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2 MEMORANDUM OF AGREEMENT
3 NO. GCA 6486
4 SR 99 ALASKAN WAY VIADUCT
5 PROPERTY, ENVIRONMENTAL REMEDIATION, DESIGN REVIEW,
6 PERMITTING, AND CONSTRUCTION COORDINATION
7 AGREEMENT
8 FOR SR 99 BORED TUNNEL PROJECT
9

10
11 THIS Property, Environmental Remediation, Design Review, Permitting, and
12 Construction Coordination Agreement, No. GCA 6486 for the SR 99 Bored Tunnel
13 Project ("Agreement" or "SDOT Agreement" or "GCA 6486 Agreement") is made and
14 entered into between the State of Washington Department of Transportation, hereinafter
15 the "STATE," and the City of Seattle hereinafter the "CITY" (managed by the Seattle
16 Department of Transportation, hereinafter "SDOT"), collectively the "PARTIES" and
17 individually the "PARTY."

18
19 WHEREAS, the Alaskan Way Viaduct (AWV) and seawall are at risk of sudden and
20 catastrophic failure in an earthquake and are nearing the end of their useful lives; and
21

22 WHEREAS, the STATE and the Federal Highway Administration (FHWA), in
23 consultation with the CITY, are proposing improvements to State Route 99 (SR 99),
24 currently a non-limited access highway that includes the AWV; and
25

26 WHEREAS, in March 2007, the Governor, the King County Executive and the Mayor of
27 Seattle pledged to advance a series of key SR 99 projects (Moving Forward Projects) that
28 will facilitate the removal and/or repair of key portions of SR 99, which are: Yesler Way
29 Vicinity Stabilization Project, Electrical Line Relocation (formerly known as Electrical
30 Utility Relocation Phase 1 under agreement No. GCA 5680), Battery Street Tunnel Fire
31 and Life Safety Upgrades, SR 99 Lenora to Battery Street Tunnel Improvements, the SR
32 99 South Holgate Street to South King Street Viaduct Replacement Project, and Transit
33 Enhancements and Other Improvements; and
34

35 WHEREAS, in January 2009, the Governor, the King County Executive and the Mayor
36 of Seattle recommended replacement of the existing AWV structure in the central
37 waterfront area with a bored tunnel; and
38

39 WHEREAS, in October 2009 the Governor and the Mayor executed a Memorandum of
40 Agreement, GCA 6366, which described the basic roles and responsibilities for the
41 implementation of the Alaskan Way Viaduct and Seawall Replacement (AWVSR)
42 Program; and
43

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.
43

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

40 1.14 Contract Award means the STATE's written decision accepting a bid for
41 construction of a Project.
42

43 1.15 Defective Work means design or construction work or materials that fail to
44 comply with the Approved Plans, or CITY-approved modifications to the Approved
45 Plans, or the laws, rules, regulations or standards as specified in this Agreement.

1
2 1.16 Deformation means any 3-dimensional displacement or combination of
3 displacements. This definition includes but is not limited to the terms “tilt,” “strain,”
4 “settlement,” “heave,” “lateral movement,” and related terminology that are common
5 industry terminology for deformation in specific situations. Where such industry
6 terminology is used for convenience herein, it does not imply that the broad definition of
7 deformation has been limited.
8

9 1.17 Design-Bid-Build Contract means a project delivery method in which the STATE
10 provides a complete design, advertises for bids, and awards a contract to the lowest
11 responsive bidder who is responsible for completing the construction of the project.
12

13 1.18 Design-Build Contract means a project delivery method in which the STATE
14 develops a conceptual design and requests proposals from pre-qualified contractors. The
15 contract is awarded to the contractor with the best value responsive proposal. The
16 contractor is responsible to complete the design and construct the project.
17

18 1.19 Design Builder means the entity with whom the STATE enters into a Design-
19 Build Contract and who is responsible to complete the design and construct the project.
20

21 1.20 Design Submittal means plans, specifications, and design documentation
22 representing design of a given project element in a Design-Build Contract.
23

24 1.21 DPD means the City of Seattle Department of Planning and Development.
25

26 1.22 Engineer of Record means the engineer licensed in the State of Washington who
27 has been commissioned by the STATE as the prime engineer of the PROJECT, having
28 overall responsibility for the adequacy of the design and the coordination of the design
29 work of other engineers and whose professional seal is on the Approved Plans.

30 1.23 Environmental Compliance Assurance Procedure (ECAP) means procedures
31 incorporated into the then-current WSDOT *Construction Manual* M41-01.05 (Section 1-
32 2.2k(1)) and WSDOT *Environmental Procedures Manual* M31-11.05 (Sections 610 and
33 690), as modified by this Agreement, which provide guidance on compliance with
34 Environmental Laws and environmental Remediation. The purpose of the ECAP is to
35 recognize and eliminate environmental violations during the construction phase on
36 STATE construction sites and to ensure prompt notification to STATE management and
37 agencies. For purposes of the ECAP, violations are defined as actions that are not in
38 compliance with environmental standards, permits, or laws.

