgate to King viaduct replacement, Atlantic Street overcrossing, SR519 Phase 2, New Alaskan Way, Connection to Elliott Avenue/Western Avenue, SR 99 Bored Tunnel, new connections at the north and south portals), King County (such as South End Transit, North End Transit and other transit investments), the City (such as Spokane Street Viaduct, Mercer Corridor, Central seawall replacement and First Avenue Street car study) and the PORT (East Marginal Way Grade Separation), anticipated to total \$4.2 billion; and

WHEREAS, the Washington State Legislature passed ESSB 5768 and the Governor signed the bill into law designating and funding the SR 99 Bored Tunnel Project as the replacement for the Viaduct; and

WHEREAS, the STATE executed a design-build contract with Seattle Tunnel Partners in January 2011 for the design and construction of the SR 99 Bored Tunnel Project as a replacement for the Alaskan Way Viaduct as part of the PROGRAM; and

WHEREAS, the STATE issued a Supplemental Draft Environmental Impact Statement meeting the requirements of the National Environmental Policy Act and State Environmental Policy Act in 2010, issued a Final Supplemental Environmental Impact Statement and Section 4(f) Evaluation in July 2011 and issued a Record of Decision in August 2011 for the SR 99 Bored Tunnel Project; and

WHEREAS, as outlined in the Parties' prior Memorandum of Agreement No. GCA 6444; the STATE and the PORT are committed to a replacement for the Viaduct that will improve transportation access to and along the Seattle waterfront, including access for over eight million annual ferry riders; ensure connectivity and capacity between the Ballard-Interbay and Duwamish industrial areas and Seattle-Tacoma International Airport, including a corridor for oversized vehicles; provide access to port cargo, fishing and cruise facilities; minimize construction disruption; and increase opportunities for the public and freight to access the shoreline and waterfront; and

WHEREAS, the PORT's international trade, aviation, economic development, tourism and passenger terminal activities are vital to the economic growth of the region and the state, supporting nearly 194,000 jobs in the region, and the STATE and the PORT support infrastructure improvements necessary to achieve growth in trade and jobs and increase the region's competitiveness in global markets; and

WHEREAS, the Viaduct corridor is crucial to the region's freight mobility because it provides for 1.5 million freight trips annually by grade-separation of through traffic, rail lines and industrial corridors near the Port's marine terminals, which support the movement of \$30 billion in international and domestic cargo through the Port each year; and

WHEREAS, the STATE has designed and is constructing improvements, also known as AWW S Holgate to S King St Stage 3 – Atlantic St Bypass Project, to the surface street system in the vicinity of the corridor segment from S. Holgate Street to S. King Street that are designed to increase access to Terminal 46 and other port waterfront facilities. This project provides a new overcrossing at South Atlantic Street which will significantly improve freight hauling efficiency between the Port and Interstate 5 and Interstate 90, allowing trucks to bypass the frequent and lengthy railroad track blockages across South Atlantic Street; and

WHEREAS, the STATE’s contractor is designing and will construct the SR 99 Tunnel Alternative, Tunnel Design Build (also known as, the SR 99 Bored Tunnel Project), and the PORT has reviewed its design scope and determined that, when completed, it will offer a direct benefit to the PORT by maintaining throughput capacity in the SR 99 corridor; keeping additional traffic off I-5; and minimizing construction disruption to regional traffic, industrial and maritime businesses, and PORT facilities; and
WHEREAS, the STATE and the City are designing and will construct other projects included in the PROGRAM that will maintain and improve traffic flow along the Seattle waterfront and between the Seattle waterfront and STATE highways; and,

WHEREAS the STATE has developed a plan for delivering the PROGRAM that includes: (i) the SR 99/Tunnel Alternative, South Access Connection Project that will facilitate freight movement to and from PORT container terminals along East Frontage Road, South Atlantic Street, South Royal Brougham Way, Alaskan Way South, East Marginal Way South, and South Dearborn Street; and (ii) the SR 99/Tunnel Alternative, North Access Connection Project that will ensure access to PORT cargo, fishing and cruise facilities via the tunnel or north end arterials, including Sixth Avenue North, North Republican Street, Dexter Avenue North, Aurora Avenue, and two-way North Mercer Street; and,

WHEREAS, the STATE has proposed that the PORT assist with the funding of the SR 99 Tunnel Alternative, Tunnel Design Build; the SR 99/Tunnel Alternative, South Access Connection Project; and the SR 99/Tunnel Alternative, North Access Connection Project hereinafter identified individually as the “PROJECT” and collectively as the “PROJECTS” and the PORT deems the PROJECTS to provide a direct benefit to the PORT; and

WHEREAS, the STATE will construct the PROJECTS using the design-build and design-bid-build methods of project delivery; and

WHEREAS, the Parties executed Memorandum of Agreement No. GCA 6444, Alaskan Way Viaduct and Seawall Replacement Program Bored Tunnel Alternative on April 12, 2010 in which the PORT agreed, to the extent feasible and authorized by the Port Commission, to fund or procure funding within the life of the PROGRAM not to exceed Three Hundred Million Dollars (\$300,000,000) toward the STATE's PROGRAM elements with the majority of the PORT’s contribution occurring between 2016 and 2018; and

WHEREAS, the PORT allocated Twenty-Five Million Dollars (\$25,000,000) of up to Three Hundred Million Dollars (\$300,000,000) for funding of transportation projects serving the SR 99 system; and

WHEREAS, the Parties agree that the PORT has contributed Nineteen Million Dollars (\$19,000,000) of the Twenty-Five Million Dollars (\$25,000,000) towards funding of the East Marginal Way Overpass, Spokane Street widening, Duwamish Intelligent Transportation System and the SR 519 South Seattle Intermodal Access Project Phase 2 projects that complement the PROGRAM and provide capacity for future growth and improved safety; and

WHEREAS, the STATE has requested that the PORT's contribution toward funding of the PROJECTS begin on May 1, 2015; and

WHEREAS, the PORT would incur additional costs associated with issuing bonds prior to 2016; and

WHEREAS, the PORT has incurred additional costs associated with staffing requirements for assisting the STATE in developing the design, coordinating construction and other activities required to successfully complete the PROGRAM, including the PROJECTS; and

WHEREAS, the Parties wish to provide the terms and conditions of the PORT's future contribution towards funding the PROJECTS;

NOW, THEREFORE, by virtue of RCW 53.08.330, RCW 53.08.340 and RCW 47.28.140 and in consideration of the terms, conditions, covenants and performances contained herein, or attached and incorporated and made a part hereof, the Parties agree as follows:

1.0 STATE RESPONSIBILITIES

1.1 The STATE will ensure that the PROGRAM will be designed and constructed to facilitate efficient movement of freight and other traffic on the west corridors of the Seattle transportation system between the Duwamish and Ballard-Interbay neighborhoods, including maintaining access to fishing, cruise and other PORT facilities. The STATE further agrees that, at a minimum, the reconstruction of the surface streets on the central waterfront segment of the PROGRAM will include two lanes in each direction with left turn lanes at intersections between Pine Street and the Colman Dock. The section south of Colman Dock will have at a minimum, two continuous general purpose lanes in each direction, at all times, and a continuous northbound ferry queuing lane that expands to two lanes between Main Street and Yesler Way.

1.2 The STATE will ensure that: (i) all environmental review and documentation has been successfully completed and approved prior to construction of the tunnel, north portal,

south portal and central waterfront surface street projects; (ii) designs of PROJECTS are consistent with the STATE's and PORT's needs and provide the PORT with the direct benefit that has been committed to by the Parties; (iii) the PORT has the opportunity to review and comment on channelization plans prior to construction of each project in the PROGRAM; (iv) it coordinates with the PORT prior to making any changes to channelization plans that have been reviewed and commented on by the PORT; (v) all costs of the PROJECTS funded with proceeds from PORT issued bonds meet the requirements of the Internal Revenue Service ("IRS") for the use of tax exempt bond proceeds; and (vi) that the PORT continues as a member of Maintenance of Traffic Task Forces associated with construction of the PROJECTS.

2.0 PORT RESPONSIBILITIES

2.1 The PORT agrees to contribute Two Hundred Seventy-five Million Dollars (\$275,000,000) solely towards the costs of constructing the PROJECTS, *less* Seven Million Three Hundred Thousand Dollars (\$7,300,000) representing PORT costs for work performed by PORT staff that is related to the PROGRAM, including the PROJECTS, plus additional PORT costs associated with issuing bonds earlier than 2016 to meet its obligations under Section 3.0, for a total PORT contribution not to exceed Two Hundred and Sixty-seven Million, Seven Hundred Thousand Dollars (\$267,700,000).

2.2 Subject to this Section 2, the PORT agrees to fund construction for the PROJECTS, including mobilization, temporary erosion and sedimentation control, earthwork, pavement, drainage, structures, and utilities in the amounts and according to the schedule as described in Section 3.0 - Payment.

2.3 In addition to the total PORT contribution set forth in Section 2.1, the STATE may, by no later than 2018, request an additional PORT contribution of up to Six Million Dollars (\$6,000,000) to assist in funding transportation projects identified by the STATE as serving the SR 99 system. The Parties acknowledge and agree that PORT shall determine in its sole and absolute discretion whether and how much to contribute under this Section and, if so, how it will allocate any such contribution among the projects identified by the STATE. Any additional PORT contribution under this Section 2.3 shall be documented by attaching the minutes of the Port Commission authorizing such contribution as Supplement 1 to this Agreement, thereby incorporating it herein without further amendment.

2.4 The Port shall follow all requirements, included but not limited to I.R.S. regulations, associated with bond proceeds arbitrage.

3.0 PAYMENT

3.1 Subject to Section 2, the PORT agrees to make payments to the STATE in the amounts and according to the schedule set forth below:

a. Upon receiving the STATE's request for payment no later than April 1, 2015, the PORT shall make a lump sum payment of One Hundred Twenty Million Dollars (\$120,000,000) no later than May 1, 2015.

b. Upon receiving the STATE's request for payment no later than April 1, 2016, the PORT shall make a lump sum payment of One Hundred and Forty-seven Million Dollars (\$147,700,000) no later than May 1, 2016.

3.2 All requests for payment by the STATE under Section 3.1 shall include copies of contractor progress payments that support reimbursement to the STATE for actual construction costs incurred for the PROJECTS.

3.3 In the event the PORT commits to an additional contribution under Section 2.3, all requests for payment by the STATE therefor shall include copies of contractor progress payments that support reimbursement to the STATE for actual construction costs incurred for the project(s) identified in Supplement 1 to this Agreement.

4.0 MODIFICATIONS TO FUNDING OR SCOPE OF THE PROJECTS AND AMENDMENT

4.1 The Parties may adjust the PORT's contributions to the Projects under Section 2.0 by written amendment reflecting changes to the Port's timing and contribution, except as otherwise set forth in Section 2.3. In fulfilling its obligations under this Agreement, the Port will at all times retain its duty to act in the best interests of the Port.

4.2 Either Party may request changes to the provisions contained in this Agreement. Such changes shall be mutually agreed upon and incorporated by written amendment to this Agreement, except as otherwise set forth in Section 2.3. No variation or alteration of the terms of this Agreement shall be valid unless made in writing and signed by authorized representatives of the Parties hereto, except as otherwise set forth in Section 2.3.

5.0 NOTIFICATION

5.1 Any notice required or permitted to be given pursuant to this Agreement shall be in writing, and shall be sent postage prepaid by U.S. Mail, return receipt requested, to the following addresses unless otherwise indicated by the Parties to this Agreement:

To the STATE: Linea Laird, P.E.
 Program Administrator
 Washington State Dept. of Transportation
 999 Third Avenue, Suite 2424
 Seattle, WA 98104

To the PORT: Tay Yoshitani
 Chief Executive Officer
 Port of Seattle
 P. O. Box 1209
 Seattle, WA 98111

6.0 RECORDS RETENTION AND AUDIT

6.1 The PORT or its designee shall have the right to inspect, audit and/or copy records supporting or pertaining to the PORT's funding assistance to the PROGRAM and accounting thereof for the purpose of determining anything that is of consequence to this Agreement.

6.2 The STATE shall retain the records pertaining to or supporting the PORT's funding assistance to the PROGRAM for the periods required below. The STATE shall also ensure that relevant wage, payroll and cost records of all contractors, subcontractors and suppliers at all tiers shall be retained and open to similar inspection or audit for the periods required below:

- a. During the progress of work related to the PROJECTS funded by the PORT;
- b. For a period of not less than six (6) years after the PORT's final payment to the STATE under this Agreement; provided that if tax exempt bonds are used to provide funding assistance to the PROGRAM, the STATE shall retain records necessary to address an IRS audit for the period required under applicable IRS regulations; and
- c. If any claim, audit, or litigation arising out of, in connection with, or related to this Agreement is initiated, all documents and records shall be retained until such claim, audit or litigation involving the records is resolved or completed, whichever occurs later.

6.4 The STATE, its contractors, subcontractors and suppliers shall make a good faith effort to cooperate with the PORT and its designees when the PORT gives notice of its need to inspect or audit records referenced in this Section 6. Cooperation shall include assistance as may be reasonably required in the course of inspection or audit, including reasonable access to personnel with knowledge of the contents of the records being inspected or audited so that the information in the records is properly understood by the persons performing the inspection or audit. Cooperation shall also include establishing a specific mutually agreeable timetable for making the records available for inspection by the PORT and its designee. Unless otherwise agreed, if the STATE, its contractor, subcontractors and suppliers cannot make at least some of the relevant records available for inspection within twenty-eight (28) calendar days of the PORT's written request, cooperation will necessarily entail providing the PORT with a reasonable explanation for the delay in production of records.

7.0 DISPUTE AVOIDANCE AND RESOLUTION

7.1 Designated Representatives:

PORT: Anne Porter
Capital Project Manager V
Port of Seattle
Capital Development Division
P. O. Box 1209
Seattle, WA 98104
206-787-3133

STATE: Todd V. Trepanier
Deputy Administrator – Operation
Alaskan Way Viaduct Replacement Program
999 Third Avenue, Suite 2200
Seattle, WA 98104
206-805-2813

7.2 The designated representatives herein under section 7.1, shall use their best efforts to resolve disputes between the Parties. If the designated representatives are unable to resolve a dispute, then the responsible project managers or directors for each Party shall review the matter and meet as soon as possible, but in no case later than ten (10) business days after request by either Party, to attempt to resolve it. If the project managers or directors are unable to resolve the dispute, the matter shall be reviewed by the department director or Chief Executive Officer of each Party or his or her designee. The department director or Chief Executive Officer of each Party shall meet within ten (10) business days of request by either Party after exhaustion of the previous procedural steps. If after that meeting, the Parties are still not able to resolve the dispute, the Parties shall submit the dispute to mediation. Representatives of each party with authority to settle the claim, or in the case of the PORT, if Commission approval is required, management authority to recommend settlement of the claim directly to Commission, shall participate in the mediation. The mediator's fee will be divided equally among the parties participating in the mediation. The Parties agree to exhaust each of these procedural steps before seeking to resolve disputes in a court of law or any other forum.

8.0 EFFECTIVENESS AND DURATION

8.1 This Agreement is effective upon execution by both Parties and will remain in effect until final completion of all Parties' obligations contained or referenced in this Agreement, unless otherwise amended or terminated.

9.0 INDEMNIFICATION AND HOLD HARMLESS

9.1 Each of the Parties shall protect, defend, indemnify, and save harmless the other Party, its officers, officials, employees, and agents, while acting within the scope of their employment as such, from any and all costs, claims, judgment, and/or awards of damages, arising out of, or in any way resulting from, each of the Party's own negligent acts or omissions. The STATE shall also protect, defend, indemnify and save harmless the PORT, its officers, officials, employees and agents ("PORT indemnified parties"), from any and all costs, claims, judgment and/or awards of damages, arising out of, or in any way resulting from the design, permitting, or construction of the PROJECTS or the PROGRAM. In no event shall the PORT have any maintenance or repair obligation with respect to Alaskan Way, or facilities lying in public right-of-way along Alaskan Way, or arising out of or related to the PROGRAM or the PROJECTS. No Party will be required to indemnify, defend, or save harmless the other Party, its officers, officials, employees and agents if the claim, suit, or action for injuries, death, or damages is caused by the sole negligence of the other Party. Where such claims, suits, or actions result from the concurrent negligence of the Parties, the indemnity provisions provided herein shall be valid and enforceable only to the extent of a Party's own negligence.

Each of the Parties agrees that its obligations under this Section extend to any claim, demand and/or cause of action brought by, or on behalf of, any of its employees or agents. For this purpose, each of the Parties, by mutual negotiation, hereby waives, with respect to each of the other Party only, any immunity that would otherwise be available against such claims under the Industrial Insurance provision of Title 51 RCW.

9.2. In the event of legal action challenging the PORT's legal authority to provide funding assistance to the PROGRAM or the PROJECTS, the PORT, in its sole discretion, may defend such legal action or may tender the defense to the STATE within ten (10) business days after the service of such legal action. Failure to tender the legal action to the STATE as provided herein shall constitute a waiver of PORT's right, if any, to seek indemnity for the claims asserted therein. In the event that the PORT chooses to tender to the STATE the defense of such legal action, and, to the extent permitted by law, the STATE shall defend, pay the cost of such defense, save harmless, and indemnify the PORT indemnified parties from any and all costs, claims, judgment and/or awards of damages, arising out of, or in any way resulting from, such legal action.

9.3 The indemnification, hold harmless, and/or waiver obligations described in this section shall survive the termination of this Agreement. In any action to enforce the provisions of the Section, the prevailing Party shall be entitled to recover its reasonable attorney's fees and costs incurred from the other Party.

10.0 VENUE

10.1 This Agreement shall be deemed to be made in the County of King, State of Washington, and the legal rights and obligations of the STATE and PORT shall be

determined in accordance with the laws of the State of Washington. All legal actions in connection with this Agreement shall be brought in the County of King, State of Washington.

11.0 RELATIONSHIP OF PORT AND STATE

11.1 Nothing contained herein shall be deemed or construed as creating the relationship of principal and agent, partnership, or joint venture partners between the STATE and the PORT.

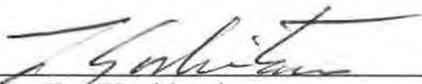
12.0 AUTHORIZED SIGNATURES

12.1 The undersigned acknowledge that they are authorized to execute this Agreement and bind their respective agencies to the obligations set forth herein.

IN WITNESS WHEREOF, the Parties hereto have executed this Agreement as of the latest date written below.

PORT OF SEATTLE

STATE OF WASHINGTON
DEPARTMENT OF TRANSPORTATION


By: Tay Yoshitani
Chief Executive Officer

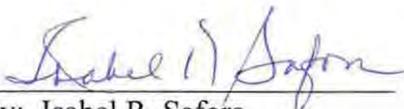

By: Linea Laird, P.E.
Program Administrator
Alaskan Way Viaduct and Seawall
Replacement Program

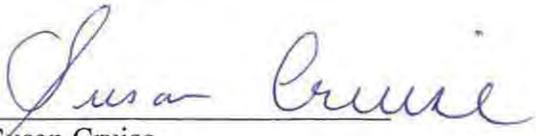
Date: 8/14/13

Date: 8/27/13

APPROVED AS TO FORM:

APPROVED AS TO FORM:


By: Isabel R. Safora
Deputy General Counsel


By: Susan Cruise
Assistant Attorney General

Date: 8/12/13

Date: August 26, 2013

Appendix L

Memorandum of Agreement
Property, Environmental Remediation, Design Review, Permitting,
and Construction Coordination Agreement between the State of
Washington and the City of Seattle

(GCA 6486)

May 23, 2011

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MEMORANDUM OF AGREEMENT
NO. GCA 6486
SR 99 ALASKAN WAY VIADUCT
PROPERTY, ENVIRONMENTAL REMEDIATION, DESIGN REVIEW,
PERMITTING, AND CONSTRUCTION COORDINATION
AGREEMENT
FOR SR 99 BORED TUNNEL PROJECT

THIS Property, Environmental Remediation, Design Review, Permitting, and Construction Coordination Agreement, No. GCA 6486 for the SR 99 Bored Tunnel Project (“Agreement” or “SDOT Agreement” or “GCA 6486 Agreement”) is made and entered into, as provided in RCW 39.34.080, RCW 47.12.040 and other applicable law, between the Washington State Department of Transportation, hereinafter the “STATE,” and the City of Seattle hereinafter the “CITY” (managed by the Seattle Department of Transportation, hereinafter “SDOT”), collectively the “PARTIES” and individually the “PARTY.”

WHEREAS, the Alaskan Way Viaduct (AWV) and seawall are at risk of sudden and catastrophic failure in an earthquake and are nearing the end of their useful lives; and

WHEREAS, the STATE and the Federal Highway Administration (FHWA), in consultation with the CITY, are proposing improvements to State Route 99 (SR 99), currently a non-limited access highway that includes the AWV; and

WHEREAS, in March 2007, the Governor, the King County Executive and the Mayor of Seattle pledged to advance a series of key SR 99 projects (Moving Forward Projects) that will facilitate the removal and/or repair of key portions of SR 99, which are: Yesler Way Vicinity Stabilization Project, Electrical Line Relocation (formerly known as Electrical Utility Relocation Phase 1 under agreement No. GCA 5680), Battery Street Tunnel Fire and Life Safety Upgrades, SR 99 Lenora to Battery Street Tunnel Improvements, the SR 99 South Holgate Street to South King Street Viaduct Replacement Project, and Transit Enhancements and Other Improvements; and

WHEREAS, in January 2009, the Governor, the King County Executive and the Mayor of Seattle recommended replacement of the existing AWV structure in the central waterfront area with a bored tunnel; and

WHEREAS, in October 2009 the Governor and the Mayor executed a Memorandum of Agreement, GCA 6366, which described the basic roles and responsibilities for the implementation of the Alaskan Way Viaduct and Seawall Replacement (AWVSR) Program; and

1 WHEREAS, the AWVSR Program (PROGRAM) consists of a four-lane bored tunnel
2 and improvements to City streets, the City waterfront and transit; and the Moving
3 Forward Projects; and
4
5 WHEREAS, the PARTIES are entering into this Agreement on the assumption that the
6 PROGRAM can and will be completed at or below the current WSDOT PROGRAM
7 budget; and
8
9 WHEREAS, the PROJECT, the subject of this Agreement, is the part of the PROGRAM
10 that replaces SR 99 from South Royal Brougham Street to Roy Street that consists of
11 designing and constructing a four-lane bored tunnel from South King Street to Thomas
12 Street, north and south tunnel portals and access streets; re-establishment of the City
13 street grid in the vicinity of the portals and associated utility relocations; and
14
15 WHEREAS, Battery Street Tunnel decommissioning and Alaskan Way Viaduct
16 demolition will be addressed in a future agreement; and
17
18 WHEREAS, the CITY and STATE agree to work collaboratively toward the successful
19 completion of the PROJECT and endeavor to open the tunnel by the end of 2015 and
20 demolish the AWV in 2016; and
21
22 WHEREAS, the PROJECT is consistent with the City of Seattle's adopted
23 Comprehensive Plan; and
24
25 WHEREAS, review of the PROJECT pursuant to the State and City environmental
26 policy laws is currently underway and the PARTIES recognize that changes in the
27 alternative chosen would require a new agreement; and
28
29 WHEREAS, the CITY and the STATE will deliver the PROJECT within the financial
30 commitments made in the Memorandum of Agreement, GCA 6366, executed by the
31 PARTIES on October 24, 2009; and
32
33 WHEREAS, concurrently with this GCA 6486 Agreement, the STATE and CITY,
34 through Seattle City Light (SCL), are entering into an agreement, UT 01476; and
35
36 WHEREAS, concurrently with this GCA 6486 Agreement, the STATE and CITY,
37 through its Seattle Public Utilities Department (SPU), are entering into an agreement, UT
38 01474; and
39
40 WHEREAS, the PROJECT will in some instances require the use of existing CITY Street
41 Right-of-Way; and
42
43 WHEREAS, the CITY will own and/or maintain significant infrastructure to be
44 constructed as part of the PROJECT; and
45

1 WHEREAS, some portion of SR 99 is within the PROJECT and is a City street serving
2 as part of a State Highway under RCW 47.24.010; and

3
4 WHEREAS, the PARTIES wish to establish protocols and procedures for property
5 acquisition, environmental remediation, design review, permitting, and construction
6 coordination to govern their relationship during the course of the PROJECT; and

7
8 WHEREAS, some or all of the work covered by this Agreement may be accomplished by
9 executed "Task Order" documents.

10
11 NOW, THEREFORE, in consideration of the terms, conditions, covenants, and
12 performances contained herein, or attached and incorporated and made a part hereto,

13
14
15 **IT IS MUTUALLY AGREED AS FOLLOWS:**

16
17 **1. DEFINITIONS**

18
19 Words not otherwise defined, which have well-known technical or construction industry
20 meanings, are used in accordance with such recognized meanings.

21
22 1.1 Approved Plans means the construction plans and provisions that evidence the
23 CITY's determinations, made through the processes described in Sections 6 and 7 and
24 Exhibit B of this Agreement, that the plans conform to the criteria established in this
25 Agreement, UT 01474 and UT 01476; Approved Plans are included in the contract
26 documents evidencing the agreement between the STATE and its contractors for
27 construction of a given element of the PROJECT.

28
29 1.2 AWV means the Alaskan Way Viaduct structure on State Route 99, currently a
30 non-limited-access highway over a portion of CITY Street Right-of-Way.

31
32 1.3 Business Days means Monday through Friday, inclusive, except for official City
33 of Seattle and state holidays.

34
35 1.4 CITY means the City of Seattle, a Washington municipal corporation.

36
37 1.5 City Construction Project Engineer means the person designated by SDOT to act
38 as the City's coordinator and primary representative in matters arising during the course
39 of construction as set forth in this Agreement.

40
41 1.6 CITY Designated Representative means the CITY official listed in Section 25 of
42 this Agreement.

- 1 1.7 CITY Facilities means SCL Facilities, SDOT Facilities, SPU Facilities and
2 facilities impacted by, or constructed as part of, the PROJECT that are owned or will be
3 owned by any other CITY agency.
4
- 5 1.8 CITY Infrastructure means the portions of SPU Facilities, SCL Facilities and City
6 Street Right-of-Way improvements constructed or modified as part of the PROJECT to
7 be owned, operated and maintained by the CITY.
8
- 9 1.9 CITY Interest Property means CITY Street Right-of-Way plus all other real
10 property that the CITY owns or in which the CITY has a real property interest on the
11 effective date of this Agreement, or in connection with the PROGRAM is to acquire
12 ownership of or an interest in real property or a different utility-related right from the
13 STATE, which includes, but is not limited to, Program Transfer Property. CITY Interest
14 Property does not include real property acquired or to be acquired by the STATE for
15 planned limited access facilities such as the bored tunnel, portals and access for which no
16 real property interest or different utility-related right will be transferred to the CITY.
17
- 18 1.10 City of Seattle means CITY.
19
- 20 1.11 City Standards means all City of Seattle laws, rules, regulations and standards and
21 all applicable federal and state laws, rules, regulations and standards, including but not
22 limited to the following, except as otherwise provided in this Agreement, UT 01474 and
23 UT 01476:
24 1.11.1 The Seattle Municipal Code;
25 1.11.2 The City of Seattle Standard Specifications for Road, Bridge and
26 Municipal Construction;
27 1.11.3 The City of Seattle Standard Plans for Municipal Construction;
28 1.11.4 SDOT, SCL, DPD and SPU Director's Rules, including the City of Seattle
29 Right of Way Improvements Manual, 2005-22 and any revisions to the Manual;
30 1.11.5 SCL Material Standards; and
31 1.11.6 SCL Construction Guidelines.
32
- 33 1.12 CITY Street Right-of-Way means public street right-of-way under the jurisdiction
34 of SDOT pursuant to Title 15 of the Seattle Municipal Code.
35
- 36 1.13 Conflicting Facilities means all SCL Facilities and all SPU Facilities identified by
37 the STATE that have alignments intersecting or that directly conflict with the final
38 configuration of the proposed SR 99 bored tunnel portals and tunnel portal excavations.
39 Conflicting Facilities do not include any SPU Facilities or SCL Facilities that have been
40 relocated to or installed or reconstructed in their present location by the STATE or by
41 order of the STATE as part of the Moving Forward projects of the Program south of
42 Dearborn Street.
43
- 44 1.14 Contract Award means the STATE's written decision accepting a bid for
45 construction of a Project.

- 1
2 1.15 Defective Work means design or construction work or materials that fail to
3 comply with the Approved Plans, or CITY-approved modifications to the Approved
4 Plans, or the laws, rules, regulations or standards as specified in this Agreement.
5
- 6 1.16 Deformation means any 3-dimensional displacement or combination of
7 displacements. This definition includes but is not limited to the terms “tilt,” “strain,”
8 “settlement,” “heave,” “lateral movement,” and related terminology that are common
9 industry terminology for deformation in specific situations. Where such industry
10 terminology is used for convenience herein, it does not imply that the broad definition of
11 deformation has been limited.
12
- 13 1.17 Design-Bid-Build Contract means a project delivery method in which the STATE
14 provides a complete design, advertises for bids, and awards a contract to the lowest
15 responsive bidder who is responsible for completing the construction of the project.
16
- 17 1.18 Design-Build Contract means a project delivery method in which the STATE
18 develops a conceptual design and requests proposals from pre-qualified contractors. The
19 contract is awarded to the contractor with the best value responsive proposal. The
20 contractor is responsible to complete the design and construct the project.
21
- 22 1.19 Design Builder means the entity with whom the STATE enters into a Design-
23 Build Contract and who is responsible to complete the design and construct the project.
24
- 25 1.20 Design Submittal means plans, specifications, and design documentation
26 representing design of a given project element in a Design-Build Contract.
27
- 28 1.21 DPD means the City of Seattle Department of Planning and Development.
29
- 30 1.22 Engineer of Record means the engineer licensed in the State of Washington who
31 has been commissioned by the STATE as the prime engineer of the PROJECT, having
32 overall responsibility for the adequacy of the design and the coordination of the design
33 work of other engineers and whose professional seal is on the Approved Plans.
- 34 1.23 Environmental Compliance Assurance Procedure (ECAP) means procedures
35 incorporated into the then-current WSDOT *Construction Manual* M41-01.05 (Section 1-
36 2.2k(1)) and WSDOT *Environmental Procedures Manual* M31-11.05 (Sections 610 and
37 690), as modified by this Agreement, which provide guidance on compliance with
38 Environmental Laws and environmental Remediation. The purpose of the ECAP is to
39 recognize and eliminate environmental violations during the construction phase on
40 STATE construction sites and to ensure prompt notification to STATE management and
41 agencies. For purposes of the ECAP, violations are defined as actions that are not in
42 compliance with environmental standards, permits, or laws.
- 43 1.24 Environmental Law(s) means any environmentally related local, state or federal
44 law, regulation, ordinance or order (including without limitation any final order of any

1 court of competent jurisdiction of which the STATE has knowledge), now or hereafter in
2 effect including, but not limited to: the Federal Clean Air Act; the Federal Water
3 Pollution Control Act; the Federal Safe Drinking Water Act; the Federal Comprehensive
4 Environmental Response Compensation and Liability Act, as amended by the Superfund
5 Amendments and Reauthorization Act of 1986; the Federal Resource Conservation and
6 Recovery Act, as amended by the Solid and Hazardous Waste Amendments of 1984; the
7 Federal Occupational Safety and Health Act; the Federal Emergency Planning and Right-
8 to-Know Act of 1986; the Federal Hazardous Materials Transportation Control Act of
9 1980; the Federal Clean Water Act of 1977; the Federal Insecticide, Fungicide and
10 Rodenticide Act; the Federal Waste Management Recovery and Recycling Act; the
11 Washington Hazardous Waste Management Act; the Washington Hazardous Waste Fees
12 Act; Washington Model Toxics Control Act; the Washington Nuclear Energy and
13 Radiation Act; the Washington Radioactive Waste Storage and Transportation Act; the
14 Washington Underground Petroleum Storage Tanks Act; and any regulations
15 promulgated thereunder from time to time.

16
17 1.25 Final Design Submittal means plans, specifications, and design documentation
18 representing complete design of a given project element in a Design-Build Contract. The
19 Final Design Submittal addresses and incorporates review comments from the
20 Preliminary Design Submittal.

21
22 1.26 Final Plan Review Package means the Plan Review Package submitted to the
23 CITY that comprises the STATE's contract documents including contract addenda and
24 fully incorporates or otherwise addresses all CITY plan review comments and all
25 applicable conditions of the Street Use Permit.

26
27 1.27 Hazardous Substance(s) means any substance, or substance containing any
28 component, now or hereafter designated as a hazardous, dangerous, toxic or harmful
29 substance, material or waste, subject to regulation under any federal, state or local law,
30 regulation or ordinance relating to environmental protection, contamination or cleanup
31 including, but not limited to, those substances, materials and wastes listed in the United
32 States Department of Transportation Hazardous Materials Table (49 C.F.R. §172.101) or
33 by the United States Environmental Protection Agency as hazardous substances (40
34 C.F.R. pt. 302 and amendments thereto) or in the Washington Hazardous Waste
35 Management Act (Ch. 70.105 RCW) or the Washington Model Toxics Control Act (Chs.
36 70.105D RCW and 82.21 RCW), petroleum products and their derivatives, and such
37 other substances, materials and wastes as become regulated or subject to cleanup
38 authority under any Environmental Law.

39
40 1.28 Letter of Acceptance means the written document that signifies the CITY's
41 acceptance of CITY Infrastructure to be owned by the CITY, and shall signify the
42 STATE's transfer of CITY Infrastructure to be owned by the CITY. The Letter of
43 Acceptance will not transfer any interest in real property. The Letter of Acceptance shall
44 be jointly executed by the PARTIES. A Letter of Acceptance for SPU Facilities requires
45 SPU approval and a Letter of Acceptance for SCL Facilities requires SCL approval.

- 1
2 1.29 Letter of Plan Approval means the letter provided to the STATE by the CITY
3 following the completion of the plan review process, signifying that the plans and
4 specifications identified in the letter are the Approved Plans. A Letter of Plan Approval
5 for SPU Facilities requires SPU approval and a Letter of Plan Approval for SCL
6 Facilities requires SCL approval as part of the Procedures outlined in Exhibit B of this
7 Agreement.
8
- 9 1.30 MTCA means the Washington Model Toxics Control Act (Chs. 70.105D RCW
10 and 82.21 RCW).
11
- 12 1.31 Plan Review Package means clear and complete plans, specifications, and the
13 necessary assumptions, studies, models and calculations upon which the design was
14 based, and corrections previously requested by the CITY with respect to design-bid-build
15 projects.
16
- 17 1.32 100% Plan Review Package means the Plan Review Package submitted to the
18 CITY concurrent with STATE's final internal review of the construction contract plans
19 and contract provisions that shall evidence the agreement between the STATE and its
20 contractors for construction of design-bid-build projects.
21
- 22 1.33 Private Utilities mean utility uses, excluding facilities owned and operated by the
23 CITY, whether approved or not through franchise agreements and/or Street Use Permits
24 by the CITY and governed and enforced through City Ordinance.
25
- 26 1.34 Procedures mean *Design Review, Construction Management, Inspection and*
27 *Record Drawing Procedures*, attached as Exhibit B to GCA 6486.
28
- 29 1.35 PROJECT means ; the part of the PROGRAM that replaces SR 99 from South
30 Royal Brougham Street to Roy Street and that consists of designing and constructing a
31 four-lane bored tunnel from South King Street to Thomas Street, north and south tunnel
32 portals and access streets, re-establishment of the City street grid in the vicinity of the
33 portals (*Battery Street Tunnel decommissioning and Alaskan Way Viaduct demolition*
34 *will be addressed in a future agreement*); and associated utility relocations. The
35 PROJECT description is attached as Exhibit A.
36
- 37 1.36 PROGRAM means all the projects, collectively, implemented by the STATE and
38 the CITY that remove and replace the AWV and seawall.
39
- 40 1.37 Program Property means all real property interests acquired and to be acquired by
41 the STATE for the PROGRAM.
42
- 43 1.38 Program Transfer Property means all Program Property identified by the STATE
44 and the CITY for transfer from the STATE to the CITY in fee simple.
45

- 1 1.39 Project Property means all real property interests acquired and to be acquired by
2 the STATE and used for the PROJECT.
3
- 4 1.40 Released for Construction Submittal (RFC Submittal) means in a Design-Build
5 Contract, plans and specifications for a given project element that are construction ready
6 and have been certified by the Design-Builder as having met all contract requirements
7 and received all approvals and permits. The Released for Construction Submittal
8 addresses all review comments from the Preliminary and Final Design Submittals.
9
- 10 1.41 Relocation Work means the removal or abandonment of Conflicting Facilities
11 maintenance of service for those facilities and the installation or reconstruction of
12 Conflicting Facilities to their permanent and final location.
13
- 14 1.42 Remediation means the same as Remedy or Remedial Action defined in MTCA,
15 which includes any action or expenditure consistent with the purposes of MTCA to
16 identify, eliminate, or minimize any threat or potential threat posed by Hazardous
17 Substances to human health or the environment including any investigative and
18 monitoring activities with respect to any release or threatened release of a Hazardous
19 Substance and any assessments to determine the risk or potential risk to human health or
20 the environment.
21
- 22 1.43 Round Table Meeting means a meeting typically held five (5) weeks following
23 the submittal of the 100% Plan Review Package to the CITY and STATE, and commonly
24 attended by the STATE's Project team and STATE reviewers to resolve and address
25 STATE comments on the 100% Plan Review Package.
26
- 27 1.44 SCL means Seattle City Light.
28
- 29 1.45 SCL Facilities means the electrical facilities impacted by, or constructed as part
30 of, the PROJECT that are owned or will be owned by the CITY.
31
- 32 1.46 SDOT means the Seattle Department of Transportation.
33
- 34 1.47 SDOT Facilities means the transportation facilities impacted by, or constructed as
35 part of, the PROJECT that are owned or will be owned by the CITY.
36
- 37 1.48 SPU means Seattle Public Utilities.
38
- 39 1.49 SPU Facilities means the water, drainage and wastewater facilities impacted by,
40 or constructed as part of, the PROJECT that are owned or will be owned by the CITY.
41
- 42 1.50 STATE means the Washington State Department of Transportation.
43
- 44 1.51 STATE Designated Representative means the STATE official listed in Section 25
45 of this Agreement.

1
2 1.52 STATE Project Engineer means the person appointed by the STATE to lead the
3 PROJECT during design and/or construction or his or her designee.

4
5 1.53 Street Use Permit means written authorization secured by the STATE from the
6 Director of SDOT for use of the CITY Street Right-of-Way pursuant to Title 15 of the
7 Seattle Municipal Code.

8
9 1.54 Surplus Property means Program Property, excluding Program Transfer Property
10 and other CITY Interest Property, that upon completion of the PROJECT has not been
11 designated as part of the limited access or non-limited access right-of-way of State Route
12 99.

13
14 1.55) Task Force means a group consisting of STATE, CITY, contractor, and other
15 stakeholder staff meeting regularly to review and reach decisions relating to a particular
16 subject, e.g., traffic, structures.

17
18 1.56 Task Order means a document executed by the PARTIES under this Agreement
19 authorizing work by one PARTY to be done on behalf of the other PARTY and that
20 defines the scope and the obligations of the PARTIES for the given element of work. All
21 terms and conditions of the Agreement shall apply to each Task Order.

22
23 1.57 UTILITY means City of Seattle Utility Departments, Seattle City Light and
24 Seattle Public Utilities.

25
26 1.58 WSDOT means Washington State Department of Transportation.

29 **2. GENERAL RESPONSIBILITIES**

30
31 2.1 The PARTIES shall manage risk, produce design and conduct construction in a
32 manner that maximizes cumulative public benefits and minimizes cumulative public costs
33 as mutually agreed to by the PARTIES.

34
35 2.2 This Agreement in conjunction with UT 01474 and UT 01476 is prepared by the
36 STATE and CITY, as provided in RCW 39.34.080, RCW 47.12.040 and other applicable
37 law, to govern relationships between the PARTIES and establish each PARTY's
38 responsibilities regarding the PROJECT.

39
40 2.3 The PARTIES understand that environmental review of the proposed PROJECT
41 is underway at the date of this Agreement and agree that only preliminary design work
42 and other work outlined in 23 CFR 636.109(b)(2) may proceed under this Agreement
43 prior to issuance of a Final SEPA/NEPA Environmental Impact Statement (FEIS) and
44 federal Record of Decision (ROD). If an alternative other than the Proposed Bored
45 Tunnel is selected, this Agreement will be terminated pursuant to the provisions of

1 Section 28 of this Agreement. If the Proposed Bored Tunnel is selected, the remaining
2 work under this Agreement other than preliminary design work may proceed no sooner
3 than after issuance of the ROD and only after WSDOT and the City Council each provide
4 notice to the other that it wishes to proceed with the Agreement. WSDOT will provide
5 Notice to Proceed 2, which authorizes final design and construction, to the Design
6 Builder only after issuance of the ROD.

7
8 2.4 The PARTIES shall work collaboratively to resolve issues in a manner that
9 endeavors to open the proposed bored tunnel to the public on schedule.

10
11 2.5 The design and construction of CITY Facilities, including repair, shall comply
12 with City Standards.

13
14 2.6 Each PARTY shall provide the funding and resources necessary to fulfill the
15 responsibility of that PARTY as established in this Agreement.

16
17 2.7 The PARTIES agree to work cooperatively with each other and make reasonable,
18 good faith efforts to timely and expeditiously complete the PROJECT, as provided in this
19 Agreement, including, but not limited to, the selection of a preferred SR 99 design
20 alternative, development of preliminary engineering and final design and construction. In
21 order to optimize design and minimize conflicts, the STATE shall coordinate design and
22 construction of the various contracts making up the PROJECT with design of subsequent
23 PROGRAM stages, and with construction of previous stages of the PROGRAM. The
24 STATE shall be prepared to modify design of the contracts making up the PROJECT, the
25 subsequent PROGRAM stage and/or previous stage if both PARTIES determine the
26 modifications are necessary and reasonable, to minimize design conflicts.

27
28 2.8 The STATE is responsible for designing and constructing the PROJECT except
29 for the CITY's responsibility to relocate Conflicting Facilities as provided in Section 2.10
30 of UT 01474 and UT 01476. The STATE is responsible for taking measures to minimize,
31 limit, and mitigate damage to private property and CITY Facilities that may result from
32 the PROJECT construction, including damage that may result from tunnel-induced
33 Deformation. The STATE is responsible for remedying at its cost such damage should it
34 occur.

35
36 2.9 The PARTIES agree that it is in the public interest for one PARTY to implement
37 portions of the other PARTY's PROJECT responsibilities. Therefore, this SDOT
38 Agreement establishes a Task Order process for use by a PARTY to authorize the other
39 PARTY to conduct work on its behalf and, as may be documented through each Task
40 Order, to agree to reimburse the other PARTY for such services.

41
42 2.10 The PARTIES agree that the STATE is responsible for funding the design and
43 construction of a re-located surface street within the Alaskan Way right-of-way from
44 South King Street to Pine Street, a new surface street from the intersection of Pine Street
45 and Alaskan Way to Battery Street connecting Alaskan Way to Elliot and Western

1 Avenues, the demolition of the existing Alaskan Way Viaduct, and Battery Street Tunnel
2 decommissioning. These rights-of-way and surface streets will be designed to serve all
3 anticipated users, including automobiles, transit, freight, bicycles and pedestrians. The
4 CITY and STATE will jointly perform the design and construction of the Viaduct
5 demolition. Additional details regarding of the funding, design, and construction
6 provisions for the street and Alaskan Way Viaduct demolition will be the subject of a
7 future agreement.
8

9 2.11 The PARTIES agree that the PROGRAM will not be complete until the elements
10 in Exhibit D are completed. The PARTIES agree that the current scope identified for
11 certain elements of the PROGRAM is reflected in Exhibit D. Future mutual agreement
12 of the PARTIES shall be required in order to reduce or substantially alter the scope
13 outlined in Exhibit D. WSDOT shall provide the City with quarterly updates regarding
14 the PROJECT and PROGRAM budget to ensure timely negotiation of scope issues.
15

16 2.12 The PARTIES recognize that the STATE proposes to toll the bored tunnel as part
17 of the PROJECT, if the tunnel is selected as the preferred alternative. The STATE agrees
18 to evaluate and work with the CITY (in advance of tolls being imposed, during toll
19 implementation, and for a mutually agreeable period thereafter) to identify mitigation
20 strategies for the effects that tolling may have with respect to diversion of vehicular
21 traffic from the PROJECT onto CITY Streets. The STATE agrees that such evaluation
22 and mitigation shall include effects on both vehicular traffic circulation on CITY streets
23 as well as effects on CITY's ability to achieve its "Complete Streets" policy goals
24 articulated in CITY's Resolution No. 30915, including but not limited to making CITY
25 streets function well for bicycles, pedestrians, freight, transit and automobiles. Exhibit E
26 contains the details of the Tolling Committee and is incorporated by reference herein.

27 **3. PROPERTY ACQUISITION AND TRANSFER; SURPLUS PROPERTY**

28 29 3.1 Acquisition

30
31 3.1.1 The STATE has or will acquire, at its expense, the Project Property.
32 CITY responsibility for acquisition of real property interests or other utility-related
33 property rights, if any, as set forth in Section 14.1 of UT 01474 and UT 01476.
34

35 3.1.2 The STATE is responsible, at its expense, for performance of all
36 appraisals, appraisal review, title review, surveys, property investigation, relocation
37 assistance and all other investigations and services in connection with the acquisition of
38 the Project Property. For each parcel of Program Transfer Property, the STATE shall
39 deliver to the CITY, as soon as practicable after a parcel is acquired and identified by the
40 PARTIES as Program Transfer Property, all documents created, commissioned or
41 received in connection with the STATE's acquisition of such parcel. Such documents
42 shall include, to the extent applicable, appraisals, appraisal reviews, title reports and all
43 documentation concerning title encumbrances, title policies, surveys, geotechnical
44 reports, purchase agreements, term sheets, options, leases, deeds, indemnities, and all
45 other documents and information created, commissioned or received by the STATE.

1
2 3.1.3 The STATE is responsible for identification and investigation of
3 Hazardous Substances on Program Property following procedures set in the WSDOT
4 *Environmental Procedures Manual M 31-11* and WSDOT *Right of Way Manual M 26-01*
5 that are in effect on the date of property acquisition. The STATE shall provide to
6 SDOT's Real Property and Environmental Manager, as soon as practicable after a parcel
7 is identified by the PARTIES as Program Transfer Property, copies of all documentation
8 of environmental investigation concerning the Program Transfer Property, remedial
9 actions, reports, studies or other documentation, whether received by or prepared by or
10 for the benefit of the STATE, including, but not limited to, (1) documents relating to due
11 diligence and/or all appropriate inquiry, environmental assessments, and remedial,
12 removal or cleanup activities related to the Program Transfer Property; (2) documents
13 relating to allegations, orders, claims, regulatory demands, or losses relating to the
14 alleged existence or migration of any Hazardous Substance from or on any parcel of
15 Program Transfer Property; and (3) any alleged violation of any Environmental Law or
16 other information relating to environmental condition of the Program Transfer Property.
17

18 3.2 Transfer.
19

20 3.2.1 Prior to the start of PROJECT construction, the STATE and the CITY
21 agree to enter into a separate written agreement governing transfer of Program
22 Transfer Property to the CITY. The agreement shall identify the Program
23 Transfer Property and provide that each transfer to the CITY shall be by quit
24 claim deed. The agreement shall also provide the following: timing of transfer,
25 condition of title, protection for utilities in the event of future sale, the definitions
26 of Hazardous Substance and Environmental Law contained in this SDOT
27 Agreement, and the following release and indemnification provision:
28

29 "The STATE hereby releases and indemnifies, protects and holds harmless the
30 City of Seattle and its officers, officials, employees, and agents working within
31 the scope of their employment from all liability and claims (including but not
32 limited to liability and claims for response and remediation costs, administrative
33 costs, fines, charges, penalties, attorney fees and cost recovery or similar actions
34 brought by a governmental or private party, including third party tort liability)
35 arising, directly or indirectly, from any presence or release of any Hazardous
36 Substance remaining within or transported from the real property in which an
37 interest is transferred."
38

39 The foregoing is not an exclusive list.
40

41 3.2.2 The PARTIES shall prepare and attach to the future agreement governing
42 transfer of Program Transfer Property and this SDOT Agreement an exhibit
43 containing a complete list of legal descriptions of the Program Transfer Property,
44 which may be created and amended as necessary by the PARTIES' Designated
45 Representatives without other approval by the PARTIES. A detailed property

1 description with map may be substituted for any legal description not yet
2 available at the time the PARTIES execute the future agreement governing
3 transfer of Program Transfer Property.
4

5 3.2.3 Whether or not any separate agreement or transfer document is made,
6 effective beginning on the date of transfer of each real property interest from the
7 STATE to the CITY in connection with the PROGRAM, the STATE shall release
8 and indemnify, protect and hold harmless the City of Seattle and its officers,
9 officials, employees, and agents working within the scope of their employment
10 from all liability and claims (including but not limited to liability and claims for
11 response and remediation costs, administrative costs, fines charges, penalties,
12 attorney fees and cost recovery or similar actions brought by a governmental or
13 private party, including third party tort liability) arising, directly or indirectly,
14 from any presence or release of any Hazardous Substance remaining within or
15 transported from the real property in which an interest is transferred.
16

17 3.3 Surplus Property. Prior to start of PROJECT construction, the STATE will
18 provide a preliminary list to the CITY of all properties that appear to be Surplus
19 Properties. Within two (2) years after final completion of the PROJECT, the STATE
20 shall initiate its disposal of all Surplus Property pursuant to the provisions of chapter
21 47.12 RCW and following the procedures in the WSDOT *Right of Way Manual M 26-*
22 *01.02*, dated August 2009, Chapter 11, Sections 11-7.1 – 11-7.4.2. Disposal includes any
23 of the disposal methods described in Chapter 11, Sections 11-7.1 – 11-7.4.2. The
24 timeline for the STATE's initiation of disposal of Surplus Property may be extended, if
25 necessary, by the PARTIES' Designated Representatives.
26

27 3.4 Survival. The obligations set forth in this Section 3 shall survive termination of
28 this SDOT Agreement unless otherwise expressly negotiated by the PARTIES and
29 memorialized by written amendment to this SDOT Agreement.
30

31 **4. TASK ORDERS, PAYMENT AND ADMINISTRATION**

32
33 4.1 Some or all of the work undertaken pursuant to this Agreement may be governed
34 by Task Orders. Task Orders shall be subject to the provisions of this Agreement.
35

36 4.1.1 Either PARTY may initiate a Task Order which will be jointly executed
37 by the PARTIES.
38

39 4.1.2 The PARTIES will prepare and execute Task Orders by contract package or
40 as otherwise agreed. All Task Orders shall be signed by the Designated
41 Representative of the initiating PARTY and deemed executed when counter-
42 signed by the Designated Representative of the other PARTY.
43

44 4.1.3 The general terms and conditions of this Agreement shall be applicable to
45 all Task Orders issued under this Agreement.

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4.1.4 The form of each Task Order shall substantially conform to the Task Order Template attached as Exhibit C. Each Task Order shall contain a general description and scope of work, a schedule for completion, an itemized estimate of costs for the work, a cash flow projection and any provisions specific to the scope of work.

4.1.5 Each PARTY shall designate a manager for each Task Order. The designated Task Order managers are deemed to have the authority to modify the scope, schedule, and budget of the Task Order within the parameters of this Agreement.

4.2 Payment

4.2.1 The PARTIES shall not be obligated to reimburse any expenditure in excess of the maximum amount stated in each Task Order, unless the PARTIES have agreed to such additional reimbursements and the Task Order has been amended to describe the additional work in excess of the budgeted scope of work. The initiating PARTY shall promptly notify the other PARTY in writing as soon as it is known when the maximum funding obligation will be reached and shall also specify in writing its position regarding any remaining work covered by a Task Order which it believes was contained within the budgeted scope of work. Should its estimated costs on any Task Order exceed the amount authorized, the PARTY performing the work under the Task Order shall promptly notify the other PARTY in writing and shall specify in writing its position regarding why the estimated cost will be or has been exceeded.

4.2.2 The PARTIES shall negotiate the total authorized amount for each Task Order. Reimbursement will not be made for activities that are not covered in a Task Order. The PARTIES will establish a budget contingency for the estimated cost of the work covered under each Task Order as a part of the cost estimate for that Task Order.

5. ENVIRONMENTAL REMEDIATION DURING CONSTRUCTION

5.1 STATE Responsibilities. For CITY Interest Property the STATE shall be responsible for identification, investigation and Remediation of Hazardous Substances found within the limits of the PROJECT during its environmental due diligence of the Project Property and shall identify areas of known Hazardous Substances in conjunction with the Plan Review Packages and Design Submittals circulated for CITY review. In addition, the STATE shall be responsible for identification, investigation and Remediation of Hazardous Substances discovered during construction at CITY Interest Property. For CITY Interest Property, provisions for Remediation of known Hazardous Substances, approved Remediation plans, and provisions for Remediation of Hazardous Substances discovered during construction shall be included in the Plan Review Packages

1 and Design Submittals circulated for CITY review. Nothing in this Agreement is
2 intended to alter the legal obligations of the STATE with respect to hazardous substances
3 that may remain in place after completion of the PROJECT except for release and
4 indemnity provisions of this Agreement.
5

6 5.2 Environmental Remediation will be in accordance with Environmental Law. At
7 CITY Interest Property, the STATE shall follow the Model Toxics Control Act (MTCA)
8 and associated procedures approved by the Washington State Department of Ecology for
9 Remedial Action, and the STATE shall undertake Remediation using environmental
10 professional judgment that achieves an overall effectiveness comparable to the substantial
11 equivalent of a Washington State Department of Ecology conducted or supervised
12 Remedial Action appropriate to the specific site conditions and contaminants with no
13 environmental restrictions or covenants unless agreed to by the CITY in writing. For
14 CITY Interest Property, the STATE is not obligated to implement public notification and
15 documentation procedures common to the substantial equivalent of a Washington State
16 Department of Ecology conducted or supervised Remedial Action.
17

18 5.3 At CITY Interest Property, the STATE shall not use soil found to exceed MTCA
19 Method A cleanup levels or that exhibits visual and/or olfactory indications of Hazardous
20 Substance as earth fill or trench backfill within the PROJECT. There shall be no
21 requirements or agreements affecting the CITY Street Right-of-Way or other CITY
22 Interest Property concerning ongoing monitoring of soil or groundwater relating to
23 Hazardous Substances unless agreed to by the CITY in writing prior to Remedial Action.
24

25 5.4 At or adjacent to CITY Interest Property, under certain circumstances, and in
26 consultation with the CITY, the STATE may conduct additional Remediation of
27 contaminated areas, including areas outside the limits of the PROJECT. These
28 circumstances may include, but are not limited to:
29

30 5.4.1 Instances in which Remediation may be necessary to prevent adverse
31 water quality impacts and/or to comply with other State and Federal permit
32 conditions;

33 5.4.2 Instances that in the judgment of the STATE Project Engineer require
34 immediate Remediation to protect public health and safety;

35 5.4.3 Where regulatory agencies with jurisdiction require additional
36 Remediation;

37 5.4.4 Where additional Remediation is necessary to prevent recontamination of
38 the limits of the PROJECT, address subsurface utility facilities located or planned
39 within or near the limits of the PROJECT or within the Project Property, or
40 address disturbance or exacerbation of existing contamination; and

41 5.4.5 Where additional Remediation is necessary to meet mutually acceptable
42 risk management standards in accordance with STATE and CITY protocols.
43

44 5.5 All work at CITY Interest Property shall comply with the then-current WSDOT
45 *Environmental Procedures Manual M 31-11* and *WSDOT Construction Manual M 41-*

1 01, Environmental Law, and all applicable CITY regulations except as modified by this
2 Agreement.
3
4 5.6 The STATE shall include the CITY in its ECAP when unanticipated
5 contamination is found within the limits of the PROJECT at or adjacent to CITY Interest
6 Property. Notification procedures will include notifying the CITY orally followed by
7 written notification.
8
9 5.7 The STATE's Project Engineer shall determine, in consultation with the CITY,
10 Remediation of known and unanticipated Hazardous Substances at or adjacent to CITY
11 Interest Property within the limits of the PROJECT. In instances where the CITY
12 disputes the STATE's plan(s) for Remediation in connection with CITY Interest
13 Property, the CITY and STATE will resolve the dispute through the dispute resolution
14 process in Section 23 of this Agreement.
15
16 5.8 The STATE shall prepare plans in consultation with the CITY for Remediation of
17 known and unanticipated Hazardous Substances in connection with the CITY Street
18 Right-of-Way and other CITY Interest Property, and shall obtain CITY concurrence prior
19 to implementing Remedial Actions there. In instances where the CITY finds the
20 STATE's plans for Remediation of these areas unacceptable, the CITY or STATE may
21 request resolution through the dispute resolution process in Section 23 of this Agreement.
22
23 5.9 Prior to the start of construction, and after the contractor has been selected, the
24 STATE shall initiate and host an environmental preconstruction meeting. The STATE
25 shall invite City of Seattle staff, STATE staff and the STATE contractor to discuss
26 known contamination, environmental procedures, environmental Remediation and permit
27 conditions that apply to CITY Interest Property in connection with the PROJECT.
28
29 5.10 The STATE shall obtain all required permits and approvals for Remediation at
30 CITY Interest Property, except for permits or approvals that this Agreement, UT 01474,
31 or UT 01476 otherwise obligates SPU or SCL to obtain for SPU or SCL Relocation
32 Work.
33
34 5.11 Remediation work at or adjacent to CITY Interest Property shall not proceed in
35 areas outside of the limits of the PROJECT unless the STATE has obtained written
36 permission of the property owner and appropriate permits to work on property that is not
37 part of the PROJECT. The STATE shall make reasonable efforts to obtain permission of
38 the property owner. The STATE may utilize the assistance of the State Department of
39 Ecology as provided in the MTCA regulations.
40
41 5.12 The STATE shall provide the CITY with copies of environmental close-out
42 reports for Remediation activities at CITY Interest Property.
43
44 5.13 All costs associated with testing, handling, storing, removing, transporting,
45 disposing, or treating Hazardous Substances that are excavated in connection with the

1 PROJECT relating to CITY Interest Property shall be paid by the STATE, with the
2 exception of such costs incurred during and directly caused by Relocation Work which SPU
3 or SCL is obligated to fund under the terms of this Agreement, UT 01474, or UT 01476. In
4 addition, STATE shall be responsible for all costs associated with Remediation of any
5 releases that are caused or exacerbated by its own employees or contractors. The STATE
6 shall be identified as the generator for these Hazardous Substances.
7

8 5.14 The CITY shall provide to the STATE all records regarding any known areas
9 where Hazardous Substances may be located at CITY Interest Property within the limits
10 of the PROJECT, including but not limited to environmental investigation reports for
11 properties located in the PROJECT. The reports shall be provided for the STATE's
12 information only, shall not be relied upon by the STATE, and the CITY's provision of
13 these records shall not constitute a representation or warranty as to the accuracy of the
14 information contained in the reports.
15

16 5.15 The STATE shall provide to the CITY all records regarding any known areas
17 where Hazardous Substances may be located at CITY Interest Property within the limits
18 of the PROJECT and Project Property, including but not limited to environmental
19 investigation reports for the Project Property. In addition, the STATE shall notify and
20 provide information to the CITY regarding any contamination encountered during
21 construction at or adjacent to CITY Interest Property. Reports provided by the STATE
22 are for information only, and shall not be relied upon by the CITY, and the STATE's
23 provision of these records shall not constitute a representation or warranty as to the
24 accuracy of the information contained in the reports.
25

26 5.16 The STATE shall release and indemnify, protect, defend and hold harmless the
27 City of Seattle and its officers, officials, employees, and agents, while acting within the
28 scope of their employment, from all liability and claims (including but not limited to
29 liability and claims for response and remediation costs, administrative costs, fines,
30 charges, penalties, attorney fees and cost recovery or similar actions brought by a
31 governmental or private party, including third party tort liability) arising, directly or
32 indirectly, from any of the following: (1) any presence or release of any Hazardous
33 Substance within or from the limits of the PROJECT, except for the presence of any
34 Hazardous Substance as of the effective date of this Agreement within the portion of real
35 property in which the City has a real property interest on that date or in which the City
36 later acquires a real property interest for the purposes of the Program from an entity other
37 than the STATE, and (2) the removal, transport or disposal in connection with the
38 PROJECT of any Hazardous Substance for which the STATE or any person, contractor
39 or other entity working on behalf of the STATE is a generator.
40

41 **6. PERMITTING AND RIGHT-OF-WAY USE**

42

43 6.1 The PARTIES shall apply for and obtain all necessary federal-, state- and CITY-
44 issued permits and approvals for the work for which they are responsible prior to
45 commencing work that requires such permits, including but not limited to all permits,

1 approvals or permission for exploratory investigations, testing, site preparations,
2 demolition and construction.

3
4 6.2 The CITY authorizes the STATE to use CITY Street Right-of-Way for the
5 PROJECT, subject to issuance and provisions of Street Use Permits and the conditions
6 contained in this Agreement. The STATE's use of CITY Street Right-of-Way shall
7 comply with the Seattle Municipal Code and all other applicable laws, including but not
8 limited to the Shoreline Management Act, the National Environmental Policy Act and the
9 State Environmental Policy Act.

10
11 6.3 The PARTIES agree that for the PROJECT, the PARTIES shall obtain Street Use
12 Permits prior to undertaking work in the CITY Street Right-of-Way. The CITY shall
13 provide for street use inspections pursuant to Title 15 of the Seattle Municipal Code, the
14 Street Use Permit, and this Agreement.

15
16 6.4 The PARTIES agree to apply the conditions of the Street Use Permits issued for
17 CITY Street Right-of-Way in connection with the PROJECT to PROJECT work outside
18 CITY Street Right-of-Way if that work has a surface component and either is or will
19 become CITY Street Right-of-Way or STATE right-of-way or Surplus Property upon
20 completion of the PROJECT.

21
22 6.5 The PARTIES agree to abide by and comply with all requirements and conditions
23 of the Street Use Permits. After a Street Use Permit is issued, the responsible PARTY
24 will obtain Letters of Plan Approval for any subsequent revisions for amendments to
25 design or to the Street Use Permit as set forth in the Procedures.

26
27 6.6 The Street Use Permits and Letters of Plan Approval are not a representation or
28 assurance that the design or plans comply with applicable laws, regulations, ordinances or
29 codes, nor shall the Street Use Permits or Letters of Plan Approval be construed to
30 authorize any failure to comply with any of the foregoing.

31
32 6.7 The PARTIES will jointly order the relocation of any and all Private Utilities
33 required for performance of the work on the PROJECT. The STATE shall manage the
34 timely relocation of the Private Utilities. The STATE shall require its construction
35 contractors to schedule and coordinate their activities with the relocation of Private
36 Utilities. The PARTIES agree to perform their obligations under this provision,
37 including, but not limited to, the CITY co-signing the relocation notices to the Private
38 Utility owners and the CITY joining the STATE as an additional plaintiff in any litigation
39 the STATE may need to pursue in order to require the Private Utilities to relocate. The
40 STATE shall indemnify the CITY pursuant to Section 19 of this Agreement.

41
42 6.8 The PARTIES agree to establish alternative CITY regulatory process cost
43 reimbursement in lieu of Use Fees as set forth in GCA 5739, Project Services Agreement
44 and future amendments, as described in Section 10 of this Agreement.

1 **7. DESIGN, PLAN REVIEW AND CHANGE MANAGEMENT**

2
3 7.1 The PARTIES agree to work cooperatively with each other and shall make
4 reasonable, good faith efforts to timely and expeditiously execute their respective roles
5 and responsibilities related to the design and plan review and permitting called for in this
6 Agreement.

7
8 7.2 This Agreement addresses design and plan review process for SDOT, SCL, and
9 SPU and the process for issuance of SDOT Street Use Permits; it does not address plan
10 review or permits issued by other departments of the City of Seattle.

11
12 7.3 Within the scope of this Agreement, the STATE agrees to consult with the CITY
13 with regard to planning, design and construction of the PROJECT. The scope of the
14 design and plan review by the CITY addressed by this Agreement is limited to the
15 following elements:

16 7.3.1 CITY Infrastructure.

17 7.3.2 PROJECT work to the extent that it alters or impacts the configuration,
18 condition or use of CITY property including CITY Facilities.

19 7.3.3 PROJECT work to the extent that it alters access to CITY Facilities.

20 7.3.4 PROJECT work in CITY Street Right-of-Way to the extent that it alters
21 or impacts private property in a manner relevant to SMC Title 15.

22 7.3.5 PROJECT urban design as established in Section 8.

23 7.3.6 The temporary or permanent use or operation of CITY Street Right-of-
24 Way for the PROJECT including maintenance of traffic.

25 7.3.7 Mitigation measures established by the STATE's review and
26 determination of PROJECT environmental impacts pursuant to state and City
27 environmental policy laws.

28 7.3.8 Private Utilities within CITY Street Right-of-Way.

29 7.3.9 Transit facilities within CITY Street Right-of-Way.

30 7.3.10 As provided in Section 5 of this Agreement, evidence of the STATE's
31 environmental remediation-related commitments.

32
33 7.4 The CITY will conduct reviews of all stages of design to ascertain that the design
34 of CITY Infrastructure and the design of PROJECT work and construction activity within
35 CITY Street Right-of-Way comply with City Standards.

36
37 7.5 The PARTIES agree to prepare PROJECT designs, Plan Review Packages, and
38 Design Submittals pursuant to the provisions established in this Agreement and the
39 Procedures.

40
41 7.6 The PARTIES shall mutually prepare PROJECT schedules that afford the
42 PARTIES adequate plan review and comment resolution periods sufficient to promote
43 the quality of design consistent with the provisions of this Agreement.

- 1 7.7 The STATE shall address all CITY plan review comments from each stage of
2 plan review and incorporate agreed comment resolution into subsequent plan review
3 submittals.
4
- 5 7.8 The PARTIES shall provide sufficient staff and resources for timely preparation
6 and review of the PROJECT designs.
7
- 8 7.9 The CITY shall not give direction to the STATE's consultants or contractors
9 during the design and review processes set forth in this Agreement and the Procedures.
10
- 11 7.10 Both PARTIES shall endeavor to identify and address issues as early as possible
12 during the design process.
13
- 14 7.11 The STATE shall obtain the CITY's design approval for all City Infrastructure,
15 and regulatory approval for PROJECT work within City Street Right-of-Way prior to
16 constructing such work.
17
- 18 7.12 Designs and construction provisions for CITY Infrastructure shall comply with
19 City Standards.
20
- 21 7.13 The PARTIES agree that design of CITY Infrastructure shall consider long-term
22 operation and maintenance costs and requirements, and minimize potential interruptions
23 and disruptions to CITY UTILITY customers.
24
- 25 7.14 The STATE shall obtain the CITY's approval prior to incorporating any
26 deviations from City Standards into the design or construction of all CITY Infrastructure
27 and CITY Facilities work.
28
- 29 7.15 The PARTIES agree that Approved Plans or Released for Construction Submittal
30 for each component of the PROJECT shall be stamped by an engineer of record
31 representing the PARTY preparing the Approved Plans pursuant to the requirements of
32 state law.
33
- 34 7.16 The PARTIES shall first obtain the review and concurrence of the CITY prior to
35 making or implementing revisions or deviations from the Approved Plans for any such
36 revisions or deviations pertaining to elements listed in Section 7.3 of this Agreement.
37
- 38 7.17 The PARTIES acknowledge that the STATE may request the CITY to operate
39 and maintain certain STATE-owned PROJECT facilities as may be established by
40 separate agreement. The CITY shall, at the request of the STATE, review the design of
41 such facilities to determine the compatibility of the design with the CITY's existing
42 operational capabilities, standard practices, equipment and other resources required to
43 operate and maintain such facilities.
44
45

1 **8. URBAN DESIGN**

2
3 8.1 The STATE and CITY agree to work together to develop standards that will
4 promote appropriate urban and architectural design of the PROJECT.
5

6 8.2 The STATE and CITY have prepared the Bored Tunnel Design Goals and
7 Objectives which were submitted to the Seattle Design Commission on January 21, 2010,
8 Building Design Principles, which were submitted to the Seattle Design Commission on
9 February 18, 2010, and Project Guiding Principles for the Portal Areas, which were
10 submitted to the Seattle Design Commission on March 18, 2010.
11

12 8.3 The STATE and CITY have developed Portal Area Design Guidelines based on
13 these Bored Tunnel Design Goals and Objectives and Guiding Principles. The Portal
14 Area Design Guidelines include:

15 8.3.1 Functional highway, surface street and development configurations,

16 8.3.2 Landscaping concepts,

17 8.3.3 Architectural and urban design concepts for walls, bridges and tunnel
18 portals,

19 8.3.4 Design guidance for highway appurtenances (i.e., barrier type, light
20 standards, sign support types, etc.),

21 8.3.5 Conceptual designs for city streets, including sidewalks and plazas; and
22 bicycle/pedestrian trails.
23

24 The Portal Area Design Guidelines were submitted to the Seattle Design Commission for
25 review and comment. The final Portal Area Design Guidelines will be subject to final
26 approval by SDOT. The Portal Area Design Guidelines will be used as the basis for the
27 PROJECT design. The STATE agrees to develop a final design substantially in
28 conformance with the Portal Area Design Guidelines.
29

30 8.4 The STATE has prepared Building Architectural Design Guidelines for the tunnel
31 operations buildings based on the Building Design Principals. The tunnel operations
32 buildings are physically part of and integrally related to the operation of the bored tunnel.
33 The Building Architectural Design Guidelines were submitted to the Seattle Design
34 Commission for review and comment. The final Building Architectural Design
35 Guidelines will be subject to final approval by the SDOT. The Building Architectural
36 Design Guidelines will be used as the basis for the PROJECT design. The STATE agrees
37 to develop a final design substantially in conformance with the Building Architectural
38 Design Guidelines.
39

40 8.5 The STATE agrees to create an Urban Design Task Force for the PROGRAM.
41 The Urban Design Task Force shall include CITY, STATE and contractor
42 representatives. This Urban Design Task Force will endeavor to resolve urban design
43 and architectural issues.
44

- 1 8.6 The following items shall be presented to the Seattle Design Commission (SDC)
2 in accordance with Chapter 3.58 of the Seattle Municipal Code:
3 8.6.1 Preliminary and final tunnel operations building designs that include
4 building blocking, stacking, façade treatments, façade materials and elevations
5 shall be prepared in accordance with the Building Architectural Design
6 Guidelines.
7 8.6.2 For areas within the design-build contract, preliminary and final portal
8 area designs prepared in accordance with the Portal Area Design Guidelines.
9 8.6.3 For areas outside the design/build contract, 30%, 60% and 90% portal area
10 design plans prepared in accordance with the Portal Area Design Guidelines.
11
- 12 8.7 The STATE shall endeavor to develop Tunnel Operations Building and Portal
13 Area designs that incorporate SDC recommendations. The CITY shall verify the
14 STATE's incorporation of SDC recommendations through the CITY review processes set
15 forth in Section 7 in this Agreement.
16
- 17 8.8 Urban design issues lacking mutual agreement by the PARTIES will be referred
18 to dispute resolution as provided in Section 23 of this Agreement.
19

20 9. SCHEDULE

- 21
- 22 9.1 The PARTIES will work together to develop schedule(s) for PROJECT work
23 performed by the STATE or CITY.
24
- 25 9.2 The STATE will be responsible for developing and updating its PROJECT
26 schedule(s) that identifies milestones for performing the work associated with the
27 PROJECT with CITY input.
28

29 10. FUNDING AND COMPENSATION

- 30
- 31 10.1 The STATE shall provide necessary funding for all PROJECT costs as referenced
32 in this Agreement without reimbursement from the City of Seattle, except for the CITY
33 cost responsibilities established in this Agreement, in SCL Agreement UT01476, and in
34 SPU Agreement UT 01474.
35
- 36 10.1.1 The STATE will reimburse SDOT for Project Services through the
37 process provided for in Agreement GCA 5739, entitled Project Services
38 Agreement for State Route 99 Alaskan Way Viaduct and Seawall Replacement
39 Program and SR 519/I-90 Intermodal Access Project – I/C Improvements
40 (“Project Services Agreement”), and as amended by the PARTIES to modify the
41 process for the STATE's reimbursement of the CITY services and to extend the
42 duration of the Project Services Agreement.
43
- 44 10.1.2 The categories of services that may be provided by the CITY are:
45 project management, project controls and coordination, design review and

1 consultation, permit development and coordination, right of way services, and
2 services to support construction activities.

3
4 10.2 By entering into this Agreement, the CITY is not waiving its position that the
5 CITY and/or its citizens and property owners cannot be held responsible for any or all
6 cost overruns related to the portions of the PROJECT for which the STATE is
7 responsible.

8
9 **11. PARTICIPATION BY DISADVANTAGED BUSINESS ENTERPRISES**

10
11 11.1 The STATE and the CITY agree that it is good public policy to utilize the
12 services of Disadvantaged Business Enterprises in the construction of public works
13 projects, to the fullest extent permitted by law.

14
15 11.2 In furtherance of the foregoing public policy, the STATE agrees to include
16 Disadvantaged Business Enterprise (DBE) provisions in its construction contracts to the
17 extent required by federal law for projects associated with this Agreement.

18
19 **12. MONITORING AND DEFORMATION MITIGATION**

20
21 12.1 The STATE agrees to assess potential impacts of Deformation on private property
22 and CITY Facilities. Where the CITY has established deformation criteria for its
23 Facilities, the criteria will be used in the STATE'S analysis. Otherwise, criteria will be
24 derived using accepted engineering practice and shall be mutually agreed upon by the
25 CITY and STATE.

26
27 12.2 The CITY shall review the STATE's estimate of susceptibility or vulnerability of
28 CITY Facilities to Deformation and provide comments and input. Such input shall be
29 provided to assist the STATE only, and shall not be interpreted as waiving or limiting in
30 any way the STATE's responsibility for Deformation Mitigation Work as defined in UT
31 01474 and UT 01476.

32
33 12.3 The STATE agrees to develop a preliminary plan for Deformation mitigation.
34 PARTIES will work collaboratively to finalize and implement the Deformation
35 Mitigation Work as defined in UT 01474 and UT 01476. The CITY's input shall be
36 provided to assist the STATE only, and shall not be interpreted as waiving or limiting in
37 any way the STATE's responsibility for Deformation.

38
39 12.4 The STATE agrees to design and implement a comprehensive instrumentation
40 and monitoring program for open cut, cut-and-cover, and tunnel construction including
41 pre- and post-construction condition surveys and development of an action plan for
42 mitigating impacts of Deformation.

43
44 12.5 The STATE agrees to implement a construction monitoring Task Force
45 responsible for the planning and implementation of the instrumentation and monitoring

1 program and processing data, evaluating results, and developing recommendations to
2 mitigate Deformation. The construction monitoring Task Force has authority to direct
3 rapid and effective changes in construction to achieve Deformation mitigation.
4

5 12.6 The CITY shall advise the STATE and participate in construction monitoring and
6 Deformation management activities when these activities pertain to CITY Facilities. The
7 CITY shall provide the STATE all necessary access to CITY Facilities for the purposes
8 of design or implementation of mitigation measures. The CITY may perform mitigation
9 measures on behalf of the STATE in a manner and schedule that supports the STATE's
10 project requirements. The CITY's advice, participation, and access shall be provided to
11 assist the STATE, and shall not be interpreted as waiving or limiting in any way the
12 STATE's responsibility for Deformation.
13

14 **13. MAINTENANCE OF TRAFFIC**

15

16 13.1 The PARTIES agree that it is the goal of this PROJECT to maintain local
17 motorized and non-motorized traffic in safe corridors through the PROJECT area while
18 minimizing impact to the existing street system. To achieve this goal, the PARTIES shall
19 formulate plans to maintain traffic flow during construction of the PROJECT and shall
20 comply with Approved Plans and conditions of the Street Use Permits.
21

22 13.2 The PARTIES agree to develop an outreach plan specifically focused on
23 maintenance-of-traffic issues. This outreach plan will provide for eliciting input from
24 affected stakeholders in the vicinity of the PROJECT. Affected stakeholders shall be
25 determined by the PARTIES.
26

27 13.3 The STATE agrees to create a maintenance-of-traffic (MOT) Task Force for the
28 PROGRAM. The CITY agrees to be an active member on the MOT Task Force.
29

30 13.4 The CITY agrees be a participant in all planning for haul routes, and all haul route
31 traffic shall be regulated pursuant to the Street Use Permit and the provisions of this
32 Agreement. Haul routes and times shall be approved by the CITY prior to the
33 commencement of hauling, and all haul routes shall be along arterial streets designated as
34 major truck streets and must comply with downtown traffic control zone restrictions as
35 defined by the Seattle Municipal Code and implementing regulations.
36

37 **14. CONSTRUCTION MANAGEMENT, INSPECTION, AND CONTRACT** 38 **ADMINISTRATION**

39

40 14.1 It is anticipated that the STATE will develop and issue multiple construction
41 contracts to fulfill its PROJECT responsibilities. The STATE's construction contracts
42 will be conducted in accordance with current Washington State Department of
43 Transportation contracting practices.
44

1 14.2 The STATE shall act as the sole authority in the administration of the STATE
2 construction contracts. The STATE shall allow the CITY to consult with and make
3 inquiries of the STATE Project Engineer or designee, attend meetings, and have access to
4 all documentation concerning those portions of the PROJECT subject to CITY review as
5 described in Section 7.3 of this Agreement. The CITY shall not provide direction,
6 directly or indirectly, to the STATE's consultant(s) or contractors. Except in the
7 instances listed below, the CITY shall direct all communications to the STATE's Project
8 Engineer or designee, including communications regarding compliance with Street Use
9 Permits, quality of construction, and contractor performance.

10
11 14.3 The STATE will manage any requests from the CITY that have contractual or
12 scope-of-work impacts and will coordinate responses. The CITY may communicate with
13 STATE's consultants or contractors (1) where authorized to do so by the STATE's
14 Designated Representative; (2) to arrange for regulatory permitting and inspections made
15 pursuant to permits issued by the CITY other than Street Use Permits, e.g. electrical
16 permits or other permits obtained from the CITY by the consultant or contractor; and (3)
17 for the Street Use Permits, if necessary because of a threat to health or safety.

18
19 14.4 The CITY will provide qualified staff and consultants during construction. CITY
20 staff and consultants will communicate with the STATE Project Engineer or designee in
21 evaluating the conformity of CITY Infrastructure with the Approved Plans or Released-
22 for-Construction Submittal and will immediately notify the STATE Project Engineer or
23 designee of any compliance issues. Notwithstanding any act or omission by the CITY
24 pursuant to this subsection, the STATE shall not be relieved of any of its authority over,
25 and responsibility for, the PROJECT, as provided for in Section 14.2 of this Agreement
26 or elsewhere in this Agreement.

27
28 14.5 The PARTIES agree to follow the Procedures. The PARTIES may amend the
29 Procedures by written mutual agreement executed by the PARTIES' Designated
30 Representatives without other approval by the PARTIES.

31 32 **15. FINAL INSPECTION AND PROJECT ACCEPTANCE**

33
34 15.1 The PARTIES agree to follow the Procedures. The PARTIES may amend the
35 Procedures by written mutual agreement executed by the PARTIES' Designated
36 Representatives without other approval by the PARTIES.

37
38 15.2 Following the satisfactory completion of the pre-final and final inspection
39 processes described in the Procedures, the CITY shall submit a written response notifying
40 the STATE that CITY Infrastructure has been constructed in accordance with the
41 Approved Plans or Released-for-Construction Submittal.

42
43 15.3 The CITY agrees, upon satisfactory completion of the PROJECT work
44 successfully placing City Infrastructure into operation, transfer and acceptance of any real
45 property on or in which CITY Infrastructure is located, and receipt from the STATE of

1 one color set of the Red-Line Plans, pursuant to Section 16, to deliver a Letter of
2 Acceptance, subject to any Defective Work, damage or contractor claims caused by the
3 negligent acts or omissions of the STATE.
4

5 15.4 The PARTIES will execute one Letter of Acceptance for each contract unless
6 both PARTIES agree to phase CITY Infrastructure acceptance by those geographic areas
7 or select portions of the PROJECT in which the STATE has completed all PROJECT
8 work and has satisfied the requirements of Section 15.3. Roadway restoration will not be
9 considered to be complete until all roadways are fully open to public vehicular and
10 pedestrian use.
11

12 15.5 In instances where portions of CITY Infrastructure must be placed into the
13 CITY's use and operation prior to the execution of the Letter of Acceptance, and after the
14 CITY has determined that these portions of CITY Infrastructure meet with the minimum
15 inspection and testing requirements necessary for placing the CITY Infrastructure into
16 use, the CITY will notify the STATE in writing that it is assuming responsibility for and
17 cost of the interim use and operation of the CITY Infrastructure until the terms of Section
18 15.3 are satisfied and the PARTIES execute the Letter of Acceptance.
19

20 **16. RED-LINES AND RECORD DRAWINGS**

21

22 16.1 Each PARTY is responsible for preparing construction records for the portions of
23 PROJECT work for which it is responsible under this Agreement. Except as otherwise
24 established in this Agreement, the STATE shall document construction in general
25 conformance with WSDOT's *Construction Manual*, WSDOT manual M4-01 for
26 PROJECT work that the STATE constructs including work performed on behalf of the
27 CITY through a Task Order.
28

29 16.2 The STATE agrees to record the constructed configuration of PROJECT work
30 that deviates from the Approved Plans as further established in the Procedures. This
31 record shall be referred to as the red-line plans.
32

33 16.3 The STATE may choose to delegate preparation and maintenance of the red-line
34 plans to its construction contractors. However, the STATE remains responsible for the
35 quality, condition and completion of red-line plans. If the STATE chooses to delegate
36 these responsibilities, the STATE's construction contracts shall require contractors to
37 provide the STATE and the CITY access to the red-line plans during the working hours
38 established in the STATE contract.
39

40 16.4 Each PARTY shall prepare digital drawings showing the constructed
41 configuration of the PROJECT work for which it is responsible under this Agreement
42 (record drawings). Each PARTY shall provide the other PARTY with the record
43 drawings for the portions of PROJECT work for which that PARTY is responsible under
44 this Agreement within six (6) months after the PARTIES execute a Letter of Acceptance.
45 The PARTIES shall prepare Record Drawings in conformance with the Procedures.

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17. WARRANTIES

Warranty of Work

17.1 The STATE warrants for a minimum period of twelve (12) months that all CITY Infrastructure being accepted by the CITY for ownership, operation and maintenance: (1) meets with the requirements of the Approved Plans, and all CITY-approved modifications to the Approved Plans made during the course of construction; (2) is constructed in accordance with CITY-issued permits; (3) is free of defects in material and workmanship; and (4) is free of defects in design(s). The warranty of work shall apply to any corrective work required to address non-conforming and Defective Work that is discovered and communicated by the CITY to the STATE within the warranty period. The STATE's warranty of work shall begin following the execution of the Letter of Acceptance of CITY Infrastructure or as otherwise provided in the STATE's contract, whichever occurs later.

17.2 If within the warranty of work period, the CITY discovers and gives written notice to the STATE of non-conforming or Defective Work in the accepted CITY Infrastructure, the STATE shall promptly investigate the work the CITY believes is non-conforming or defective. The STATE shall promptly remedy non-conforming or Defective Work. Disagreements between the CITY and the STATE on what constitutes non-conforming or Defective Work shall be resolved using the dispute resolution process established in Section 23 of this Agreement. The STATE shall diligently prosecute the corrective work and shall procure materials using the fastest means available as necessary to minimize the loss of use and operation of the accepted CITY Infrastructure. Corrective work shall be completed within the time frame specified by the CITY and mutually agreed upon by the STATE.

17.3 If, during construction, the CITY encounters an emergency situation caused by non-conforming or Defective Work, it must immediately notify the STATE. The STATE will take immediate corrective action. If, after the warranty period begins, the CITY encounters an emergency situation caused by non-conforming or Defective Work, it may immediately correct it. Direct and indirect costs incurred by the CITY, attributable to correcting an emergency situation associated with non-conforming or Defective Work, shall be paid by the STATE to the CITY.

Transfer of Title and Warranty of Title

17.4 All right and title to the CITY Infrastructure accepted by the CITY will be transferred by the STATE to the CITY as of the date of the STATE's signature acknowledging the CITY's Letter of Acceptance pursuant to the provisions of Section 15. Neither the STATE nor its contractors shall hold a property right in any of the CITY Infrastructure accepted by the CITY for ownership, including the materials and equipment comprising the CITY Infrastructure.