39 1.24 Environmental Law(s) means any environmentally related local, state or federal
40 law, regulation, ordinance or order (including without limitation any final order of any
41 court of competent jurisdiction of which the STATE has knowledge), now or hereafter in
42 effect including, but not limited to: the Federal Clean Air Act; the Federal Water
43 Pollution Control Act; the Federal Safe Drinking Water Act; the Federal Comprehensive
44 Environmental Response Compensation and Liability Act, as amended by the Superfund

1 Amendments and Reauthorization Act of 1986; the Federal Resource Conservation and
2 Recovery Act, as amended by the Solid and Hazardous Waste Amendments of 1984; the
3 Federal Occupational Safety and Health Act; the Federal Emergency Planning and Right-
4 to-Know Act of 1986; the Federal Hazardous Materials Transportation Control Act of
5 1980; the Federal Clean Water Act of 1977; the Federal Insecticide, Fungicide and
6 Rodenticide Act; the Federal Waste Management Recovery and Recycling Act; the
7 Washington Hazardous Waste Management Act; the Washington Hazardous Waste Fees
8 Act; Washington Model Toxics Control Act; the Washington Nuclear Energy and
9 Radiation Act; the Washington Radioactive Waste Storage and Transportation Act; the
10 Washington Underground Petroleum Storage Tanks Act; and any regulations
11 promulgated thereunder from time to time.

12
13 1.25 Final Design Submittal means plans, specifications, and design documentation
14 representing complete design of a given project element in a Design-Build Contract. The
15 Final Design Submittal addresses and incorporates review comments from the
16 Preliminary Design Submittal.

17
18 1.26 Final Plan Review Package means the Plan Review Package submitted to the
19 CITY that comprises the STATE's contract documents including contract addenda and
20 fully incorporates or otherwise addresses all CITY plan review comments and all
21 applicable conditions of the Street Use Permit.

22
23 1.27 Hazardous Substance(s) means any substance, or substance containing any
24 component, now or hereafter designated as a hazardous, dangerous, toxic or harmful
25 substance, material or waste, subject to regulation under any federal, state or local law,
26 regulation or ordinance relating to environmental protection, contamination or cleanup
27 including, but not limited to, those substances, materials and wastes listed in the United
28 States Department of Transportation Hazardous Materials Table (49 C.F.R. §172.101) or
29 by the United States Environmental Protection Agency as hazardous substances (40
30 C.F.R. pt. 302 and amendments thereto) or in the Washington Hazardous Waste
31 Management Act (Ch. 70.105 RCW) or the Washington Model Toxics Control Act (Chs.
32 70.105D RCW and 82.21 RCW), petroleum products and their derivatives, and such
33 other substances, materials and wastes as become regulated or subject to cleanup
34 authority under any Environmental Law.

35
36 1.28 Letter of Acceptance means the written document that signifies the CITY's
37 acceptance of CITY Infrastructure to be owned by the CITY, and shall signify the
38 STATE's transfer of CITY Infrastructure to be owned by the CITY. The Letter of
39 Acceptance will not transfer any interest in real property. The Letter of Acceptance shall
40 be jointly executed by the PARTIES. A Letter of Acceptance for SPU Facilities requires
41 SPU approval and a Letter of Acceptance for SCL Facilities requires SCL approval.

42
43 1.29 Letter of Plan Approval means the letter provided to the STATE by the CITY
44 following the completion of the plan review process, signifying that the plans and
45 specifications identified in the letter are the Approved Plans. A Letter of Plan Approval

1 for SPU Facilities requires SPU approval and a Letter of Plan Approval for SCL
2 Facilities requires SCL approval as part of the Procedures outlined in Exhibit B of this
3 Agreement.

4
5 1.30 MTCA means the Washington Model Toxics Control Act (Chs. 70.105D RCW
6 and 82.21 RCW).

7
8 1.31 Plan Review Package means clear and complete plans, specifications, and the
9 necessary assumptions, studies, models and calculations upon which the design was
10 based, and corrections previously requested by the CITY with respect to design-bid-build
11 projects.

12
13 1.32 100% Plan Review Package means the Plan Review Package submitted to the
14 CITY concurrent with STATE's final internal review of the construction contract plans
15 and contract provisions that shall evidence the agreement between the STATE and its
16 contractors for construction of design-bid-build projects.

17
18 1.33 Private Utilities mean utility uses, excluding facilities owned and operated by the
19 CITY, whether approved or not through franchise agreements and/or Street Use Permits
20 by the CITY and governed and enforced through City Ordinance.

21
22 1.34 Procedures mean *Design Review, Construction Management, Inspection and*
23 *Record Drawing Procedures*, attached as Exhibit B to GCA 6486.

24
25 1.35 PROJECT means , the part of the PROGRAM that replaces SR 99 from South
26 Royal Brougham Street to Roy Street and that consists of designing and constructing a
27 four-lane bored tunnel from South King Street to Thomas Street, north and south tunnel
28 portals and access streets, re-establishment of the City street grid in the vicinity of the
29 portals (Battery Street Tunnel decommissioning and Alaskan Way Viaduct demolition
30 will be addressed in a future agreement); and associated utility relocations. The
31 PROJECT description is attached as Exhibit A.

32
33 1.36 PROGRAM means all the projects, collectively, implemented by the STATE and
34 the CITY that remove and replace the AWW and seawall.