1 17.5 The STATE shall warrant good and merchantable title to all materials, supplies,
2 equipment and items installed or incorporated into the accepted CITY Infrastructure. The
3 STATE shall further warrant that all CITY Infrastructure transferred to, and accepted by,
4 the CITY is free from claims, liens and charges.
5

6 **Manufacturers' Warranties**

7

8 17.6 The STATE shall provide to the CITY all manufacturers' and suppliers'
9 guarantees and warranties furnished to the STATE's contractor as a customary trade
10 practice in connection with the contractor's purchase of any equipment, materials, or
11 items incorporated into the CITY Infrastructure. The STATE shall further warrant that it
12 has the right to transfer such warranties and guarantees furnished to the STATE through
13 its construction contract to the CITY and that such transfer shall not adversely affect such
14 warranties and guarantees. These guarantees and warranties shall not relieve the STATE
15 from its obligations under warranty of work.
16

17 **Warranty Inspections**

18

19 17.7 During the warranty period, the CITY shall have the right to inspect the accepted
20 CITY Infrastructure for non-conforming and Defective Work, and will promptly report
21 any such work to the STATE for remedy through corrective work. The CITY shall bear
22 the cost of these inspections.
23

24 **18. PUBLIC OUTREACH**

25

26 18.1 The STATE agrees to lead and manage the public outreach effort for the
27 PROJECT. In recognition of the CITY's experience in working with the Seattle
28 community, the STATE will solicit CITY input and work with the CITY in public
29 outreach activities. The STATE will not publicly distribute outreach information,
30 planning materials and documents without first soliciting the CITY's review. However,
31 the STATE shall be free to comply with any public records request received under
32 Chapter 42.56 RCW for such materials, provided that prior to releasing any sensitive or
33 confidential material, the STATE shall first provide written notice to the CITY in
34 accordance with Section 27 of this Agreement and provisions in UT 01474 and UT
35 01476.
36

37 **19. RISK ALLOCATION**

38

39 **19.1 Limits of Liability**

40

41 19.1.1 No CITY Liability for Assistance, Inspection, Review, or Approvals. The
42 review or approval of any of the STATE's PROJECT plans or specifications, or the
43 inspection of the STATE's work, or any assistance provided to the STATE by the CITY
44 is for the CITY's sole benefit and shall not constitute an opinion or representation by the
45 CITY as to any compliance with any law, ordinance, rule, or regulation or any adequacy

1 for other than the CITY's own purposes; and such assistance, inspection, review or
2 approval shall not create or form the basis of any liability on the part of the CITY or any
3 of its officials, officers, employees, or agents for any injury, damage, or other liability
4 resulting from, or relating to, any inadequacy, error, or omission therein or any failure to
5 comply with applicable law, ordinance, rule, or regulation; and such assistance,
6 inspection, review, or approval shall not relieve the STATE of any of its obligations
7 under this Agreement, the SCL Agreement, UT 01476, and the SPU Agreement, UT
8 01474 or under applicable law.

9 19.1.2 No CITY Liability for Delay, Consequential, or Liquidated Damages. The
10 CITY shall not be liable in damages for any failure to act within any time limits
11 established by law or for any other delay to the STATE or the STATE's contractors, nor
12 shall the CITY have any liability for consequential or liquidated damages, and, to the
13 maximum extent allowed by law, the STATE shall protect, defend, indemnify, and save
14 harmless the CITY, and its officials, officers, employees, and agents, from any and all
15 costs, claims, demands, judgments, damages, or liability of any kind caused by, resulting
16 from, relating to, or connected to delays. The PARTIES agree that this Agreement, the
17 SCL Agreement, UT 01476, and the SPU Agreement, UT 01474, are not to be construed
18 as being construction agreements.

19 19.1.3 No CITY Liability for Third Party Claims of Diminution in Value of
20 Property. The CITY shall not be liable in damages for any third party claims alleging
21 diminution in value of property, including, but not limited to, claims of elimination or
22 impairment of rights to light and air and quiet enjoyment, or alleging a taking of property
23 rights, nor shall the CITY have any liability for related consequential or liquidated
24 damages, and, to the maximum extent allowed by law, the STATE shall protect, defend,
25 indemnify, and save harmless the CITY, and its officials, officers, employees, and agents,
26 from any and all costs, claims, demands, judgments, damages, or liability of any kind
27 caused by, resulting from, relating to, or connected to the third party claims of diminution
28 in value of property arising out of the PROJECT.

29 19.1.4 STATE Contractor's Bonds. The STATE shall require its construction
30 contractors to provide performance bonds to the STATE and to maintain those bonds at
31 all times pertinent to the respective contractor's obligations under its contracts—Such
32 bonds shall be executed by an approved Surety that is registered with the Washington
33 State Insurance Commissioner, and that appears on the current Authorized Insurance List
34 in the State of Washington published by the Office of the Insurance Commissioner, and
35 that shall be conditioned upon the faithful performance of the contract by the contractor.
36 The STATE shall ensure faithful completion of the PROJECT by use of the STATE's
37 contractor bonds or other means, and in the event any claim for payment is presented to
38 the CITY for any PROJECT work, the STATE upon timely notice and investigation,
39 resulting in STATE responsibility under this Agreement, the SCL Agreement, UT 01476,
40 or the SPU Agreement, UT 01474 shall promptly pay such claim.

41

1 19.2 General Indemnification.

2 19.2.1 Indemnity. To the extent permitted by law, the STATE shall protect,
3 defend, indemnify, and save harmless the City of Seattle and its officers, officials,
4 employees, and agents, while acting within the scope of their employment, from any and
5 all costs, claims, demands, judgments, damages, or liability of any kind, including
6 injuries to persons or damages to property, that arise out of, or in any way result from, or
7 are connected to, or are due to any acts or omissions, or intentional misconduct, of the
8 STATE or the STATE's contractors, consultants, or agents including any and all claims
9 and litigation arising out of, or resulting from, any state or federal environmental review
10 process in any way relating to the PROJECT, and including any private utility relocations
11 required for the STATE's PROJECT work. The STATE's obligations under this
12 paragraph also extend to claims asserted by third PARTIES against the City of Seattle
13 arising out of, or in any way resulting from NEPA or SEPA compliance related to
14 portions of the CITY's Mercer Corridor Project West Phase reviewed in the 2010 AWW
15 Replacement Supplemental Draft Environmental Impact Statement. The STATE's
16 obligations under this paragraph also extend to claims asserted by third PARTIES against
17 the City of Seattle arising out of, or in any way resulting from, any state or federal
18 environmental review process in any way related to the PROJECT, removal of the
19 Alaskan Way Viaduct and Battery Street Tunnel decommissioning, and all of the
20 foregoing protection, defense, indemnity and hold harmless obligations shall extend to
21 claims asserted by state agencies other than the Washington State Department of
22 Transportation.

23 19.2.2 The STATE further agrees that the City of Seattle shall have no liability
24 to the STATE that in any way arises out of the City of Seattle's decision making
25 processes in agreeing to go forward with the PROJECT. The STATE shall not be
26 required to indemnify, defend, or save harmless the City of Seattle if the claim, suit, or
27 action for injuries, death, or damages is caused by the sole negligence of the City of
28 Seattle. Where such claims, suits, or actions result from the concurrent negligence of the
29 PARTIES, the indemnity provisions provided herein shall be valid and enforceable only
30 to the extent of the STATE's own negligence. In the event of any claims, demands,
31 actions, or lawsuits, the STATE upon notice from the City of Seattle, shall assume all
32 costs of defense thereof, including legal fees incurred by the City of Seattle, and of all
33 resulting judgments that may be obtained against the City of Seattle, to the extent of the
34 STATE's liability. In the event that the City of Seattle incurs attorneys' fees, costs, or
35 other legal expenses to enforce the indemnity provisions of this Agreement, the SCL
36 Agreement UT 01476, or the SPU Agreement, UT 01474, all such fees, costs, and
37 expenses shall be recoverable by the City of Seattle. Environmental protection and
38 indemnification, as provided elsewhere in this Agreement, shall be in addition to the
39 foregoing general indemnification.

40 19.2.3 Indemnity. To the extent permitted by law, the City of Seattle shall
41 protect, defend, indemnify, and save harmless the STATE and its officers, officials,
42 employees, and agents, while acting within the scope of their employment, from any and
43 all costs, claims, demands, judgments, damages, or liability of any kind, including

1 injuries to persons or damages to property, that arise out of, or in any way result from, or
2 are connected to, or are due to any acts or omissions, or intentional misconduct, of the
3 City of Seattle or the City of Seattle's contractors, consultants, or agents. The City of
4 Seattle shall not be required to indemnify, defend, or save harmless the STATE if the
5 claim, suit, or action for injuries, death, or damages is caused by the sole negligence of
6 the STATE. Where such claims, suits, or actions result from the concurrent negligence
7 of the PARTIES, the indemnity provisions provided herein shall be valid and enforceable
8 only to the extent of the City of Seattle's own negligence. In the event of any claims,
9 demands, actions, or lawsuits, the City of Seattle upon notice from the STATE, shall
10 assume all costs of defense thereof, including legal fees incurred by the STATE, and of
11 all resulting judgments that may be obtained against the STATE, to the extent of the City
12 of Seattle's liability. In the event that the STATE incurs attorneys' fees, costs, or other
13 legal expenses to enforce the indemnity provisions of this Agreement, the SCL
14 Agreement, UT 01476, and the SPU Agreement, UT 01474, all such fees, costs, and
15 expenses shall be recoverable by the STATE.

16 19.2.4 Title 51 RCW. Solely with respect to claims for indemnification under
17 this Agreement, including environmental indemnification, the STATE and the City of
18 Seattle waive, as to each other only, and expressly not for the benefit of their employees
19 or third parties, their immunity under Title 51 RCW, the Industrial Insurance Act, and
20 acknowledge that this waiver has been mutually negotiated by the PARTIES. The
21 STATE and the City of Seattle agree that their respective indemnity obligations extend to
22 any claim, demand, or cause of action brought by, or on behalf of, any of their respective
23 employees or agents. The STATE agrees that in the event that any employee or agent of
24 the STATE's contractors, subcontractors, consultants, or agents asserts a claim against
25 the City of Seattle, the STATE waives any right it may have to assert its Title 51
26 immunity as a defense against a City of Seattle claim to the STATE that otherwise would
27 be covered by the STATE's indemnity obligations to the City of Seattle.

28 19.2.5 Survival of Indemnification Obligations. Any liability of the STATE or
29 the City of Seattle arising under any indemnity provision of this Agreement shall survive
30 termination of this Agreement, whether or not any claim giving rise to such liability shall
31 have accrued.

32 20. INSURANCE

33
34 20.1 The STATE shall require in writing that the STATE's contractors, and each of
35 their sub-contractors of any tier where not covered by contractor provided insurance,
36 include "The City of Seattle" as an additional insured for primary and non-contributory
37 limits of liability for Commercial General Liability, Commercial Automobile Liability
38 and (if required) Contractor's Pollution Liability as established in the construction
39 contract documents, including Products and Completed Operations coverage following
40 the completion of each PROJECT stage.

41
42 20.2 Insurance specifications for the design-build portion of the PROJECT are
43 contained in Article 20 of the Proposed Bored Tunnel Design Build Contract (Insurance).

1
2 20.3 STATE standard insurance specification in Section 1-07.18 (Public Liability and
3 Property Damage Insurance, applicable to the design-bid-build construction contract
4 documents protecting both the STATE and the CITY for any design-bid-build portions of
5 the PROJECT, shall be amended for coverages, minimum limits of liability and/or terms
6 and conditions as may be mutually agreed upon by the STATE and CITY.

7
8 20.4 The STATE's contractors and subcontractors of any tier shall cause certification
9 of insurance meeting the requirements herein to be issued to "The City of Seattle, Risk
10 Management Division, P.O. Box 94669, Seattle, WA 98124-4669." Such certification
11 shall not be mailed, but shall be delivered electronically to fax number (206) 470-1279 or
12 as an e-mail attachment in PDF format to riskmanagement@seattle.gov.

13 14 **21. THIRD PARTY BENEFICIARY**

15
16 21.1 The STATE shall require the STATE's contractors, consultants, and designers
17 and each of their subcontractors to perform the STATE's work contemplated by this
18 Agreement, the SCL Agreement, UT 01476, and the SPU Agreement, UT 01474 at no
19 cost to the City of Seattle; and because a portion of the PROJECT will be conducted on
20 CITY Street Right-of-Way and on or for the benefit of the City of Seattle, the contracts
21 between the STATE and its contractors, consultants, and designers will include the
22 following requirements:

23
24 (1) With respect to any and all of the City of Seattle's interests, including, but
25 not limited to, excavation, restoration, and traffic control responsibilities of
26 the STATE, the STATE and the contractor will acknowledge that the City of
27 Seattle is an intended third party beneficiary of the contracts; (2) the STATE
28 and the contractor will include the City of Seattle as a named third party
29 beneficiary of the STATE's contracts; and (3) the STATE and the contractor
30 will include the City of Seattle in the indemnification and insurance
31 provisions contained in the STATE's contracts. The STATE and CITY do not
32 intend that this paragraph be interpreted to create any obligation, liability, or
33 benefit to any third party, other than the STATE and the City of Seattle for
34 purposes of design and construction of the PROJECT as described in this
35 Agreement, the SCL Agreement, UT 01476, and the SPU Agreement, UT
36 01474.

37 38 **22. LIENS**

39
40 22.1 In the event that any City of Seattle-owned property interest becomes subject to
41 any claims for mechanics', artisans' or materialmen's liens, or other encumbrances
42 chargeable to, or through, the STATE that the STATE does not contest in good faith, the
43 STATE shall cause such lien, claim, or encumbrance to be discharged or released of
44 record (by payment, posting of bond, court deposit, or other appropriate means), without
45 cost to the City of Seattle, and shall indemnify the City of Seattle against all costs and

1 expenses (including attorneys' fees) incurred in discharging and releasing such claim,
2 lien, or encumbrance prior to completion of the PROJECT.
3

4 **23. DISPUTE RESOLUTION**

5
6 23.1 Good Faith. The CITY and the STATE shall make good faith efforts to resolve
7 any dispute arising under or in connection with this Agreement. The dispute resolution
8 process outlined in this Section applies to disputes arising under or in connection with the
9 terms of this Agreement. In the event that the PARTIES cannot resolve a disagreement
10 arising under or in connection with this Agreement, the PARTIES shall follow the
11 dispute resolution steps set forth below.
12

13 23.2 Notice. A PARTY's Designated Representative, as defined in Section 25 below,
14 shall notify the other PARTY's Designated Representative in writing of any problem or
15 dispute that a PARTY believes needs resolution. The written notice shall include (a) a
16 description of the issue to be resolved; (b) a description of the differences between the
17 PARTIES on the issue; and (c) a summary of any steps taken to resolve the issue.
18

19 23.3 Meeting. Upon receipt of a written notice of request for dispute resolution, the
20 project engineer/project manager for the PARTIES shall meet within ten (10) Business
21 Days and attempt to resolve the dispute. Any resolution of the dispute requires the
22 agreement of all Designated Representatives attending the meeting or who requested to
23 attend the meeting.
24

25 23.4 Notice of Second Level Meeting. If the PARTIES have not resolved the dispute
26 within five (5) Business Days after the meeting, at any time thereafter either PARTY may
27 request that the dispute be elevated to the next level by notifying the other PARTY's
28 Designated Representative in writing, requesting that the dispute be raised to the Second
29 Level Meeting as described in Subsection 23.5. The written notification shall include a) a
30 description of the remaining issues to be resolved; b) a description of the differences
31 between the PARTIES on the issues, c) a summary of the steps already taken to resolve
32 the issues, and d) the resolution of any issues that were initially involved in the dispute.
33

34 23.5 Second Level Meeting. Upon receiving a written request that the dispute be
35 elevated to the next level, a meeting shall be held within ten (10) Business Days between
36 the project director of WSDOT and the appropriate CITY program manager(s) to resolve
37 the dispute. Any resolution of the dispute requires the agreement of all Designated
38 Representatives attending the meeting or who requested to attend the meeting.
39

40 23.6 Notice of Third Level Meeting. If the PARTIES have not resolved the dispute
41 within five (5) Business Days after the Second Level Meeting as described in Subsection
42 23.5, at any time thereafter either PARTY may request that the dispute be elevated to the
43 next level by notifying the other PARTY's Designated Representative in writing,
44 requesting that the dispute be raised to the Third Level Meeting as described in
45 Subsection 23.7. The written notification shall include a) a description of the remaining

1 issues to be resolved; b) a description of the differences between the PARTIES on the
2 issues, c) a summary of the steps already taken to resolve the issue, and d) the resolution
3 of any issues that were initially involved in the dispute.

4
5 23.7 Third Level Meeting. Elevate to the Designated Representatives.

6
7 23.8 Court of Law. If the PARTIES have not resolved the dispute within five (5)
8 Business Days after the third level meeting, at any time thereafter either PARTY may
9 seek relief under this Agreement in a court of law. The PARTIES agree that they have no
10 right to relief in a court of law until they have completed the dispute resolution process
11 outlined in this Section 23.

12
13 23.9 A PARTY's request to utilize this Section 23 dispute resolution Process is not
14 evidence that either PARTY is in breach of this Agreement, and does not relieve any
15 PARTY from complying with its obligations under this Agreement.

16
17 **24. REMEDIES; ENFORCEMENT**

18
19 Subject to the dispute resolution provisions in Section 23, the City of Seattle and the
20 STATE shall have, in addition to any remedies available at law or equity, the right to
21 demand specific performance of this Agreement, the SCL Agreement, UT 01476, and the
22 SPU Agreement, UT 01474.

23
24 **25. DESIGNATED REPRESENTATIVES**

25
26 The Designated Representative for each PARTY is as follows:

27
28 **STATE:**

29 Program Administrator
30 Alaskan Way Viaduct & Seawall Replacement Program
31 Washington State Department of Transportation
32 999 3rd Avenue, Suite 2424
33 Seattle, WA 98104

34
35 **CITY:**

36 SDOT Deputy Director
37 Seattle Department of Transportation
38 P.O. Box 34996
39 700 Fifth Avenue, Suite 3800
40 Seattle, WA 98124-4996

41
42 **26. EFFECTIVENESS AND DURATION**

43
44 26.1 This Agreement shall be effective as of the date the last PARTY signs and, unless
45 sooner terminated pursuant to the terms hereof, shall remain in effect until final

1 completion of all PARTIES' obligations contained or referred to in this Agreement, the
2 SCL Agreement, UT 01476, and the SPU Agreement, UT 01474.

3
4 **27. NOTICE**

5
6 27.1 Except for the dispute resolution process in Section 23 above, for which notice
7 shall be given to the officials listed in Section 25, all notices, demands, requests,
8 consents and approvals that may be or are required to be given by either PARTY to the
9 other PARTY shall be in writing and shall be deemed to have been duly given (i) upon
10 actual receipt or refusal to accept delivery if delivered personally to the Designated
11 Representative, (ii) upon actual receipt or refusal to accept delivery if sent by a nationally
12 recognized overnight delivery service to the Designated Representative, or (iii) upon
13 actual receipt if electronically transmitted to the Designated Representative with
14 confirmation sent by another method specified in this Section 27. Notice of a change of
15 Designated Representative or the address for the Designated Representative shall be
16 given as provided in this Section 27.

17
18 **28. TERMINATION AND SUSPENSION**

19
20 28.1 This Agreement may be terminated pursuant to Section 2.3 or for other cause by
21 either PARTY upon ninety (90) calendar days written notice. Said notice shall set forth
22 the reasons for termination and the effective date of termination.

23 28.2 Termination of this Agreement, the SCL Agreement, UT 01476, or the SPU
24 Agreement, UT 01474 shall not relieve the PARTIES of any obligations that are required
25 to be performed prior to the date of termination, nor shall it relieve the PARTIES of any
26 obligations that are intended to survive termination of this Agreement, the SCL
27 Agreement, UT 01476, or the SPU Agreement, UT 01474. Furthermore, the PARTIES
28 agree that, in the event the STATE exercises its right to terminate pursuant to this Section
29 28 or the STATE suspends the work or materially delays the work after construction of
30 the PROJECT begins, then the STATE, at its cost and expense, shall modify the
31 PROJECT, in consultation with the CITY, to provide for the restoration, continued
32 service, operation, and maintenance of CITY Facilities, PROJECT infrastructure, CITY
33 Street Right-of-Way, or any other CITY property and the STATE shall ensure that the
34 modified PROJECT is completed. The STATE shall also ensure that all SPU and SCL
35 utility services can continue to be provided by SPU and SCL either in substantially the
36 same manner as occurred prior to the initiation of work, or in the manner intended by the
37 proposed work, unless otherwise agreed to by the affected UTILITY.

38
39 **29. CONFIDENTIALITY OF INFORMATION AND RECORDS**

40
41 29.1 It is understood that certain information about CITY Facilities is deemed by the
42 CITY to be sensitive and may be confidential under state or federal law. The STATE
43 agrees that all documents and information collected from field activities known to include
44 confidential information will be maintained in a locked file at the project office and
45 access will be controlled by the STATE's consultants. Furthermore, confidential

1 information will only be provided to the selected contractor in conformed documents
2 following Contract Award if such information is considered necessary for construction.
3 The CITY will provide clear written guidelines that specifically define the information
4 that is deemed sensitive and/or confidential.

5
6 29.2 Should any of those confidential or sensitive documents become the subject of a
7 request for public disclosure under Chapter 42.56 RCW, the STATE shall use its best
8 efforts to immediately notify the CITY of such request and the date by which the STATE
9 anticipates responding, which date shall in no event be less than fifteen (15) calendar
10 days after STATE's first notice of the disclosure request to the CITY. The CITY must
11 then within a reasonable time of receipt of said notice in writing to the STATE (a)
12 specifically identify each record, or part thereof, and (b) fully explain why such
13 records(s) are exempt from disclosure under Chapter 42.56 RCW or any other law so that
14 the STATE may respond to the records requester. The STATE shall withhold or redact
15 those public records that the CITY reasonably claims are exempt from disclosure based
16 upon the CITY's information. The CITY at its sole expense may seek a judicial
17 declaration or injunction with respect to the public records request. The CITY further
18 agrees that it will, at its sole expense, defend the non-disclosure of that information it
19 claims is exempt from disclosure and indemnify the STATE for any and all penalties
20 assessed and costs that the STATE incurs, if any.

21
22 29.3 The provisions of this Section 29 shall survive the termination of this Agreement.

23 24 **30. GENERAL PROVISIONS**

25
26 30.1 This Agreement shall be effective independently from any and all permits that
27 may be issued by the CITY.

28 30.2 Each PARTY shall ensure that its employees, agents, and contractors comply with
29 the obligations of this Agreement.

30 30.3 The PARTIES shall not be deemed to be in default under this Agreement if
31 performance is rendered impossible by war, riots, or civil disturbances, or by floods or
32 other natural catastrophes beyond the PARTIES' control; the unforeseeable unavailability
33 of labor or materials; or labor stoppages or slowdowns or power outages exceeding back-
34 up power supplies. This Agreement shall not be terminated or the PARTIES penalized
35 for such noncompliance, provided that each PARTY takes immediate and diligent steps
36 to bring itself back into compliance and to comply as soon as practicable under the
37 circumstances without unduly endangering the health, safety, or integrity of the
38 PARTY's employees or property, or the health, safety, or integrity of the public, street
39 rights-of-way, public property, or private property.

40 30.4 This Agreement including the definition of the PROJECT as more particularly
41 described in the Project Description attached as Exhibit A may be amended only by a

1 written instrument, duly authorized by the CITY and the STATE, and executed by their
2 duly authorized representatives.

3 30.5 No failure to exercise, and no delay in exercising, on the part of either PARTY
4 hereto, any rights, power, or privilege hereunder shall operate as a waiver thereof, except
5 as expressly provided herein.

6 30.6 This Agreement, together with GCA 6366, the SCL Agreement, UT 01476 and
7 the SPU Agreement, UT 01474, with the attached Exhibits and the documents, terms and
8 provisions incorporated in any of the foregoing, constitute the entire agreement of the
9 PARTIES with respect to the PROJECT, and supersede any and all prior negotiations and
10 understandings with respect hereto.

11 30.7 Section and subsection headings are intended as information only, and shall not
12 be construed with the substance of the section or subsection they caption.

13 30.8 All exhibits or other attachments are by this reference hereby incorporated into
14 this Agreement.

15 30.9 This Agreement may be executed in counterparts, each of which shall be deemed
16 an original, and all counterparts together shall constitute but one and the same instrument.

17 30.10 The PARTIES acknowledge the right of each PARTY to exercise its police power
18 pursuant to general law and applicable statutes for the protection of the health, safety, and
19 welfare of its citizens and their properties. Nothing in this Agreement shall be construed
20 as waiving or limiting the STATE's or CITY's rights to exercise its police power or to
21 preclude or limit exercising any regulatory power in connection with this PROJECT.
22

23 30.11 This Agreement shall be interpreted, construed, and enforced in accordance with
24 the laws of the State of Washington. The venue for any action under this Agreement
25 shall be in the Superior Court for King County, Washington.
26

27 30.12 A judicial determination that any term, provision, condition, or other portion of
28 this Agreement, whether in whole or in part, is inoperative, invalid, void, or
29 unenforceable shall not affect the remaining terms, provisions, conditions, or other
30 portions of this Agreement, whether in whole or in part, and the remaining terms,
31 provisions, conditions, or other portions of this Agreement, whether in whole or in part,
32 shall remain valid and enforceable to the fullest extent permitted by law.
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IN WITNESS WHEREOF, the PARTIES hereto have executed this Agreement as of the last date written below.

CITY OF SEATTLE

WASHINGTON STATE

By: *Amica M. Simmons*

By: *W. J. [Signature]*

Title: *City Clerk*

Title: *Administrator, AWRSP*

Date: *5-23-11*

Date: *1/28/2011*

APPROVED AS TO FORM:



By: *Bruce Burn*

Title: *Senior Assistant Attorney General*

Date: *1-28-11*

EXHIBIT A TO MEMORANDUM OF AGREEMENT NO. GCA 6486

Unless specifically defined otherwise in this document, the definitions set forth in GCA 6486 (“SDOT Agreement”), UT 01476 (“SCL Agreement”) and UT 01474 (“SPU Agreement”; collectively, “Agreements”) apply to terms used in this document.

The PROJECT replaces SR 99 from South Royal Brougham Street to Roy Street and consists of designing and constructing a four-lane tunnel from South King Street to Thomas Street, north and south tunnel portals and access streets, re-establishment of the City street grid in the vicinity of the portals, and associated utility relocations.

The PROJECT consists of the following features:

Utility Work:

- Removal and replacement of existing City electrical, communications, water, drainage and wastewater facilities and other privately owned utilities that directly conflict with the north and south tunnel portals and tunnel portal excavations.
- Utility services necessary for the operation of the tunnel and tunnel operations buildings
- New Utility improvements.

Tunnel:

- A four-lane tunnel under the City from a south portal in the vicinity of Dearborn Street and Alaskan Way to a north portal in the vicinity of 6th Avenue North and Harrison Street.
- PROJECT work will include:
 - Approximately two miles of cut-and-cover and bored tunnel providing two travel lanes in each direction.
 - Tunnel portal structures and the shoring walls and excavation associated with portal construction.
 - Tunnel operations buildings at both the north and south portals to house tunnel egress, tunnel ventilation systems, and fire and life safety systems and controls.
 - Tunnel operations, intelligent transportation, and fire and life safety systems
 - Monitoring of, and mitigation, for tunnel-induced Deformation, such as protecting utilities, and preparing structures for predicted tunnel-induced Deformation through engineered measures such as grouting and structural retrofit.
 - Repair of public and private property that may be damaged as a result of construction.

North Tunnel Access and Reconnection of the Surface Street Grid:

- SR 99 roadway and roadway structures connecting the tunnel to existing SR 99 in the vicinity of Aurora Avenue at Roy Street, associated on and off ramps, and City right of way in the vicinity of the north tunnel portal.

- PROJECT work will include:
 - Advance traffic management systems including capability for tolling.
 - Reconnect Aurora Avenue to the City street grid at Denny Way.
 - Improvements to existing City street right-of-way including cross-corridor connections of John, Thomas, and Harrison Streets.
 - New lanes, curbs, sidewalks, traffic signals, intelligent transportation systems and signage, landscaping and street lighting.
 - Improvements to Aurora Avenue from Denny Street to Harrison Street.
 - Storm drains and other utilities in the new City street right-of way.

South Tunnel Access and Reconnection of the Surface Street Grid:

- Roadway and roadway structures connecting the tunnel south portal to SR 99 lanes being constructed as part of the Holgate to King Project in the vicinity of South Royal Brougham Way and improvements to City street right-of-way in the vicinity of the south tunnel portal.
- PROJECT work will include:
 - Removal of the south-end SR 99 temporary roadway detour built as part of Holgate to King Project.
 - Advance traffic management systems including capability for tolling.
 - New lanes, curbs, sidewalks, traffic signals, intelligent transportation systems and signage, landscaping and street lighting.
 - City street improvements including cross-corridor connections of S. Dearborn Street.
 - Restoration of 1st Avenue South from Royal Brougham Way to Railroad Way S.
 - Storm drains and other utilities in the new City street right-of-way.
 - Pedestrian plazas in the vicinity of the south tunnel portal.
 - Bicycle and pedestrian paths.

Other PROJECT work:

- Environmental remediation
- Temporary sediment and erosion control
- Traffic control and detours
- Maintenance of utility service

MEMORANDUM OF AGREEMENT
NO. GCA 6486
EXHIBIT B

**Design Review, Construction Management, Inspection, Record Drawing and
Task Order Procedures**

1. **Scope.** This document establishes implementing procedures called for in and otherwise necessitated by GCA 6486 (SDOT Agreement), UT 01476 (SCL Agreement) and UT 01474 (SPU Agreement).
 - 1.1. With respect to CITY regulatory authority, the scope of this document is limited to the issuance of SDOT Street Use Permits. References to CITY permits, standards, or regulatory authority or responsibility, including references that are not expressly limited, are not intended to extend beyond Street Use Permits or the standards, authority, or responsibility under SMC Title 15.
 - 1.2. Nothing in this document is intended, or shall be construed, to expand the scope of CITY responsibility regarding the PROJECT beyond the scope stated in the SDOT, SCL, and SPU Agreements.
 - 1.3. Within the scope described above, this document is intended to describe roles and procedural responsibilities, clarify expectations, and standardize business processes for the duration of the PROJECT. Due to the complexity of the PROJECT and adjacent PROGRAM elements, the STATE and the CITY recognize that unanticipated situations will arise that require modification of these procedures.
2. **Plan Review for Design and Permits**
 - 2.1. These Design and Plan Review procedures are based on the expectation that WSDOT is responsible for executing the PROJECT work either under WSDOT's direct responsibilities for PROJECT elements or where the CITY has entered into a Task Order agreement for WSDOT assistance in executing the CITY's responsibilities. In instances where the CITY executes PROJECT work, additional procedures may be needed to address design and construction coordination.
 - 2.2. In implementing the procedures, the goal of WSDOT and the CITY is to facilitate timely and expeditious completion of PROJECT designs that:
 - Meet PROJECT requirements and standards and commitments in the SDOT, SPU, and SCL Agreements;

- Comply with WSDOT procedural requirements in a timely manner;
 - Fulfill CITY regulatory requirements set forth in Seattle Municipal Code (SMC) Title 15 in a timely manner;
 - Achieve the PROJECT schedule;
 - Allow construction to proceed in a timely manner;
 - Minimize PROJECT scope growth; and
 - Minimize impact on CITY Facilities.
- 2.3. WSDOT will take the lead in coordinating regular communications and design coordination meetings with the CITY, WSDOT's consultants and contractors, and other utility owners.
 - 2.4. WSDOT will prepare PROJECT designs affecting CITY Facilities in collaboration with SDOT, SCL, and SPU staff and agrees to seek and incorporate input from the CITY in the early stages of preliminary engineering, preparation of Plan Review Packages and Design Submittals, and throughout the PROJECT design and permitting process.
 - 2.5. Design and construction of CITY Infrastructure will meet CITY Standards. Design of CITY Infrastructure will include consideration of long-term operation and maintenance costs, in addition to up-front design and construction costs.
 - 2.6. The CITY will review all plans for work described in Section 7.3 of the SDOT Agreement GCA 6846.
 - 2.7. WSDOT will coordinate and obtain written concurrence from the CITY on any requested deviation from CITY standards prior to the beginning of construction.
 - 2.8. WSDOT and the CITY agree that WSDOT will submit plans for CITY Infrastructure prepared in accordance with SR 99 Alaskan Way Viaduct and Seawall Replacement CADD Manual, Revision 2.0, dated April 2010.
 - 2.9. WSDOT will coordinate and obtain written concurrence from the CITY prior to implementing revisions or deviations from the Approved Plans.
 - 2.10. The CITY will notify WSDOT in good faith when the CITY becomes aware of issues that may delay issuance of a Street Use Permit. Failure to provide such notice shall not provide grounds to challenge the issuance or non-issuance of a permit.

3. Procedures for Design-Bid-Build Contracts.

- 3.1. WSDOT will determine the project scope for a given design and contract package with CITY input. Changes to project scope will necessitate review by WSDOT AWWSR PROGRAM management in accordance with PROGRAM configuration management and change control procedures.

- 3.2. WSDOT and the CITY will collaborate to develop a target project delivery schedule to include WSDOT's Plan Review Package submittals to the CITY. WSDOT will notify the CITY of any proposed schedule modifications. If WSDOT determines that it cannot meet the anticipated dates, WSDOT will collaborate with the CITY's Designated Representative to develop a revised submittal schedule as soon as possible after delay is known or anticipated.
- 3.3. WSDOT will notify the CITY's Designated Representative fifteen (15) Business Days prior to the scheduled Plan Review Package scheduled transmittal to confirm that the Plan Review Package will be transmitted as scheduled or to establish a deferred date so that CITY staff can be appropriately scheduled for the review.
- 3.4. WSDOT will prepare and submit complete plans and supporting documentation to the CITY and provide corrections and additional information as needed by the CITY to allow CITY staff sufficient time to review the Street Use Permit application and the plans. The duration for review for each Plan Review Package is indicated in the tables below. Submittal of multiple Plan Review Packages to the CITY for concurrent review may increase the time required for review as indicated in the tables below, or as otherwise agreed by WSDOT and the CITY.
- 3.5. SDOT will coordinate CITY review of the Plan Review Packages to include receiving and distributing materials among CITY of Seattle reviewers, collating and tracking review comments, and working with other CITY departments to resolve conflicting comments or requirements.
- 3.6. WSDOT will submit a Street Use Permit application early during design development in order to define permit conditions for incorporation into contract documents. This application submittal will initiate the permit review and issuance process.

Table 1: Design-Bid-Build Review Periods

Submittal Phase	CITY Review Period Number of Business Days per Number of Plan Review Packages Under Review*		
	One	Two	Three
30% Plan Review Package	15 days	25 days	25 days
Progress Plan Review Package	25 days	40 days	45 days
100% Plan Review Package	15 days	15 days	20 days
WSDOT Post-Advertisement Construction Contract Addenda Plan Review Package **	Varies – 3 to 20 days as noted below	Varies – 3 to 20 days as noted below	Varies – 3 to 20 days as noted below
Final Plan Review Package	15 days	15 days	20 days

* In the event that more than three Plan Review Packages and/or major PROGRAM-related documents are under review at the same time, WSDOT and CITY agree to negotiate a reasonable review time for the Plan Review Packages being submitted.

** Post-Advertisement addenda review time will be based on the volume of revisions to plan sheets and specifications affecting City Facilities follows:

Table 2: Addenda Review Periods

Number of addenda added/revised plan sheets (excluding quantity tabs/structure notes)	CITY Review Period (Number of Business Days)
< 200	5
< 400	8
< 800	15
More than 800	20

3.7. The CITY's design review and Street Use Permit processes will take place as follows:

- 3.7.1. The CITY review period begins on the Business Day following receipt by the CITY's Designated Representative of the Plan Review Package and ends when the CITY'S final comment document is submitted to WSDOT electronically in a Microsoft Excel document format. The CITY is responsible to assign appropriate staff to review and provide comment within the established timeframes.
- 3.7.2. Following its review of the Progress Plan Review Package, SDOT will prepare and deliver to WSDOT draft Street Use Permit conditions. SDOT will update the draft conditions after completion of CITY's review of each subsequent Plan Review Package to enable incorporation of the draft conditions into WSDOT's construction contract documents.
- 3.7.3. WSDOT will deliver the Plan Review Packages as further described in this Exhibit. If the CITY receives a submittal from WSDOT that does not contain all the requirements of a Plan Review Package, the CITY will notify WSDOT that the submittal is incomplete. To expedite the process and to the extent possible, the CITY will attempt to begin review of an incomplete submittal. However, WSDOT will submit the information needed to complete the Plan Review Package as soon as possible and will highlight any changes made since submittal of the incomplete Plan Review Package. The CITY's plan review period will not commence until the receipt of a complete Plan Review Package.

- 3.7.4. The CITY's Designated Representative will work with the CITY departments to identify comments on the Plan Review Packages. The CITY departments will reconcile conflicting comments, and SDOT will incorporate the comments in a single document.
 - 3.7.5. The CITY will assist WSDOT in determining appropriate responses to comments and resolution of concerns noted in its comments.
 - 3.7.6. WSDOT will provide initial written responses to all comments within ten (10) Business Days of receiving the CITY's comments to a Plan Review Package. All comments related to CITY Infrastructure shall be resolved to the CITY's satisfaction and incorporated into the succeeding Plan Review Packages.
 - 3.7.7. WSDOT will hold a comment resolution meeting with the CITY within ten (10) Business Days after WSDOT receives and responds to the CITY comments. Any unresolved comments will be forwarded to a comment resolution team composed of CITY and WSDOT staff. In the event the team cannot resolve all issues, they will be elevated to appropriate levels of management in accordance with the dispute resolution provisions of GCA 6486, UT 01474, and UT 01476.
- 3.8. WSDOT and the CITY agree to follow a process to facilitate both WSDOT's compliance with both WSDOT procedures governing preparation of bid packages and SDOT procedures for issuing Street Use Permits. The process will include the following steps:
- 3.8.1. WSDOT will endeavor to resolve and address all CITY comments on previous Plan Review Packages to the CITY's satisfaction prior to submittal of the 100% Plan Review Package. The CITY will be responsive to requests to meet and review the design approach to resolution. WSDOT agrees to resolve and address, to the CITY's satisfaction, all CITY comments from previous Plan Review Packages that are related to CITY Infrastructure design.
 - 3.8.2. The CITY will determine, following the receipt of the 100% Plan Review Package, whether all comments on the previous Plan Review Package have been addressed. At the conclusion of this determination, the CITY will notify WSDOT in writing either that the CITY's comments have been resolved to the CITY's satisfaction or that WSDOT has not addressed all the CITY's comments to the CITY's satisfaction. If the CITY notifies WSDOT that it has not addressed all CITY comments to the CITY's satisfaction, the CITY will submit to WSDOT proposals for addressing the outstanding issues. WSDOT will engage CITY reviewers in resolution of the remaining review comments and, either party may elevate unresolved comments in

accordance with the dispute resolution provisions of GCA 6486, UT 01474, and UT 01476.

- 3.8.3. WSDOT will invite the CITY to participate in its Round Table Meeting to enable full discussion of the implications and consequences to CITY Facilities or compliance with SMC Title 15 of changes proposed by WSDOT to the 100% Plan Review Package. WSDOT will coordinate revisions made to the contract plans and provisions after WSDOT submits the 100% Plan Review Package.
- 3.8.4. SDOT will issue its Street Use Permit within five (5) Business Days following the Round Table Meeting if the CITY determines that the plans conform to the requirements of SMC Title 15. If any issues remain for resolution, the CITY will condition the Street Use Permit accordingly. WSDOT will engage CITY reviewers in resolution of review comments and, if resolution cannot be reached, either PARTY may elevate unresolved comments in accordance with the dispute resolution provisions of GCA 6486, UT 01474, and UT 01476.
- 3.8.5. If the Street Use Permit has not been issued within five (5) Business Days following the Round Table Meeting, the SDOT Director or his designee will review the cause of permit delay within one (1) Business Day, and meet with the STATE's Program Administrator or his designee to discuss the issues and develop a course of action.
- 3.8.6. WSDOT will work with the CITY to ensure that all comments on the 100% Plan Review Package are adequately incorporated into WSDOT's advertisement for bid, or are otherwise addressed to WSDOT's and the CITY's satisfaction and that all comments on the 100% Plan Review Package related to design of CITY Infrastructure are addressed to the CITY's satisfaction. This process will include comment resolution with CITY reviewers, a meeting with WSDOT and CITY resolution teams, and, if resolution cannot be reached, elevation of unresolved comments in accordance with the dispute resolution provisions of GCA 6486, UT 01474, and UT 01476.
 - 3.8.6.1. WSDOT will prepare and submit post-advertisement addenda to the CITY prior to releasing addenda to prospective bidders. Addenda will clearly delineate changes that have been made to the plans and specifications. The addenda review periods will be determined by the scope and complexity of the proposed addenda with review times generally as indicated in the tables above.
 - 3.8.6.2. WSDOT will notify the CITY when the final addendum is issued to prospective bidders. This notice will constitute the Final Plan Review

Package submittal. The CITY will review the Final Plan Review Package to confirm whether WSDOT has adequately addressed the CITY plan review comments, whether all applicable conditions of the Street Use Permit have been addressed to the CITY's satisfaction, and whether plans conform to the requirements of the SMC Title 15. Prior to bid opening, and upon the CITY's determination that a Final Plan Review Package meets requirements, the CITY will issue to WSDOT a Letter of Plan Approval that:

- Identifies the plans and specifications that have been granted the CITY's regulatory approval for construction by the CITY, and
- Signifies that WSDOT has addressed the plan review comments.

No construction may take place until the Letter of Plan Approval has been issued by the CITY.

4. Procedures for Design-Build Contracts

- 4.1. The procedures that follow are intended to facilitate meeting requirements, standards, and objectives for the Design-Build portions of the PROJECT.
- 4.2. WSDOT agrees to work with the CITY in defining and meeting the design and construction standards for the PROJECT work affecting CITY Facilities. The CITY will provide clear design guidance for elements of the PROJECT to be owned, operated or maintained by the CITY. WSDOT will include CITY design and construction standards in WSDOT's Design-Build Contract documents for CITY Facilities.
- 4.3. WSDOT will apply for a Street Use Permit prior to issuance of the final Request for Proposals. The CITY may review and comment on the Final RFP.
- 4.4. As a requirement of its Design-Build Contract(s), the Design-Builder will organize Task Forces for design development, coordination, and management of various elements of the work. The Task Forces are a primary vehicle for coordination and will provide an opportunity for WSDOT and CITY staff to provide input to the design process. Task Force meetings will also be the primary means to keep reviewers up to date on design development. Over-the-shoulder reviews will be conducted to facilitate quicker turn-around of formal plan reviews. Dependent on the need for coordination with adjacent contracts, some of the Task Forces will be designated as "corridor-wide." In addition to WSDOT and CITY staff, Task Force membership may include representatives from other stakeholders such as private utility owners, King County, the Port of Seattle, the stadiums, and adjacent contractors.
- 4.5. The CITY will participate in Task Forces affecting CITY Facilities and for the performance of the CITY's regulatory responsibilities. Based on current PROJECT planning, the CITY will participate in the following Task Forces:

- Utilities
 - Construction Monitoring
 - Fire and Life Safety
 - Maintenance of Traffic
 - Road/Traffic
 - Buildings
 - Public Information
 - Quality
- 4.6. Task Forces will meet on a regular basis to solicit input, coordinate design and construction activity, and assure dissemination of critical PROJECT information to all members. The Design Builder or WSDOT will be the designated lead for meetings and recording of meeting minutes. The Task Forces will work collaboratively to review and provide guidance as the Design Builder develops Design Submittals.
- 4.7. WSDOT and the CITY recognize that regular attendance at Task Force meetings by their respective staffs is necessary to discuss and agree upon resolutions of design issues before more formal review processes begin in order to streamline later review and minimize substantial comments when the Preliminary and Final Design plans are submitted.
- 4.8. Attendance at over-the-shoulder review by CITY staff members will be determined by the CITY Construction Project Engineer based in part upon the materials to be reviewed. Whenever possible three (3) Business Days notice will be given to persons who do not regularly attend Task Force meetings. The CITY will make every effort to assign staff members to over-the-shoulder review meetings who are authorized to make final decisions regarding compliance of the plans for CITY Facilities with the CITY's standards, specifications and permit requirements.
- 4.9. WSDOT's Design Builder will submit a Quality Management Plan (QMP) that will define the timing, content, and format of all design reviews. The QMP will also include processes and procedures for how regularly scheduled Task Force meetings will be used to support quality goals. These meetings, combined with over-the-shoulder reviews, will be an integral part of the process to discuss and resolve design issues outside of the formal review process and reduce the level of effort required to conduct the formal review process. The QMP will define how over-the-shoulder reviews will be conducted with Task Force members. Over-the-shoulder reviews are in-progress reviews of the design and provide opportunities for WSDOT, the CITY, and other stakeholders to provide comments and feedback on the design.
- 4.10. The design builder will be required to provide three submittals for each design element as indicated below. These submittals are intended to meet the requirements of the design and Street Use Permit plan review processes of both WSDOT and the CITY. The CITY will review design elements affecting CITY Facilities and CITY interests,

and for the performance of the CITY's regulatory responsibilities, within the scope stated in this Agreement, UT 01476 (SCL Agreement) and UT 01474 (SPU Agreement).

- 4.10.1. Preliminary Design Submittal. The intent of the Preliminary Design Submittal is to provide a formal opportunity for WSDOT, the CITY, the Design Builder, various design team disciplines, and other approved PROJECT stakeholders to review the construction documents in order to provide input addressing whether the plans reflect Design Build Contract requirements for construction; whether design features are coordinated; and whether there are no fatal flaws within a given discipline or between disciplines. The contents of the Preliminary Design Submittal will vary by discipline as specified in the RFP or as mutually agreed by members of the applicable Task Force.
- 4.10.2. Final Design Submittal. The Final Design Submittal will be prepared when the design for a given element or area is near 100% complete. The Final Design Submittal includes plan sheets, specifications, technical memos, reports, calculations, and other pertinent data, as applicable and incorporates design changes or otherwise addresses CITY comments. As a result of the on-going discussion and resolution of design and construction issues through the regularly-scheduled Task Force meetings and over-the-shoulder reviews, it is anticipated that there will be very few revisions or changes at this stage. The Final Design Submittal will include all specifications, including but not limited to, all amendments to the WSDOT Standard Specifications for Road, Bridge and Municipal Construction, special provisions, technical requirements, and technical specifications, necessary to construct the work represented in the submittal. Following resolution of all comments, the Final Design Submittal may proceed through the written certification process described below in preparation for being released for construction.
- 4.10.3. Released for Construction (RFC) Submittal. At a minimum, the Design Builder will provide a preliminary and a final submittal of all plans and technical specifications and resolve all comments prior to being released for construction. Comments from the CITY concerning design of the CITY's stated requirements for CITY Infrastructure, and comments regarding compliance with SMC Title 15, will be resolved to the CITY's satisfaction. WSDOT will ensure that the RFC Submittal reflects all QA, QC, and design reviews required by the QMP and this Agreement, UT 01476 (SCL Agreement) and UT 01474 (SPU Agreement). WSDOT will also provide a written certification from its contractor to be used to verify to WSDOT and the City that all QA procedures have been completed to ensure that all review comments have been incorporated as agreed to during the comment resolution process among WSDOT, and the Design-Builder, and that the documents are ready to be released for construction. Each sheet of the plan

set and the cover of each set of technical specifications in the RFC Submittal will carry the Professional Engineer's stamp registered in the State of Washington and will be stamped "Released for Construction" by the contractor's Design QA Manager.

- 4.10.4. WSDOT will provide hard copies and electronic files (in both CADD and PDF formats) of documents pertaining to CITY Facilities or the Street Use Permit as requested by the CITY's Construction Project Engineer. The electronic drawing files will include copies of all sheet and reference files used in the RFC Submittal. All design submittals will conform to the AWVSRP Computer Aided Design & Drafting Manual. Construction will not begin until WSDOT has determined that all required government and private approvals have been obtained.
- 4.10.5. Design Review. The review period for the Preliminary and Final Design Submittals will be fourteen (14) calendar days from the Business Day following receipt by the CITY's Construction Project Engineer of the Plan Review Package. The review period may be extended for submittals with overlapping review periods. The CITY will provide staff to provide guidance, review and comment on the Preliminary and Final Design Submittals for CITY Infrastructure, and work that impacts CITY Facilities and for work requiring a Street Use Permit as necessary to complete the reviews within the allotted period. Reviews may be required for the entire design or discrete portions of the design. Review comments will be submitted in a manner and form as requested and approved in the Design-Builder's QMP and mutually agreed by WSDOT and the CITY. WSDOT and the CITY Construction Project Engineer will jointly determine the design elements to be reviewed by the CITY.
- 4.10.6. Comment Resolution. The Design-Builder will schedule and maintain minutes of all resolution meetings with WSDOT and CITY staff and other Task Force members as appropriate to document and resolve review comments. It is intended that all comments will be resolved at these meetings. The Design-Builder will incorporate comment resolutions in subsequent submittals and provide a spreadsheet explaining action taken on each comment. In the event WSDOT disagrees with any CITY comment, the CITY and WSDOT will make staff with decision making authority on the issue available at the earliest possible opportunity to resolve the matter. If resolution cannot be reached, unresolved comments will be elevated in accordance with the dispute resolution provisions of GCA 6486, UT 01474, and UT 01476.
- 4.10.7. Street Use Permit Issuance. Upon receipt of a Preliminary Design Submittal, SDOT will make a determination as to whether the proposed work package requires a Street Use Permit under the provisions of SMC Title 15, or Letter

of Plan Approval, and so notify WSDOT. SDOT will issue a Street Use Permit and Letter of Plan Approval for the initial RFC Submittal within three (3) days of receipt of the RFC Submittal if the CITY has determined that the plans for the PROJECT element conform to the requirements of SMC Title 15 and that WSDOT has resolved all CITY plan review comments. Upon receipt of the City-issued Street Use Permit and Letter of Plan Approval WSDOT will be authorized to proceed with construction subject to the terms and conditions of the permit.

- 4.10.8. If the Street Use Permit has not been issued within three (3) Business Days after receipt of the RFC Submittal, the SDOT Director or his designee will review the cause of permit delay within one (1) Business Day, and meet with the STATE's Program Administrator or his designee to discuss the issues and develop a course of action.
- 4.10.9. Changes to RFC Submittal. WSDOT will diligently attempt to avoid the need for plan changes after issuance of a Street Use Permit or Letter of Plan Approval. In the event such changes occur, the CITY will undertake any additional review and permit re-issuance in as expedited a manner as practicable. WSDOT will require the Design-Builder's QMP to address the process for implementing design changes, including field changes, on the RFC Submittal. Design changes will be subject to the QA and QC measures and procedures, commensurate with those applied to the original design or that portion of the PROJECT under consideration for change. WSDOT will obtain CITY concurrence for all design changes affecting CITY Facilities or permitted interests prior to implementation of the change.
- 4.10.10. WSDOT will require the Design Builder to document all revisions made to the Approved Plans and design documents during the construction phase of the PROJECT by preparing new, revised or supplemental documents (including plan sheets, technical specifications, calculations, reports, and narratives). The new, revised, and supplemental documents will meet all requirements for the original documents. Every revision will be assigned a number. The revision number will be assigned sequentially, with each change in a document or plan sheet identified by the revision number. The assigned number will be located both at the location of the change on the sheet and in the revision block of the document, along with an explanation of the change. Revised RFC Submittals will be reviewed by the CITY Project Construction Engineer, who will coordinate with CITY departments as required depending upon the nature of the changes and initiate amendment of the Street Use Permit if required, consistent with applicable law.

5. Construction Management, Inspection, and Acceptance Procedures

- 5.1. The following procedures govern construction management, inspection, and acceptance processes of CITY Facilities constructed by WSDOT for the PROJECT and address fulfillment of the CITY's regulatory role under SMC Title 15. The procedures will be used for Design-Bid-Build Contract and Design-Build Contract project delivery methods.
- 5.2. WSDOT and the CITY agree to work cooperatively with each other and in good faith to implement these procedures to attempt to accomplish the following:
 - 5.2.1. Enable timely and expeditious execution of the PROJECT in accordance with the agreed standards on schedule.
 - 5.2.2. Facilitate thorough review of all stages of construction to ascertain that CITY Infrastructure constructed by WSDOT is in compliance with CITY policy and regulations, and standards and specifications.
 - 5.2.3. Facilitate communications and activities pertaining to construction management, inspection and contract administration, including communications in the field, roles and responsibilities, review of proposed changes to Approved Plans and other submittals by the contractor or Design Builder, processes for pre-acceptance inspections, and acceptance of infrastructure.
 - 5.2.4. Enable both WSDOT and the CITY to comply with all laws and procedures governing their actions.
- 5.3. WSDOT will develop, advertise and award multiple construction contracts to fulfill its PROJECT responsibilities. WSDOT's construction contracts will be administered in accordance with the then-current Washington State Department of Transportation Standard Specifications for Road, Bridge, and Municipal Construction and WSDOT's construction contract forms and documents.
- 5.4. WSDOT will construct CITY Infrastructure in the fulfillment of its PROJECT responsibilities and may also construct CITY Infrastructure on the CITY's behalf by reimbursable Task Orders. Construction of CITY Infrastructure will conform to CITY laws, rules, regulations and standards.
- 5.5. WSDOT will designate STATE Project Engineers to administer its construction contracts for the PROJECT and to ensure work is constructed in accordance with the Approved Plans and the terms and conditions of the Street Use Permits and GCA 6486, UT 01474, and UT 01476. WSDOT may use consultant(s) in providing some or all of construction management services. The CITY may consult with and make inquiries of the STATE Project Engineer or designee, attend all meetings and have access to all documentation pertinent to CITY Facilities and performance of its regulatory responsibilities.
- 5.6. The CITY will provide a City Construction Project Engineer tasked to: (1) coordinate the activities of CITY inspectors, crews and consultants; (2) communicate with the

STATE Project Engineer regarding regulatory compliance, changes in design, the CITY's participation in reviewing contractor submittals, and the use of CITY resources; (3) coordinate the final inspection and acceptance of CITY Infrastructure with representatives from CITY departments; and (4) report on construction progress and issues to CITY department managers:

- 5.7. The CITY will provide qualified staff and/or consultants to fulfill its inspection, construction, and administration responsibilities during construction. CITY staff will work under the general direction of the City Construction Project Engineer. CITY crews, technical and inspection staff and consultants will work in an integrated manner with STATE Project Engineer staff to perform construction related tasks and evaluate conformity of construction of CITY Infrastructure with the Approved Plans. CITY inspectors and compliance officers will immediately notify the STATE Project Engineer or designee of any compliance issues.
- 5.8. For each PROJECT contract, WSDOT will provide the CITY with a detailed contract execution schedule that includes CITY Infrastructure work, and will coordinate with the CITY to schedule utility shutdowns, cut-overs, and other CITY crew work and inspections. At a minimum, schedule updates will be provided on a monthly basis. Schedule changes will be promptly communicated to the CITY as soon as they become known by WSDOT.
- 5.9. Contractor Submittals. Within thirty (30) days of contract execution, WSDOT will prepare or cause its contractor(s) to prepare and submit a preliminary Submittal Control Document for each construction contract for use by WSDOT and the CITY to plan and manage staffing requirements for review of contractor submittals relating to construction of CITY Infrastructure and fulfillment of CITY permit requirements. The Submittal Control Document will include material submittals pursuant to CITY material standards and the City of Seattle Standard Specifications for Road, Bridge and Municipal Construction. The Submittal Control Document is a construction management tool that will be expanded and elaborated as each contract progresses.
 - 5.9.1. WSDOT will forward electronic copies of submittals for CITY review to the City Construction Project Engineer who will assign primary, and if appropriate, secondary CITY reviewers. Hard copies will be provided upon request.
 - 5.9.2. For Design-Bid-Build components of the PROJECT, the City Construction Project Engineer will return City review comments on all documents included in the approved Submittal Control Document within ten (10) business days of the CITY's receipt, unless the CITY of Seattle Standard Specifications for Road, Bridge and Municipal Construction allow for a longer review period, and respond in a timely manner to requests for information. The CITY will notify WSDOT if a submittal will require longer than ten (10) Business Days to review.

- 5.9.3. For Design-Build components of the PROJECT, the CITY Construction Project Engineer will return CITY review comments within five (5) working days to WSDOT. WSDOT will track all submittals and discuss the status of active submittal reviews with the City Construction Project Engineer on a weekly basis. The City Construction Project Engineer will act as a liaison between WSDOT and the CITY departments in resolving issues regarding disposition of submittal comments.
- 5.9.4. CITY reviewers will send their comments on submittals to the City Construction Project Engineer. The City Construction Project Engineer will consolidate comments if necessary and send comments to WSDOT for dissemination back to contractors. For design submittals on Design-Build Contracts, comment responses will be provided to CITY reviewers along with the revised design for submittals that need to go through another round of review pursuant to Section 4 above.
- 5.9.5. The CITY is responsible for providing submittal review comments within the allotted time. If additional time is needed to respond, the City Construction Project Engineer will discuss this on a case-by-case basis, and obtain WSDOT's approval for a time extension in advance of the due date.
- 5.9.6. Pursuant to CITY review comments, the STATE Project Engineer will provide disposition instructions for all submittals to its contractors.
- 5.10. Access to SPU and SCL Facilities. WSDOT will provide the CITY with twenty-four (24) hour, seven (7) days a week, safe access to CITY Facilities in all construction and staging areas for the purpose of operation, maintenance, and emergency response. CITY staff will notify WSDOT in advance of their arrival on site except in the case of emergency. In the case of emergencies, safety practice dictates that CITY staff will make every effort to notify the STATE Project Engineer immediately upon entering a PROJECT construction site or staging area.
- 5.11. Testing and Inspection. WSDOT will develop (or in the case of Design-Build Contracts, require its contractor to develop) a quality management plan to include an inspection and test plan describing all the proposed quality assurance inspections and tests to be performed throughout the construction process. Activity-specific inspection and test plans will be prepared during the preparatory phase for each definable feature of work. WSDOT will provide the CITY with the opportunity to review the quality management plan. The CITY will review and comment on the inspection and test plan, and any other provisions regarding CITY Infrastructure.
- 5.11.1. WSDOT will form quality assurance or verification teams as appropriate for the contract type. The CITY will have representation on these teams. The quality team for each contract will hold meetings to review test and

inspection results and address and rectify issues relating to inspection, substandard material quality, adjustments needed for inadequate quality assurance and quality control processes, test results demonstrating that tolerance standards are not met, disparities between quality assurance and quality verification test data, future quality concerns, and any other issues raised by WSDOT and the CITY regarding quality of construction of CITY Infrastructure.

- 5.11.2. WSDOT will provide the CITY with timely notice prior to commencement and completion of all material stages of CITY Infrastructure work and will invite the CITY to inspect such work upon completion of any material stage. The CITY on-site inspector will be invited to the weekly construction meeting prior to any work being started on CITY Facilities. WSDOT will provide at least five (5) Business Days notice for each inspection. The CITY will submit a complete list of any concerns or deficiencies to WSDOT within ten (10) Business Days after the date of any inspection. WSDOT will timely address each comment or issue presented by the CITY to the CITY's satisfaction. Both WSDOT and the CITY agree to act as expeditiously as possible to assure a timely resolution of any deficiencies.
- 5.11.3. Throughout construction of the PROJECT, CITY staff and consultants will assist the STATE Project Engineer in evaluating contract compliance of CITY Infrastructure built by WSDOT's contractors. WSDOT will coordinate with the CITY to designate mandatory inspection points (hold points) for CITY Infrastructure. No work will proceed beyond a hold point until inspection has been performed or the option to inspect has been waived by a letter or e-mail from the City Construction Project Engineer to the STATE Project Engineer. WSDOT will provide notification to the CITY twenty-four (24) hours in advance of completion of work to be inspected by the CITY so that the CITY may perform inspection if desired.
- 5.11.4. The CITY will notify WSDOT promptly of any Defective Work observed by CITY inspectors.
- 5.11.5. Testing of CITY Infrastructure will conform to the requirements of the CITY Standard Specifications for Road, Bridge and Municipal Construction. The CITY may observe testing of materials and inspect installation of CITY Infrastructure and provide a written evaluation to the STATE Project Engineer regarding whether the materials or facilities tested meet with the requirements of the Approved Plans. WSDOT will endeavor to provide five (5) Business Days notice of all testing required by the Approved Plans, and the CITY will be provided a copy of certified test reports of materials or installation of CITY Infrastructure. The CITY will exercise its right to approve or reject construction or materials of CITY Infrastructure that are deficient, or that (1) do not meet with the requirements of the Approved

Plans; (2) are not constructed in accordance with CITY-issued permits; (3) have defects in material and workmanship; and/or (4) have defects in design(s).

- 5.11.6. Except as otherwise agreed, all deficiencies will be reported through the STATE Project Engineer to the respective contractor's appropriate representative for resolution. Appropriate communications will be determined for each situation. CITY inspectors will not directly communicate with WSDOT's contractors without the express authorization of the STATE Project Engineers except when public or worker safety is in question.
- 5.11.7. WSDOT will ensure that underground CITY Facilities are jointly inspected and any deficiencies corrected prior to final grading and placement of overlying permanent pavement.
- 5.12. Change Management. The following procedures will apply to work affecting CITY Facilities or work subject to CITY-issued Street Use Permits.
 - 5.12.1. Changes necessitated by design deficiencies or unforeseen site conditions will be managed in accordance with WSDOT contracts and standard procedures. When changes are required to the Approved Plans, the STATE Project Engineer will consult with the City Construction Project Engineer to determine CITY review requirements. When CITY review is required, the City Construction Project Engineer will coordinate the timely review of the contract modification and supporting documentation. In any case, the STATE Project Engineer will obtain CITY approval prior to implementing any change order affecting CITY Facilities or work subject to CITY issued Street Use Permits.
 - 5.12.2. Within three (3) Business Days of receiving a proposed change to Approved Plans for any CITY Infrastructure work, WSDOT or its contractor will transmit the scope for the proposed change to the CITY for review, comment, and written approval. Before executing the change order, in a non-emergency situation and unless otherwise agreed by WSDOT and the CITY, WSDOT will allow the CITY sufficient time to review, comment and approve or disapprove in writing changes to the Approved Plans. The CITY will assign any change a high priority and provide a timely response commensurate with the complexity of the proposed change.
 - 5.12.3. The CITY may request additions and changes to the construction contract through WSDOT. WSDOT will comply with the requested changes provided that the changes are within the general scope of the PROJECT and comply with the PROJECT permits, State and/or Federal law and applicable rules, codes and/or regulations. WSDOT retains the right to reject requested changes if incorporating such changes could result in unwarranted additional

cost to the STATE or a delay in the PROJECT schedule. Such additions and changes may lead to change orders, or they may lead to Betterments or New Work. If the CITY and WSDOT agree to implement the change, the requesting CITY department and WSDOT will document the request in writing by completing and signing a concurrence letter. The CITY agrees to reimburse WSDOT for the costs associated with Betterments and additional New Work.

5.12.4. WSDOT will make available to the CITY all change order documentation that affects CITY Infrastructure.

5.13. Special Construction Considerations.

5.13.1. SCL. The following procedures apply specifically to SCL Facilities during construction.

5.13.1.1. Electrical Clearance Procedures. WSDOT contractors may need to obtain electrical clearances when it is necessary to de-energize electrical lines or system appurtenances. Individual clearance holders will be required to go through a training session based on SCL's System Operation Center (SOC) guidelines to familiarize themselves with SCL requirements for holding and maintaining a clearance on the SCL electrical system. SCL will provide WSDOT's contractor an outline of procedures and guidelines to follow at all times during the clearance and WSDOT will ensure that such guidelines and procedures are followed. Chief Dispatcher, Dana Wheelock or his designee at 206-706-0241, will be the contact for SCL. SCL's Power Line Clearance Coordinator reserves the right to review the contractor crew's qualifications and notify WSDOT. WSDOT will require the contractor to replace those sub-contractors who do not meet qualifications required under state law.

5.13.1.2. Advance Notice of Service Outages. WSDOT will submit a request in writing, thirty (30) calendar days prior to any necessary outages specifying the electrical boundaries, the date the outage will begin and the date the facilities can be re-energized and put into/back into service. SCL will accommodate such requests unless prohibited by operational necessity, a previously scheduled outage conflicts with the outage requested by WSDOT, or emergency conditions prohibit the outage or limit the availability of crews. If denied, SCL will assist WSDOT in finding another outage window. If granted, SCL will outline any conditions related to such outage to WSDOT.

5.13.2. SPU. The following special considerations apply to construction work associated with SPU Facilities.

5.13.2.1. Testing Specific to SPU Facilities. SPU will perform periodic inspection on joint bonding installed on new water mains and test isolation couplings at connections of new water mains to existing water mains. SPU will also perform tests on all cathodic test stations on the new water mains for electrical continuity. SPU will obtain water samples from the new water mains after they have been chlorinated and flushed by a WSDOT contractor in accordance with City Standards and will perform tests on the water sample for purity.

5.13.2.2. Water main connections. SPU will perform the pipe work necessary to connect new water mains or relocated water mains to the existing water system pursuant to CITY Standard Plan No. 300. WSDOT will provide SPU with at least fourteen (14) calendar days notice prior to scheduling any SPU crew work and will provide longer notice to the extent possible through regular construction scheduling meetings. SPU will make every effort to complete the work within twenty-four (24) hours of the time WSDOT has requested the work to be done. WSDOT contractors will be required to perform site preparation and restoration work to support SPU crews, including the provision of traffic control.

5.13.2.3. New drainage and wastewater system connections. SPU will core drill and install all tees pursuant to CITY standard specification 7-17.3(2)C, Plugs and Connections. WSDOT will notify SPU fourteen (14) calendar days prior to the need for this work. SPU will make every effort to complete the work within twenty-four (24) hours of the time WSDOT has requested the work to be done. WSDOT contractors will be required to perform site preparation and restoration work to support SPU crews, including the provision of traffic control.

5.13.2.4. Valve operation and water system shutdown. SPU will perform all water valve operations, shutdowns, and disconnections of its water system to its affected customers and will notify these customers of such planned service interruptions.

5.14. Acceptance. WSDOT will notify the CITY upon completion of the construction of CITY Infrastructure and will invite the CITY to participate in a joint pre-final inspection of the completed work.

5.14.1. The CITY will timely inspect the completed CITY Infrastructure and will exercise its right to approve or reject construction or materials which are deficient, or which deviate from the Approved Plans or any CITY-approved revisions to the Approved Plans. The CITY will submit a written response within ten (10) Business Days of the date of the pre-final inspection, notifying WSDOT that CITY Infrastructure has been constructed in accordance with the Approved Plans, or rejecting the completed CITY

Infrastructure. In the event that the completed CITY Infrastructure is rejected, such response will include written notice of any known deficiencies and Defective Work so that WSDOT can use the response in its preparation of a contract punch list.

- 5.14.2. WSDOT will address each deficiency identified by the CITY during the pre-final inspection and will resolve all deficiencies and Defective Work to comply with the Approved Plans, or any approved revisions to the Approved Plans. If disagreements arise between the CITY and WSDOT on what constitutes Defective Work or a deficiency or whether the CITY Infrastructure meets agreed upon requirements, the disagreement will be resolved using the dispute resolution provisions of GCA 6486, UT 01474, or UT 04176. The CITY will assist the STATE Project Engineer in determining appropriate remedies for each deficiency and for Defective Work. Both WSDOT and the CITY agree to act as expeditiously as possible to assure a timely resolution of deficiencies and Defective Work.
- 5.14.3. Once the STATE Project Engineer determines that WSDOT has remedied all deficiencies and Defective Work identified during the pre-final inspection, the STATE Project Engineer will invite the CITY to participate in a joint final inspection of the completed CITY Infrastructure. The CITY will submit a written response within ten (10) Business Days of the date of the final inspection notifying WSDOT that CITY Infrastructure has been constructed in accordance with the Approved Plans, or notifying WSDOT of any remaining deficiencies or Defective Work.
- 5.14.4. Acceptance of CITY Infrastructure may be executed in stages. Letters of Acceptance and notification of interim use and operation will be executed in accordance with Section 15, Final Inspection and Project Acceptance of GCA 6486.

6. Redlines and Record Drawings.

- 6.1. For PROJECT work that WSDOT constructs including work performed on behalf of the CITY through a Task Order, WSDOT shall maintain one set of Approved Plans as the official contract drawings and provisions to which WSDOT shall make drawings and notations in either red ink or red pencil to show the constructed configuration of all infrastructure that deviates from the design and contract requirements shown in the Approved Plans as typically recorded pursuant to WSDOT and City of Seattle standard practices. These documents shall be referred to as the red-line plans.
- 6.2. The red-line plans shall be kept current throughout construction with accurate and comprehensive information detailing the constructed configuration of the infrastructure. The red-line plans shall reflect the same level of detail as the Approved

Plans, and shall provide the drawing accuracy necessary for the CITY and private utility purveyors to locate their respective utilities in accordance with State law.

- 6.3. The STATE Project Engineer and the City Construction Project Engineer shall jointly review the red-line plans monthly to evaluate whether the red-line plans reflect a current, accurate and comprehensive record of the constructed configuration of the infrastructure. If the STATE Project Engineer or the City Construction Project Engineer determines that the Red-Line Plans are not current, accurate or comprehensive, WSDOT shall immediately revise the red-line plans to remedy deficiencies.
- 6.4. Prior to placing CITY Infrastructure into service during the course of construction, WSDOT shall provide the CITY with color photocopies of portions of the red-line plans showing the constructed configuration of the CITY Infrastructure being placed into service.
- 6.5. WSDOT shall submit one color set of the completed red-line plans prior to the Parties executing a Letter of Acceptance provided for in Section 15 of GCA 6486.
- 6.6. All record drawings for CITY Infrastructure shall comply with the digital and graphical standards of the City of Seattle Inter-Departmental CADD Standards.
- 6.7. A transmittal of record drawings shall include two (2) full-scale bond copies plus the digital files meeting with the requirements established above.

7. Task Order Invoicing and Payment

- 7.1. Invoicing. The PARTIES shall invoice each other monthly based on work progress and cost expenditures. Invoices shall be submitted to the receiving PARTY within thirty (30) calendar days after the end of the month in which the work was performed, with the exception of CITY invoicing to the STATE which may occur within sixty (60) calendar days after the end of the month in which the work was performed.
 - 7.1.1. Invoices shall include a reference to the Task Order under which the invoiced services were authorized, the billing period, and a summary of the work performed during the billing period, total value of the invoice, total amount invoiced to date, the budgeted amount, and amount remaining. Invoices will provide an appropriate level of supported detail for the agreed approach to reimbursement. Actual cost reimbursement will be by unit cost or time and materials.
 - 7.1.1.1. In addition to requirements of section 7.1.1, unit cost reimbursement will include a schedule of values, percent complete for each bid item, total quantity for each bid item, itemized list of materials-on-hand quantities, and itemized indirect charges/rates as appropriate.

7.1.1.2. In addition to requirements of Section 7.1.1, for work performed on a time and materials basis, the invoice will include a list of personnel, and equipment employed to complete the invoiced work and the itemized hours and rates for each person and piece of equipment, itemized materials list with cost and quantity used, and itemized indirect charges/rates as appropriate.

7.1.1.3. Billings for non-salary costs, directly identifiable with the PROJECT, shall include an itemized listing of the charges. The PARTIES shall retain copies of original invoices, expense accounts, and miscellaneous supporting data and shall supply copies of the original supporting documents and/or accounting records to the PARTY upon request.

7.1.2. To ensure prompt payment, the PARTIES will mail via United States Postal Service invoices and appropriate supporting materials to the Designated Representatives as described in Section 25 of GCA 6486 or in the appropriate Task Order.

7.1.3. Invoices must be signed by an authorized representative of the issuing PARTY who shall verify that the invoice is accurate, the services have been purchased or the work has been performed, and that the costs shown have been reasonably incurred in accordance with this Agreement, UT 01476 (SCL Agreement) or UT 01474 (SPU Agreement).

7.2. Reimbursement. Monthly progress payments for reimbursable costs under this Agreement, UT 01476 (SCL Agreement) or UT 01474 (SPU Agreement), shall be made upon the completion and documentation of the work in support of invoices as described in Section 7.1 above. Within forty-five (45) calendar days after a PARTY'S receipt of any complete and accurate invoice, the invoiced PARTY shall remit the reimbursement. The PARTIES will work cooperatively to resolve issues related to the accuracy of these invoices so as to avoid any delay in payment. Any invoiced expenditure unsupported by appropriate documentation shall be identified in writing and not included in the reimbursement; provided, however, that the presence of unsupported items within an invoice shall not delay payment of those items that are supported by appropriate documentation. It is agreed that any partial payment under a Task Order will not constitute agreement as to the appropriateness of services and that, at the time of final audit, all required adjustments will be made and reflected in a final payment.

7.3. In addition, the PARTIES may require other financial documents to verify that the amounts invoiced are included within the budgeted scope of each Task Order, including, but not limited to, (1) work statements or payroll records, (2) invoices for materials and supplies, (3) statements from professionals for services rendered, (4) certifications by the PARTIES that materials and services are satisfactorily rendered,

and (5) itemized listings of the charges supported by copies of original bills, invoices, expense accounts, and miscellaneous supporting data retained by the PARTIES.

- 7.4. **Monitoring and Reporting of Progress.** The PARTIES are committed to working cooperatively and efficiently and will closely monitor the time required to complete work products consistent with the scope of work and budget for each Task Order. The PARTIES shall provide clear, accurate and detailed monthly progress reports to each other by the 20th of the succeeding month. The PARTIES shall further refine progress reporting, accounting and program management systems as they agree, in order to ensure useful and descriptive information that complements each PARTY'S project control system. The PARTY performing work authorized in a Task Order shall provide active, ongoing oversight to ensure that public funds are expended efficiently.
- 7.5. **Reconciliation.** The PARTIES agree to monitor and reconcile the actual versus estimated Task Order work and costs on a quarterly basis. The PARTIES will negotiate additional funding or a reduction in services relating to a Task Order to the extent that such work cannot be performed within the estimate of compensation and expense reimbursement due for the services delivered and work performed. Each PARTY will rely on information contained in the progress reports to identify changes in the work as reported on by the other PARTY in order to have the opportunity to take corrective action or clarify assumed work efforts.
- 7.6. The PARTIES agrees to submit a final invoice to the PARTY within ninety (90) calendar days after completion of a Task Order.
- 7.7. **Availability of Records.** All PROJECT records in support of all costs incurred and actual expenditures kept by the PARTIES shall be maintained in accordance with procedures prescribed by the Washington State Auditor's Office and the applicable Federal funding agencies. The records shall be open to inspection by the PARTIES and the Federal government during normal business hours, and shall be retained and made available for such inspection for a period of not less than six (6) years from the final payment of any federal aid funds to the PARTIES. Copies of said records shall be furnished to the PARTIES and/or the Federal government upon request. This requirement shall be included in all third-party contracts related to the work entered into by the CITY to fulfill the terms of this Agreement, UT 01476 (SCL Agreement) or UT 01474 (SPU Agreement).
- 7.8. **Audit.** If an audit is requested by the PARTIES or required by any applicable Federal agency requirements, the PARTIES agree to cooperate fully with any such audit and provide documentation as is requested in support of all costs.

MEMORANDUM OF AGREEMENT
NO. GCA 6486
SR 99 ALASKAN WAY VIADUCT
PROPERTY, ENVIRONMENTAL REMEDIATION, DESIGN REVIEW,
PERMITTING, AND CONSTRUCTION COORDINATION
AGREEMENT
FOR SR 99 BORED TUNNEL PROJECT

EXHIBIT C
TASK ORDER TEMPLATE



Task Order

Task Order Title [enter short title for reference]	Task Order Number WSDOT-001 [example] [Insert "Amendment" here if this TO is an amendment to a previous TO]
Requesting Agency [enter name of agency requesting services]	Requesting Agency Account Number [enter accounting numbers/codes]
Service Agency [enter name of agency providing services]	Service Agency Account Number [enter accounting numbers/codes]
Notice to Proceed Date [enter start date]	Task Order Amount \$ [enter authorized task order amount]
Completion Date [enter completion or termination date]	

Task Order Provisions

- 1.0 The Requesting Agency and Service Agency shall issue, conduct and administer this Task Order in compliance with all the provisions of the following Memoranda of Agreement between the State of Washington Department of Transportation and the City of Seattle: GCA 6486, UT 01474 and UT 01476.
- 2.0 The provisions of this Task Order can only be revised through a mutually executed amendment to this Task Order.

3.0 Background

[Insert narrative on the need for this scope of services]
 [If this Task Order amends a previous task order, explain the circumstances and need for amendment]
 [Denote whether City services are in direct support of known WSDOT contract work and if so which WSDOT contract]
 [Denote whether WSDOT services are intended to fulfill the City's obligations to the Project or are a betterment opportunity to improve City facilities in conjunction with the project]
 [Reference all other relevant project contracts, task orders and work]

4.0 Scope of Services

[Provide a narrative defining the scope of services]

[Reference any attached graphics, plans, specifications, photos or other materials that aid in defining the scope of services]
[List any services specific to the administration of this Task Order including services related to accounting, and measurement and payment services to be provided by the Service Agency]

5.0 Schedule

[Insert schedule milestone dates including the required completion date]
[Reference any attached schedule]

6.0 Task Order Amount

[Reference and attach detailed estimates for the contract amount, as may be appropriate]

7.0 Assumptions and Exclusions

[Insert any assumptions and exclusions pertinent to the development of the scope of services, schedule, and/or task order amount]

8.0 Designated Representatives

WSDOT Representative & Phone Number:
City Representative & Phone Number:

In consideration of the provisions contained herein, or attached and incorporated and made part hereof, the Requesting Agency and the Service Agency have executed this Task Order as of the last date written below.

Requesting Agency
[enter agency name]

Service Agency
[enter agency name]

[enter name of agency signatory]
[enter title of agency signatory]

[enter name of agency signatory]
[enter title of agency signatory]

Date

Date

EXHIBIT D TO MEMORANDUM OF AGREEMENT NO. GCA 6486

1. Relocated surface street within existing City right-of-way between South King Street and Battery Street consisting of the following three segments: 1) Relocated and reconstructed Alaskan Way between King Street and Pike Street with the necessary elements to accommodate efficient and safe cross traffic movements; 2) a new surface street climbing the hill west of the Pike Place Market from the intersection of Pike Street and Alaskan Way to the intersection of Blanchard Street and Elliot Avenue, including a bridge crossing over the BNSF mainline; 3) final connections from Alaskan Way to Elliott and Western Avenues between Blanchard Street and Battery Street. These streets will be designed to serve all anticipated users, including automobiles, transit, freight, bicycles and pedestrians
2. Demolition, salvage and recycling of the existing Alaskan Way Viaduct and access ramps between S King Street and the Battery Street tunnel;
3. Demolition of the on and off ramps to the existing viaduct at Columbia and Seneca Streets and associated restoration of Columbia and Seneca Streets between Alaskan Way and First Avenue.
4. Replacement, rehabilitation or protection-in-place of the Marion Street pedestrian bridge, as determined feasible, consistent with Item #1 above, and in consideration of the demolition method(s) of the Alaskan Way Viaduct in Item #2 above.
5. North and south tunnel ventilation buildings which will be designed in accordance with Section 8 – Urban Design, as stipulated in this agreement;
6. Re-establishment of the City street grid in the vicinity of the portals: John, Thomas and Harrison Streets between Dexter Avenue N and 6th Avenue N; Denny Way between Dexter Avenue N and 6th Avenue N; S. Dearborn Street between Alaskan Way and 1st Avenue S;
7. Battery Street Tunnel decommissioning, including any associated restoration of Battery Street between the Denny Way tunnel portal and Elliot Avenue that is necessary specifically due to the tunnel decommissioning method;
8. Total WSDOT budget allocated for PROGRAM elements listed in items 1 through 7 above is estimated at: \$380 million.

NO. GCA 6486

Exhibit E

Advisory Committee on Tolling & Traffic Management

Charge: Make advisory recommendations to WSDOT, the Governor, the Legislature, the Transportation Commission, the Federal Highway Administration (FHWA), the Seattle City Council, and the Seattle Mayor on strategies for: (1) tolling the SR99 bored tunnel, (2) minimizing traffic diversion from the tunnel due to tolling, and (3) mitigating traffic diversion effects on city streets and I-5. These recommendations may be implemented by the State, City of Seattle, Port of Seattle, and/or King County as appropriate. Authority for tolling will require action by the State Legislature, while tolling rates are within the purview of the Transportation Commission.

Staffing: The Advisory Committee will be staffed by managers or policy level staff from WSDOT, SDOT, Port of Seattle, King County, and Council central staff. Staffing will be supported by technical staff from each of the agencies and/or consultant support. The role of staff will be to manage the Advisory Committee's work plan, develop a schedule, frame issues, and review and format technical data for the Advisory Committee's review. WSDOT and the City of Seattle will manage resources from the state's Alaskan Way Viaduct and Seawall Replacement Program budget to cover mutually agreeable staffing and consultant costs to support the Advisory Committee. State and City will jointly facilitate these meetings.

Membership: The Advisory Committee will be comprised of up to 15 members. The Mayor; Seattle City Council; and WSDOT will each appoint one-third of the members. All members will be confirmed by Council. Advisory Committee membership should represent the following types of interests: Freight, retail, drivers, labor, bicycle and pedestrian interests, large employer, waterfront business, adjacent and affected neighborhoods, transit riders, low-income, and others.

Timeline: The Advisory Committee will begin work in March 2011, and it will submit its initial tolling and diversion minimization recommendations by June 2012. Interim milestones will be established by the staff in conjunction with the Advisory Committee members.

The Advisory Committee is expected to continue working to refine its analysis and recommendations through December 2015 (when the deep bored tunnel is scheduled to open to traffic and toll implementation begins). The Advisory Committee will continue its work for up to one year after tolling begins to review the effects of the implemented tolling and diversion minimization strategies and to make further recommendations.

Scope of Work:

The work of the Advisory Committee will take place through an iterative process of reviewing financial goals, assessing the impact of different tolling strategies on traffic using the SR 99 bored tunnel, and evaluating a range of strategies to minimize diversion. The tasks of the committee will include:

1. Review anticipated traffic impacts on city streets and I-5 for different tolling scenarios.
2. Explore ways to:
 - a. Refine the tolling strategy for the SR 99 bored tunnel, including considering variable toll rate, and regional tolling and/or tolling of other state and city facilities.
 - b. Reduce the level of toll revenue to the bored tunnel project by identifying alternative funding source(s).
 - c. Optimize the tolling strategy for the SR 99 bored tunnel to balance accomplishing state funding goals while minimizing diversion of traffic.
3. Assess various strategies for minimizing and mitigating adverse effects of traffic diversion from tolled SR99 onto city streets through optimizing traffic flows and/or restricting or limiting traffic, including, but not limited to:
 - a. Setting priorities for street use by time of day for various users (cars, trucks, bicycles, pedestrians, transit, parking consistent with City's complete streets policy goals;
 - b. Identify opportunities for traffic calming, and other restrictions on certain modes of travel;
 - c. Creating "transit first" policies through transit priority streets and other methods to improve transit speed and reliability;
 - d. Using other traffic demand management measures;
 - e. Funding enhanced transit services and vanpools.
4. Assess various strategies for minimizing and mitigating diversion of traffic onto I-5 and other state facilities through optimizing traffic flow and/or restricting or limiting traffic, including, but not limited to:
 - a. Modifying I-5 operations, including the express lanes and on and off-ramps in the City;
 - b. Extending the use of intelligent transportation systems on I-5 through the City.
5. Develop specific transportation plans for the north and south portal areas to more specifically identify street uses, traffic flows, and treatments. This work should also implement other recommendations of the Center City Strategy.

Appendix M

Engrossed Substitute Senate Bill (ESSB) 5768
Laws of 2009

CERTIFICATION OF ENROLLMENT

ENGROSSED SUBSTITUTE SENATE BILL 5768

Chapter 458, Laws of 2009

61st Legislature
2009 Regular Session

ALASKAN WAY VIADUCT REPLACEMENT PROJECT

EFFECTIVE DATE: 07/01/09

Passed by the Senate April 24, 2009
YEAS 39 NAYS 9

BRAD OWEN

President of the Senate

Passed by the House April 22, 2009
YEAS 53 NAYS 43

FRANK CHOPP

Speaker of the House of Representatives

Approved May 12, 2009, 2:29 p.m.

CHRISTINE GREGOIRE

Governor of the State of Washington

CERTIFICATE

I, Thomas Hoemann, Secretary of the Senate of the State of Washington, do hereby certify that the attached is **ENGROSSED SUBSTITUTE SENATE BILL 5768** as passed by the Senate and the House of Representatives on the dates hereon set forth.

THOMAS HOEMANN

Secretary

FILED

May 13, 2009

**Secretary of State
State of Washington**

ENGROSSED SUBSTITUTE SENATE BILL 5768

AS AMENDED BY THE HOUSE

Passed Legislature - 2009 Regular Session

State of Washington 61st Legislature 2009 Regular Session

By Senate Transportation (originally sponsored by Senators Murray, Jarrett, Swecker, Haugen, and Kohl-Welles)

READ FIRST TIME 02/20/09.

1 AN ACT Relating to identifying the final design for the state route
2 number 99 Alaskan Way viaduct replacement project as a deep bore
3 tunnel; adding a new section to chapter 47.01 RCW; creating a new
4 section; providing an effective date; and declaring an emergency.

5 BE IT ENACTED BY THE LEGISLATURE OF THE STATE OF WASHINGTON:

6 NEW SECTION. **Sec. 1.** A new section is added to chapter 47.01 RCW
7 to read as follows:

8 (1) The legislature finds that the replacement of the vulnerable
9 state route number 99 Alaskan Way viaduct is a matter of urgency for
10 the safety of Washington's traveling public and the needs of the
11 transportation system in central Puget Sound. The state route number
12 99 Alaskan Way viaduct is susceptible to damage, closure, or
13 catastrophic failure from earthquakes and tsunamis. Additionally, the
14 viaduct serves as a vital route for freight and passenger vehicles
15 through downtown Seattle.