35
36 1.37 Program Property means all real property interests acquired and to be acquired by
37 the STATE for the PROGRAM.

38
39 1.38 Program Transfer Property means all Program Property identified by the STATE
40 and the CITY for transfer from the STATE to the CITY in fee simple.

41
42 1.39 Project Property means all real property interests acquired and to be acquired by
43 the STATE and used for the PROJECT.

1 1.40 Released for Construction Submittal (RFC Submittal) means in a Design-Build
2 Contract, plans and specifications for a given project element that are construction ready
3 and have been certified by the Design-Builder as having met all contract requirements
4 and received all approvals and permits. The Released for Construction Submittal
5 addresses all review comments from the Preliminary and Final Design Submittals.
6

7 1.41 Relocation Work means the removal or abandonment of Conflicting Facilities
8 maintenance of service for those facilities and the installation or reconstruction of
9 Conflicting Facilities to their permanent and final location.
10

11 1.42 Remediation means the same as Remedy or Remedial Action defined in MTCA,
12 which includes any action or expenditure consistent with the purposes of MTCA to
13 identify, eliminate, or minimize any threat or potential threat posed by Hazardous
14 Substances to human health or the environment including any investigative and
15 monitoring activities with respect to any release or threatened release of a Hazardous
16 Substance and any assessments to determine the risk or potential risk to human health or
17 the environment.
18

19 1.43 Round Table Meeting means a meeting typically held five (5) weeks following
20 the submittal of the 100% Plan Review Package to the CITY and STATE, and commonly
21 attended by the STATE's Project team and STATE reviewers to resolve and address
22 STATE comments on the 100% Plan Review Package.
23

24 1.44 SCL means Seattle City Light.
25

26 1.45 SCL Facilities means the electrical facilities impacted by, or constructed as part
27 of, the PROJECT that are owned or will be owned by the CITY.
28

29 1.46 SDOT means the Seattle Department of Transportation.
30

31 1.47 SDOT Facilities means the transportation facilities impacted by, or constructed as
32 part of, the PROJECT that are owned or will be owned by the CITY.
33

34 1.48 SPU means Seattle Public Utilities.
35

36 1.49 SPU Facilities means the water, drainage and wastewater facilities impacted by,
37 or constructed as part of, the PROJECT that are owned or will be owned by the CITY.
38

39 1.50 STATE means the Washington State Department of Transportation.
40

41 1.51 STATE Designated Representative means the STATE official listed in Section 25
42 of this Agreement.
43

44 1.52 STATE Project Engineer means the person appointed by the STATE to lead the
45 PROJECT during design and/or construction or his or her designee.

1
2 1.53 Street Use Permit means written authorization secured by the STATE from the
3 Director of SDOT for use of the CITY Street Right-of-Way pursuant to Title 15 of the
4 Seattle Municipal Code.

5
6 1.54 Surplus Property means Program Property, excluding Program Transfer Property
7 and other CITY Interest Property, that upon completion of the PROJECT has not been
8 designated as part of the limited access or non-limited access right-of-way of State Route
9 99.

10
11 1.55 Task Force means a group consisting of STATE, CITY, contractor, and other
12 stakeholder staff meeting regularly to review and reach decisions relating to a particular
13 subject, e.g., traffic, structures.

14
15 1.56 Task Order means a document executed by the PARTIES under this Agreement
16 authorizing work by one PARTY to be done on behalf of the other PARTY and that
17 defines the scope and the obligations of the PARTIES for the given element of work. All
18 terms and conditions of the Agreement shall apply to each Task Order.

19
20 1.57 UTILITY means City of Seattle Utility Departments, Seattle City Light and
21 Seattle Public Utilities.

22
23 1.58 WSDOT means Washington State Department of Transportation.

24
25
26 **2. GENERAL RESPONSIBILITIES**

27
28 2.1 The PARTIES shall manage risk, produce design and conduct construction in a
29 manner that maximizes cumulative public benefits and minimizes cumulative public costs
30 as mutually agreed to by the PARTIES.

31
32 2.2 This Agreement in conjunction with UT 01474 and UT 01476 is prepared by the
33 STATE and CITY to govern relationships between the PARTIES and establish each
34 PARTY's responsibilities regarding the PROJECT.

35
36 2.3 The PARTIES understand that environmental review of the proposed PROJECT
37 is underway at the date of this Agreement and agree that if an alternative other than the
38 Proposed Bored Tunnel is selected, this Agreement may be terminated pursuant to the
39 provisions of Section 28 of this Agreement.

40
41 2.4 The PARTIES shall work collaboratively to resolve issues in a manner that
42 endeavors to open the proposed bored tunnel to the public on schedule.

43
44 2.5 The design and construction of CITY Facilities, including repair, shall comply
45 with City Standards.

1
2 2.6 Each PARTY shall provide the funding and resources necessary to fulfill the
3 responsibility of that PARTY as established in this Agreement.
4

5 2.7 The PARTIES agree to work cooperatively with each other and make reasonable,
6 good faith efforts to timely and expeditiously complete the PROJECT, as provided in this
7 Agreement, including, but not limited to, the selection of a preferred SR 99 design
8 alternative, development of preliminary engineering and final design and construction. In
9 order to optimize design and minimize conflicts, the STATE shall coordinate design and
10 construction of the various contracts making up the PROJECT with design of subsequent
11 PROGRAM stages, and with construction of previous stages of the PROGRAM. The
12 STATE shall be prepared to modify design of the contracts making up the PROJECT, the
13 subsequent PROGRAM stage and/or previous stage if both PARTIES determine the
14 modifications are necessary and reasonable, to minimize design conflicts.
15

16 2.8 The STATE is responsible for designing and constructing the PROJECT except
17 for the CITY's responsibility to relocate Conflicting Facilities as provided in Section 2.10
18 of UT 01474 and UT 01476. The STATE is responsible for taking measures to minimize,
19 limit, and mitigate damage to private property and CITY Facilities that may result from
20 the PROJECT construction, including damage that may result from tunnel-induced
21 Deformation. The STATE is responsible for remedying at its cost such damage should it
22 occur.
23

24 2.9 The PARTIES agree that it is in the public interest for one PARTY to implement
25 portions of the other PARTY's PROJECT responsibilities. Therefore, this SDOT
26 Agreement establishes a Task Order process for use by a PARTY to authorize the other
27 PARTY to conduct work on its behalf and, as may be documented through each Task
28 Order, to agree to reimburse the other PARTY for such services.
29

30 2.10 The PARTIES agree that the STATE is responsible for funding the design and
31 construction of a re-located surface street within the Alaskan Way right-of-way from
32 South King Street to Pine Street, a new surface street from the intersection of Pine Street
33 and Alaskan Way to Battery Street connecting Alaskan Way to Elliot and Western
34 Avenues, the demolition of the existing Alaskan Way Viaduct, and Battery Street Tunnel
35 decommissioning. These rights-of-way and surface streets will be designed to serve all
36 anticipated users, including automobiles, transit, freight, bicycles and pedestrians. The
37 CITY and STATE will jointly perform the design and construction of the Alaskan Way
38 surface street and the Viaduct demolition. Additional details regarding of the funding,
39 design, and construction provisions for the street and Alaskan Way Viaduct demolition
40 will be the subject of a future agreement.
41

42 2.11 The PARTIES agree that the PROGRAM will not be complete until the elements
43 in Exhibit D are completed. The PARTIES agree that the current WSDOT budget
44 allocated for certain elements of the PROGRAM is reflected in Exhibit D. Future mutual

1 agreement of the PARTIES shall be required in order to reduce the total budget allocation
2 for the elements in Exhibit D.

3
4 2.12 The PARTIES recognize that the STATE proposes to toll the bored tunnel as part
5 of the PROJECT, if the tunnel is selected as the preferred alternative. The STATE agrees
6 to evaluate and work with the CITY (in advance of tolls being imposed, during toll
7 implementation, and for a mutually agreeable period thereafter) to identify mitigation
8 strategies for the effects that tolling may have with respect to diversion of vehicular
9 traffic from the PROJECT onto CITY Streets. The STATE agrees that such evaluation
10 and mitigation shall include effects on both vehicular traffic circulation on CITY streets
11 as well as effects on CITY's ability to achieve its "Complete Streets" policy goals
12 articulated in CITY's Resolution No. 30915, including but not limited to making CITY
13 streets function well for bicycles, pedestrians, freight, transit and automobiles. The
14 PARTIES agree to establish an advisory committee to assess and make recommendations
15 to mitigate traffic diversion impacts caused by tolling of the proposed bored tunnel. The
16 committee will be composed of representatives from the STATE, the CITY, and
17 downtown communities and businesses, and will provide its recommendations to the
18 Governor, State Legislature and State Transportation Commission. The PARTIES will
19 mutually agree on membership of the committee, and the frequency and structure of
20 committee meetings. The meetings will be jointly facilitated by the CITY and the
21 STATE.
22

23 3. PROPERTY ACQUISITION AND TRANSFER; SURPLUS PROPERTY

24 3.1 Acquisition

25
26
27 3.1.1 The STATE has or will acquire, at its expense, the Project Property.
28 CITY responsibility for acquisition of real property interests or other utility-related
29 property rights, if any, as set forth in Section 14.1 of UT 01474 and UT 01476.
30

31 3.1.2 The STATE is responsible, at its expense, for performance of all
32 appraisals, appraisal review, title review, surveys, property investigation, relocation
33 assistance and all other investigations and services in connection with the acquisition of
34 the Project Property. For each parcel of Program Transfer Property, the STATE shall
35 deliver to the CITY, as soon as practicable after a parcel is acquired and identified by the
36 PARTIES as Program Transfer Property, all documents created, commissioned or
37 received in connection with the STATE's acquisition of such parcel. Such documents
38 shall include, to the extent applicable, appraisals, appraisal reviews, title reports and all
39 documentation concerning title encumbrances, title policies, surveys, geotechnical
40 reports, purchase agreements, term sheets, options, leases, deeds, indemnities, and all
41 other documents and information created, commissioned or received by the STATE.
42

43 3.1.3 The STATE is responsible for identification and investigation of
44 Hazardous Substances on Program Property following procedures set in the WSDOT
45 *Environmental Procedures Manual M 31-11* and *WSDOT Right of Way Manual M 26-01*

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

13
14 3.2 Transfer.