16 Since 2001, the department has undertaken an extensive evaluation
17 of multiple options to replace the Alaskan Way viaduct, including an
18 initial evaluation of seventy-six conceptual alternatives and a more
19 detailed analysis of five alternatives in 2004. In addition to a

1 substantial technical review, the department has also undertaken
2 considerable public outreach, which included consultation with a
3 stakeholder advisory committee that met sixteen times over a thirteen-
4 month period.

5 Therefore, it is the conclusion of the legislature that time is of
6 the essence, and that Washington state cannot wait for a disaster to
7 make it fully appreciate the urgency of the need to replace this
8 vulnerable structure. The state shall take the necessary steps to
9 expedite the environmental review and design processes to replace the
10 Alaskan Way viaduct with a deep bore tunnel under First Avenue from the
11 vicinity of the sports stadiums in Seattle to Aurora Avenue north of
12 the Battery Street tunnel. The tunnel must include four general
13 purpose lanes in a stacked formation.

14 (2) The state route number 99 Alaskan Way viaduct replacement
15 project finance plan must include state funding not to exceed two
16 billion four hundred million dollars and must also include no more than
17 four hundred million dollars in toll revenue. These funds must be used
18 solely to build a replacement tunnel, as described in subsection (1) of
19 this section, and to remove the existing state route number 99 Alaskan
20 Way viaduct. All costs associated with city utility relocations for
21 state work as described in this section must be borne by the city of
22 Seattle and provided in a manner that meets project construction
23 schedule requirements as determined by the department. State funding
24 is not authorized for any utility relocation costs, or for central
25 seawall or waterfront promenade improvements.

26 (3) The department shall provide updated cost estimates for
27 construction of the bored tunnel and also for the full Alaskan Way
28 viaduct replacement project to the legislature and governor by January
29 1, 2010. The department must also consult with independent tunnel
30 engineering experts to review the estimates and risk assumptions. The
31 department shall not enter into a design-build contract for
32 construction of the bored tunnel until the report in this section has
33 been submitted.

34 (4) Any contract the department enters into related to construction
35 of the deep bored tunnel must include incentives and penalties to
36 encourage on-time completion of the project and to minimize the
37 potential for cost overruns.

1 (5) It is important that the public and policymakers have accurate
2 and timely access to information related to the Alaskan Way viaduct
3 replacement project as it proceeds to, and during, construction of all
4 aspects of the project, specifically including but not limited to
5 information regarding costs, schedules, contracts, project status, and
6 neighborhood impacts. Therefore it is the intent of the legislature
7 that the state, city, and county departments of transportation
8 establish a single source of accountability for integration,
9 coordination, tracking, and information of all requisite components of
10 the replacement project, which must include, at minimum:

11 (a) A master schedule of all subprojects included in the full
12 replacement project or program; and

13 (b) A single point of contact for the public, media, stakeholders,
14 and other interested parties.

15 (6) (a) The city and county departments of transportation shall be
16 responsible for the cost, delivery, and associated risks of the project
17 components for which each department is responsible, as outlined in the
18 January 13, 2009, letter of agreement signed by the governor, city, and
19 county.

20 (b) The state's contribution shall not exceed two billion four
21 hundred million dollars. If costs exceed two billion four hundred
22 million dollars, no more than four hundred million of the additional
23 costs shall be financed with toll revenue. Any costs in excess of two
24 billion eight hundred million dollars shall be borne by property owners
25 in the Seattle area who benefit from replacement of the existing
26 viaduct with the deep bore tunnel.

27 (7) Compression brakes may be used by authorized motor vehicles in
28 the deep bore tunnel in a manner consistent with the requirements of
29 RCW 46.37.395.

30 NEW SECTION. **Sec. 2.** The department of transportation must
31 prepare a traffic and revenue study for a state route number 99 deep
32 bore tunnel for the purpose of determining the facility's potential to
33 generate toll revenue. The department shall regularly report to the
34 transportation commission regarding the progress of the study for the
35 purpose of guiding the commission's toll setting on the facility. The
36 study must include the following information:

1 (1) An analysis of the potential diversion from state route number
2 99 to other parts of the transportation system resulting from tolls on
3 the facility;

4 (2) An analysis of potential mitigation measures to offset or
5 reduce diversion from state route number 99;

6 (3) A summary of the amount of revenue generated from tolling the
7 deep bore tunnel; and

8 (4) An analysis of the impact of tolls on the performance of the
9 facility.

10 The department must provide the results of the study to the
11 governor and the legislature by January 2010.

12 NEW SECTION. **Sec. 3.** This act is necessary for the immediate
13 preservation of the public peace, health, or safety, or support of the
14 state government and its existing public institutions, and takes effect
15 July 1, 2009.

Passed by the Senate April 24, 2009.

Passed by the House April 22, 2009.

Approved by the Governor May 12, 2009.

Filed in Office of Secretary of State May 13, 2009.

Appendix N

City of Seattle, City Council Resolution 31323



City of Seattle Legislative Information Service

Information retrieved on April 26, 2012 3:50 PM

Resolution Number: 31323

A RESOLUTION concerning the Alaskan Way Viaduct and Seawall Replacement Program Advisory Committee on Tolling & Traffic Management; stating the Council's intent to convene the Committee to advise the City and the State on options and strategies to raise revenue and to minimize traffic diversion; and appointing some and confirming the membership of the Committee.

Status: Adopted

Date adopted by Full Council: September 19, 2011

Vote: 9-0

Date introduced/referred to committee: September 12, 2011

Committee: Transportation

Sponsor: RASMUSSEN

Committee Recommendation: Adopt

Date of Committee Recommendation: September 13, 2011

Committee Vote: 4 (Rasmussen, Godden, Licata, O'Brien) - 0

(No indexing available for this document)

Fiscal Note: [Fiscal Note to Resolution 31323](#)

Text

RESOLUTION _____

A RESOLUTION concerning the Alaskan Way Viaduct and Seawall Replacement Program Advisory Committee on Tolling & Traffic Management; stating the Council's intent to convene the Committee to advise the City and the State on options and strategies to raise revenue and to minimize traffic diversion; and appointing some and confirming the membership of the Committee.

WHEREAS, in the 1950s, the City of Seattle and the Washington State Department of Transportation jointly designed and built the Alaskan Way Viaduct to accommodate passenger and freight mobility into the foreseeable future; and

WHEREAS, in 2001 the Nisqually earthquake damaged the Alaskan Way Viaduct and Seawall; and

WHEREAS, the Alaskan Way Viaduct and Seawall are at risk of sudden and catastrophic failure in an earthquake and are nearing the end of their useful lives; and

WHEREAS, various studies have determined that it is not fiscally responsible to retrofit the viaduct, and that retrofitting would cause significant construction impacts; and

WHEREAS, the proposed Alaskan Way Viaduct and Seawall Replacement (AWVSR) Program consists of a four-lane bored tunnel and improvements to City streets, the waterfront, and transit, and the Moving Forward Projects; and

WHEREAS, in October 2009, the City Council passed and the Mayor signed Ordinance Number: 123133, which established the Bored Tunnel Alternative as the City's preferred alternative and which authorized a memorandum of agreement between the State of Washington and the City of Seattle; and

WHEREAS, that agreement contemplated that the State and City would negotiate further agreements detailing the State and City's relative rights and responsibilities in the State highway project; and

WHEREAS, In August 2010, the City Council passed Resolution Number: 31235, which expressed the City Council's intent to authorize additional agreements with the State if:

- 1) The State awarded a contract consistent with the Draft Design-Build Contract;
- 2) The State demonstrated it could complete all elements of Washington State Department of Transportation's (WSDOT) Program within the Program Budget;
- 3) The State provided the City with clear documentation identifying all changes between the Draft Design-Build Contract and the awarded construction contract; and
- 4) The State Legislature has not enacted legislation to overturn WSDOT's responsibility for Program costs, including cost overruns, as set out in the proposed agreements between the State and City; and

WHEREAS, those conditions have been met; and,

WHEREAS, Resolution 31235 also restated the City's policy that the State is solely responsible for all costs, including any cost overruns, related to implementing WSDOT's Program;

WHEREAS, Ordinance 123542 accepted Interlocal Agreements offered by WSDOT in order to protect the City's vital interests;

WHEREAS, Exhibit E to the interlocal agreement between SDOT and WSDOT (one of the Interlocal Agreements) calls for the establishment of an Advisory Committee on Tolling & Traffic Management to advise the state and city on strategies to toll the tunnel while minimizing traffic diversion and mitigating diversion impacts on City streets; and

WHEREAS, the State and City have published a completed Final Environmental Impact Statement (FEIS) identifying the Tolloed Bored Tunnel as the preferred alternative; and

WHEREAS, and the Federal Highway Administration issued a Record of Decision approving the decision to construct the preferred alternative identified in the FEIS; NOW, THEREFORE,

BE IT RESOLVED BY THE CITY COUNCIL OF THE CITY OF SEATTLE, THE

MAYOR CONCURRING, THAT:

Section 1. The Council intends to convene the Alaskan Way Viaduct and Seawall Replacement Program (AWVSRP) Advisory Committee on Tolling & Traffic Management (ACTT) to advise the City and the State on options and strategies to raise revenue and to minimize traffic diversion.

Section 2. The City Council appoints the following five individuals to serve on ACTT who will carry out the tasks and duties as set out in Sections 4-7 of this Resolution:

1. Charley Royer
2. Henry Yates
3. Bob Davidson
4. Rob Johnson
5. Phil Fujii

The City Council hereby confirms the following five individuals who were appointed by the Mayor to serve on the ACTT to carry out the tasks and duties as set out in Sections 4-7 of this Resolution:

1. Anne Goodchild
2. Marcus Charles
3. Sharon Maeda
4. Peg Staehli
5. Tessa Gregor

The City Council hereby confirms the following five individuals who were appointed by Washington State Department of Transportation (WSDOT) to serve on the ACTT to carry out the tasks and duties as set out in Sections 4-7 of this Resolution:

1. Maud Daudon
2. Sung Yang
3. Claudia Balducci
4. Kurt Beckett
5. Rick Bender

Section 3. The ACTT will be staffed by managers or policy level staff from WSDOT, SDOT, Port of Seattle, King County, and Council central staff. Staffing will be supported by technical staff from each of the agencies and/or consultant support. The role of staff will be to manage the ACTT's work plan, develop a schedule, frame issues, and review and format technical data for the ACTT's review. WSDOT and the City of Seattle will manage resources from the state's AWVSRP budget to cover mutually agreeable staffing and consultant costs to support the ACTT. WSDOT and the City will jointly facilitate these meetings.

Section 4. The ACTT will make advisory recommendations to WSDOT, the Governor, the Legislature, the Transportation Commission, the Federal Highway Administration (FHWA), the Seattle City Council, and the Seattle Mayor on strategies for:

- (1) tolling the SR99 bored tunnel;
- (2) minimizing traffic diversion from the tunnel due to tolling; and
- (3) mitigating traffic diversion effects on city streets and I-5.

These recommendations may be implemented by the State, City of Seattle, Port of Seattle, and/or King County as appropriate. Authority for tolling will require future action by the State Legislature, while tolling rates are within the purview of the Washington State Transportation Commission.

Section 5. The ACTT is expected to begin work in October 2011, and it will submit its initial tolling and diversion minimization recommendations by December 2012. Interim milestones will be established by the staff in conjunction with the ACTT members.

Section 6. The ACTT is expected to continue working to refine its analysis and recommendations through December 2015 (when the deep bored tunnel is anticipated to open to traffic and also when toll implementation begins). The ACTT will continue its work for up to one year after tolling begins to review the effects of the implemented tolling and diversion minimization strategies and to make further recommendations.

Section 7. The work of the ACTT will take place through an iterative process of reviewing financial goals, assessing the impact of different tolling strategies on traffic using the SR 99 bored tunnel, and evaluating a range of strategies to minimize diversion. The tasks of the committee will include:

A. Review anticipated traffic impacts on City streets and I-5 for different tolling scenarios.

B. Explore ways to:

- 1) Refine the tolling strategy for the SR 99 bored tunnel, including considering variable toll rate, and regional tolling and/or tolling of other state and city facilities.
- 2) Reduce the level of toll revenue to the bored tunnel project by identifying alternative funding source (s).
- 3) Optimize the tolling strategy for the SR 99 bored tunnel to balance accomplishing state funding goals while minimizing diversion of traffic.

C. Assess various strategies for minimizing and mitigating adverse effects of traffic diversion from tolled SR99 onto city streets through optimizing traffic flows and/or restricting or limiting traffic, including, but not limited to:

- 1) Setting priorities for street use by time of day for various users (cars, trucks, bicycles, pedestrians, transit, parking consistent with City's complete streets policy goals;
- 2) Identify opportunities for traffic calming, and other restrictions on certain modes of travel;
- 3) Creating "transit first" policies through transit priority streets and other methods to improve transit speed and reliability;
- 4) Using other traffic demand management measures;
- 5) Funding enhanced transit services and vanpools.

D. Assess various strategies for minimizing and mitigating diversion of traffic onto I-5 and other state facilities through optimizing traffic flow and/or restricting or limiting traffic, including, but not limited to:

- 1) Modifying I-5 operations, including the express lanes and on and off-ramps in the City;
- 2) Extending the use of intelligent transportation systems on I-5 through the City.

E. Develop specific transportation plans for the north and south portal areas to more specifically identify street uses, traffic flows, and treatments. This work should also implement other recommendations of the Center City Strategy.

Adopted by the City Council the ____ day of _____, 2011, and signed by me in open session in authentication of its adoption this _____ day of _____, 2011.

President _____ of the City Council

THE MAYOR CONCURRING:

Michael McGinn, Mayor

Filed by me this ____ day of _____, 2011.

City Clerk

(Seal)

Dan Eder/de Alaskan Way Viaduct Replacement Tolling Committee Resolution August 31, 2011 Version #3a



Appendix O

Washington State Legislature
Substitute Senate Bill (SSB) 6444, Laws of Washington State 2012

CERTIFICATION OF ENROLLMENT

SUBSTITUTE SENATE BILL 6444

Chapter 83, Laws of 2012

62nd Legislature
2012 Regular Session

ALASKAN WAY VIADUCT REPLACEMENT--TOLL FACILITY

EFFECTIVE DATE: 06/07/12

Passed by the Senate February 11, 2012
YEAS 42 NAYS 5

BRAD OWEN

President of the Senate

Passed by the House March 3, 2012
YEAS 77 NAYS 19

FRANK CHOPP

Speaker of the House of Representatives

Approved March 23, 2012, 12:13 p.m.

CHRISTINE GREGOIRE

Governor of the State of Washington

CERTIFICATE

I, Thomas Hoemann, Secretary of the Senate of the State of Washington, do hereby certify that the attached is **SUBSTITUTE SENATE BILL 6444** as passed by the Senate and the House of Representatives on the dates hereon set forth.

THOMAS HOEMANN

Secretary

FILED

March 23, 2012

**Secretary of State
State of Washington**

SUBSTITUTE SENATE BILL 6444

Passed Legislature - 2012 Regular Session

State of Washington

62nd Legislature

2012 Regular Session

By Senate Transportation (originally sponsored by Senators Haugen and Fain; by request of Department of Transportation)

READ FIRST TIME 02/07/12.

1 AN ACT Relating to eligible toll facilities; amending RCW 46.63.075
2 and 46.63.170; reenacting and amending RCW 43.84.092 and 46.16A.120;
3 adding new sections to chapter 47.56 RCW; creating a new section; and
4 repealing 2010 c 161 s 1126.

5 BE IT ENACTED BY THE LEGISLATURE OF THE STATE OF WASHINGTON:

6 NEW SECTION. **Sec. 1.** The legislature finds that there is an
7 urgent need to replace the central waterfront section of state route
8 number 99, known as the Alaskan Way viaduct, because the viaduct is
9 vulnerable to closure, damage, or catastrophic failure as a result of
10 earthquakes or other events. In 2009, the legislature determined that
11 the finance plan for the Alaskan Way viaduct replacement project should
12 include no more than four hundred million dollars in toll funding for
13 the project.

14 Therefore, it is the intent of the legislature to authorize tolling
15 on the Alaskan Way viaduct replacement project, both to help finance
16 the Alaskan Way viaduct replacement project and to help maintain travel
17 time, speed, and reliability on the portion of state route number 99
18 that would be replaced by this project.

1 NEW SECTION. **Sec. 2.** A new section is added to chapter 47.56 RCW
2 under the subchapter heading "toll facilities created after July 1,
3 2008" to read as follows:

4 (1) The initial imposition of tolls on the portion of state route
5 number 99 that is the deep bore tunnel under First Avenue from the
6 vicinity of the sports stadiums in Seattle to Aurora Avenue north of
7 the Battery Street tunnel is authorized, this portion of state route
8 number 99 is designated an eligible toll facility, and toll revenue
9 generated from this facility must only be expended as allowed under RCW
10 47.56.820.

11 (2) The toll imposed under this section must be charged only for
12 travel on the portion of state route number 99 that is a deep bore
13 tunnel.

14 (3)(a) In setting toll rates for the deep bore tunnel portion of
15 state route number 99 pursuant to RCW 47.56.850, the tolling authority
16 shall set a variable schedule of toll rates to maintain travel time,
17 speed, and reliability on this facility and generate the necessary
18 revenue as required under (b) of this subsection.

19 (b) The tolling authority may adjust the variable schedule of toll
20 rates at least annually to reflect inflation as measured by the
21 consumer price index to meet the redemption of bonds, to meet the
22 obligations of the tolling authority under RCW 47.56.850, and interest
23 payments on bonds and for those costs that are eligible under RCW
24 47.56.820.

25 NEW SECTION. **Sec. 3.** A new section is added to chapter 47.56 RCW
26 under the subchapter heading "toll facilities created after July 1,
27 2008" to read as follows:

28 A special account to be known as the Alaskan Way viaduct
29 replacement project account is created in the state treasury.

30 (1) Deposits to the account must include:

31 (a) All proceeds of bonds issued for construction of the Alaskan
32 Way viaduct replacement project, including any capitalized interest;

33 (b) All of the tolls and other revenues received from the operation
34 of the Alaskan Way viaduct replacement project as a toll facility, to
35 be deposited at least monthly;

36 (c) Any interest that may be earned from the deposit or investment
37 of those revenues;

1 (d) Notwithstanding RCW 47.12.063, proceeds from the sale of any
2 surplus real property acquired for the purpose of building the Alaskan
3 Way viaduct replacement project; and

4 (e) All damages, liquidated or otherwise, collected under any
5 contract involving the construction of the Alaskan Way viaduct
6 replacement project.

7 (2) Subject to the covenants made by the state in the bond
8 proceedings authorizing the issuance and sale of bonds for the
9 construction of the Alaskan Way viaduct replacement project, toll
10 charges, other revenues, and interest received from the operation of
11 the Alaskan Way viaduct replacement project as a toll facility may be
12 used to:

13 (a) Pay any required costs allowed under RCW 47.56.820; and

14 (b) Repay amounts to the motor vehicle fund as required.

15 (3) When repaying the motor vehicle fund, the state treasurer shall
16 transfer funds from the Alaskan Way viaduct replacement project account
17 to the motor vehicle fund on or before each debt service date for bonds
18 issued for the construction of the Alaskan Way viaduct replacement
19 project in an amount sufficient to repay the motor vehicle fund for
20 amounts transferred from that fund to the highway bond retirement fund
21 to provide for any bond principal and interest due on that date. The
22 state treasurer may establish subaccounts for the purpose of
23 segregating toll charges, bond sale proceeds, and other revenues.

24 **Sec. 4.** RCW 43.84.092 and 2011 1st sp.s. c 16 s 6, 2011 1st sp.s.
25 c 7 s 22, 2011 c 369 s 6, 2011 c 339 s 1, 2011 c 311 s 9, 2011 c 272 s
26 3, 2011 c 120 s 3, and 2011 c 83 s 7 are each reenacted and amended to
27 read as follows:

28 (1) All earnings of investments of surplus balances in the state
29 treasury shall be deposited to the treasury income account, which
30 account is hereby established in the state treasury.

31 (2) The treasury income account shall be utilized to pay or receive
32 funds associated with federal programs as required by the federal cash
33 management improvement act of 1990. The treasury income account is
34 subject in all respects to chapter 43.88 RCW, but no appropriation is
35 required for refunds or allocations of interest earnings required by
36 the cash management improvement act. Refunds of interest to the
37 federal treasury required under the cash management improvement act

1 fall under RCW 43.88.180 and shall not require appropriation. The
2 office of financial management shall determine the amounts due to or
3 from the federal government pursuant to the cash management improvement
4 act. The office of financial management may direct transfers of funds
5 between accounts as deemed necessary to implement the provisions of the
6 cash management improvement act, and this subsection. Refunds or
7 allocations shall occur prior to the distributions of earnings set
8 forth in subsection (4) of this section.

9 (3) Except for the provisions of RCW 43.84.160, the treasury income
10 account may be utilized for the payment of purchased banking services
11 on behalf of treasury funds including, but not limited to, depository,
12 safekeeping, and disbursement functions for the state treasury and
13 affected state agencies. The treasury income account is subject in all
14 respects to chapter 43.88 RCW, but no appropriation is required for
15 payments to financial institutions. Payments shall occur prior to
16 distribution of earnings set forth in subsection (4) of this section.

17 (4) Monthly, the state treasurer shall distribute the earnings
18 credited to the treasury income account. The state treasurer shall
19 credit the general fund with all the earnings credited to the treasury
20 income account except:

21 (a) The following accounts and funds shall receive their
22 proportionate share of earnings based upon each account's and fund's
23 average daily balance for the period: The aeronautics account, the
24 aircraft search and rescue account, the Alaskan Way viaduct replacement
25 project account, the budget stabilization account, the capital vessel
26 replacement account, the capitol building construction account, the
27 Cedar River channel construction and operation account, the Central
28 Washington University capital projects account, the charitable,
29 educational, penal and reformatory institutions account, the cleanup
30 settlement account, the Columbia river basin water supply development
31 account, the Columbia river basin taxable bond water supply development
32 account, the Columbia river basin water supply revenue recovery
33 account, the common school construction fund, the county arterial
34 preservation account, the county criminal justice assistance account,
35 the county sales and use tax equalization account, the deferred
36 compensation administrative account, the deferred compensation
37 principal account, the department of licensing services account, the
38 department of retirement systems expense account, the developmental

1 disabilities community trust account, the drinking water assistance
2 account, the drinking water assistance administrative account, the
3 drinking water assistance repayment account, the Eastern Washington
4 University capital projects account, the Interstate 405 express toll
5 lanes operations account, the education construction fund, the
6 education legacy trust account, the election account, the energy
7 freedom account, the energy recovery act account, the essential rail
8 assistance account, The Evergreen State College capital projects
9 account, the federal forest revolving account, the ferry bond
10 retirement fund, the freight congestion relief account, the freight
11 mobility investment account, the freight mobility multimodal account,
12 the grade crossing protective fund, the public health services account,
13 the health system capacity account, the high capacity transportation
14 account, the state higher education construction account, the higher
15 education construction account, the highway bond retirement fund, the
16 highway infrastructure account, the highway safety account, the high
17 occupancy toll lanes operations account, the hospital safety net
18 assessment fund, the industrial insurance premium refund account, the
19 judges' retirement account, the judicial retirement administrative
20 account, the judicial retirement principal account, the local leasehold
21 excise tax account, the local real estate excise tax account, the local
22 sales and use tax account, the marine resources stewardship trust
23 account, the medical aid account, the mobile home park relocation fund,
24 the motor vehicle fund, the motorcycle safety education account, the
25 multiagency permitting team account, the multimodal transportation
26 account, the municipal criminal justice assistance account, the
27 municipal sales and use tax equalization account, the natural resources
28 deposit account, the oyster reserve land account, the pension funding
29 stabilization account, the perpetual surveillance and maintenance
30 account, the public employees' retirement system plan 1 account, the
31 public employees' retirement system combined plan 2 and plan 3 account,
32 the public facilities construction loan revolving account beginning
33 July 1, 2004, the public health supplemental account, the public
34 transportation systems account, the public works assistance account,
35 the Puget Sound capital construction account, the Puget Sound ferry
36 operations account, the Puyallup tribal settlement account, the real
37 estate appraiser commission account, the recreational vehicle account,
38 the regional mobility grant program account, the resource management

1 cost account, the rural arterial trust account, the rural mobility
2 grant program account, the rural Washington loan fund, the site closure
3 account, the skilled nursing facility safety net trust fund, the small
4 city pavement and sidewalk account, the special category C account, the
5 special wildlife account, the state employees' insurance account, the
6 state employees' insurance reserve account, the state investment board
7 expense account, the state investment board commingled trust fund
8 accounts, the state patrol highway account, the state route number 520
9 civil penalties account, the state route number 520 corridor account,
10 the state wildlife account, the supplemental pension account, the
11 Tacoma Narrows toll bridge account, the teachers' retirement system
12 plan 1 account, the teachers' retirement system combined plan 2 and
13 plan 3 account, the tobacco prevention and control account, the tobacco
14 settlement account, the toll facility bond retirement account, the
15 transportation 2003 account (nickel account), the transportation
16 equipment fund, the transportation fund, the transportation improvement
17 account, the transportation improvement board bond retirement account,
18 the transportation infrastructure account, the transportation
19 partnership account, the traumatic brain injury account, the tuition
20 recovery trust fund, the University of Washington bond retirement fund,
21 the University of Washington building account, the volunteer
22 firefighters' and reserve officers' relief and pension principal fund,
23 the volunteer firefighters' and reserve officers' administrative fund,
24 the Washington judicial retirement system account, the Washington law
25 enforcement officers' and firefighters' system plan 1 retirement
26 account, the Washington law enforcement officers' and firefighters'
27 system plan 2 retirement account, the Washington public safety
28 employees' plan 2 retirement account, the Washington school employees'
29 retirement system combined plan 2 and 3 account, the Washington state
30 economic development commission account, the Washington state health
31 insurance pool account, the Washington state patrol retirement account,
32 the Washington State University building account, the Washington State
33 University bond retirement fund, the water pollution control revolving
34 fund, and the Western Washington University capital projects account.
35 Earnings derived from investing balances of the agricultural permanent
36 fund, the normal school permanent fund, the permanent common school
37 fund, the scientific permanent fund, and the state university permanent
38 fund shall be allocated to their respective beneficiary accounts.

1 (b) Any state agency that has independent authority over accounts
2 or funds not statutorily required to be held in the state treasury that
3 deposits funds into a fund or account in the state treasury pursuant to
4 an agreement with the office of the state treasurer shall receive its
5 proportionate share of earnings based upon each account's or fund's
6 average daily balance for the period.

7 (5) In conformance with Article II, section 37 of the state
8 Constitution, no treasury accounts or funds shall be allocated earnings
9 without the specific affirmative directive of this section.

10 **Sec. 5.** RCW 46.16A.120 and 2011 c 375 s 9 and 2011 c 375 s 8 are
11 each reenacted and amended to read as follows:

12 (1) Each court and government agency located in this state having
13 jurisdiction over standing, stopping, and parking violations, the use
14 of a photo toll system under RCW 46.63.160, the use of automated
15 traffic safety cameras under RCW 46.63.170, and the use of automated
16 school bus safety cameras under RCW 46.63.180 may forward to the
17 department any outstanding:

18 (a) Standing, stopping, and parking violations;

19 (b) Civil penalties for toll nonpayment detected through the use of
20 photo toll systems issued under RCW 46.63.160;

21 (c) Automated traffic safety camera infractions issued under RCW
22 46.63.030(1)(d); and

23 (d) Automated school bus safety camera infractions issued under RCW
24 (~~46.63.160~~) 46.63.030(1)(e).

25 (2) Violations, civil penalties, and infractions described in
26 subsection (1) of this section must be reported to the department in
27 the manner described in RCW 46.20.270(3).

28 (3) The department shall:

29 (a) Record the violations, civil penalties, and infractions on the
30 matching vehicle records; and

31 (b) Send notice approximately one hundred twenty days in advance of
32 the current vehicle registration expiration date to the registered
33 owner listing the dates and jurisdictions in which the violations,
34 civil penalties, and infractions occurred, the amounts of unpaid fines
35 and penalties, and the surcharge to be collected. Only those
36 violations, civil penalties, and infractions received by the department
37 one hundred twenty days or more before the current vehicle registration

1 expiration date will be included in the notice. Violations, civil
2 penalties, and infractions received by the department later than one
3 hundred twenty days before the current vehicle registration expiration
4 date that are not satisfied will be delayed until the next vehicle
5 registration expiration date.

6 (4) The department, county auditor or other agent, or subagent
7 appointed by the director shall not renew a vehicle registration if
8 there are any outstanding standing, stopping, and parking violations,
9 and other civil penalties issued under RCW 46.63.160 for the vehicle
10 unless:

11 (a) The outstanding standing, stopping, or parking violations and
12 civil penalties were received by the department within one hundred
13 twenty days before the current vehicle registration expiration;

14 (b) There is a change in registered ownership; or

15 (c) The registered owner presents proof of payment of each
16 violation, civil penalty, and infraction provided in this section and
17 the registered owner pays the surcharge required under RCW 46.17.030.

18 (5) The department shall:

19 (a) Forward a change in registered ownership information to the
20 court or government agency who reported the outstanding violations,
21 civil penalties, or infractions; and

22 (b) Remove the outstanding violations, civil penalties, and
23 infractions from the vehicle record.

24 **Sec. 6.** RCW 46.63.075 and 2011 c 375 s 7 are each amended to read
25 as follows:

26 (1) In a traffic infraction case involving an infraction detected
27 through the use of an automated traffic safety camera under RCW
28 46.63.170 or detected through the use of an automated school bus safety
29 camera under RCW 46.63.180, proof that the particular vehicle described
30 in the notice of traffic infraction was in violation of any such
31 provision of RCW 46.63.170 and 46.63.180, together with proof that the
32 person named in the notice of traffic infraction was at the time of the
33 violation the registered owner of the vehicle, constitutes in evidence
34 a prima facie presumption that the registered owner of the vehicle was
35 the person in control of the vehicle at the point where, and for the
36 time during which, the violation occurred.

1 (2) This presumption may be overcome only if the registered owner
2 states, under oath, in a written statement to the court or in testimony
3 before the court that the vehicle involved was, at the time, stolen or
4 in the care, custody, or control of some person other than the
5 registered owner.

6 **Sec. 7.** RCW 46.63.170 and 2011 c 367 s 704 are each amended to
7 read as follows:

8 (1) The use of automated traffic safety cameras for issuance of
9 notices of infraction is subject to the following requirements:

10 (a) The appropriate local legislative authority must first enact an
11 ordinance allowing for their use to detect one or more of the
12 following: Stoplight, railroad crossing, or school speed zone
13 violations. At a minimum, the local ordinance must contain the
14 restrictions described in this section and provisions for public notice
15 and signage. Cities and counties using automated traffic safety
16 cameras before July 24, 2005, are subject to the restrictions described
17 in this section, but are not required to enact an authorizing
18 ordinance.

19 (b) Use of automated traffic safety cameras is restricted to two-
20 arterial intersections, railroad crossings, and school speed zones
21 only.

22 (c) During the 2011-2013 fiscal biennium, automated traffic safety
23 cameras may be used to detect speed violations for the purposes of
24 section 201(2), chapter 367, Laws of 2011 if the local legislative
25 authority first enacts an ordinance authorizing the use of cameras to
26 detect speed violations.

27 (d) Automated traffic safety cameras may only take pictures of the
28 vehicle and vehicle license plate and only while an infraction is
29 occurring. The picture must not reveal the face of the driver or of
30 passengers in the vehicle.

31 (e) A notice of infraction must be mailed to the registered owner
32 of the vehicle within fourteen days of the violation, or to the renter
33 of a vehicle within fourteen days of establishing the renter's name and
34 address under subsection (3)(a) of this section. The law enforcement
35 officer issuing the notice of infraction shall include with it a
36 certificate or facsimile thereof, based upon inspection of photographs,
37 microphotographs, or electronic images produced by an automated traffic

1 safety camera, stating the facts supporting the notice of infraction.
2 This certificate or facsimile is prima facie evidence of the facts
3 contained in it and is admissible in a proceeding charging a violation
4 under this chapter. The photographs, microphotographs, or electronic
5 images evidencing the violation must be available for inspection and
6 admission into evidence in a proceeding to adjudicate the liability for
7 the infraction. A person receiving a notice of infraction based on
8 evidence detected by an automated traffic safety camera may respond to
9 the notice by mail.

10 (f) The registered owner of a vehicle is responsible for an
11 infraction under RCW 46.63.030(1)((e)) (d) unless the registered
12 owner overcomes the presumption in RCW 46.63.075, or, in the case of a
13 rental car business, satisfies the conditions under subsection (3) of
14 this section. If appropriate under the circumstances, a renter
15 identified under subsection (3)(a) of this section is responsible for
16 an infraction.

17 (g) Notwithstanding any other provision of law, all photographs,
18 microphotographs, or electronic images prepared under this section are
19 for the exclusive use of law enforcement in the discharge of duties
20 under this section and are not open to the public and may not be used
21 in a court in a pending action or proceeding unless the action or
22 proceeding relates to a violation under this section. No photograph,
23 microphotograph, or electronic image may be used for any purpose other
24 than enforcement of violations under this section nor retained longer
25 than necessary to enforce this section.

26 (h) All locations where an automated traffic safety camera is used
27 must be clearly marked by placing signs in locations that clearly
28 indicate to a driver that he or she is entering a zone where traffic
29 laws are enforced by an automated traffic safety camera.

30 (i) If a county or city has established an authorized automated
31 traffic safety camera program under this section, the compensation paid
32 to the manufacturer or vendor of the equipment used must be based only
33 upon the value of the equipment and services provided or rendered in
34 support of the system, and may not be based upon a portion of the fine
35 or civil penalty imposed or the revenue generated by the equipment.

36 (2) Infractions detected through the use of automated traffic
37 safety cameras are not part of the registered owner's driving record
38 under RCW 46.52.101 and 46.52.120. Additionally, infractions generated

1 by the use of automated traffic safety cameras under this section shall
2 be processed in the same manner as parking infractions, including for
3 the purposes of RCW 3.50.100, 35.20.220, 46.16A.120, and 46.20.270(3).
4 However, the amount of the fine issued for an infraction generated
5 through the use of an automated traffic safety camera shall not exceed
6 the amount of a fine issued for other parking infractions within the
7 jurisdiction.

8 (3) If the registered owner of the vehicle is a rental car
9 business, the law enforcement agency shall, before a notice of
10 infraction being issued under this section, provide a written notice to
11 the rental car business that a notice of infraction may be issued to
12 the rental car business if the rental car business does not, within
13 eighteen days of receiving the written notice, provide to the issuing
14 agency by return mail:

15 (a) A statement under oath stating the name and known mailing
16 address of the individual driving or renting the vehicle when the
17 infraction occurred; or

18 (b) A statement under oath that the business is unable to determine
19 who was driving or renting the vehicle at the time the infraction
20 occurred because the vehicle was stolen at the time of the infraction.
21 A statement provided under this subsection must be accompanied by a
22 copy of a filed police report regarding the vehicle theft; or

23 (c) In lieu of identifying the vehicle operator, the rental car
24 business may pay the applicable penalty.

25 Timely mailing of this statement to the issuing law enforcement
26 agency relieves a rental car business of any liability under this
27 chapter for the notice of infraction.

28 (4) Nothing in this section prohibits a law enforcement officer
29 from issuing a notice of traffic infraction to a person in control of
30 a vehicle at the time a violation occurs under RCW 46.63.030(1) (a),
31 (b), or (c).

32 (5) For the purposes of this section, "automated traffic safety
33 camera" means a device that uses a vehicle sensor installed to work in
34 conjunction with an intersection traffic control system, a railroad
35 grade crossing control system, or a speed measuring device, and a
36 camera synchronized to automatically record one or more sequenced
37 photographs, microphotographs, or electronic images of the rear of a
38 motor vehicle at the time the vehicle fails to stop when facing a

1 steady red traffic control signal or an activated railroad grade
2 crossing control signal, or exceeds a speed limit in a school speed
3 zone as detected by a speed measuring device. During the 2011-2013
4 fiscal biennium, an automated traffic safety camera includes a camera
5 used to detect speed violations for the purposes of section 201(2),
6 chapter 367, Laws of 2011.

7 (6) During the 2011-2013 fiscal biennium, this section does not
8 apply to automated traffic safety cameras for the purposes of section
9 216(5), chapter 367, Laws of 2011.

10 NEW SECTION. **Sec. 8.** 2010 c 161 s 1126 is repealed.
Passed by the Senate February 11, 2012.
Passed by the House March 3, 2012.
Approved by the Governor March 23, 2012.
Filed in Office of Secretary of State March 23, 2012.

Appendix P

Supplemental Information Two-Stage Construction Notice to Proceed for the Bored Tunnel Design-Build Contract

Appendix P

Two-Stage Construction Notice to Proceed for the Bored Tunnel Design-Build Contract

Based on the need to replace the viaduct as quickly as possible and reduce impacts during construction, the State proceeded with issuing a design-build contract in advance of the Final Environmental Impact Statement (FEIS) Record of Decision (ROD). The contract was awarded with a limited Notice to Proceed (NTP #1), which restricted work progress to producing preliminary engineering in support of the FEIS only. The full terms of the contract through a Notice to Proceed Number 2 (NTP #2) took effect immediately after the FEIS ROD, the federal Toll Agreement, and the Initial Financial Plan was issued in late August 2011. NTP #2 was issued in early September 2011.

With the contractor Notice to Proceed split into two stages and with an expedited schedule supplied by the Design-Build contractor to remove the existing viaduct, WSDOT committed to a few key points with FHWA.

1. In the timeframe between the award of the contract in January 2011 and completion of the EIS and Initial Financial Plan in August 2011, the Design-Builder would not engage in any activities beyond initial design development and efforts to support that initial design.
2. The Design-Builder would start construction related activities after FHWA of the Final EIS Record of Decision and FHWA acceptance of the Initial Financial Plan. .

WSDOT complied with these two provisions.

Appendix Q

AWV Replacement Project Permit List

Appendix Q

AWV Replacement Project Permit List

Federal

- National Marine Fisheries Service and U.S. Fish and Wildlife Service – Section 7 Endangered Species Act (ESA) Consultation and Marine Mammal Protection Act Consultation
- National Marine Fisheries Service – Magnuson-Stevens Fishery Conservation and Management Act Consultation
- Federal Highway Administration, with concurrence from the Washington Department of Archaeological and Historic Preservation – National Historic Preservation Act Consultation (Section 106)
- U.S. Army Corps of Engineers Individual Section 404 Permit
- U.S. Army Corps of Engineers Section 10 Permit
- Federal Highway Administration Transportation Act Section 4(f) Approval
- U.S. Environmental Protection Agency/Federal Highway Administration Air Quality Conformity
- U.S. Environmental Protection Agency Federal Comprehensive Environmental Response, Compensation, and Liability Act Approval

State

- Puget Sound Clean Air Agency – Notice of Intent for Demolition Activities
- Washington Department of Archaeology and Historic Preservation – National Historic Preservation Act, Section 106 Historic Preservation Consultation (Federal nexus)
- Washington State Department of Ecology – Model Toxics Control Act, Removal of Underground Storage Tanks
- Washington State Department of Ecology – National Pollutant Discharge Elimination System (NPDES), Construction Stormwater General Permit
- Washington State Department of Ecology – Coastal Zone Management Act (CZMA), Consistency Certification
- Washington State Department of Ecology – Underground Injection Control Registration
- Washington State Department of Ecology – Notice of Intent for Installing, Modifying, or Removing Piezometers
- Washington State Department of Ecology – Notice of Intent for Installing, Modifying, or Removing Wells
- Washington State Department of Ecology – Chemical Treatment Letter of Approval
- Washington State Department of Ecology Clean Water Act Section 401 Certification
- Washington State Department of Natural Resources Aquatic Lands Use Approval/Lease
- Washington State Department of Fish and Wildlife Hydraulic Project Approval
- Governor’s Executive Order 05-05, Cultural Resource Review and Approval (non-Federal nexus)

Local

- King County – Industrial Wastewater Discharge Approval
- Seattle Department of Neighborhoods – Pioneer Square Historic District Certificate of Approval
- Seattle Department of Neighborhoods – Pike Place Market Historic District Certificate of Approval
- Seattle Department of Neighborhoods – Seattle Landmarks Certificate of Approval
- Seattle Department of Planning and Development – Master Use Permit
- Seattle Department of Planning and Development – Shoreline Substantial Development Permit/Conditional Use Permit and/or Variance
- Seattle Department of Planning and Development – Grading Permit¹
- Seattle Department of Planning and Development – Building Permit
- Seattle Department of Planning and Development – Demolition Permit
- Seattle Department of Planning and Development – Side Sewer Permit
- Seattle Department of Planning and Development – Noise Variance(s)
- Seattle Department of Planning and Development – Trade Permit(s)
- Seattle Department of Transportation – Street Use Permit
- Seattle Removal or Abandonment of Underground Storage Tanks
- Burlington Northern Right-of-Way Use Approval
- Seattle Public Utilities Stormwater and Drainage Control Approval
- Seattle City Light Approval of Utility Relocation
- Seattle City Light Substation Modification Approval Seattle City Light/Puget Sound Energy Electrical Transmission Outage Request
- WSDOT/SDOT Maintenance Agreement

¹ The City of Seattle and WSDOT are exempt from certain permits under some conditions. Even though this grading work would be exempt, the City would still perform a project review to ensure that the project meets City requirements for grading activities.

Appendix R

AWV Program (Corridor) Overview Description
Previously included in the 2011 Initial Financial Plan as Section 3

Appendix R

Context & Overview:

The SR 99 Alaskan Way Program and Its Components

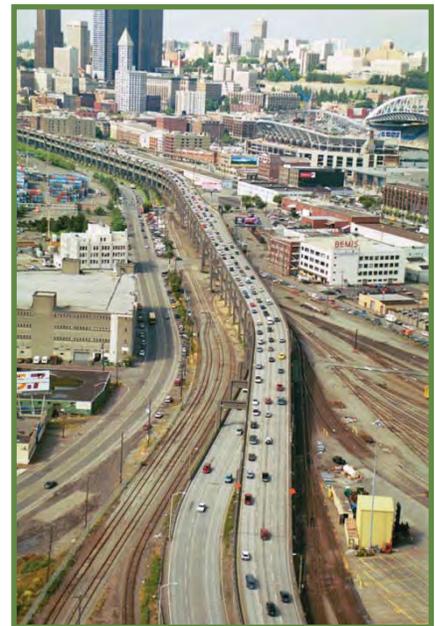
This appendix discusses a brief background and history of the Alaskan Way Viaduct facility, and describes the Alaskan Way Viaduct Replacement Program and its component projects.

Background and History

The Alaskan Way Viaduct section of SR 99 has been a fixture of the downtown Seattle waterfront for over five decades. Today, SR 99 continues to be a main north-south route through the city, carrying one quarter of all north-south traffic (110,000 vehicles) through Seattle every day. However, its days are numbered. Time, daily wear and tear, salty marine air and some sizeable earthquakes have taken their toll on the structure.