15
16 3.2.1 Prior to the start of PROJECT construction, the STATE and the CITY
17 agree to enter into a separate written agreement governing transfer of Program
18 Transfer Property to the CITY. The agreement shall identify the Program
19 Transfer Property and provide that each transfer to the CITY shall be by quit
20 claim deed. The agreement shall also provide the following: timing of transfer,
21 condition of title, protection for utilities in the event of future sale, the definitions
22 of Hazardous Substance and Environmental Law contained in this SDOT
23 Agreement, and the following release and indemnification provision:
24

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

35 The foregoing is not an exclusive list.

36
37 3.2.2 The PARTIES shall prepare and attach to the future agreement governing
38 transfer of Program Transfer Property and this SDOT Agreement an exhibit
39 containing a complete list of legal descriptions of the Program Transfer Property,
40 which may be created and amended as necessary by the PARTIES' Designated
41 Representatives without other approval by the PARTIES. A detailed property
42 description with map may be substituted for any legal description not yet
43 available at the time the PARTIES execute the future agreement governing
44 transfer of Program Transfer Property.
45

1 3.2.3 Whether or not any separate agreement or transfer document is made,
2 effective beginning on the date of transfer of each real property interest from the
3 STATE to the CITY in connection with the PROGRAM, the STATE shall release
4 and indemnify, protect and hold harmless the City of Seattle and its officers,
5 officials, employees, and agents working within the scope of their employment
6 from all liability and claims (including but not limited to liability and claims for
7 response and remediation costs, administrative costs, fines charges, penalties,
8 attorney fees and cost recovery or similar actions brought by a governmental or
9 private party, including third party tort liability) arising, directly or indirectly,
10 from any presence or release of any Hazardous Substance remaining within or
11 transported from the real property in which an interest is transferred.
12

13 3.3 Surplus Property. Prior to start of PROJECT construction, the STATE will
14 provide a preliminary list to the CITY of all properties that appear to be Surplus
15 Properties. Within two (2) years after final completion of the PROJECT, the STATE
16 shall initiate its disposal of all Surplus Property pursuant to the provisions of chapter
17 47.12 RCW and following the procedures in the WSDOT *Right of Way Manual M 26-*
18 *01.02*, dated August 2009, Chapter 11, Sections 11-7.1 – 11-7.4.2. Disposal includes any
19 of the disposal methods described in Chapter 11, Sections 11-7.1 – 11-7.4.2. The
20 timeline for the STATE's initiation of disposal of Surplus Property may be extended, if
21 necessary, by the PARTIES' Designated Representatives.
22

23 3.4 Survival. The obligations set forth in this Section 3 shall survive termination of
24 this SDOT Agreement unless otherwise expressly negotiated by the PARTIES and
25 memorialized by written amendment to this SDOT Agreement.
26

27 4. TASK ORDERS, PAYMENT AND ADMINISTRATION

28

29 4.1 Some or all of the work undertaken pursuant to this Agreement may be governed
30 by Task Orders. Task Orders shall be subject to the provisions of this Agreement.
31

32 4.1.1 Either PARTY may initiate a Task Order which will be jointly executed
33 by the PARTIES.
34

35 4.1.2 The PARTIES will prepare and execute Task Orders by contract package or
36 as otherwise agreed. All Task Orders shall be signed by the Designated
37 Representative of the initiating PARTY and deemed executed when counter-
38 signed by the Designated Representative of the other PARTY.
39

40 4.1.3 The general terms and conditions of this Agreement shall be applicable to
41 all Task Orders issued under this Agreement.
42

43 4.1.4 The form of each Task Order shall substantially conform to the Task
44 Order Template attached as Exhibit C. Each Task Order shall contain a general
45 description and scope of work, a schedule for completion, an itemized estimate of

1 costs for the work, a cash flow projection and any provisions specific to the scope
2 of work.

3
4 4.1.5 Each PARTY shall designate a manager for each Task Order. The
5 designated Task Order managers are deemed to have the authority to modify the
6 scope, schedule, and budget of the Task Order within the parameters of this
7 Agreement.

8
9 4.2 Payment

10
11 4.2.1 The PARTIES shall not be obligated to reimburse any expenditure in
12 excess of the maximum amount stated in each Task Order, unless the PARTIES
13 have agreed to such additional reimbursements and the Task Order has been
14 amended to describe the additional work in excess of the budgeted scope of work.
15 The initiating PARTY shall promptly notify the other PARTY in writing as soon
16 as it is known when the maximum funding obligation will be reached and shall
17 also specify in writing its position regarding any remaining work covered by a
18 Task Order which it believes was contained within the budgeted scope of work.
19 Should its estimated costs on any Task Order exceed the amount authorized, the
20 PARTY performing the work under the Task Order shall promptly notify the
21 other PARTY in writing and shall specify in writing its position regarding why
22 the estimated cost will be or has been exceeded.

23
24 4.2.2 The PARTIES shall negotiate the total authorized amount for each Task
25 Order. Reimbursement will not be made for activities that are not covered in a
26 Task Order. The PARTIES will establish a budget contingency for the estimated
27 cost of the work covered under each Task Order as a part of the cost estimate for
28 that Task Order.