Figure 1: Alaskan Way Viaduct's south end section

Built in the 1950s, the Alaskan Way Viaduct is nearing the end of its useful life and does not meet today's seismic design standards. The soils around the foundations of the structure consist of former tidal flats covered with wet, loose fill material subject to liquefaction. The Alaskan Way Seawall, which is also vulnerable to earthquakes, holds these soils in place along the majority of the viaduct corridor. Built in the 1930s, the Alaskan Way Seawall is in a state of disrepair and continuing deterioration. It also does not meet current seismic design standards.



In early 2001, a team of Washington State Department of Transportation (WSDOT) design and seismic experts began work to determine whether it was feasible and cost-effective to strengthen the Viaduct by retrofitting it. In the midst of this investigation, the 6.8 magnitude Nisqually earthquake shook the Puget Sound region. The earthquake damaged the Viaduct, forcing WSDOT to temporarily shut it down for emergency repairs.

Closure of the Viaduct following the 2001 Nisqually Earthquake resulted in extreme congestion on Interstate 5 (I-5) and in the downtown city street grid. The closure demonstrated that SR 99 through Seattle is a critical transportation link that needs to remain functional. WSDOT estimates that if the Viaduct is no longer usable, travel time through the downtown Seattle area will double.

Ongoing inspections have revealed the Viaduct has moved and settled, and the seawall's timber relieving platform has been eaten away by tiny marine crustaceans called gribbles. The Nisqually

earthquake highlighted the fact that the viaduct and seawall are nearing the end of their useful lives, and it is time to replace them.

The *2006 Supplemental Draft Environmental Impact Statement (SDEIS)* analyzed two alternatives—a refined cut-and-cover “Tunnel Alternative” and a modified rebuild alternative called the “Elevated Structure Alternative.” Since 2006, additional study and evaluation of other alternatives have taken place.

After continued public and agency debate over the alternatives included in the 2006 SDEIS, Governor Christine Gregoire called for an advisory vote to be held in the City of Seattle. The March 2007 ballot included an elevated alternative and a surface-tunnel hybrid alternative. The citizens voted against both alternatives.

After the March 2007 Seattle vote, Governor Gregoire, King County Executive Ron Sims, and City of Seattle Mayor Greg Nickels chose to “move forward” with critical safety and mobility improvement projects at the north and south ends of the Alaskan Way Viaduct, which included replacing the structure’s southern mile. These Moving Forward Projects could proceed while the executives worked together through a collaborative public process to develop a replacement solution for the Viaduct’s central waterfront section that would have broad consensus among the lead agencies, cooperating agencies, tribes and the public.

The Moving Forward Projects included:

- Column safety repairs on the existing viaduct in the Pioneer Square area;
- Electrical line relocation along the Viaduct’s South End;
- Replacement of the viaduct (SR 99) between South Holgate Street and South King Street in the South End;
- Battery Street Tunnel maintenance and repairs; and
- Transit enhancements and other improvements.

In December 2007, Governor Gregoire, King County Executive Sims, and Seattle Mayor Nickels committed to a collaborative effort, called the Partnership Process, to forge a solution for the viaduct’s central waterfront section that could be broadly supported and implemented. The Partnership Process included input from a 29-member Stakeholder Advisory Committee and Project Management Team.

After examining numerous below-ground, surface and above-ground options, WSDOT, King County, and the City of Seattle released the I-5/surface/transit hybrid alternative and elevated bypass hybrid alternative in December 2008 for public comment. These hybrids were selected because they were the lower cost options and provided mobility for people and goods, although in different ways. Based on support from the Stakeholder Advisory Committee and public for the bored tunnel option, the Governor, County Executive, and Mayor asked their departments of transportation to complete further analysis of it.

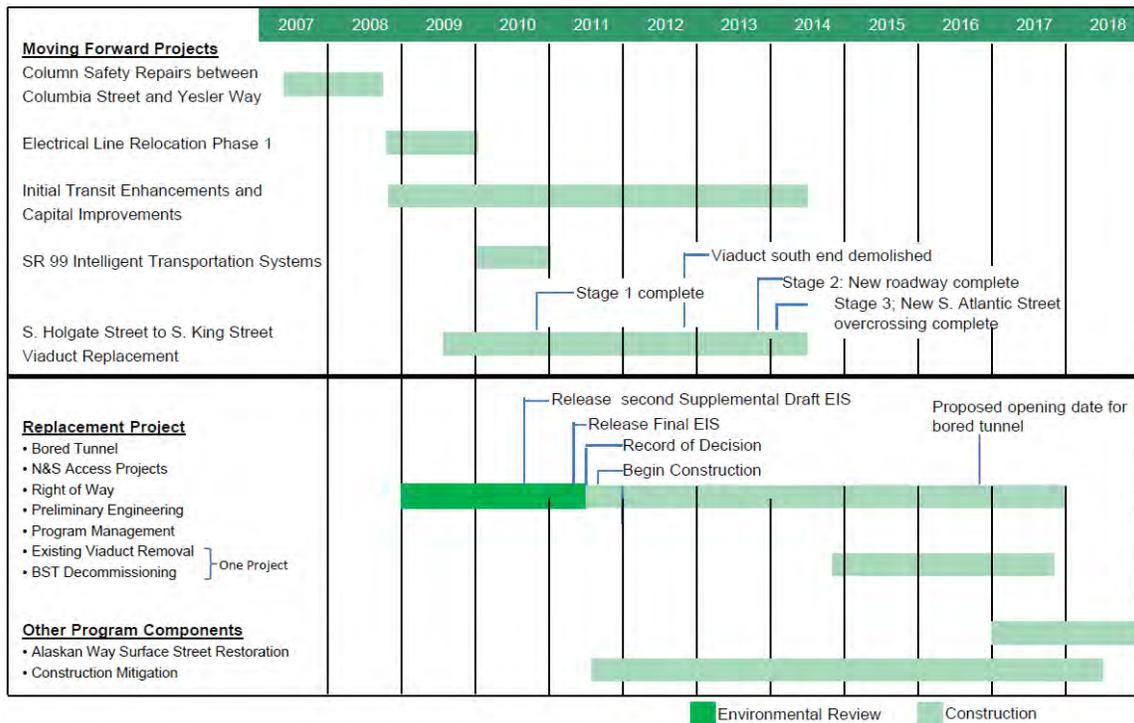
In January 2009, the Governor, County Executive, and Mayor recommended replacing the central waterfront portion of the Alaskan Way Viaduct with a single large-diameter bored tunnel.

The recommendation also included a new waterfront surface street and promenade, transit investments, a streetcar on First Avenue, a restored seawall and downtown city street improvements. Their recommendation was grounded in the potential for a bored tunnel and other improvements to meet the six guiding principles established as part of the Partnership Process; technical analysis; strong support of diverse interests; and the willingness of the partners, with the support of the Port of Seattle, to develop a funding program that supplements the State's committed \$2.8 billion. In fall 2009, the City of Seattle and the State executed a policy agreement formally aligning policies through ordinance with their action earlier in January. This agreement was further supported by an agreement between the City of Seattle and the State clarifying administrative procedures and practices for implementation of the preferred alternative.

In September 2009, the *Alaskan Way Viaduct Replacement Project History Report* was prepared to summarize the alternatives that have been studied since the program began in 2001 and to focus on the evaluation of alternatives through the Partnership Process and how the Bored Tunnel Alternative emerged. A copy of this report is included in the update Project Management Plan.

In addition to the bored tunnel, WSDOT is the lead for removing the existing viaduct structure, decommissioning the Battery Street Tunnel and completing the Moving Forward Projects. King County is the lead for RapidRide enhancements, additional peak hour bus service and transit speed and reliability improvements. The City of Seattle is the lead for the utility relocations, the waterfront promenade, city street improvements and the First Avenue Streetcar. The City is also responsible for replacing the seawall and will lead independent environmental evaluations for most of the City efforts.

Figure 2: AWW Program Summary Milestone Timeline



Program Purpose and Need

The Alaskan Way Viaduct is seismically vulnerable and at the end of its useful life. To protect public safety and provide essential vehicle capacity to and through downtown Seattle, the Viaduct must be replaced. Because this facility is at risk of sudden and catastrophic failure in an earthquake, FHWA, WSDOT, and the City of Seattle seek to implement a replacement as soon as possible. Moving people and goods through downtown Seattle is vital to maintaining local, regional, and statewide economic health. FHWA, WSDOT, and the City of Seattle have identified the following purposes and needs that the Project should address.

The purpose of the proposed action is to provide a replacement transportation facility that addresses the following needs:

- Reduce the risk of catastrophic failure in an earthquake by providing a facility that meets current seismic safety standards;
- Improve traffic safety;
- Provide capacity for automobiles, freight, and transit to efficiently move people and goods to and through downtown Seattle;
- Provide linkages to the regional transportation system and to and from downtown Seattle and the local street system;
- Avoid major disruption of traffic patterns due to loss of capacity on SR 99; and
- Protect the integrity and viability of adjacent activities on the central waterfront and in downtown Seattle.

Moving Forward Projects Summary and Status

Column safety repairs on the existing viaduct in the Pioneer Square area between Columbia Street and Yesler Way were completed in April 2008. The Electrical Line Relocation Phase 1 construction contract along the viaduct's South End was completed in December 2009. The Transit Enhancements and other improvements projects were established to mitigate traffic during construction of the Holgate to King Project as well as the Central Waterfront Traffic. These projects were managed by WSDOT, the City of Seattle, and King County. All of the projects are near completion and are functionally operational.⁷

The only "Major Project" (over \$100 million) included in the Moving Forward Projects is the South End viaduct replacement between South Holgate Street and South King Street. The environmental assessment for Holgate to King was released in June 2008, and the Finding of No Significant Impact (FONSI) was signed by FHWA in February 2009.

A separate *Project Management Plan* and an *Initial Financial Plan* was prepared for Holgate to King Project. The *Initial Financial Plan* was approved by FHWA in June 2009. The first Annual update was submitted to FHWA on December 1, 2010. However, because the total project cost fell substantially below \$500 million, but is still higher than \$100 million, WSDOT will continue to develop Annual Updates, but they do not need to be approved by FHWA.

The Stage 1 construction contract to relocate utilities was substantially complete on May 28, 2010. The Stage 2 Heavy Civil Construction contract was also awarded in May 2010 and construction was completed in 2013. The Stage 3, South Atlantic Street Bypass, achieved Operational Completion in January 2014. The Holgate to King Project will complete the South End of the viaduct replacement.

Replacement Project

The Replacement Project is located in the middle and north end of the AWV Program area and be comprised of seven components.

1. Bored Tunnel Design-Build
2. North Access
3. North Surface Streets
4. South Access and South Access Drilled Shafts
5. Viaduct Demolition
6. Battery Street Tunnel Decommissioning
7. Mercer Street West (City of Seattle project)¹

Description of the Replacement Project is provided in the body of the report for this Annual Update.

¹ Planning and implementation of the Mercer West project is the responsibility of the City of Seattle, of which the Dexter Avenue to 5th Avenue portion is described in the WSDOT Final Environmental Impact Statement (FEIS) and thus included in the Federal Financial Plan.

Appendix S

WSDOT Disadvantaged Business Enterprise Program: Monthly Progress Report to FHWA, March 2015

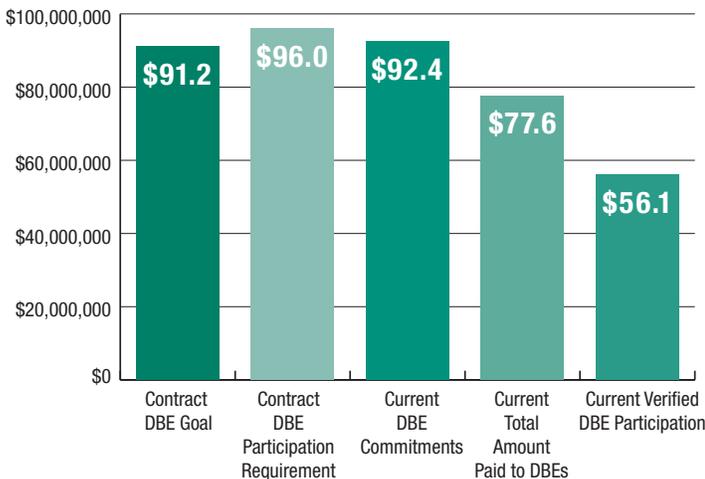
WSDOT Disadvantaged Business Enterprise program: Monthly progress report to FHWA, March 2015

OVERVIEW

The Washington State Department of Transportation (WSDOT) provides monthly progress reports to the Federal Highway Administration (FHWA) on both project and program-level Disadvantaged Business Enterprise (DBE) program participation, pursuant to the Conciliation Agreement between FHWA and WSDOT executed on March 20, 2014. This monthly report includes progress updates for both the Alaskan Way Viaduct (AWV) Bored Tunnel project and WSDOT's statewide DBE program. The participation and other data included in this report represent information verified through January 31, 2015; other activities noted reflect work performed through mid-March.

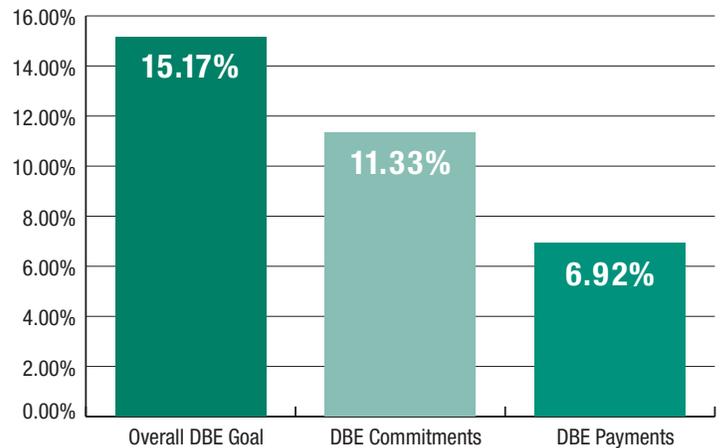
PROGRESS AT A GLANCE

AWV PROJECT-SPECIFIC EFFORTS



AGENCY PROGRESS

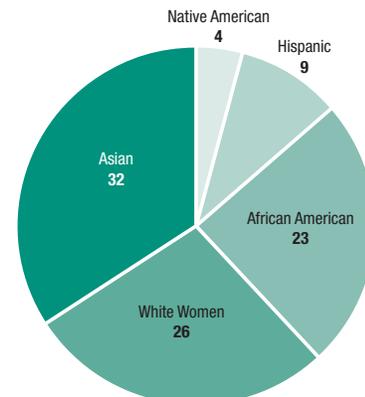
Federal Fiscal Year (FFY) 2015 began October 1, 2014. As of March 16, 2015, WSDOT (Local Programs, Consultant Services and HQ Construction) is attaining 11.33 percent in DBE commitments (goals 10.92 percent and voluntary participation 0.41 percent) and 6.92 percent in payments to DBE firms.



AWV PROJECT-SPECIFIC PROGRESS, BASED ON DBE PROGRESS REPORT #47, JAN. 2015

IMPROVING OVERSIGHT, EXPANDING OPPORTUNITIES:

WSDOT conducted an updated analysis of the race/ethnicity and gender of the DBE firm owners working on the AWV project. This information is provided below:



SEATTLE TUNNEL PARTNERS (STP) EFFORTS TO ACHIEVE DBE CONTRACT GOAL

- **DBE Subcontracting Oversight Committee.** No changes to report.
- **DBE Communications.** In the DBE Progress Report #47 for January 2015, in addition to outreach events previously reported for January, STP reported the following outreach events (See Exhibit A, Attachment #1):
 - On February 9, 2015, STP staff met with Northwest Small Business Transportation Resource Center to discuss support services and outreach.
 - On February 10, 2015, STP staff met with Native American Procurement Technical Assistance Center (PTAC) to discuss support services and outreach.
 - On February 18, 2015, four STP staff attended WSDOT Contractor's Civil Rights Training (more information included in: WSDOT DBE program-level progress).
 - On February 20, 2015, STP staff attended Washington Construction Design & Entrepreneurs to provide project information to DBE and potential DBE firms.
 - On March 5, 2015, STP staff purchased a booth and attended Alliance Northwest Conference (more information included in: WSDOT DBE program-level progress).
 - On March 10, 2015, STP staff attended the Regional Contracting Forum. STP had a booth in the exhibit hall and participated in the one-on-one matchmaking session.
 - On March 20, 2015, STP staff attended the Washington Construction Design & Entrepreneurs meeting and shared project information.
 - On March 28, 2015, STP staff plan to attend the Tabor 100 General Membership meeting and share project information.
- **DBE Outreach.** Outreach activities performed by the WSDOT HQ DBE Administrator for the AWW Replacement Program included:
 - On February 10, 2015, the HQ AWW DBE Administrator attended STP DBE Outreach and Engagement Event. During this event work continued with small independent truckers gathering feedback and suggestion on how to implement a small trucking roster.
 - On February 18, 2015, the HQ AWW DBE Administrator attended WSDOT Contractor Civil Rights Program Training. During this event the HQ AWW DBE Administrator met with multiple DBE contractors and provided contact information to discuss future AWW contracting opportunities
 - On February 28, 2015, the HQ AWW DBE Administrator attended the Tabor 100 Monthly Membership Meeting. During this event the HQ AWW DBE Administrator provided a presentation and updates on AWW DBE participation to date.
 - The HQ DBE Administrator met with three DBE firms regarding potential AWW DBE opportunities.
 - On March 10, 2015, The HQ AWW DBE Administrator attended the Regional Contracting Forum, the largest outreach and opportunity event of the year. The Forum allows DBEs and small, minority, and women owned businesses to introduce their businesses to the region's largest government entities. WSDOT had representatives from seven different divisions including AWW and project staff as well as the Office of Equal Opportunity (OEO) staff. Several hundred firms were in attendance.

CERTIFICATION OF MONETARY COMMITMENTS

- **Verified DBE Participation.** AWW Project Staff followed the Monthly DBE Progress Report Verification Procedures in performing the verification of the \$92.4 million in STP claimed commitments and \$56.1 million in claimed participation reported by STP in Progress Report #47. (See Exhibit A: Memorandum, Validation STP Monthly DBE Progress Report #47).
- **Work site Monitoring.** During the period of January 2015, the following activities occurred:
 - Nine on-site reviews were performed on the project.
 - A review of payroll reports showed the total hours reported on verified Certified Payrolls were 4,848.5. This was 471.25 hours more than the 4,377.25 hours reported by the contractor. The breakdown by skill craft is found in Exhibit B: DBE Certified Payrolls Hours Verification, January 2015. The gap between the STP reported hours and the Certified Payroll hours of 471.25 hours can primarily be attributed to the fact that STP reported hours for the period from December 29 through January 23. The Certified Payroll hours cover the entire calendar month of January. This affected the comparison of hours primarily for Neppel Electric (114.75 hour difference) and OMA Construction (393.5 hours difference).

- **Monetary commitments.** AWW received STP Progress Report #47 on February 27, 2015. (See Exhibit A: Attachment #1, STP Monthly DBE Progress Report # 47). STP's report claims the following:
 - o Contract DBE Goal \$91,176,000.00
 - o Contract DBE Participation Requirement \$96,000,000.00
 - o Current DBE Commitments \$92,387,096.89
 - o Current Total Amount Paid to DBEs \$77,599,255.14
 - o Current DBE Participation \$56,050,046.05

MONITORING AND INVESTIGATION OF COMPLAINTS REGARDING DBE PARTICIPATION

- **Prompt Payment Issue Update.** No new issues regarding prompt payment have been brought to the attention of AWW staff this month. As reported last month, a fourth tier contractor filed a prompt payment complaint. This issue was resolved as of February 12. The HQ AWW DBE Administrator will be reviewing payment records from all tiers to determine any potential structural issues that may have contributed to the delay in payments.
- **Support Services.** Continuation from February Report - STP identified and the HQ AWW DBE Administrator met with a small DBE trucking firm and provided support services referral and follow-up. Washington State PTAC will assist the DBE with issues related to certified payroll, invoicing and bidding strategies. DBE Program Administrator has followed up with the DBE and they are in contact with PTAC. This issue will continue to be monitored.
- **Closeout Payment.** WSDOT staff and the HQ AWW DBE Administrator continue to monitor final payments to a DBE who performed work on the North Portal.

WSDOT DBE PROGRAM-LEVEL PROGRESS

BUSINESS DEVELOPMENT

- On March 5, 2015, the Interim Director of the Office of Equal Opportunity (OEO) and staff attended the 2015 Northwest Alliance Conference. This conference provides matchmaking sessions, workshops and other networking opportunities for business owners. This year's event was attended by 736 individuals, of which 414 may be eligible for DBE certification. Information regarding DBE certification was provided to these firms.
- On March 10, 2015, OEO, AWW, Purchasing, Ad & Award, Consultant Services, Public Transportation Division and Washington State Ferries staff attended the Regional Contracting Forum. This event is a reverse trade show targeted to minority and women owned firms; with matchmaking, networking, workshops and panel discussions.
- On March 12, 2015, the Interim Director of OEO attended Northwest Mountain Minority Supplier Development Council Annual Business Conference and Awards Banquet. This event consisted of a tradeshow, industry roundtables and other networking opportunities.
- The Interim Director of OEO and DBE Liaison Officer attended the Tabor 100 meeting on February 28th and NAMC Meeting on March 5th.
- WSDOT developed and distributed the DBE Newsletter, attached as Exhibit D.
- WSDOT established an internal work group comprised of OEO, HQ Construction and Local Program staff to evaluate methods for ensuring more equitable DBE participation amongst DBE firm races, ethnicities and genders. The workgroup met for the first time on March 17th to determine methods for increasing minority, specifically African American owned DBE, participation.

TRAINING:

- OEO, HQ Construction and Consultant Services Office staff have been performing statewide DBE and other civil rights program training during February and March of 2015. As of March 13th, approximately 450 WSDOT and local agency personnel and approximately 75 representatives of both DBE and non-DBE contractors and consultants have attended the training sessions. These trainings provide participants with an overview of the DBE Program and their corresponding responsibilities, an update on the DBE Program regulations changes, an overview of proposed changes to WSDOT's General Special Provisions, and information on WSDOT's DBE contract administration procedures.
- OEO staff arranged for the Assistant State Design Engineer and Assistant State Construction Engineer to provide training to the Office of Minority and Women's Business Enterprises staff on March 17th. This training provided certification analysts with the additional knowledge regarding the various engineering disciplines necessary to more thoroughly perform engineering and land surveying firm certifications.

DBE MONITORING PROCESS AND PROCEDURES

- WSDOT developed a new DBE General Special Provision (GSP) which was approved by FHWA on March 24, 2015. WSDOT will be using the new DBE GSP language as the foundation for the design-build DBE Program contract language improvements.
- On March 6, 2015, the Office of Equal Opportunity, Consultant Services Office, Local Programs Divisions and HQ Construction met to develop a new individual project goal setting methodology which would lend itself to potentially higher contract goals. A new methodology has been drafted and is presently being vetted internally. It is anticipated that WSDOT will complete the internal review process and vetting with the Attorney General's Office by June, 2015.
- To focus more resources on the DBE Program, WSDOT Office of Equal Opportunity has split the External Civil Rights Program into two teams. Previously, most OEO staff reported to the External Civil Rights Branch Manager. Now, half the staff will report to the DBE Program Manager and the other half will report to the Title VI/American with Disabilities Act (ADA) Compliance Manager. It is anticipated OEO will have completed the hiring process for the new Title VI/ADA Compliance Manager by the end of April.

EXHIBITS:

Exhibit A: Memorandum, Validation STP Monthly DBE Progress Report #47

Attachment #1, STP DBE Progress Report No. 47, January 2015

Attachment #2, DBE Commitment Validation

Attachment #3, DBE Invoice to Date Validation

Attachment #4, DBE Total Payments Validation

Attachment #5, DBE Amount (as amended) Validation

Exhibit B: DBE Certified Payrolls Hours Verification, January 2015

Exhibit C: List of DBE Subcontracts

Exhibit D: March DBE Newsletter

Americans with Disabilities Act (ADA) Information: This material can be made available in an alternate format by emailing the WSDOT Diversity/ADA Affairs team at wsdotada@wsdot.wa.gov or by calling toll free, 855-362-4ADA(4232). Persons who are deaf or hard of hearing may make a request by calling the Washington State Relay at 711.

Title VI Statement to Public: It is the Washington State Department of Transportation's (WSDOT) policy to assure that no person shall, on the grounds of race, color, national origin or sex, as provided by Title VI of the Civil Rights Act of 1964, be excluded from participation in, be denied the benefits of, or be otherwise discriminated against under any of its federally funded programs and activities. Any person who believes his/her Title VI protection has been violated, may file a complaint with WSDOT's Office of Equal Opportunity (OEO). For additional information regarding Title VI complaint procedures and/or information regarding our non-discrimination obligations, please contact OEO's Title VI Coordinator, Jonté Robinson at (360) 705-7082.



EXHIBIT A

March 16, 2015

TO: Bobby Forch, DBE Administrator AWW *BFF*

FROM: Dawn McIntosh, P.E. *DMc*

SUBJECT: Validation STP Monthly DBE Progress Report No. 47

Review of STP Monthly DBE Progress Report No. 47 (Report No. 47) began 2/27/2015 and was completed on 3/13/2015 (See Attachment 1).

- DBE Contractual Requirement (Change Order 91)= \$96,000,000
- DBE 8% Goal= \$91,176,000
- Commitments= \$92,387,096.89
- Total Payments= \$77,599,255.14
- DBE Participation= \$56,050,046.05

STP reported 94 subcontractors with 159 subcontracts. Comparing Report No. 47 to Report No. 46 resulted in changes as follows:

- 19 Commitment changes totaling \$773,996.09 increase (Attachment 2)
- 20 Invoiced to Date changes totaling \$1,188,402.02 increase (Attachment 3)
- 28 Payments to Date changes totaling \$2,246,369.79 increase (Attachment 4)
- 25 DBE Amount (as Amended) changes totaling \$4,664,257.62 increase (Attachment 5)

The validation process focused on review of those subcontracts that resulted in the changes noted above. The DBE Validation Binders for Monthly DBE Report No. 47 (January 2015) were used to verify the information. However, when information was limited in the binders, records were validated using subcontractor files located in the STP office.

Commitment comparisons resulted in favorable remarks as reported by STP and logged on Attachment 2. All Commitments were validated, as shown on Attachment 2.

Invoiced to Date comparisons resulted in favorable remarks as reported by STP and logged on Attachment 3. All Invoices were validated, as shown on Attachment 3.

Payments for subcontracts reported by STP resulted in favorable remarks. All payments were validated, as shown on Attachment 4.

DBE Amount (as Amended) comparisons all resulted in favorable remarks as reported by STP and logged on Attachment 5. All payments to date were less than DBE Amount (as Amended) and all DBE Amounts (as Amended) were validated.

- DBE Amount (as Amended) includes \$11,173.41 in new trucking participation, as reported on Progress Report #47 for Savage Logistics.
- All Savage Logistics trucking activities have been verified for participation

The following new DBE subcontractors were added under this Report, bringing the total count of DBE firms with subcontracts to 94:

- United Reprographics

The following existing subcontractor received new work under this report:

- CivilTech Engineering (LT to Hitachi Zosen USA Ltd)
- Global GeoPhysics (LT to CivilTech – 3rd Tier under Hitachi)
- Yonemitsu Geological Services (LT to CivilTech – 3rd Tier under Hitachi)

Conclusion:

STP's Report No. 47 is acceptable.

The STP Binder for Report No. 47 was helpful for validating the invoiced and payment information as well as a good portion of the commitments. However, in order to verify several commitment amounts it was necessary to review the STP files in order to complete validation documents.

Attachments:

1. STP DBE Progress Report No. 47
2. DBE Commitment Validation
3. DBE Invoiced to Date Validation
4. DBE Total Payments Validation
5. DBE Amount (as amended) Validation

cc: Paul Johnson. P.E.



Seattle Tunnel Partners
999 Third Avenue, Suite 2424
Seattle, WA 98104

WSDOT Contract No. 007999
Federal Aid No. BR-NH-STP-STPF-0099(111)
SR 99 Tunnel Project
Phone: 206-971-8701 Fax: 206-971-8702

Seattle Tunnel Partners

SR 99 Tunnel Project

Attachment #1

Monthly DBE Progress Report No. 47

Progress Report Period: January 1, 2015 – January 31, 2015

Submission Date: Friday, February 27, 2015

DBE participation progress

Change Order 91 – Contractual Requirement:	\$96,000,000
DBE Goal:	\$91,176,000
Current DBE commitments:	\$92,387,096.89
Percent of DBE commitments:	8.106%
DBE participation:	\$56,050,046.05
Percent of DBE participation :	4.918%

Please see attached STP Form DBE09 for further details.

Current DBE Efforts

Opportunities

STP is submitting our quarterly DBE action plan on January 30, 2015. The plan provided anticipated upcoming contracting opportunities where STP will work to maximize DBE participation. Remaining contracting opportunities are broken down by scope, estimated dollar value, and time frame the work is anticipated to be available. STP does not have additional work to add to this list for this month's report.

STP January RFPs/RFOs

STP made the following changes for recent RFPs and/or bid evaluations during January to provide greater opportunities for DBE firms:

1. Backfill of the Access Shaft (Trucking): As listed in the November report, STP identified ways in which STP can include more DBE trucking firms as 1st tiers. During the month of December, STP worked on how this new method would be presented to the community. January, STP held a DBE scope specific meeting to engage DBE firms in the procurement process of the trucking. DBE trucking firms posed questions and comments, which STP took back to the team to further discuss at a follow up meeting to take place February 11, 2015.
2. North Operations Building Utility Work: STP extended the amount of time after the bid close date for when a contract would need to be executed and submittals approved prior to the start of work.

January DBE Contract Negotiations

STP negotiated change orders and purchase orders with DBE firms already on contract based on changes in information and/or work previously awarded.

STP awarded a new scope and negotiated a purchase order with Excel Supply Company for a large order of embroidered jackets.

STP worked with Hitachi Zosen USA to utilize lower tier DBE firms for repair work to the tunnel boring machine. In January, STP received copies of those executed agreements which includes 2nd tier engineering with CivilTech and 3rd tier service contracts with Global Geophysics and Yonemitsu Geological Services.

STP Outreach

STP conducts outreach in order to reach DBEs and provide information about the project, future contracting opportunities, contact information, and how to access work. STP also conducts outreach to encourage DBE firms to bid work on the project. STP is also working with WSDOT to provide information to the broader women and minority business community.

January Outreach

January 8, 2015, National Association of Minority Contractors of Washington (NAMC WA)

STP attended the NAMC WA meeting in order to answer questions about how DBE contractors can obtain work on the project and follow up with requests for DBE project updates. STP used this as an opportunity to share future bid scopes and information about the next DBE outreach and engagement meeting. At NAMC, STP had the opportunity to touch base with four DBE firms on contract with STP and a DBE firm interested in getting work on the project.

STP talked with the new chair for products and services, Mr. Hughes, about how firms can be successful in obtaining work and identifying NAMC members that provide products and services that STP procures. STP discussed Mr. Hughes attending STP's January DBE Meetings and taking information back to members about STP's bid process, contract requirements for service firms that perform labor, and other applicable information (Mr. Hughes attended this event the following week). He will also be talking with members and STP to assist with matching firms up with identified scopes as a win-win for STP and the members; obtaining DBE bidders for current and future work, resulting in more award successes for their members. STP's DBE commercial manager met with Mr. Hughes to discuss his interests and these work scopes in February 2015.

January 14, 2015, STP DBE Outreach and Engagement Meeting

STP DBE outreach and engagement meeting took place January 14th at South Seattle Community College Georgetown Campus. STP provided information about how DBE participation is claimed, provided project updates, and went over future bid opportunities.

January 14, 2015, STP Backfill Access Shaft (Trucking) Meeting

STP had a procurement specific meeting on the Backfill of the Access Shaft (trucking) directly following the DBE outreach and engagement meeting. This event went over STP's proposed methods for bidding the trucking work and also explained STP's desire to engage the DBE trucking community and obtain feedback for how to make the procurement a success.

There were several DBE trucking firm in attendance. Firms were engaged and asked questions and provided a range of feedback. One of the key items was questions on the PLA, which STP responded by offering to provide more information at a follow on meeting on February 11, 2015. Firms expressed how breaking up the work on an on-call rotation basis made it less appealing to mid-sized and larger DBE firms. STP discussed this with the STP subcontract oversight committee and the committee expressed the continued desire to work with smaller trucking firms for this opportunity. The committee also committed their support in helping encourage smaller trucking companies to participate so this method would be successful (i.e. a sufficient number of bidders/trucks to perform the work).

January 16, 2015, Washington Construction Design & Entrepreneurs (CDE)

The January meeting was held at the City of Seattle, 700 5th Avenue, Seattle, WA. STP's attendance at this event served as an opportunity to touch base with DBE firms and local small and WMBE businesses that might be able to become DBE certified. STP notified attendees about the February 11th outreach and engagement meeting and also provided project opportunity handouts.

January 23, 2015, OMWBE Get Certified Reception

This event celebrated Certification and the beauty of Diversity in Washington State and took place at the Emerald Queen Casino in Fife, WA. STP joined OMWBE in their celebration and connected with DBE firms and firms interested in becoming DBE certified. STP had flyers available for our February 11th outreach and engagement meeting.

January 29, 2015, WSDOT Opportunity Forum, Seattle

WSDOT put on a series of events throughout the state on doing business with WSDOT. STP participated in the January 29th event by presenting on remaining contracting opportunities. The opportunities were broken down by scope, estimated dollar value, and time frame the work is anticipated to bid. STP provided information about our upcoming meetings where firms can talk with STP staff and obtain updates on future work opportunities. STP also discussed our methods for identifying DBE firms for the areas of work and the importance of DBE certification in the applicable areas of work. STP also spoke with a DBE electrical engineering firm that was interested in commissioning. STP was able to follow up with this firm and provide contact information for a lower tier firm under STP's electrical/mechanical contractor that had the Commissioning Authority contract and had carved out about \$66,000 of work for a DBE firm for Functional Testing.

Article in the Tabor 100 newsletter

STP provided an update on DBE efforts and participation along with our outreach and engagement meetings. This was featured in the January Tabor 100 newsletter.

January 31, 2015, Tabor 100 General Membership Meeting

STP attended the Tabor 100 General Membership meeting in order to answer questions about how DBE firms can obtain work on the project and follow up with requests for DBE project updates. STP was given the opportunity to present in front of the group a short message about progress, our upcoming event, opportunities handout, and trucking for the Access Shaft. STP hopes our attendance will encourage DBE firms to participate in upcoming opportunities.

February Outreach

Ad in the Black History Month Edition of The Skanner

STP purchased an ad in The Skanner for their Black History Month Edition. STP purchased the ad as an opportunity to share successes on the project; hoping this will encourage DBE (and MBE firms that might be able to become DBE certified) to contact STP to learn about future opportunities. STP further hopes that providing updates about what STP is doing, will encourage firms to respond to future bid invitations.

February 5, 2015, National Association of Minority Contractors of Washington (NAMC WA)

STP presented at the NAMC WA meeting on remaining contracting opportunities, Access Shaft trucking, and our upcoming outreach and engagement meeting.

February 9, 2015, Meeting with Small Business Transportation Resource Center (SBTRC)

STP met with representatives from SBTRC and provided project updates. STP also had the opportunity to obtain updates of what SBTRC is doing and discussed SBTRC presenting at one of our future outreach and engagement meetings.

February 10, 2015, Meeting with Native American Procurement Technical Assistance Center (PTAC)

STP met with a representative from the Native American PTAC and gained updates on Native American PTAC activities, discussed upcoming STP project opportunities, and STP's outreach and engagement meetings.

February 11, 2015, STP DBE Outreach and Engagement Meeting

STP DBE outreach and engagement meeting took place on February 11th at South Seattle Community College Georgetown Campus. STP provided information about Project Labor Agreements (PLA) and went over future bid opportunities.

February 11, 2015, STP Backfill Access Shaft (Trucking) Meeting II

STP had a follow on meeting for the Backfill of the Access Shaft (trucking) directly following the DBE outreach and engagement meeting. This event answered questions brought up at the last meeting and focus on questions tied to the PLA. STP had a Union representative from Building Trades on the panel and available for discussion after the meeting. A PLA expert, Mark Johnson of M.L. Johnson & Associates, provided clear and detailed information about what Community Workforce Agreements are, how they operate, how they tie in with WMBE/DBEs, and keys to success in working with unions.

February 18, 2015, WSDOT Contractor Civil Rights Program Training

STP brought 4 members of our team to attend the WSDOT Contractor Civil Rights Program Training. This was a great opportunity for updates and refresher information on DBE, EEO, On-the-Job Training Supportive Services, Title VI, USDOT's Bonding Education Program and Short-Term Lending Program, DBE certification, and Tribal Requirements.

February 20, 2015, Washington Construction Design & Entrepreneurs (CDE)

The February meeting was held in Federal Way, WA. STP attended this event to touch base with DBE firms and local small and WMBE businesses that might be able to become DBE certified. STP provided project updates and information about upcoming opportunities.

February 28, 2015, Tabor 100 General Membership Meeting

STP plans to attend the Tabor 100 General Membership meeting in order to answer questions about how DBE firms can obtain work on the project and follow up with requests for DBE project updates. STP will use this as an opportunity to answer questions about how DBE firms can obtain work on the project. STP will also use this as an opportunity to share future STP opportunities handout and information about the next DBE outreach and engagement meeting. STP hopes our attendance will encourage DBE firms to participate in upcoming opportunities.

Planned March OutreachMarch 5, 2015, Alliance Northwest

STP has purchased a booth and sponsorship for the Alliance Northwest conference and tradeshow. This event historically draws attendance of several hundred people, which include many small, minority, and women owned businesses.

March 10, 2015, Regional Contracting Forum

STP plans to attend the Regional Contracting Forum. This event historically draws attendance of several hundred people, which include many small, minority, and women owned businesses. STP has signed up for one-on-one match making sessions and requested the opportunity to be at the WSDOT AWW booth (booths are only available to agencies).

March 20, 2015, Washington Construction Design & Entrepreneurs (CDE)

The March meeting will be held in Seattle, WA. STP plans to attend this event and have the opportunity to provide a short presentation.

March 28, 2015, Tabor 100 General Membership Meeting

STP plans to attend the Tabor 100 General Membership meeting.

Planned April OutreachApril 2, 2015, Our Future Working Together II – Tribal Business Outreach Event

STP has signed up for this event that will take place in Fife, WA. This event will have a panel discussion on contracting in Indian Country and will have Government Agencies present. STP plans

to attend in order to engage native and tribally owned businesses as well as other WMBE/DBE firms and discuss opportunities on the project.

April 2, 2015, National Association of Minority Contractors of Washington (NAMC WA)

STP plans to attend the NAMC WA meeting in order to continue to engage MBE/DBE firms and provide project and opportunity updates.

April 25, 2015, Tabor 100 General Membership Meeting

STP plans to attend the Tabor 100 General Membership meeting in order to continue to engage African American owned and WMBE/DBE firms and provide project and opportunity updates.