29
30
31 5. ENVIRONMENTAL REMEDIATION DURING CONSTRUCTION

32
33 5.1 STATE Responsibilities. For CITY Interest Property the STATE shall be
34 responsible for identification, investigation and Remediation of Hazardous Substances
35 found within the limits of the PROJECT during its environmental due diligence of the
36 Project Property and shall identify areas of known Hazardous Substances in conjunction
37 with the Plan Review Packages and Design Submittals circulated for CITY review. In
38 addition, the STATE shall be responsible for identification, investigation and
39 Remediation of Hazardous Substances discovered during construction at CITY Interest
40 Property. For CITY Interest Property, provisions for Remediation of known Hazardous
41 Substances, approved Remediation plans, and provisions for Remediation of Hazardous
42 Substances discovered during construction shall be included in the Plan Review Packages
43 and Design Submittals circulated for CITY review. Nothing in this Agreement is
44 intended to alter the legal obligations of the STATE with respect to hazardous substances

1 that may remain in place after completion of the PROJECT except for release and
2 indemnity provisions of this Agreement.

3
4 5.2 Environmental Remediation will be in accordance with Environmental Law. At
5 CITY Interest Property, the STATE shall follow the Model Toxics Control Act (MTCA)
6 and associated procedures approved by the Washington State Department of Ecology for
7 Remedial Action, and the STATE shall undertake Remediation using environmental
8 professional judgment that achieves an overall effectiveness comparable to the substantial
9 equivalent of a Washington State Department of Ecology conducted or supervised
10 Remedial Action appropriate to the specific site conditions and contaminants with no
11 environmental restrictions or covenants unless agreed to by the CITY in writing. For
12 CITY Interest Property, the STATE is not obligated to implement public notification and
13 documentation procedures common to the substantial equivalent of a Washington State
14 Department of Ecology conducted or supervised Remedial Action.

15
16 5.3 At CITY Interest Property, the STATE shall not use soil found to exceed MTCA
17 Method A cleanup levels or that exhibits visual and/or olfactory indications of Hazardous
18 Substance as earth fill or trench backfill within the PROJECT. There shall be no
19 requirements or agreements affecting the CITY Street Right-of-Way or other CITY
20 Interest Property concerning ongoing monitoring of soil or groundwater relating to
21 Hazardous Substances unless agreed to by the CITY in writing prior to Remedial Action.

22
23 5.4 At or adjacent to CITY Interest Property, under certain circumstances, and in
24 consultation with the CITY, the STATE may conduct additional Remediation of
25 contaminated areas, including areas outside the limits of the PROJECT. These
26 circumstances may include, but are not limited to:

27
28 5.4.1 Instances in which Remediation may be necessary to prevent adverse
29 water quality impacts and/or to comply with other State and Federal permit
30 conditions;

31 5.4.2 Instances that in the judgment of the STATE Project Engineer require
32 immediate Remediation to protect public health and safety;

33 5.4.3 Where regulatory agencies with jurisdiction require additional
34 Remediation;

35 5.4.4 Where additional Remediation is necessary to prevent recontamination of
36 the limits of the PROJECT, address subsurface utility facilities located or planned
37 within or near the limits of the PROJECT or within the Project Property, or
38 address disturbance or exacerbation of existing contamination; and

39 5.4.5 Where additional Remediation is necessary to meet mutually acceptable
40 risk management standards in accordance with STATE and CITY protocols.

41
42 5.5 All work at CITY Interest Property shall comply with the then-current WSDOT
43 *Environmental Procedures Manual M 31-11* and WSDOT *Construction Manual M 41-*
44 *01*, Environmental Law, and all applicable CITY regulations except as modified by this
45 Agreement.

1
2 5.6 The STATE shall include the CITY in its ECAP when unanticipated
3 contamination is found within the limits of the PROJECT at or adjacent to CITY Interest
4 Property. Notification procedures will include notifying the CITY orally followed by
5 written notification.
6

7 5.7 The STATE's Project Engineer shall determine, in consultation with the CITY,
8 Remediation of known and unanticipated Hazardous Substances at or adjacent to CITY
9 Interest Property within the limits of the PROJECT. In instances where the CITY
10 disputes the STATE's plan(s) for Remediation in connection with CITY Interest
11 Property, the CITY and STATE will resolve the dispute through the dispute resolution
12 process in Section 23 of this Agreement.
13

14 5.8 The STATE shall prepare plans in consultation with the CITY for Remediation of
15 known and unanticipated Hazardous Substances in connection with the CITY Street
16 Right-of-Way and other CITY Interest Property, and shall obtain CITY concurrence prior
17 to implementing Remedial Actions there. In instances where the CITY finds the
18 STATE's plans for Remediation of these areas unacceptable, the CITY or STATE may
19 request resolution through the dispute resolution process in Section 23 of this Agreement.
20

21 5.9 Prior to the start of construction, and after the contractor has been selected, the
22 STATE shall initiate and host an environmental preconstruction meeting. The STATE
23 shall invite City of Seattle staff, STATE staff and the STATE contractor to discuss
24 known contamination, environmental procedures, environmental Remediation and permit
25 conditions that apply to CITY Interest Property in connection with the PROJECT.
26

27 5.10 The STATE shall obtain all required permits and approvals for Remediation at
28 CITY Interest Property, except for permits or approvals that this Agreement, UT 01474,
29 or UT 01476 otherwise obligates SPU or SCL to obtain for SPU or SCL Relocation
30 Work.
31

32 5.11 Remediation work at or adjacent to CITY Interest Property shall not proceed in
33 areas outside of the limits of the PROJECT unless the STATE has obtained written
34 permission of the property owner and appropriate permits to work on property that is not
35 part of the PROJECT. The STATE shall make reasonable efforts to obtain permission of
36 the property owner. The STATE may utilize the assistance of the State Department of
37 Ecology as provided in the MTCA regulations.
38

39 5.12 The STATE shall provide the CITY with copies of environmental close-out
40 reports for Remediation activities at CITY Interest Property.
41

42 5.13 All costs associated with testing, handling, storing, removing, transporting,
43 disposing, or treating Hazardous Substances that are excavated in connection with the
44 PROJECT relating to CITY Interest Property shall be paid by the STATE, with the
45 exception of such costs incurred during and directly caused by Relocation Work which SPU

1 or SCL is obligated to fund under the terms of this Agreement, UT 01474, or UT 01476. In
2 addition, STATE shall be responsible for all costs associated with Remediation of any
3 releases that are caused or exacerbated by its own employees or contractors. The STATE
4 shall be identified as the generator for these Hazardous Substances.

5
6 5.14 The CITY shall provide to the STATE all records regarding any known areas
7 where Hazardous Substances may be located at CITY Interest Property within the limits
8 of the PROJECT, including but not limited to environmental investigation reports for
9 properties located in the PROJECT. The reports shall be provided for the STATE's
10 information only, shall not be relied upon by the STATE, and the CITY's provision of
11 these records shall not constitute a representation or warranty as to the accuracy of the
12 information contained in the reports.

13
14 5.15 The STATE shall provide to the CITY all records regarding any known areas
15 where Hazardous Substances may be located at CITY Interest Property within the limits
16 of the PROJECT and Project Property, including but not limited to environmental
17 investigation reports for the Project Property. In addition, the STATE shall notify and
18 provide information to the CITY regarding any contamination encountered during
19 construction at or adjacent to CITY Interest Property. Reports provided by the STATE
20 are for information only, and shall not be relied upon by the CITY, and the STATE's
21 provision of these records shall not constitute a representation or warranty as to the
22 accuracy of the information contained in the reports.

23
24 5.16 The STATE shall release and indemnify, protect, defend and hold harmless the
25 City of Seattle and its officers, officials, employees, and agents, while acting within the
26 scope of their employment, from all liability and claims (including but not limited to
27 liability and claims for response and remediation costs, administrative costs, fines,
28 charges, penalties, attorney fees and cost recovery or similar actions brought by a
29 governmental or private party, including third party tort liability) arising, directly or
30 indirectly, from any of the following: (1) any presence or release of any Hazardous
31 Substance within or from the limits of the PROJECT, except for the presence of any
32 Hazardous Substance as of the effective date of this Agreement within the portion of real
33 property in which the City has a real property interest on that date or in which the City
34 later acquires a real property interest for the purposes of the Program from an entity other
35 than the STATE, and (2) the removal, transport or disposal in connection with the
36 PROJECT of any Hazardous Substance for which the STATE or any person, contractor
37 or other entity working on behalf of the STATE is a generator.

38 39 6. PERMITTING AND RIGHT-OF-WAY USE

40
41 6.1 The PARTIES shall apply for and obtain all necessary federal-, state- and CITY-
42 issued permits and approvals for the work for which they are responsible prior to
43 commencing work that requires such permits, including but not limited to all permits,
44 approvals or permission for exploratory investigations, testing, site preparations,
45 demolition and construction.

1
2 6.2 The CITY authorizes the STATE to use CITY Street Right-of-Way for the
3 PROJECT, subject to issuance and provisions of Street Use Permits and the conditions
4 contained in this Agreement. The STATE's use of CITY Street Right-of-Way shall
5 comply with the Seattle Municipal Code and all other applicable laws, including but not
6 limited to the Shoreline Management Act, the National Environmental Policy Act and the
7 State Environmental Policy Act.
8

9 6.3 The PARTIES agree that for the PROJECT, the PARTIES shall obtain Street Use
10 Permits prior to undertaking work in the CITY Street Right-of-Way. The CITY shall
11 provide for street use inspections pursuant to Title 15 of the Seattle Municipal Code, the
12 Street Use Permit, and this Agreement.
13

14 6.4 The PARTIES agree to apply the conditions of the Street Use Permits issued for
15 CITY Street Right-of-Way in connection with the PROJECT to PROJECT work outside
16 CITY Street Right-of-Way if that work has a surface component and either is or will
17 become CITY Street Right-of-Way or STATE right-of-way or Surplus Property upon
18 completion of the PROJECT.
19

20 6.5 The PARTIES agree to abide by and comply with all requirements and conditions
21 of the Street Use Permits. After a Street Use Permit is issued, the responsible PARTY
22 will obtain Letters of Plan Approval for any subsequent revisions for amendments to
23 design or to the Street Use Permit as set forth in the Procedures.
24