MONTHLY DBE PROGRESS REPORT (From DBE-09)

Contract Title: **AWV SR 99 Bored Tunnel/Alternative Design-Build/Project**
 Contract Amount (as amended): **1,363,904,069.44** % Complete: **73%**
 DBE Goal Dollar Value: **\$ 91,176,000.00**
 DBE Goal: **8%**
 Total value of DBE amount (as Amended): **\$ 56,050,046.05**
 % of DBE Amount (as Amended): **4.918%**

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 % of DBE Amount (as Amended): **4.918%**

Through 1/31/15 (all numbers exclude WSS1)
 Total payment to Prime to date: **977,269,739.40**
 Total amount invoiced to date: **993,377,152.32**
 Amount of last payment to Prime: **8,542,985.99**

Date of last payment to Prime: **1/12/2015**
 Total of last payment to Prime: **8,542,985.99**
 Total value of DBE commitments: **\$ 92,387,096.89**
 % of DBE Commitments: **8.106%**

Name of DBE Subcontractor * (LT = lower tier)	DBE Certification Number	Description of Work Performed	Subcontract Start Date	% of work completed	Commitment	Invoiced to Date	Total Payments this report	Total Payments to Date	DBE Amount (as Amended)
FIRST TIER									
AAR Testing Laboratories, Inc.	#D2F1708231	Testing	19-Dec-12	100%	\$ 720.00	\$ 720.00	\$ -	\$ 720.00	\$ 720.00
Advanced Underground Utilities	#DAM0023483	NOB Underground Utilities	12-Sep-14	0%	\$ 285,647.50	\$ -	\$ -	\$ -	\$ -
Amaya Electric	#DSM0200177	Mitigation Buildings - Electrical	1-Aug-13	100%	\$ 24,237.20	\$ 24,237.20	\$ -	\$ 24,237.20	\$ 24,237.20
Bear Wood Windows	#D4F0022489	NOB/SOB - Furnish & Install Shades, Kitchen Cabinets	1-Aug-14	0%	\$ 31,605.00	\$ -	\$ -	\$ -	\$ -
BESTCCLS INC	#D3M99319663	Survey	8-Feb-12	100%	\$ 189,938.00	\$ 189,938.00	\$ -	\$ 189,938.00	\$ 189,938.00
CZPM	#D4F9620654	Design Quality Assurance Manager	1-Sep-11	100%	\$ 416,500.00	\$ 416,500.00	\$ -	\$ 416,500.00	\$ 416,500.00
Catherine Bassetti	#D2F2313819	Progress photography	5-Mar-12	100%	\$ 43,765.86	\$ 43,765.86	\$ 5,790.00	\$ 49,555.86	\$ 43,765.86
Civiltch Engineering	#DAM0018825	Design & Consulting	31-Jul-2012	100%	\$ 533,956.03	\$ 533,956.03	\$ -	\$ 533,956.03	\$ 533,956.03
DBE Electric	#D2F1021272	Signals / Illumination; Electrical/ Bldg. Conduit; Underground Cable	28-Feb-12	100%	\$ 1,005,698.49	\$ 1,005,698.49	\$ -	\$ 987,067.07	\$ 641,798.40
DHD Trucking	#D3M9620749	Street Sweeping	10-Jan-12	100%	\$ 1,123,667.50	\$ 1,123,667.50	\$ 10,440.00	\$ 1,114,667.50	\$ 1,104,227.50
Duncan Asphalt	#DMSM9822253	MOT-2 SB & SBOFF Paving and CSBC Supply	11-Apr-14	100%	\$ 51,630.60	\$ 51,630.60	\$ -	\$ 49,049.07	\$ -
Environmental Management Training	#D3M9820748	Safety Training	3-Jan-12	100%	\$ 22,575.00	\$ 22,575.00	\$ -	\$ 22,545.00	\$ 22,345.00
EPC Consultants, Inc.	#DAM0022954	Tunnel Quality Assurance	8-Jul-2013	100%	\$ 895,570.00	\$ 895,570.00	\$ -	\$ 895,570.00	\$ 860,430.00
Exeltech Consulting Inc	#DAM2304220	Preconstruction Condition Survey	4-Aug-2011	100%	\$ 374,988.58	\$ 374,988.58	\$ -	\$ 374,988.85	\$ 374,988.85
Fryer-Knowles, Inc.	#D2F5010810	Ceramic Tile; North Operations Building and South Operations Building	22-Nov-2013	0%	\$ 226,954.00	\$ -	\$ -	\$ -	\$ -
Garner Construction	#D2F5108989	24/7 Crane Rental w/ Operator for Access Shaft	29-Aug-2014	100%	\$ 619,654.94	\$ 619,654.94	\$ 191,567.47	\$ 406,989.35	\$ 406,989.35
Global Concrete Cutting	#D3M0022412	Excavation	31-Oct-2013	100%	\$ 1,700.00	\$ 1,700.00	\$ -	\$ 1,615.00	\$ 1,615.00
Global Geophysics	#MAM0021256	Concrete Sawing/Cutting	21-May-2012	100%	\$ 527,494.42	\$ 527,494.42	\$ -	\$ 527,494.42	\$ 527,494.42
Grady Excavating	#D3W0020267	Vibration Monitoring	11-Apr-2012	100%	\$ 881,412.65	\$ 881,412.65	\$ -	\$ 881,412.65	\$ 724,412.60
Pro USA (LT to Grady)	#D3M9422332	South Portal Trucking	24-Jul-2012	100%	\$ 30,465.50	\$ 30,465.50	\$ -	\$ 30,465.50	\$ 30,465.50
Graylock Consulting LLC	#D2F8019850	South Portal Trucking	1-Oct-2011	100%	\$ 270,732.41	\$ 270,732.41	\$ -	\$ 269,796.34	\$ 144,950.49
On-Site Environmental Inc. (LT to Graylock)	#MAM0010381	Environmental Consulting Services	14-Dec-2011	100%	\$ -	\$ -	\$ -	\$ -	\$ 69,877.75
J. Harper Contractors Inc.	#DAM5310119	Environmental Analytical Testing	1-Nov-2011	100%	\$ 1,473,764.00	\$ 1,473,764.00	\$ -	\$ 1,473,764.00	\$ 1,455,382.26
J. Kelsler & Associates	#DSF0023416	Demolition and Material Crushing	30-Apr-2014	100%	\$ 79,421.20	\$ 79,421.20	\$ 19,000.00	\$ 79,421.20	\$ 48,150.00
JP Francis & Associates, Inc.	#M3M0018112	DBE Coordinator - Consulting	26-Jul-2013	100%	\$ 53,510.86	\$ 53,510.86	\$ -	\$ 50,835.32	\$ 50,835.32
KBA Inc/ Kristen Betty & Associates Inc.	#D2F4711296	Mitigation building - plumbing and mechanical Quality Control Temporary Assistance (File Clerk); Inspection services	5-Dec-2012	100%	\$ 284,310.00	\$ 284,310.00	\$ -	\$ 284,310.00	\$ 284,310.00

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Leajak Concrete Construction Inc	#D3M5310714	Terminal 46 Hide Area BMP Relocation/ Terminal	8-May-2012	100%	\$ 739,114.07	\$ 739,114.07	\$ -	\$ 739,114.07	\$ -
Global Concrete Cutting (LT to Leajak)	#D3M0022312	46 Reeler Racks - Foundation Works	26-Jun-12	100%					
Concrete cutting									
Kiwa Trucking LLC (LT to Leajak)	#D3M6019633	Trucking	28-Jun-12	100%					
Sunset Welding Inc (LT to Leajak)	#D3M6019072	Rebar	30-Jun-12	100%					
Lorache CAD/IT Services LLC	#D3M8218532	T-46 - RTG Pavement Strengthening	5-Apr-2012	100%	\$ 439,521.57	\$ 439,521.57	\$ -	\$ 403,898.05	\$ -
Leajak Concrete Construction Inc (LT to Lorache)	#D3M5310714	Excavating, install crush rock and pour concrete	1-Jul-2012	100%					\$ 42,257.94
Sunset Welding Inc (Subcontract to Leajak, 3rd tier under Lorache)	#D5M0018072	Rebar	10-Jul-2012	100%					\$ 7,800.00
Magnum Crane LLC	#D1M8719508	Crane, Maint, Operator, fuel, riggings	17-Dec-2012	100%	\$ 62,847.55	\$ 62,847.55	\$ -	\$ 62,847.55	\$ -
Marshbank	#D1M0011507	Sewer Relocation	7-Aug-2012	84%	\$ 1,518,117.60	\$ 1,279,562.53	\$ 220,363.55	\$ 1,435,947.94	\$ 1,059,402.86
Sundancer (LT to Marshbank)	#D1M0022607	Electrical	15-May-2014						
PROUSA (LT to Marshbank)	#D3M0022332	Trucking							
Mar-Vac (Marine Vacuum Service Inc.)	#M4M0002341	Remove Underground Tank near Western Building	24-Oct-2012	100%	\$ 10,802.00	\$ 10,802.00	\$ -	\$ 10,802.00	\$ 10,802.00
Mar-Vac (Marine Vacuum Service Inc.)	#M4M0002341	Vac-truck services	18-Jul-2012	100%	\$ 178,466.02	\$ 178,466.02	\$ -	\$ 170,872.82	\$ 170,872.82
Mindseekers, LLC	#D5M6917745	Temporary Staffing	27-Feb-2013	100%	\$ 287,856.93	\$ 287,856.93	\$ 10,703.02	\$ 273,785.80	\$ 273,785.80
Neppal Electrical	#D5M0017938	Harrison Street Hangers and Conduit	31-Jul-2014	76%	\$ 473,613.72	\$ 362,309.79	\$ -	\$ 34,331.10	\$ 34,331.10
Nolan Morrison	#D2F522304	Document Control Consulting Svcs.	19-Sep-2011	100%	\$ 39,800.00	\$ 39,800.00	\$ -	\$ 39,800.00	\$ -
Outridge Security Group Inc	#D5M6421939	Security Guard Services	10-Oct-2011	100%	\$ 4,075,777.75	\$ 4,075,777.75	\$ 130,314.75	\$ 4,046,761.75	\$ 4,033,267.75
OMA Construction Inc.	#D4M2316494	North & South Portal Hauling; Trucking hourly	25-Sep-2012	90%	\$ 18,506,125.29	\$ 16,685,839.56	\$ -	\$ 16,685,839.56	\$ 11,559,521.75
C & E Transport Corp (LT to OMA)	#D3M0022750	Trucking	18-Nov-2013	100%					
JMR Trucking (LT to OMA)	#G3M6917511	Trucking	1-Dec-2012	100%					\$ 52,196.12
Maks Dump Truck (LT to OMA)	#D3M0019934	Trucking	1-Dec-2012	100%					\$ 132,755.00
Ponglia Trucking Inc (LT to OMA)	#M4M0019913	Trucking	17-Jan-2013	100%					\$ 132,863.75
Puget Sound Utilities (LT to OMA)	#D2F0022597	Trucking	17-Jul-2013	100%					\$ 12,622.50
SSB Trucking & Construction (LT to OMA)	#D4M1000033	Trucking	26-Jun-2013	100%					\$ -
Tan Trucking (LT to OMA)	#D3M0020597	Trucking	17-Oct-2012	100%					\$ -
Trinity Development (LT to OMA)	#D3M7217852	Trucking	11-Jan-2013	25%	\$ 300,000.00	\$ 73,603.70	\$ -	\$ 73,603.70	\$ -
OMA Construction Inc.	#D4M2316494	Safe Haven No. 003							
Oneill Service Group	#D5M9820775	Environmental Inspection & compliance, stormwater, scientist/documentation services	13-Feb-2012	100%	\$ 667,889.54	\$ 667,889.54	\$ 30,470.63	\$ 646,242.16	\$ 521,539.02
Oslris Enterprises LLC	#D3M1021155	Janitorial Services	12-Jan-2012	100%	\$ 263,999.50	\$ 263,999.50	\$ 10,823.00	\$ 253,170.50	\$ 137,607.96
Rose Super Clean and Park Management (LT to Oslris)	#D3M0020597	Janitorial Services	5-Apr-2012	100%					\$ 110,680.54
PRR, Inc.	#D4F3908454	Subconsultant - Public Information	22-Feb-2011	91%	\$ 779,490.00	\$ 706,911.60	\$ 13,556.00	\$ 706,911.60	\$ 700,714.24
Saer Consulting Engineers Inc. (dba SCE, Inc.)	#M5M0019808	Utility Monitoring Professional Services	31-Aug-2012	100%	\$ 172,323.65	\$ 172,323.65	\$ -	\$ 171,646.65	\$ 169,241.15
Savage Logistics, LLC	#D2F8020092	Freight	28-Mar-2013	100%	\$ 666,198.00	\$ 666,198.00	\$ 11,173.50	\$ 666,198.00	\$ 666,198.00
Sea Tac Sweeping Service (dba Al Vinson)	#D3M6015063	Street Sweeping	5-Dec-2011	100%	\$ 8,360.00	\$ 8,360.00	\$ -	\$ 8,360.00	\$ 8,360.00

Name of DBE Subcontractor * (LT = lower tier)	DBE Certification Number	Description of Work Performed	Subcontract Start Date	% of work completed	Commitment	Invoiced to Date	Total Payments this Report	Total Payments to Date	DBE Amount (as Amended)
ST Fabrication/ Jabez	#DAM0018443	T-46 Crane Maintenance Facility	5-Jun-2012	100%	\$ 1,858,973.12	\$ 1,858,973.12	\$ -	\$ 1,848,973.12	\$ -
Adept Mechanical (LT to ST Fabrication)	#DSM0018841	Mechanical	25-Sep-2012	100%					\$ -
Emerald City Weatherproofers (LT to ST Fabrication)	#DAM5111591	Weather Barrier/ Waterproofing	1-Oct-2012	100%					\$ 33,703.35
Gibson Doon & Millwork (LT to ST Fabrication)	#D2F112317	Door and Hardware Installation	17-Sep-2012	100%					\$ 10,452.00
ST Fabrication/ Jabez	#DAM0018443	T-46 Reefer Racks	30-May-2012	100%	\$ 1,949,279.54	\$ 1,946,410.88	\$ -	\$ 1,946,410.88	\$ 1,439,053.52
Steelkorr	#DAM8822652	Furnish and install all structural steel	31-Oct-2013	44%	\$ 7,639,052.00	\$ 3,363,245.08	\$ 73,013.45	\$ 3,195,082.84	\$ 3,195,082.84
Sundancer Electric Inc.	#D1M8522607	Tunnel Electrical	17-Jan-2013	100%	\$ 4,212,165.30	\$ 4,212,165.30	\$ 121,102.01	\$ 4,188,826.90	\$ -
Trancon Company LLC	#DAM1022071	Underground Electrical Duct Bank Work	12-Dec-2013	100%	\$ 2,312,336.49	\$ 2,302,776.64	\$ -	\$ 2,302,776.64	\$ 2,006,706.13
TripleNet Technologies	#DSM0018439	STP Website	9-Jan-2012	100%	\$ 7,752.00	\$ 7,762.00	\$ -	\$ 7,762.00	\$ 7,762.00
United Professional Caulking	#DSF0016236	Harrison Street Expansion Joints	12-Aug-2014	100%	\$ 79,250.00	\$ 79,250.00	\$ -	\$ 33,250.00	\$ -
Washington State Trucking	#DSM00021431	Haul and dispose of 130 tunnel segments	12-Aug-2014	100%	\$ 184,470.00	\$ 184,470.00	\$ 5,363.58	\$ 184,331.46	\$ -
West Coast Printing	#DAM0100930	Business Cards	NA	100%	\$ 19,402.45	\$ 19,402.45	\$ -	\$ 19,402.45	\$ 19,402.45
Yonemitsu Geological Services	#DAM0013447	Soil conditioning mapping at access shaft	4-Dec-2014	0%					
VENDORS									
Birch Equipment Rental & Sales, Inc.	#D2F0022284	Equipment: Blast Pots, Light Tower, Generator, Air Comp.	NA	100%	\$ 296,566.23	\$ 296,566.23	\$ -	\$ 296,566.23	\$ 177,939.74
Excel Supply Company	#D4F2312899	Safety Supplies, Janitorial supplies, jackets & hats	NA	100%	\$ 52,973.53	\$ 53,073.53	\$ 1,605.54	\$ 19,491.23	\$ 11,694.74
Highway Specialties LLC	#D2F0019389	Construction Signage, Traffic Drums, lights, safety, TMAS	NA	100%	\$ 251,905.98	\$ 251,905.98	\$ 19,038.34	\$ 250,308.81	\$ 150,185.29
Mobile Electrical Distributors	#D2F0017012	Electrical Supply	25-Nov-2014	100%	\$ 18,319.66	\$ 18,319.66	\$ 9,814.35	\$ 9,814.35	\$ 5,888.61
Quality Discount Supplies & Services (John W. Quarles)	#DSM0700021	Office Supplies	NA	100%	\$ 5,154.09	\$ 5,154.09	\$ -	\$ 4,977.18	\$ 2,986.31
ST Fabrication/ Jabez	#DAM0018443	Fabrication & Supply	NA	89%	\$ 2,361,747.11	\$ 2,090,163.24	\$ -	\$ 2,090,163.24	\$ 3,636,058.37
The Bag Lady	#D2F0016394	Construction Entrance Plates & Straw bales	NA	100%	\$ 287,172.98	\$ 287,172.98	\$ 722.70	\$ 285,944.38	\$ 171,566.63
United Reprographics	#DSM00017126	Business cards & printing services	12-Jan-2015	100%	\$ 755.11	\$ 755.11	\$ -	\$ -	\$ -
Wayron	#D6F0021571	Fabrication	9-Jan-2012	100%	\$ 2,706,715.39	\$ 2,706,715.39	\$ -	\$ 2,706,715.39	\$ 2,705,165.39
LOWER TIER									
AMEC (Non-DBE sub)	AMEC								
NVL Laboratories (LT to AMEC)	#DAM5014199	Asbestos Analysis, sampling	12-Dec-2011	100%	\$ 16,255.02	\$ 16,255.02	\$ -	\$ 16,255.02	\$ 16,255.02
BASF (Non-DBE sub) - EASI	BASF								
JP Francis & Associates (LT to BASF, 3rd tier under EASI)	#M3M0018112								
BASF - KTI Logistics (Non-DBE sub)	BASF								
Savage Logistics, LLC (LT to KTI Logistics, LLC, 3rd tier under BASF)	#D2F8020092	Freight	17-Jun-2013	100%	\$ 14,949.00	\$ 14,949.00	\$ -	\$ 14,949.00	\$ 14,949.00
Cascade Concrete Products Co., Inc. (LT to FD Thomas)	FD THOMAS	Waterproofing Material Supplier	4-Sep-2013	100%	\$ 873,397.07	\$ 873,397.07	\$ -	\$ 912,918.60	\$ 473,850.03
Frank Coluccio Construction Company (FCCC) (Non-DBE sub)	FCCC								
CivilTech Engineering (LT to FCCC)	#DAM0018825	Design services	1-Sep-2011	100%	\$ 92,527.50	\$ 92,527.50	\$ -	\$ 92,527.50	\$ 92,527.50
DBE Electric (LT to FCCC)	#2F1021272	Electrical MDT Ph. 1A.2	3-Dec-2011	100%	\$ 172,944.68	\$ 172,944.68	\$ -	\$ 172,944.68	\$ 122,485.04
Grady Excavating, Inc. (LT to FCCC)	#D2M0020267	Trucking	3-Dec-2011	100%	\$ 47,229.49	\$ 47,229.49	\$ -	\$ 47,229.49	\$ 47,229.49
Rebar International Inc. (LT to FCCC)	#D2F2606440	Pile caps at micro pile; Supply and install reinforcing steel	23-May-2012	100%	\$ 28,415.44	\$ 28,415.44	\$ -	\$ 28,415.44	\$ 28,415.44

Name of DBE Subcontractor * (LT = lower tier)	DBE Certification Number	Description of Work Performed	Subcontract Start Date	% of work completed	Commitment	Invoiced to Date	Total Payments this Report	Total Payments to Date	DBE Amount (as Amended)
Transcon (LT to FCCC)	#DAM1022071	Install electrical conduit	12-Jan-2012	100%	\$ 203,495.69	\$ 203,495.69	\$	\$ 203,495.69	\$ 203,495.69
Frank Coluccio Construction Company - FD Thomas (Non-DBE sub)	FCCC - FD Thomas	Laboratory Testing	1-Aug-2012	100%	\$ 19,586.50	\$ 19,586.50	\$	\$ 19,586.50	\$ 19,586.50
FPS ENCON PRECAST, LLC now Lining Precast (Non-DBE sub)	FPS ENCON PRECAST, LLC	Transport precast tunnel liner segments. One segment per shipment. (PO 804)	14-Jun-2013	100%	\$ 81,558.00	\$ 81,558.00	\$	\$ 81,558.00	\$ 81,558.00
Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Transport precast concrete tunnel segments with specialized trailer equipment (PO 797)	23-Jul-2013	100%	\$ 1,858,316.67	\$ 1,858,316.67	\$	\$ 1,858,316.67	\$ 1,821,257.37
Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Pick up trailer & insurance monthly payment (PO 1279)	20-Nov-2013	100%	\$ 15,031.78	\$ 15,031.78	\$ 2,050.40	\$ 15,031.78	\$ -
Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Rental of 2 diesel heaters & delivery (PO 1335)	5-Dec-2013	100%	\$ 2,143.97	\$ 2,143.97	\$	\$ 2,143.97	\$ -
Savage Logistics, LLC (LT to Lining Precast)	#D2F8020092	Freight (PO 778)	26-Jun-2013	100%	\$ 828.00	\$ 828.00	\$	\$ 828.00	\$ 828.00
HARRIS REBAR (Non-DBE sub)	HARRIS REBAR	Install reinforcing steel bars	1-Aug-2013	100%	\$ 85,047.31	\$ 85,047.31	\$	\$ 85,047.31	\$ -
Rebar International Inc. (LT to Harris Rebar)	#D2F2606440								
Hitachi Zosen USA Ltd	Hitachi Zosen USA Ltd	Ground Condition Evaluation	6-Aug-2014	100%	\$ 127,804.00	\$ 127,804.00	\$	\$ 127,804.00	\$ 35,668.16
CivilTech Engineering (LT to Hitachi)	#DAM0018825	Access Shaft - GPR & M&SW Surveys at T&R	28-Jan-2015						\$ 11,554.00
Global Geophysics (LT to CivilTech - 3rd Tier under Hitachi)	#M4M0021256								
Yonemitsu Geological Services (LT to CivilTech - 3rd Tier under Hitachi)	#DAM00213447	Access Shaft - Soil Testing	28-Jan-2015						
HNTB (Non-DBE sub)	HNTB	CADD Drafting	23-Apr-2012	100%	\$ 22,571.00	\$ 22,571.00	\$	\$ 22,571.00	\$ 22,571.00
3D Infusion (LT to HNTB)	#DAM0018480	Mechanical Engineering	5-Apr-2012	100%	\$ 122,373.75	\$ 122,373.75	\$	\$ 122,373.75	\$ 122,373.76
Berona Engineers Inc. (LT to HNTB)	#DAM5110441		18-Aug-2011	100%	\$ 601,225.43	\$ 601,225.43	\$	\$ 601,225.43	\$ 601,225.43
Bollma Drafting & Design Inc (LT to HNTB)	#D1M0205127		29-Jul-2011	100%	\$ 4,350.95	\$ 4,350.95	\$	\$ 4,350.95	\$ 4,350.95
Casseday Consulting (LT to HNTB)	#D2F9821042	Traffic & Transportation	20-Sep-2011	100%	\$ 101,510.22	\$ 101,510.22	\$	\$ 101,510.22	\$ 101,510.22
Chudgar Engineering Company (LT to HNTB)	#DAM9019387	Structural Engineering	25-Aug-2011	100%	\$ 888,277.66	\$ 888,277.66	\$ 25,609.15	\$ 849,684.58	\$ 849,684.58
CivilTech Engineering (LT to HNTB)	#DAM0018825	Utility & Structural Engineering Services & Staff Augmentation	28-Oct-2011	100%	\$ 176,417.44	\$ 176,417.44	\$	\$ 176,417.44	\$ 176,417.44
Convergent Pacific (LT to HNTB)	#DAM0018854	Structural Engineering	5-Aug-2011	100%	\$ 492,750.26	\$ 492,750.26	\$	\$ 492,750.26	\$ 249,022.79
DKA (LT to HNTB)	#D3M2403468	CADD Drafting & Architectural Services	1-May-2011	100%	\$ 634,350.12	\$ 634,350.12	\$	\$ 634,350.12	\$ -
Earth Mechanics, Inc. (LT to HNTB)	#DAM8020108	Geotechnical Seismic Design & Analysis	6-Jan-2012	100%	\$ 990,328.53	\$ 990,328.53	\$	\$ 978,177.53	\$ 978,177.53
Integrated Design Engineers, LLC (LT to HNTB)	#DAM8719103	Structural & Civil Engineering	1-May-2011	100%	\$ 481,563.99	\$ 481,563.99	\$	\$ 481,563.99	\$ 481,563.99
Osborn Consulting Inc. (LT to HNTB)	#D2F0019030	Temporary Erosion & Sediment Control Backwater analysis	5-Mar-2012	100%	\$ 33,377.30	\$ 33,377.30	\$	\$ 33,377.30	\$ 33,377.30
Osborn Pacific Group Inc. (LT to HNTB)	#D2F0000139	Landscape Architectural Services	1-May-2011	100%	\$ 385,719.36	\$ 385,719.36	\$ 342.00	\$ 378,980.13	\$ 375,517.63
Saez Consulting Engineers Inc. (LT to HNTB)	#MSM0019808	Utility Engineering Services & Structural Engineering	16-Apr-2012	100%	\$ 186,757.53	\$ 186,757.53	\$ 3,724.00	\$ 186,383.93	\$ 186,383.93
Schemata Workshop (LT to HNTB)	#D4F0021115	Architectural Specifications							

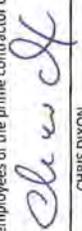
Name of DBE Subcontractor * (LT = lower tier)	DBE Certification Number	Description of Work Performed	Subcontract Start Date	% of work completed	Commitment	Invoiced to Date	Total Payments this Report	Total Payments to Date	DBE Amount (as Amended)
Walkerobin (LT to HNTB)	#D2F0019744	Document Control General Mngt. Consulting Svcs.	26-Sep-2011	100%	\$ 96,080.00	\$ 96,080.00	\$ 5,472.00	\$ 94,013.50	\$ 94,013.50
Yonemitsu Geological Services (LT to HNTB)	#D4M0013447	Groundwater Monitoring	8-Jul-2011	100%	\$ 6,132.18	\$ 6,132.18		\$ 6,132.18	\$ 6,132.18
HNTB - HART CROWSER INC. (Non-DBE sub)									
Global Geophysics (LT to HNTB)	#M4M0021256	Geophysical Consulting Services	1-May-2011	100%	\$ 27,000.00	\$ 27,000.00		\$ 27,000.00	\$ 27,000.00
Holocene Drilling Inc (Non-DBE sub)	#D4M0013447	Field borehole logging, engineering, and geotechnical instrumentation monitoring.	20-Jul-2012	100%	\$ 101,471.25	\$ 101,471.25	\$ 36,688.60	\$ 64,604.85	\$ 64,604.85
Yonemitsu Geological Services									
HOS BROS CONSTRUCTION (Non-DBE sub)									
PROUSA	#D3M0022332	Trucking	23-Nov-2013	100%	\$ 99,985.00	\$ 99,985.00		\$ 99,985.00	\$ -
JH KELLY (Non-DBE sub)									
Scheduling and Information Services (LT to JH Kelly)	#D2F8218862	Project Controls and Scheduling	8-Apr-2013	53%	\$ 550,000.00	\$ 293,765.50	\$ 15,223.75	\$ 254,469.38	\$ 206,469.38
JH KELLY - DESERT MECHANICAL (Non-DBE sub)									
OMA Construction Inc. (LT to Desert Mechanical, 3rd tier under JH Kelly)	#D4M2316494	Underground Piping	1-Oct-2012	48%	\$ 112,640.00	\$ 54,395.00		\$ 51,675.25	\$ 51,675.25
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	#D8F0021571	Fabricating Tunnel Ventilation Stacks	13-Feb-2013	28%	\$ 746,395.10	\$ 212,430.17		\$ 185,026.77	\$ 185,026.77
Wayron (LT to Desert Mechanical, 3rd tier under JH Kelly)	#D8F0021571	Fabricating Transition Ductwork of Tunnel	19-Sep-2014	14%	\$ 207,297.74	\$ 28,396.95			
JH KELLY - DESERT MECHANICAL - SHINN MECHANICAL (Non-DBE sub)									
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly) #1488	#M3M0018112	Mechanical	1-May-2013	71%	\$ 628,754.60	\$ 446,067.07		\$ 423,763.71	\$ 423,763.71
JP Francis & Associates (LT to Shinn, 4th tier under JH Kelly) #1533	#M3M0018112	Mechanical	1-Aug-2013	42%	\$ 4,192,586.96	\$ 1,753,211.50	\$ 476,444.08	\$ 1,561,326.75	\$ 1,561,326.75
JH KELLY - FISK ELECTRIC (Non-DBE sub)									
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0185A	23-Apr-2012	100%	\$ 4,374.53	\$ 4,374.53		\$ 4,374.53	\$ 2,624.72
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0444A	20-Apr-2013	87%	\$ 5,688,963.90	\$ 4,993,008.09		\$ 4,993,008.44	\$ 2,959,805.06
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0572A	10-Jul-2013	82%	\$ 5,021,920.34	\$ 4,094,024.25	\$ 685,302.27	\$ 4,094,024.25	\$ 2,456,414.55
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0720A	1-Jun-2013	100%	\$ 174.65	\$ 174.65		\$ 174.65	\$ 104.79
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0673A	1-May-2013	100%	\$ 249.61	\$ 249.61		\$ 249.61	\$ 149.77
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0680X	1-May-2013	100%	\$ 47.41	\$ 47.41		\$ 47.41	\$ 28.45
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #0632A	1-Apr-2013	100%	\$ 2,760.56	\$ 2,760.56		\$ 2,760.56	\$ 1,656.34
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #29250	1-Oct-2013	100%	\$ 1,573.93	\$ 1,573.93		\$ 1,573.93	\$ 944.36

Name of DBE Subcontractor * (LT = lower tier)	DBE Certification Number	Description of Work Performed	Subcontract Start Date	% of work completed	Commitment	Invoiced to Date	Total Payments this Report	Total Payments to Date	DBE Amount (as Amended)
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #32814		100%	\$ 64,000.00	\$ 64,000.00		\$ 64,000.00	\$ 38,400.00
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #45436	13-Jan-2014	100%	\$ 608.40	\$ 608.40		\$ 608.40	\$ 365.04
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #7747	6-Aug-2013	100%	\$ 191.63	\$ 191.63		\$ 191.63	\$ 114.98
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #31840	1-Nov-2013	100%	\$ 1,445.40	\$ 1,445.40		\$ 1,445.40	\$ 867.24
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #118390	15-Sep-2014	100%	\$ 6,296.25	\$ 6,296.25		\$ 6,296.25	\$ 3,777.75
Mobile Electrical Distributors Inc. (LT to FISK, 3rd tier under JH Kelly)	#D2F0017012	Electrical Supply #142187	6-Dec-2014	100%	\$ 4,627.44	\$ 4,627.44			
Transcon (LT to FISK, 3rd tier under JH Kelly)	#D4M1022071	Electrical supply and install	11-Feb-2013	100%	\$ 59,187.00	\$ 59,187.00		\$ 59,187.00	\$ 21,099.00
JH KELLY - SICE (Non-DBE sub)									
Sundancer Electric (LT to SICE, 3rd tier under JH Kelly)	#D1M8522607	Electrical contractor	1-Jan-2014	100%	\$ 3,331.29	\$ 3,331.29		\$ 3,331.29	\$ -
MALCOLM (Non-DBE sub)									
1 Alliance Geomatics (LT to Malcolm)	#D4M0022928	Onsite Survey Assistance	14-May-2014	100%	\$ 397,730.00	\$ 397,730.00		\$ 397,730.00	\$ 397,730.00
BC Traffic (LT to Malcolm)	#D4M0011474	Traffic Control	12-May-2014	100%	\$ 335,073.03	\$ 335,073.03		\$ 313,323.33	\$ 313,323.33
BESTCCLS INC (LT to Malcolm)	#D3M9319663	Survey, as-build services	20-Oct-12	100%	\$ 27,202.50	\$ 27,202.50		\$ 25,748.91	\$ 25,748.91
Mar-Vac / Marine Vacuum Service Inc. (LT to Malcolm)	#M4M0002341	Vac-truck services	10-Apr-2012	100%	\$ 178,836.06	\$ 178,836.06		\$ 169,894.26	\$ 169,894.26
Transcon (LT Malcolm)	#D4M1022071	Excavation	9-May-2014	100%	\$ 431,642.23	\$ 431,642.23		\$ 422,156.00	\$ -
MAYES TESTING ENGINEERS, INC. (Non-DBE sub)	#D4M9620410	Soil Compaction Testing Services	4-Jan-2013	100%	\$ 27,440.00	\$ 27,440.00		\$ 27,440.00	\$ 27,440.00
NCM (Non-DBE sub)									
OMA (LT to NCM)	#D4M2316494	Demo, Trucking Seccants, Wall Openings and Cradle	25-Mar-2014	100%	\$ 154,702.50	\$ 154,702.50		\$ 154,702.50	
Mar-Vac / Marine Vacuum Service Inc. (LT to NCM)	#M4M0002341	Vac-truck services	26-Jun-2014	326%	\$ 4,468.70	\$ 14,584.68		\$ 4,468.70	\$ 4,468.70
NORTHWEST ASPHALT									
OMA (LT to Northwest Asphalt)	#D4M2316494	Trucking	26-Feb-2014	100%	\$ 57,236.25	\$ 57,236.25		\$ 54,374.43	
PROUSA (LT to Northwest Asphalt)	#D3M0022332	Trucking	24-Feb-2014	100%	\$ 11,576.41	\$ 11,576.41		\$ 11,576.41	
OTTO ROSENAU & ASSOCIATES, INC. (Non-DBE sub)									
AAR Testing Laboratories, Inc. (LT to Otto)	#D2F4708231	Outside Testing & Inspection	25-Oct-2011	100%	\$ 68,602.74	\$ 68,602.74		\$ 68,602.74	\$ 68,602.74
PROFESSIONAL SERVICES INDUSTRY (PSI) (Non-DBE sub)									
Pacific Geo Engineering (LT to PSI)	#D4M9620410	Concrete testing and laboratory testing	4-Jan-2013	100%	\$ 14,693.00	\$ 14,693.00		\$ 18,451.00	\$ 18,451.00
SOLDATA - KPG (Non-DBE sub)									
Suez Consulting Engineers Inc. (LT to KPG, 3rd tier under SoldData)	#M5M0019808	Settlement Monitoring	1-Apr-2012	48%	\$ 1,099,130.55	\$ 519,367.61		\$ 506,340.68	\$ -
OMA Construction Inc. (LT to KPG, 3rd tier under SoldData)	#D4M2316494	Settlement Point Installations	6-Sep-2012	100%	\$ 103,950.00	\$ 103,950.00		\$ 103,950.00	\$ 60,280.00

Name of DBE Subcontractor (lower tier)	* (LT = SOLDATA - HART CROWSER sub)	DBE Certification Number	Description of Work Performed	Subcontract Start Date	% of work completed	Commitment	Invoiced to Date	Total Payments this Report	Total Payments to Date	DBE Amount (as Amended)
Novito Construction Inc. (LT to Hart Crowser, 3rd tier under SolData)		#D2F6917467	Traffic control/ flagging	11-Jun-2012	100%	\$ 228,052.53	\$ 228,052.53	\$	\$ 228,052.53	\$ 228,052.53
VECA (Non-DBE sub)		VECA #D2F0017012	Electrical Supply		100%	\$ 9,803.15	\$ 9,803.15	\$	\$ 9,803.15	\$ 5,881.89
Mobile Electrical Distributors Inc. (LT to VECA)						\$ 92,387,096.89	\$ 78,920,902.59	\$ 2,135,724.14	\$ 77,599,255.14	\$ 56,050,046.05

PLEASE ANSWER THE FOLLOWING QUESTIONS BY STATING EITHER "YES" OR "NO":

- Have any of the DBE subcontractors been added or removed from the DBE monthly report period? If yes, fully explain the action.
Yes, United Reprographics (under STP), CivilTech (LT to Hitachi), Global Geophysics (LT CivilTech LT Hitachi), Yonemitsu (LT CivilTech LT Hitachi)
- Has the scope of work or the subcontract amount for any of the DBE subcontractors changed since the last report? If yes, fully explain the action.
Yes. Please see the attached summary report for commitments as of 1/31/15.
- Did any of the DBE subcontractors rent/lease equipment from the prime contractor or an affiliate company during the report period? If yes, explain the arrangement, including a description of the equipment and the cost.
No.
- Did any of the DBE subcontractors utilize employees of former employees of the prime contractor or an affiliate company during the report period? If yes, fully explain the arrangement.
No.

AUTHORIZED SIGNATURE:  CHRIS DIXON

TITLE: Project Manager DATE: 2/27/15

Commitments increased as of month ending January 31, 2015

* First time reported

Name of DBE Subcontractor * (LT = lower tier)	December 2014 Commitments	January 2015 Commitments	Increase
FIRST TIER			
DHD Trucking	\$ 1,114,667.50	\$ 1,123,667.50	\$ 9,000.00
Duncan Asphalt	\$ 40,000.00	\$ 51,630.60	\$ 11,630.60
Garner Construction	\$ 215,421.88	\$ 619,654.94	\$ 404,233.06
MindSeekers, LLC	\$ 272,138.55	\$ 287,856.93	\$ 15,718.38
Oatridge Security Group Inc	\$ 4,046,761.75	\$ 4,075,777.75	\$ 29,016.00
Oneill Service Group	\$ 646,242.16	\$ 667,889.54	\$ 21,647.38
Osiris Enterprises LLC	\$ 253,170.50	\$ 263,999.50	\$ 10,829.00
Sundancer Electric Inc.	\$ 4,130,391.06	\$ 4,212,165.30	\$ 81,774.24
VENDORS			
Excel Supply Company	\$ 19,491.23	\$ 52,973.53	\$ 33,482.30
Highway Specialties LLC	\$ 250,308.81	\$ 251,905.98	\$ 1,597.17
Mobile Electrical Distributors		\$ 18,319.66	\$ 18,319.66
Quality Discount Supplies & Services (John W. Quarles)	\$ 4,977.18	\$ 5,154.09	\$ 176.91
The Bag Lady	\$ 285,944.38	\$ 287,172.98	\$ 1,228.60
*United Reprographics		\$ 755.11	\$ 755.11
LOWER TIER			
FPS ENCON PRECAST, LLC now Lining Precast (Non-DBE sub)			
Savage Logistics, LLC (LT to Lining Precast)	\$ 12,981.38	\$ 15,031.78	\$ 2,050.40
Hitachi Zosen USA Ltd		\$ 127,804.00	\$ 127,804.00
CivilTech Engineering (LT to Hitachi)		\$ 127,804.00	\$ 127,804.00
HNTB (Non-DBE sub)			
CivilTech Engineering (LT to HNTB)	\$ 871,219.66	\$ 888,277.66	\$ 17,058.00
Saez Consulting Engineers Inc. (LT to HNTB)	\$ 385,359.36	\$ 385,719.36	\$ 360.00
Wakerobin (LT to HNTB)	\$ 92,360.00	\$ 96,080.00	\$ 3,720.00
Holocene Drilling Inc (Non-DBE sub)			
Yonemitsu Geological Services	\$ 99,556.31	\$ 101,471.25	\$ 1,914.94
			\$ 792,315.75

**ATTACHMENT # 2
DBE COMMITMENT VALIDATION**

FIRST FIRM	Name of DBE Subcontractor * (L1 = lower tier)	Description of Work Performed	Project Role (L1 = Subcontractor L2 = Joint Venture L3 = Prime Contractor L4 = Fabricator/Supplier)	Subcontract Start Date	Subcontract End Date	% of work completed	Invoiced to Date	#47 Commitment	#46 Commitment	#47 & #46 Commitment Change	REMARKS:
DHD Trucking		Street Sweeping	S	10-Jan-12	Active	100%	\$ 1,123,667.50	\$ 1,123,667.50	\$ 1,114,467.50	\$ 9,000.00	Equals Invoiced to Date total; Total of all Purchase Orders, Change Orders, and Contract for street sweeping in STP files = \$1,379,545.69
Duncan Asphalt (Added on #39)		MOT-3 SR & SPOFF Paving and CSBIC Supply	V	11-Apr-14	Active	19%	\$ 51,630.60	\$ 51,630.60	\$ 40,000.00	\$ 11,630.60	Equals Invoiced to Date total
Garner Construction (Added on #42)		24/7 Crane Rental w/ Operator for Access Shaft Excavation	S	29-Aug-2014	Active	100%			\$ 215,421.88	\$ 404,233.06	Subcontract (#4993-01) for \$215,994.77 in binder (#42); CO's 001 & 002 with Total Revised Final Agreement Amount = \$298,554.37 in binder (#43); CO 003 with Total Revised Final Agreement Amount = \$305,811.38 in binder (#44); CO's 004 & 005 in binder (#46) Revised Subcontract Amount = \$559,982.30; CO's 006 & 007 in binder (#47) Revised Subcontract Amount = \$924,826.51
Minutemen, LLC		Temporary Staffing	V	27-Feb-2013	Active	100%	\$ 287,856.93	\$ 287,856.93	\$ 273,138.55	\$ 15,118.38	Equals Invoiced to Date total; CO 001 Total Revised Final Agreement Amount = \$931,160.00
Outridge Security Group Inc		Security Guard Services	V	10-Oct-2011	Active	100%			\$ 4,046,761.75	\$ 29,016.00	Equals Invoiced to Date total; Subcontract (#1977-01) through CO 005 Total Revised Final Agreement Amount = \$3,948,375.28 plus PO #02, 011, 013 in STP Files, Total Value POs and Subcontract through CO 005 = \$4,083,375.28;
Onell Service Group		Environmental inspection & compliance, stormwater, scientist/documentation services	V	13-Feb-2012	Active	100%	\$ 4,075,777.75	\$ 4,075,777.75	\$ 646,242.16	\$ 21,647.38	Total Value Contract and Change Orders in STP files (through Agreement)
Oshis Enterprises LLC		Janitorial Services	V	12-Jan-2012	Active	100%	\$ 263,999.50	\$ 263,999.50	\$ 253,170.50	\$ 10,829.00	Equals Invoiced to Date total; CO 008 (PO No 2399-0810) Total Revised Final Agreement Amount = \$488,874.26 in binder
Sundowner Electric Inc.		Tunnel Electrical	S	17-Jan-2013	Active	100%	\$ 4,212,165.30	\$ 4,212,165.30	\$ 4,130,391.06	\$ 81,774.24	Equals Invoiced to Date total; CO 009 Total Revised Final Subcontract = \$4,544,005.14
VENDORS											
Excel Supply Company		Safety Supplies	R	NA	Active	100%	\$ 53,073.53	\$ 52,973.53	\$ 19,491.23	\$ 33,482.30	Purchase Order Agreement, Total PO's in STP files = \$57,475.67
Highway Specialties LLC		Construction Signage, Traffic Drums, lights, safety, TMA's	R	NA	Active	100%	\$ 251,905.98	\$ 251,905.98	\$ 250,308.81	\$ 1,597.17	Equals Invoiced to Date total; Total of Purchase Orders in STP Files = \$296,812.64
Quality Discount Supplies & Services (John W. Quarles)		Office Supplies	R	NA	Active	100%	\$ 5,154.09	\$ 5,154.09	\$ 4,977.18	\$ 176.91	Equals Invoiced to Date total; Total of all Purchase Orders in STP Files = \$6,180.43
The Bag Lady		Construction Entrance Plates & Straw bales	R	NA	Active	100%	\$ 287,172.98	\$ 287,172.98	\$ 285,944.38	\$ 1,228.60	Equals Invoiced to Date total; Total of all Purchase Orders in STP Files = \$298,494.45
United Reprographics (Added on #47)		Business cards & printing services	R	12-Jan-2015	Active	100%	\$ 755.11	\$ 755.11	\$	\$ 755.11	Purchase Order in binder (#47) = \$27,375.00
Frank Colucci Construction Company (FCCC) (Non-DBE sub)											
Savage Logistics, LLC (LT to Living Precast) (added for #37)		Pick up trailer rental (PO 1275)	V	20-Nov-2013		100%	\$ 15,031.78	\$ 15,031.78	\$	\$ 2,050.40	Equals Invoiced to Date total; Purchase Order #1275, total of Purchase Order Agreement in STP file = \$351,135.60 (#45) Included Invoice for City of Seattle parking tickets Per STP Accounting, this will not be claimed as DBE eligible dollars on DBE Amount (All Amended)
Hitachi Zosen USA Ltd (Added on #47)		Ground Condition Evaluation	V	6-Aug-2014		100%	\$ 127,804.00	\$ 127,804.00	\$	\$ 127,804.00	Equals Invoiced to Date total; Purchase Order Revision No. 1 in binder (#47) = \$127,804.00
CivilTech Engineering (LT to Hitachi) (Added on #47)											
HNTB (Non-DBE sub)											
CivilTech Engineering (LT to HNTB)		Utility & Structural Engineering Services & Staff Augmentation	V	25-Aug-2011	Active	100%	\$ 888,277.66	\$ 888,277.66	\$ 871,219.66	\$ 17,058.00	Equals Invoiced to Date total; New Total Not to exceed amount (Contract #49555) through Supplement No. 13 = \$536,873.50; New Total Not to exceed amount (Contract #51761) through Supplement No. 03 = \$416,300.00; Total Value = \$953,173.50 + \$416,300.00 = \$953,173.50 (NTE).
Suez Consulting Engineers Inc. (LT to HNTB)		Utility Engineering Services & Structural Engineering	V	1-May-2011	Active	100%	\$ 385,719.36	\$ 385,719.36	\$ 385,359.36	\$ 360.00	Equals Invoiced to Date total; Supplement No. 14 Revised Budget = \$396,133
Wakerobin (LT to HNTB)		Document Control General Mngt. Consulting Svcs.	V	26-Sep-2011	1/14/2013	100%	\$ 96,060.00	\$ 96,060.00	\$ 92,360.00	\$ 3,700.00	Supplemental Agreement No. 2, dated 9/1/2014, Not to Exceed Amount = \$99,200.00
Holsocene Drilling Inc (Non-DBE sub)		Field borehole logging, engineering, and geotechnical instrumentation monitoring.	V	20-Jul-2012	Active	100%	\$ 101,471.25	\$ 101,471.25	\$ 99,556.31	\$ 1,914.94	Subcontract Agreement (v. L3, CO #003) Total Subcontract (Not to Exceed) = \$150,000.00
Yonemitsu Geological Services							\$ 76,920,902.59	\$ 92,387,096.89	\$ 91,594,781.14	\$ 773,996.09	

**ATTACHMENT # 3
DBE INVOICED TO DATE VALIDATION**

PRIME FIRM	Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Industry Type (1 = Engineering, 2 = Environmental, 3 = Construction)	Subcontract Start Date	Subcontract End Date	% of work completed	#47 Commitment	#47 Invoiced to Date	#44 Invoiced to Date	#47-#44 Invoiced (for Jan)	Invoices (for Jan)	Verified work done prior to invoice date	REMARKS
	DHD Trussing	Street Sweeping	S	10-Jan-12	Active	100%	\$ 1,123,667.50	\$ 1,123,667.50	\$ 1,114,697.50	\$ 9,000.00	Inv # 556, 557, 550	Yes	Invoices in binder
	Gamer Construction (Added on #42)	DMV Case Rental w/ Operator for Access Shift Excavation	S	29-Aug-2014	Active	100%	\$ 610,654.94	\$ 610,654.94	\$ 215,421.88	\$ 404,233.06	Inv #810, 8325	Yes	Invoices in binder
	Mindbreakers, LLC	Temporary Staffing	V	27-Feb-2013	Active	100%	\$ 287,856.93	\$ 287,856.93	\$ 772,138.55	\$ 15,718.38	Inv # 3, 3089A, 31004, 31070, 31073, 31074, 31076, 31081, 31082, 31083, 31094, 31089, 31091, 31095, 31096, 31077	Yes	Invoices in binder
	Neppel Electrical (Added on #42)	Harrison Street Hangers and Conduit	S	31-Jul-2014	Active	0%	\$ 473,613.72	\$ 362,309.78	\$ 36,138.00	\$ 246,171.79	Inv # 1, 10114, 10115	Yes	Invoices in binder
	Dorridge Security Group Inc	Security Guard Services	V	10-Oct-2011	Active	100%	\$ 4,075,777.75	\$ 4,075,777.75	\$ 4,046,761.75	\$ 29,016.00	Inv #8044	Yes	Invoices in binder
	Onell Service Group	Environmental Inspection & Compliance, stormwater, aerial/ground documentation services	V	13-Feb-2012	Active	100%	\$ 653,888.54	\$ 667,869.54	\$ 646,242.16	\$ 21,647.38	Inv # 7, 2435A, 2482	Yes	Invoices in binder
	Orvis Enterprises LLC	General Services	V	12-Jan-2012	Active	100%	\$ 251,999.58	\$ 251,999.58	\$ 253,170.50	\$ -10,823.00	Inv # 1, 10010, 10115	Yes	Invoices in binder
	Sundowner Electric Inc.	Tunnel Electrical	S	17-Jan-2013	Active	100%	\$ 4,212,165.30	\$ 4,212,165.30	\$ 4,130,391.06	\$ 81,774.24	101101115, 102101185, 103101255	Yes	Invoices in binder
	United Professional Calking (Added on #42)	Harrison Street Expansion Joints	S	12-Aug-2014	Active	0%	\$ 79,250.00	\$ 79,250.00	\$ 35,000.00	\$ 44,250.00	Inv # 45765	Yes	Invoices in binder
	Excel Supply Company	Safety Supplies	R	NA	Active	100%	\$ 52,973.53	\$ 51,073.53	\$ 19,491.23	\$ 33,582.30	Inv # 7, 72845, 71432, 72784, 72139	Yes	Invoices in binder
	Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMS	R	NA	Active	100%	\$ 251,905.98	\$ 251,905.98	\$ 250,308.81	\$ 1,597.17	Inv #1501388	Yes	Invoices in binder
	Quality Discount Supplies & Services (John W. Quarles)	Office Supplies	R	NA	Active	100%	\$ 5,154.09	\$ 5,154.09	\$ 4,977.18	\$ 176.91	Inv #4338C	Yes	Invoices in binder
	The Bag Lady	Construction Entrance Plates & Straw bales	R	NA	Active	100%	\$ 287,172.98	\$ 287,172.98	\$ 285,944.38	\$ 1,228.60	Inv # 2, 2467	Yes	Invoices in binder
	United Reprographics (Added on #47)	Business cards & printing services	R	12-Jan-2015	Active	100%	\$ 755.11	\$ 755.11	\$ 755.11	\$ 0.00	Inv # 1, 1, 319211, 920189	Yes	Invoices in binder
	LOVED LLC												
	IPS EMCOR PRECAST, LLC (new billing present (Non-DBE sub)	Pick up trailer rental (PO 1279)	V	20-Nov-2013	Active	100%	\$ 15,031.78	\$ 15,031.78	\$ 12,091.38	\$ 2,050.40	Inv # 1, 14, 1279-14, 25-1279-03	Yes	Invoices in binder
	Savage Logistics, LLC (LT to Lining Precast) (Added for #37)												
	Hilab Zaver USA Ltd (Added on #41)	Ground Condition Evaluation	V	6-Aug-2014	Active	100%	\$ 127,804.00	\$ 127,804.00	\$ 127,804.00	\$ 0.00	Inv # 4, 43164, 51000	Yes	Invoices in binder
	QuilTech Engineering (LT to #47)												
	CVITech Engineering (LT to HNTB)	Utility & Structural Engineering Services & Staff Augmentation	V	25-Aug-2011	Active	100%	\$ 888,277.66	\$ 888,277.66	\$ 871,219.66	\$ 17,058.00	Inv # 5, 51005, 51006	Yes	Invoices in binder
	Suez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	V	1-May-2011	Active	100%	\$ 385,719.36	\$ 385,719.36	\$ 385,459.36	\$ 360.00	Inv #1110	Yes	Invoices in binder
	Wakrobin (LT to HNTB)	Document Control General Mgmt. Consulting Svcs.	V	26-Sep-2011	27/9/2013	100%	\$ 96,080.00	\$ 96,080.00	\$ 92,360.00	\$ 3,720.00	Inv #106202, 2412-46055	Yes	Invoices in binder
	Holocene Drilling Inc (Non-DBE sub)												
	Yonemitsu Geological Services	Field borehole logging, engineering, and geotechnical instrumentation monitoring.	V	20-Jul-2012	Active	100%	\$ 101,471.25	\$ 101,471.25	\$ 99,556.31	\$ 1,914.94	Inv #12, 13723-06	Yes	Invoices in binder
	JH KELLY - GEORGET MECHANICAL - SJHWN MECHANICAL (Non-DBE sub)												
	JF Francis & Associates (LT to Shinn, 4th tier under JH Kelly)	Mechanical (Agreement #7 - 2789-1323)	S	1-Aug-2013	4/1/2015	30%	\$ 4,192,586.96	\$ 1,753,211.50	\$ 1,719,199.64	\$ 34,011.86	Inv #2013-14-13	Yes	Invoices in binder
	SOLDATA - IPE (Non-DBE sub)												
	Suez Consulting Engineers Inc. (LT to #46, 3rd tier under Solbars)	Settlement Monitoring	V	1-Apr-2012	Active	69%	\$ 1,093,130.55	\$ 519,367.61	\$ 497,864.73	\$ 21,502.88	Inv #1087	Yes	Invoices in binder
							\$ 92,887,096.89	\$ 78,920,902.59	\$ 77,709,557.47	\$ 1,188,402.02			

**ATTACHMENT # 4
DBE TOTAL PAYMENTS VALIDATION**

Project Bids (S = Subcontractor (S = Material Supplier (S = Material Supplier (S = General Provider)	Name of DBE Subcontractor * (LT = lower tier)	Description of Work Performed	Subcontract Start Date	Subcontract End Date	% of work completed	#47 Total Payments to Date Report (Jan)	#48 Total Payments to Date	Compare Total Pymts to Date (#47 - #48)	REMARKS
	FIRST TIER								
V	Catherine Basanti	Progress photography	5-Mar-12	Active	100%	\$ 5,790.00	\$ 37,975.86	\$ 5,790.00	Check #9401 in binder
V	DHD Trucking	Street Sweeping	10-Jan-12	Active	100%	\$ 10,440.00	\$ 1,104,227.50	\$ 10,440.00	Check #5 9400, 9411 in binder
S	Genert Construction (Added on #42)	24/7 Crane Rental w/ Operator for Access Shaft Excavation	29-Aug-2014	Active	100%	\$ 191,567.47	\$ 215,421.88	\$ 191,567.47	Check #9528 in binder
V	J. Kaiser & Associates (Added on #42)	DBE Coordinator - Consulting	30-Apr-2014	Active	100%	\$ 19,000.00	\$ 60,421.20	\$ 19,000.00	Check #9418 in binder
S	Marshbank	King Street - Sewer Relocation	7-Aug-2012	Active	98%	\$ 220,363.55	\$ 1,435,947.94	\$ 220,363.55	Check #9476 in binder
V	MindSteele, LLC	Temporary Staffing	27-Feb-2013	Active	100%	\$ 10,703.02	\$ 273,785.80	\$ 10,703.02	Check #5 9376, 9451, 9514 in binder
V	Quadrige Security Group Inc	Security Guard Services	10-Oct-2011	Active	100%	\$ 130,314.75	\$ 4,046,761.75	\$ 130,314.75	Check #5 9391, 9410 in binder
V	Onell Service Group	Environmental inspection & compliance, stormwater permits/documentation services	13-Feb-2012	Active	100%	\$ 30,470.63	\$ 615,771.53	\$ 30,470.63	Check #9460 in binder
V	Odiss Enterprises LLC	Janitorial Services	12-Jan-2012	Active	100%	\$ 10,859.00	\$ 253,170.50	\$ 10,859.00	Check #9441 in binder
V	PRR, Inc.	Subcontractant - Public Information	22-Feb-2011	Active	89%	\$ 13,556.00	\$ 706,911.60	\$ 13,556.00	Check #9409 in binder
V	Savage Logistics, LLC	Freight	28-Mar-2013	Active	100%	\$ 11,731.50	\$ 666,198.00	\$ 11,731.50	Check #9526 in binder
S	Steele/Kor	Furnish and install all structural steel	31-Oct-2013	Active	43%	\$ 73,033.45	\$ 1,957,082.84	\$ 73,033.45	Check #9417 in binder
S	Sundowner Electric Inc.	Turned Electrical	17-Jan-2013	Active	100%	\$ 121,102.01	\$ 4,188,876.90	\$ 121,102.01	Check #5 9299, 9413, 9403, 9531, 9578 in binder
S	Washington State TruCheck Inc (Added on #42)	Harbor and Dispose of 130 turned segments	12-Aug-2014	Active	100%	\$ 3,363.58	\$ 384,331.46	\$ 3,363.58	Check #5 9476, 9479 in binder
R	Excel Supply Company	Safety Supplies	NA	Active	100%	\$ 1,605.54	\$ 19,491.73	\$ 1,605.54	Check #9288 in binder
R	Highway Specialties LLC	Construction Signage, Traffic Drums, lights, safety, TMS	NA	Active	100%	\$ 19,038.34	\$ 240,308.81	\$ 19,038.34	Check #5 9342, 9433, 9494 in binder
R	The Bag Lady	Construction Entrance Mats & Straw Bales	NA	Active	100%	\$ 722.70	\$ 283,944.38	\$ 722.70	Check #9319 in binder
V	IPS/ENCON PRECAST, LLC now Living Precast (Non-DBE sub)	PC Check # up trailer rental (PO 1279)	20-Nov-2013	Active	100%	\$ 2,050.40	\$ 15,031.78	\$ 2,050.40	Wire receipt #15E84550VA1P50 in binder
V	Savage Logistics, LLC (LT to Living Precast) (added for #37)								
V	Hitech Zonen USA Ltd (added for #47)								
V	CivITech Engineering (LT to Hitech) (added on #47)	Ground Condition Evaluation	6-Aug-2014	Active	100%	\$ 79,084.00	\$ 79,084.00	\$ 79,084.00	Wire receipt #1188288 in binder
V	HNTB (Non-DBE sub)								
V	CivITech Engineering (LT to HNTB)	Utility & Structural Engineering Services & Staff Augmentation	25-Aug-2011	Active	100%	\$ 25,609.15	\$ 849,684.58	\$ 25,609.15	Check #5 95207, 158748 in binder
V	Suez Consulting Engineers Inc. (LT to HNTB)	Utility Engineering Services & Structural Engineering	1-May-2011	Active	100%	\$ 342.00	\$ 378,638.13	\$ 342.00	Check #350205 in binder
V	Schemata Workshop (LT to HNTB)	Architectural Specifications	16-Apr-2012	1/7/2013	100%	\$ 3,724.00	\$ 182,659.93	\$ 3,724.00	Check #158368 in binder
V	Wakerebin (LT to HNTB)	Document Control General Mngt. Consulting Svcs.	26-Sep-2011	1/7/2013	100%	\$ 5,472.00	\$ 94,013.90	\$ 5,472.00	Check #5 352174, 358448, 358900 in binder
V	Hoosier Drilling Inc (Non-DBE sub)	Field borhole logging, engineering, and geotechnical instrument monitoring.	20-Jul-2012	Active	100%	\$ 36,688.60	\$ 64,604.85	\$ 36,688.60	Check #22054 in binder
V	Yonemitsu Geological Services								
V	JH KELLY (Non-DBE sub)	Scheduling and Information Services (LT to JH Kelly)	8-Apr-2013	12/29/2015	49%	\$ 515,232.75	\$ 254,469.38	\$ 29,867.50	Deposit activity print out for 1/16/15 in binder
V	JH KELLY - DESERT MECHANICAL - SHIRN MECHANICAL (Non-DBE sub)	Project Controls and Scheduling							
S	JP Francis & Associates (LT to Shin, 4th tier under JH Kelly)	Mechanical Agreement #2 - 2783-1533	1-Aug-2013	4/7/2015	39%	\$ 476,444.08	\$ 1,064,482.67	\$ 476,444.08	Check #5 41111, 41217 in binder
V	JH KELLY - FISK ELECTRIC (Non-DBE sub)	Electrical Supply #0572A	10-Jul-2013		85%	\$ 685,302.27	\$ 4,094,024.25	\$ 3,408,721.98	Check #5 34825, 35288 in binder
R	MOLETTA - RPS (Non-DBE sub)	Settlement Monitoring	1-Apr-2012	Active	69%	\$ 506,340.68	\$ 484,837.80	\$ 21,502.88	Check #9803 in binder
V	Suez Consulting Engineers Inc. (LT to RPS, 3rd tier under SolData)								
						\$ 2,138,724.14	\$ 27,599,255.14	\$ 2,460,530.99	(41,376.00)

Exhibit B: SR 99 Tunnel Design Build Contract- DBE Certified Payroll Hours Verification, January 2015

Contractor/Subcontractor	Prime Contract/Upper Tier	Number of Journeyman	Number of Apprentices	Craft/Trade	Journeyman Hours Worked	Apprentice Hours Worked	Total Hours Worked	Totals from Certified Payroll	DELTA (CP-Total Hrs Worked)	Month Year	Comments
DHD Trucking	STP	3	0	Street Sweep	167	0	167	167	0	Jan-15	
Garner Construction	STP	8	3	Operator	974	231	1205	1181	-24	Jan-15	Apprentice Hours 223
JP Francis	Shinn 2/DM/JH	3	1	Plumber	360	112	472	475	3	Jan-15	Apprentice Hours 112
Neppel Electric	STP	6	2	Electrician	483	173	656	770.75	114.75	Jan-15	Apprentice Hours 265.75
OMA	NCM Contract	2	0	Truck Driver	15.5	0	15.5	15.5	0	Jan-15	
OMA - Job 1133 South Portal	STP	13	0	Truck Driver	715	0	715	1108.5	393.5	Jan-15	
Savage Logistics	STP	2	0	Truck Driver	184.25	0	184.25	168.25	-16	Jan-15	
Sundancer Electric	STP	5	1	Electrician	793.5	165	958.5	958.5	0	Jan-15	Apprentice Hours 165
Sundancer Electric	SICE/JH Kelly	1	0	Electrician	4	0	4	4	0	Jan-15	
Total		43	7		3696.25	681	4377.25	4848.50	471.25		Total Appr Hrs 765.75

DELTA = 471.25

EXHIBIT C: List of DBE Subcontracts

SUB TYPE: S-Subcontractor M-Manufacturer- NOT Public Works Unique V=Service/ Professional Service/Engineering R=Supplier/Dealer/ Materialmen	SR 99 STP	Bored Tunnel Alternative DB Fed Employer I.D. #27-3509698	Contractor / Sub-contractor	Estimated Contract Start Date	Date of Work Completion: *When actual physical work was completed.	Date of Last Submission	Retainage Released Date: *None - Firm had no retainage held *NI - No information available	Hiring Contractor	Notes
S	602360116	1 Alliance Geomatics		5/14/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Malcolm	Contract #2
V	602288380	3D Infusion		4/23/2012	6/11/2012	6/6/2012	1/14/2013	HNTB	
V	601202429	AAR Testing Laboratories Inc.		12/1/2012	2/1/2013	3/1/2013	None	STP	
V	601202429	AAR Testing Laboratories Inc.		4/1/2012	10/31/2012	1/1/2012	None	FD Thomas	
V	601202429	AAR Testing Laboratories Inc.		10/25/2011	2/28/2013	2/28/2013	None	Otto Rosneau & Assoc.	
S	601987791	Advanced Underground Utilities		10/15/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	601443349	Adept Mechanical		9/1/2012	1/30/2013	NA	None	ST Fabrication	
S	600089108	Amaya Electric (CCIS-see Marles Corp)		8/2/2013	10/8/2013	2/3/2014	3/14/2014	STP	Accounting received final release 2/3/14
S	602178781	BC Traffic		5/15/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Malcolm	Contract #2
S	601554655	Bear Wood Windows		Pending	N/A	N/A	N/A	STP	Work wont start until 2015
V	601314208	Barona Engineers Inc		4/5/2012	11/28/2012	11/16/2012	1/14/2013	HNTB	
S	602978139	BEST CCLS Inc		1/10/2012	12/31/2012	10/9/2013	10/16/2013	STP	Final payment docs recv'd from sub on 9/20/13. Final EEO documents received 10/8/13
S	602978139	BEST CCLS Inc		3/26/2012	8/30/2013	2/15/2015	pending	Malcolm	Contract #1 - Closed
R	601361936	Birch Equipment Rental and Sales		2/1/2013	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	601512071	Bohima Drafting & Design Inc		8/18/2011	N/A - Firm is still active	Active	1/14/2013	HNTB	
S	602408510	C & E Transport		10/1/2013	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
S	602408510	C & E Transport		4/25/2013	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602919268	C2PM, Inc.		9/1/2011	NI	NI	None	STP	No Retention Held
R	600237496	Cascade Concrete Products						FD Thomas	
V	602365682	Cascade Consulting Inc.		7/29/2011	12/30/2011	12/30/2011	1/14/2013	HNTB	
V	601663491	Catherine Bassetti		3/5/2012	N/A - Firm is still active	Active	None	STP	
V	602542891	Chudgar Engineering Company		9/20/2011	N/A - Firm is still active	Active	1/14/2013	HNTB	
V	602384747	Civil Tech Engineering Inc		7/31/2012	N/A - Firm is still active	Active	None	STP	
V	602384747	Civil Tech Engineering Inc		9/1/2011	8/14/2013	8/14/2013	None	FCCC	
V	602389218	Convergent Pacific LLC		10/28/2011	9/27/2012	9/24/2013	1/14/2013	HNTB	
V	601518940	D K A Architecture		8/5/2011	9/6/2012	9/6/2012	1/14/2013	HNTB	
S	602853513	DBE Electric, Inc.		2/27/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	602953513	DBE Electric, Inc.		1/12/2011	4/23/2012	9/12/2012	10/12/2012	FCCC	
S	602679989	DHD Trucking LLC		2/1/2012	N/A - Firm is still active	Active	None	STP	Retainage has not been released
S	602259601	Duncan Asphalt		5/13/2014	5/15/2014			STP	
V	602793282	Earth Mechanics, Inc.		5/1/2011	4/6/2012	4/2/2012	1/14/2013	HNTB	
S	601441115	Emerald City Weatherprooders		1/18/2012	1/3/2013	NA	None	ST Fabrication	
V	602576083	EMT LLC (environmental training)		1/3/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602067564	EPC Consultants Inc		7/3/2013	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
R	601781913	Excel Supply Co		1/13/2015	N/A - Firm is still active	Active	None	STP	Jackets & hats safety supplies
R	601781913	Excel Supply Co		5/10/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	601266522	Exceltech Consulting, Inc		8/4/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	Flooring in operation buildings. Work start 9/2014
S	578021472	Fover-Knowles Inc		11/22/2013	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	601404405	Gamer Construction Inc		9/8/2014	2/22/2015	2/15/2015	None	STP	
S	601363240	Gibson Door & Millwork		10/15/2012	NA	NA	None	ST Fabrication	pending resolution of litigation
S	603081735	Global Concrete Cutting Inc		6/19/2012	8/18/2012	11/7/2013	see notes	Lesjak	
S	603081735	Global Concrete Cutting Inc		9/30/2013	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602504657	Global Geophysics		5/21/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	Hart Crowser stated that Global Geophysics is a professional service provider and do not provide certified payrolls
V	602504657	Global Geophysics		5/1/2011	6/21/2011	NA	None	Hart Crowser Inc	
S	602748267	Grady Excavating Inc.		11/29/2011	6/30/2013	7/8/2013	7/12/2013	FCCC	

	SR 99 STP	Bored Tunnel Alternative DB Fed Employer I.D. #27-3509698	Estimated Contract Start Date	Date of Work Completion: *When actual physical work was completed.	Date of Last Submission	Retainage Released Date: *None - Firm had no retainage held *NI - No information available	Hiring Contractor	Notes
S	602748267	Grady Excavating Inc.	3/1/2012	9/18/2013	9/24/2013	9/30/2013	STP	
V	602560706	Greylock Consulting LLC	10/1/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
R	602566355	Highway Specialties	8/26/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602461020	Integrated Design Engineering	1/6/2012	N/A - Firm is still active	Active	1/14/2013	HNTB	
S	601322160	J. Harper Contractors Inc.	1/17/2011	3/30/2012	6/1/2012	6/26/2012	STP	
V	601587500	J. Keiser & Associates	4/30/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	602101301	JMR Trucking Inc	10/1/2012	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
S	601919250	JP Francis & Assoc	7/17/2013	4/9/2014	Active	N/A - Firm is still active	STP	
S	601919250	JP Francis & Assoc - 1488	3/4/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Shinn Mechanical	
S	601919250	JP Francis & Assoc - 1533	9/5/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Shinn Mechanical	
S	601919250	JP Francis & Assoc (plumbing)		N/A - Firm is still active	NA	None	BASF	2/28/15 - pending firm's response
V	601426427	KBA	12/5/2012	N/A - Firm is still active	Active	None	STP	
S	602460885	Kewa Trucking	6/29/2012	7/4/2012	9/26/2013	see notes	Leajak	pending resolution of litigation
S	601573914	Leajak Concrete Construction Inc	7/1/2012	9/22/2012	10/10/2013	see notes	Lorache CAD/IT Services	pending resolution of litigation
S	601573914	Leajak Concrete Construction Inc	6/23/2012	10/29/2012			STP	*Pending sub docs
S	602566858	Lorache CAD/IT Services LLC	6/18/2012		Active	N/A - Firm is still active	STP	
S	602210303	Magnum Crane LLC	12/17/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	602671990	Mark's Trucking LLC	7/20/2012	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
S	600412278	Maine Vacuum Service Inc (Mar/Vac) Removal	10/24/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	600412278	Maine Vacuum Service Inc (Mar/Vac)	4/10/2012	7/20/2012	2/15/2015	pending	Malcolm	Contract #1 - Closed
S	600412278	Maine Vacuum Service Inc (Mar/Vac)	1/7/2014	N/A - Firm is still active	Active	N/A - Firm is still active	NCM Group	
S	601649423	Marshbank Const.	8/1/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602037833	Mindseekers	2/27/2013	N/A - Firm is still active	Active	None	STP	
R	578062075	Mobile Electric Distributors Inc. - 0185	4/1/2012	N/A - Firm is still active	4/1/2012	None	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 0444	4/1/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 0572	6/1/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 0632	4/1/2013	N/A - Firm is still active	4/1/2013	None	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 0673	5/1/2013	N/A - Firm is still active	5/1/2013	None	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 0680	5/1/2013	N/A - Firm is still active	5/1/2013	None	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 0720	6/1/2013	N/A - Firm is still active	6/1/2013	None	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 118390	9/15/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 29250	10/1/2013	N/A - Firm is still active	10/1/2013	None	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 31840	11/1/2013	N/A - Firm is still active	12/11/2013	None	Fisk	Last payment received on 12/11/13 - this PO was a double payment/issue and was reimbursed under PO 444 Inv. #184
R	578062075	Mobile Electric Distributors Inc. - 32814	6/14/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 45436	1/1/2014	N/A - Firm is still active	1/1/2014	None	Fisk	
R	578062075	Mobile Electric Distributors Inc. - 7747	8/6/2013	N/A - Firm is still active	12/24/2013	None	Fisk	
R	578062075	Mobile Electric Distributors Inc.		N/A - Firm is still active	Active	N/A - Firm is still active	VECA	
R	578062075	Mobile Electric Distributors Inc.	11/25/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	602120171	Nappel Electric	9/1/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	602120171	Nappel Electric	3/15/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	603140359	Novan Morrison Consulting	9/19/2011	NI	NI	None	STP	No Retention Held
S	601881668	Novito Construction Inc	4/1/2012	10/16/2013	12/23/2013	None	Hart Counsel Inc	
V	601843525	NVL Labs	11/10/2011	N/A - Firm is still active	Active	None	AMEC	Firm was decertified 4/25/14

SUB TYPE: S-Subcontractor M-Manufacturer- NOT Public Works Unique V=Service/ Professional Service/Engineering R=Supplier/Dealer/ Materialmen	SR 99 STP	Bored Tunnel Alternative DB Fed Employer I.D. #27-3509698	Contractor / Sub-contractor	Estimated Contract Start Date	Date of Work Completion: *When actual physical work was completed.	Date of Last Submission	Retainage Released Date: *None - Firm had no retainage held *N/A - No information available	Hiring Contractor	Notes
S	601872128	OMA Construction		7/29/2013	11/15/2013	9/1/2014	9/10/2014	KPG Inc	8/2014 - KPG will likely close out OMA's contract in the next month or two as it doesn't look like they will need them for any more installations. This will be confirmed with Phil Smith. 50% of retainage will be released when KPG receives retainage from Soldata at end of tunneling and the other 50% as per the prime agreement.
S	601872128	OMA Construction - Drainage (#1130)		10/1/2012	N/A - Firm is still active	Active	None	Desert Plumbing & Heating Co Inc	
S	601872128	OMA Construction - Rubble		2/1/2014	N/A - Firm is still active	Active	N/A - Firm is still active	NCM Group	
S	601872128	OMA Construction - Trucking_North Portal		10/1/2012	N/A - Firm is still active	Active	None	STP	
S	601872128	OMA Construction - Trucking_South Portal		10/1/2012	N/A - Firm is still active	Active	None	STP	
S	601872128	OMA Construction - Utility Disposition		2/1/2013	N/A - Firm is still active	Active	None	STP	
S	602316638	Ortidge Security Group		10/10/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	601872128	OMA Construction		3/1/2016	N/A - Firm is still active	Active	N/A - Firm is still active	NW Asphalt	
V	602896811	O'Neill Environmental Services LLC		2/13/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	601378055	On-Site Environmental Inc		12/14/2011	N/A - Firm is still active	Active	N/A - Firm is still active	Greylock	
V	602446858	Osborn Consulting Incorporated		5/1/2011	8/6/2012	11/1/2012	1/14/2013	HNTB	
V	602446858	Osborn Pacific Group		3/5/2012	8/6/2012	8/6/2012	1/14/2013	HNTB	
V	602884742	Osisris Enterprises LLC		1/12/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602326408	Pacific Geo Engineering (PGE)						Professional Services Industry (PSI)	
V	602326408	Pacific Geo Engineering (PGE)		1/4/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Mayes Testing	
S	602492304	Pondalia Trucking Inc		11/15/2012	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
S	603140884	Pro USA LLC		7/23/2012	10/5/2012	10/18/2012	None	Grady	
S	603140884	Pro USA LLC		11/23/2013	N/A - Firm is still active	Active	N/A - Firm is still active	HOS	
S	603140884	Pro USA LLC		5/19/2014	8/30/2014	7/1/2014	None	Marchbank	
S	603140884	Pro USA LLC		1/14/2014	3/11/2014	3/11/2014	5/23/2014	NW Asphalt	
V	60428960	PRR Inc.		2/22/2011	N/A - Firm is still active	Active	None	STP	
S	602845719	Plugar Sound Utilities		7/1/2013	8/18/2013	2/3/2014	None	OMA	Decertified 4/1/14
R	600410718	Quality Discount Supplies & Services		10/19/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	600481702	Rebar International		4/10/2012	2/21/2013	4/16/2013	3/15/2013	FCCC	
S	600481702	Rebar International		8/22/2013	10/5/2013	10/13/2013	None	Harris Rebar	
V	602843104	Rose Super Clean & Park Management		4/6/2012	N/A - Firm is still active	Active	N/A - Firm is still active	Osisris	
V	602628354	SAEZ Consulting		5/1/2011	N/A - Firm is still active	Active	1/14/13 & 3/12/14	HNTB	
V	602628354	SAEZ Consulting		4/30/2012	N/A - Firm is still active	Active	N/A - Firm is still active	KPG Inc	
V	602628354	SAEZ Consulting		8/31/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	602682121	Savage Logistics LLC		6/17/2013	N/A - Firm is still active	Active	N/A - Firm is still active	KTI	
S	602682121	Savage Logistics LLC		2/15/2013	N/A - Firm is still active	Active	None	STP	
S	602682121	Savage Logistics LLC - PO #1279		11/20/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Lining Precast LLC (FPS Ercon)	
S	602682121	Savage Logistics LLC - PO #1335		12/5/2013	N/A - Firm is still active	1/31/2014	N/A - Firm is still active	Lining Precast LLC (FPS Ercon)	
S	602682121	Savage Logistics LLC - PO #778		6/25/2013	N/A - Firm is still active	9/7/2013	N/A - Firm is still active	Lining Precast LLC (FPS Ercon)	
S	602682121	Savage Logistics LLC - PO #797		7/23/2013	N/A - Firm is still active	7/27/2013	N/A - Firm is still active	Lining Precast LLC (FPS Ercon)	
S	602682121	Savage Logistics LLC - PO #804		6/17/2013	N/A - Firm is still active	7/27/2013	N/A - Firm is still active	Lining Precast LLC (FPS Ercon)	
V	602378706	Scheduling and Information Services Inc		4/8/2013	N/A - Firm is still active	Active	N/A - Firm is still active	HNTB	
V	602450813	Schemata Workshop		9/8/2014	N/A - Firm is still active	Active	Active	JH Kelsley	Firm is active again per HNTB email 10/11/14
S	601735563	Sea-Tac Sweeping Service		4/16/2012	7/19/2013	11/29/2012	1/14/2013	HNTB	
S	602651177	SSB Trucking & Construction		11/29/2011	N/A - Firm is still active	Active	None	STP	
S	602651177	SSB Trucking & Construction		3/6/2013	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	

	SR 99 STP	Bored Tunnel Alternative DB Fed Employer I.D. #27-3509698	Contractor / Sub-contractor	Estimated Contract Start Date	Date of Work Completion: *When actual physical work was completed.	Date of Last Submission	Retainage Released Date: *None - Firm had no retainage held *NI - No information available	Hiring Contractor	Notes
S	602216144	ST Fabrication - Crane Maint.		6/5/2012	2/28/2014	2/28/2014	9/5/2014	STP	
R/M	602216144	ST Fabrication - Purchase Orders		5/30/2012	2/28/2014	2/28/2014	9/5/2014	STP	
M	602216144	ST Fabrication - Reeler Racks		4/1/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	\$10K held until documents are reviewed and corrected
S	603064938	Steelcorr		5/1/2014	7/15/2014	NA	None	Marshbank	
S	454778504	Sundancer Electric		2/6/2013	N/A - Firm is still active	Active	None	STP	
S	454778504	Sundancer Electric		1/9/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Slice	pending resolution of litigation
S	602785735	Sunset Welding		7/5/2012	8/27/2012	1/15/2013	see notes	Lealok	
S	602671547	Tan Trucking		11/28/2012	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
R	601734719	The Bag Lady Inc		11/1/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
S	603066508	Transcon Company LLC		1/9/2012	12/31/2012	1/4/2013	3/15/2013	FCCG	
S	603066507	Transcon Company LLC		12/1/2011	N/A - Firm is still active	2/11/2013	None	Fisk	
S	603066506	Transcon Company LLC		5/9/2014	N/A - Firm is still active	Active	N/A - Firm is still active	Malcolm	Contract #2
S	603066507	Transcon Company LLC		12/9/2013	N/A - Firm is still active	Active	None	STP	
S	602081190	Trinity Development Corp (TLC)		10/15/2012	N/A - Firm is still active	Active	N/A - Firm is still active	OMA	
V	601767647	TripleNet Technologies Inc		1/9/2012	NI	NI	None	STP	No Retention Held
S	601443883	United Professional Caulking & Restoration Inc (Unipro)		11/3/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	601965843	United Reprographics		1/12/2015	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	602621504	Wakerobin LLC		9/26/2011	N/A - Firm is still active	Active	1/14/2013	HNTB	
S	601398735	Washington State Trucking		8/12/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
M	602240125	Wayton LLC #116168		2/13/2013	N/A - Firm is still active	Active	N/A - Firm is still active	Desert Plumbing & Heating Co Inc	
M	602240125	Wayton LLC #12-09-1000-009		1/9/2012	N/A - Firm is still active	Active	N/A - Firm is still active	Desert Plumbing & Heating Co Inc	
M	602240125	Wayton LLC		1/9/2012	N/A - Firm is still active	Active	N/A - Firm is still active	STP	Firm closed business 10/2014
V	600279746	West Coast Printing		4/5/2011	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	601609012	Yonemitsu Geological Services		7/8/2011	9/12/2011	8/25/2011	1/14/2013	HNTB	
V	601609012	Yonemitsu Geological Services		12/5/2014	N/A - Firm is still active	Active	N/A - Firm is still active	STP	
V	601609011	Yonemitsu Geological Services		7/20/2012	N/A - Firm is still active	Active	N/A - Firm is still active	Holocene Drilling	

WSDOT DBE NEWS

MARCH QUARTERLY EDITION

CONSULTANT RATE APPROVAL PROCESS UPDATE

Indirect Cost Rate or the Safe Harbor Overhead Rate

WSDOT offers free training on Basic Timekeeping - available at the following link: www.wsdot.wa.gov/Audit/guides.htm. This free class is a 50 minute webinar, and the slides can be printed for reference as well. WSDOT is planning on providing training for Indirect Cost Rates; more information will be made available shortly.

WSDOT has staff available to answer your consultant rate approval process questions, or to meet with you in person. For more information please contact one of the individual below:

- Martha Roach (360) 705-7006 or RoachMa@wsdot.wa.gov
- Brian Stallman (360) 705-7818 or StallmB@wsdot.wa.gov
- Schatzie Harvey (360) 705-6967 or HarveyS@wsdot.wa.gov

Or visit the Safe Harbor webpage at:

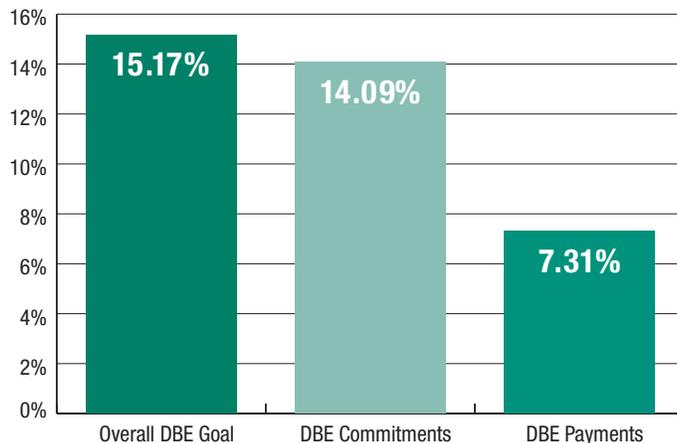
www.wsdot.wa.gov/Audit/SafeHarbor.htm

FEDERAL TRANSIT ADMINISTRATION DBE PROGRAM IMPROVEMENTS

WSDOT is developing a plan to increase the DBE participation in our Federal Transit Administration DBE Program. If you have ideas on improving this program, please let us know by emailing the WSDOT Office of Equal Opportunity at DBESS@wsdot.wa.gov or call toll free (888) 259-9143.

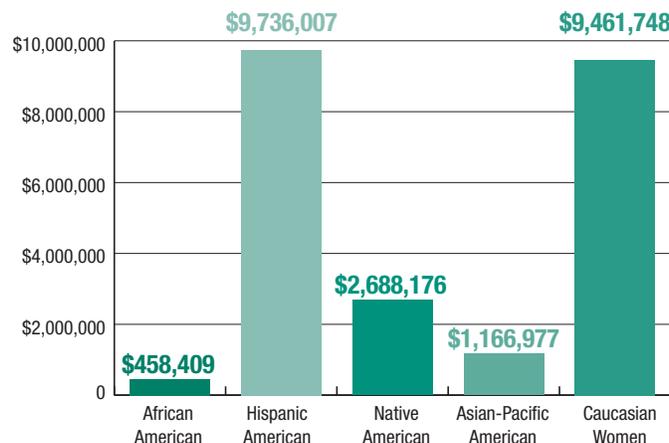
What is WSDOT's DBE utilization?

Federal Fiscal Year 2015 began October 1, 2014. As of February 19, 2015, WSDOT (Local Programs, Consultant Services and HQ Construction) is attaining 14.09% in DBE commitments (goals 13.80% and voluntary participation 0.29%) and 7.31% in payments to DBE firms.



(The DBE payments reflect a Commercially Useful Function review finding, which disqualified approximately \$1,500,000 in DBE participation.)

Of WSDOT's current DBE commitments, what amount goes to specific race, ethnicities and genders?



As represented in the graph above, there is an unequal distribution of DBE dollars going to African American, Asian-Pacific American and Native American owned firms. WSDOT would like your suggestions and ideas on how to achieve more balanced participation by all DBE firms. Please submit your comments and suggestions to DBESS@wsdot.wa.gov.

Does the DBE Program apply only to highway projects?

The DBE Program does not apply only to highway projects. WSDOT has smaller Federal Transit Administration (FTA) and Federal Aviation Administration (FAA) DBE Programs as well. The following chart is an illustration of how much funding we received in recent years from each USDOT mode:

Federal Fiscal Year	USDOT Mode	Total Contracts/ Grants Awarded	Overall Goal	Potential DBE Dollars	DBE Commitments*	DBE Payments Reported*
2014	FHWA	\$706,076,634	15.17%	\$107,111,825	\$99,553,810	\$62,274,278
2013	FHWA	\$404,151,123	15.17%	\$61,309,725	\$66,314,243	\$44,815,518
2012	FHWA	\$353,149,980	15.17%	\$53,572,852	\$53,789,082	\$53,389,088
2014	FTA	\$20,230,447	3.26%	\$659,513	\$62,839	\$0
2013	FTA	\$20,197,679	7.51%	\$1,516,845	\$117,880	\$0
2012	FTA	\$18,518,226	7.51%	\$1,390,719	\$0	\$0

* DBE Commitments are made on contracts awarded during a Federal Fiscal Year, DBE Payments are made on contracts closed that Federal Fiscal Year. The DBE Payments are made on contracts that may have started from one to five years previous.

For Federal Fiscal Years 2015 through 2017, WSDOT has estimated approximately \$3.62 million will be received from FAA. With a race-neutral goal of 6.9%, this equals approximately \$83,260 in potential DBE dollars annually. These comparative funding levels are the reason why current program enhancements are focused more on FHWA and FTA. Nevertheless, we continue to work on making all facets of the DBE program more effective. We are presently focusing our efforts directly around FHWA and FTA, with FAA to follow. Some of the challenges with FTA include:

- Funding goes to Washington State Ferries, which is a difficult market due to the additional bonding requirements of performing work on or near water. However, WSDOT has recently established a “Condition of Award” DBE goal of 12% on the Colman Dock project. This project is estimated to cost over 150 million dollars. Get your life preservers ready! For more information on this project visit: www.wsdot.wa.gov/projects/ferries/colmanmultimodalterminal/.
- Funding goes to non-urban or rural transit providers primarily for salaries, fuel, administrative and overhead costs, and to Rural Transportation Planning Organizations and Metropolitan Planning Organizations for human service planning studies. This funding is passed through the WSDOT Public Transportation Division (PTD) primarily in the form of grants. PTD is working with the Office of Equal Opportunity to determine where opportunities exist and how to utilize DBEs for these opportunities.

If you need bonding assistance, please contact USDOT’s Northwest Small Business Transportation Resource Center at: www.dot.gov/osdbu/nw-sbtrc or (425) 248-4222.

If you have any suggestions, comments or recommendations on how we can improve these programs, please let us know by calling toll free 888-259-9143 or emailing DBESS@wsdot.wa.gov.

What is the Native Procurement and Technical Assistance Center?

The Native Procurement Technical Assistance Center (Native PTAC) is a free community resource with the mission to assist Native Individuals, Tribal Enterprises, Alaska Native Corporations, and Native Hawaiian Organizations to become more successful in contracting with Federal, State, Local and Native governments. Native PTAC is hosted by Two Rivers CDC, a non-profit formed to support economic development in Native American communities.

Among their services, Native PTACs provide one-on-one assistance with government certifications and registrations, classes and workshops, bid match opportunities, interpretation of solicitations, bid/proposal reviews, marketing advice, and contract performance support for designated socio-economic programs.

There are PTACs in every state and six Native American PTACs in the United States. Each Native American PTAC covers approximately two Bureau of Indian Affairs Regions. The Native American PTAC program is unique because, in addition to the regular assistance PTAC provides - Native PTACs help with business opportunities, certifications and programs unique to Native businesses and Tribal governments. To learn more about Native PTAC you can visit: www.NativePTAC.org.

Update on DBE Program Changes

As reported in previous newsletters, WSDOT is working on revising its contract language “General Special Provisions” related to highway construction and the DBE Program. The latest iteration is being reviewed by the Federal Highway Administration. As soon as we have approved DBE General Special Provisions we will provide information on how those changes will affect you.

-----End of Replacement Project Financial Plan Appendices-----