25 6.6 The Street Use Permits and Letters of Plan Approval are not a representation or
26 assurance that the design or plans comply with applicable laws, regulations, ordinances or
27 codes, nor shall the Street Use Permits or Letters of Plan Approval be construed to
28 authorize any failure to comply with any of the foregoing.
29

30 6.7 The PARTIES will jointly order the relocation of any and all Private Utilities
31 required for performance of the work on the PROJECT. The STATE shall manage the
32 timely relocation of the Private Utilities. The STATE shall require its construction
33 contractors to schedule and coordinate their activities with the relocation of Private
34 Utilities. The PARTIES agree to perform their obligations under this provision,
35 including, but not limited to, the CITY co-signing the relocation notices to the Private
36 Utility owners and the CITY joining the STATE as an additional plaintiff in any litigation
37 the STATE may need to pursue in order to require the Private Utilities to relocate. The
38 STATE shall indemnify the CITY pursuant to Section 19 of this Agreement.
39

40 6.8 The PARTIES agree to establish alternative CITY regulatory process cost
41 reimbursement in lieu of Use Fees as set forth in GCA 5739, Project Services Agreement
42 and future amendments, as described in Section 10 of this Agreement.
43
44
45

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.
44

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.

1
2 **17. WARRANTIES**

3
4 **Warranty of Work**

5
6 17.1 The STATE warrants for a minimum period of twelve (12) months that all CITY
7 Infrastructure being accepted by the CITY for ownership, operation and maintenance: (1)
8 meets with the requirements of the Approved Plans, and all CITY-approved
9 modifications to the Approved Plans made during the course of construction; (2) is
10 constructed in accordance with CITY-issued permits; (3) is free of defects in material and
11 workmanship; and (4) is free of defects in design(s). The warranty of work shall apply to
12 any corrective work required to address non-conforming and Defective Work that is
13 discovered and communicated by the CITY to the STATE within the warranty period.
14 The STATE's warranty of work shall begin following the execution of the Letter of
15 Acceptance of CITY Infrastructure or as otherwise provided in the STATE's contract,
16 whichever occurs later.

17
18 17.2 If within the warranty of work period, the CITY discovers and gives written
19 notice to the STATE of non-conforming or Defective Work in the accepted CITY
20 Infrastructure, the STATE shall promptly investigate the work the CITY believes is non-
21 conforming or defective. The STATE shall promptly remedy non-conforming or
22 Defective Work. Disagreements between the CITY and the STATE on what constitutes
23 non-conforming or Defective Work shall be resolved using the dispute resolution process
24 established in Section 23 of this Agreement. The STATE shall diligently prosecute the
25 corrective work and shall procure materials using the fastest means available as necessary
26 to minimize the loss of use and operation of the accepted CITY Infrastructure. Corrective
27 work shall be completed within the time frame specified by the CITY and mutually
28 agreed upon by the STATE.

29
30 17.3 If, during construction, the CITY encounters an emergency situation caused by
31 non-conforming or Defective Work, it must immediately notify the STATE. The STATE
32 will take immediate corrective action. If, after the warranty period begins, the CITY
33 encounters an emergency situation caused by non-conforming or Defective Work, it may
34 immediately correct it. Direct and indirect costs incurred by the CITY, attributable to
35 correcting an emergency situation associated with non-conforming or Defective Work,
36 shall be paid by the STATE to the CITY.

37
38 **Transfer of Title and Warranty of Title**

39
40 17.4 All right and title to the CITY Infrastructure accepted by the CITY will be
41 transferred by the STATE to the CITY as of the date of the STATE's signature
42 acknowledging the CITY's Letter of Acceptance pursuant to the provisions of Section 15.
43 Neither the STATE nor its contractors shall hold a property right in any of the CITY
44 Infrastructure accepted by the CITY for ownership, including the materials and
45 equipment comprising the CITY Infrastructure.

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

6
7 **Manufacturers' Warranties**

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

17
18 **Warranty Inspections**

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

24
25 **18. PUBLIC OUTREACH**

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

37
38 **19. RISK ALLOCATION**

39
40 **19.1 Limits of Liability**

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

1 CITY as to any compliance with any law, ordinance, rule, or regulation or any adequacy
2 for other than the CITY's own purposes; and such assistance, inspection, review or
3 approval shall not create or form the basis of any liability on the part of the CITY or any
4 of its officials, officers, employees, or agents for any injury, damage, or other liability
5 resulting from, or relating to, any inadequacy, error, or omission therein or any failure to
6 comply with applicable law, ordinance, rule, or regulation; and such assistance,
7 inspection, review, or approval shall not relieve the STATE of any of its obligations
8 under this Agreement, the SCL Agreement, UT 01476, and the SPU Agreement, UT
9 01474 or under applicable law.

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

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

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

42

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
DEPARTMENT OF
TRANSPORTATION

By _____
Peter E. Hahn
Director of Transportation
City of Seattle

By _____
Ronald J. Paananen
Program Administrator
Alaskan Way Viaduct and Seawall
Replacement Program

Date: _____

Date: _____

APPROVED AS TO FORM:

By _____
Elizabeth M. Lagerberg
Assistant Attorney General

Date: _____

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 AWVSR 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/revise 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

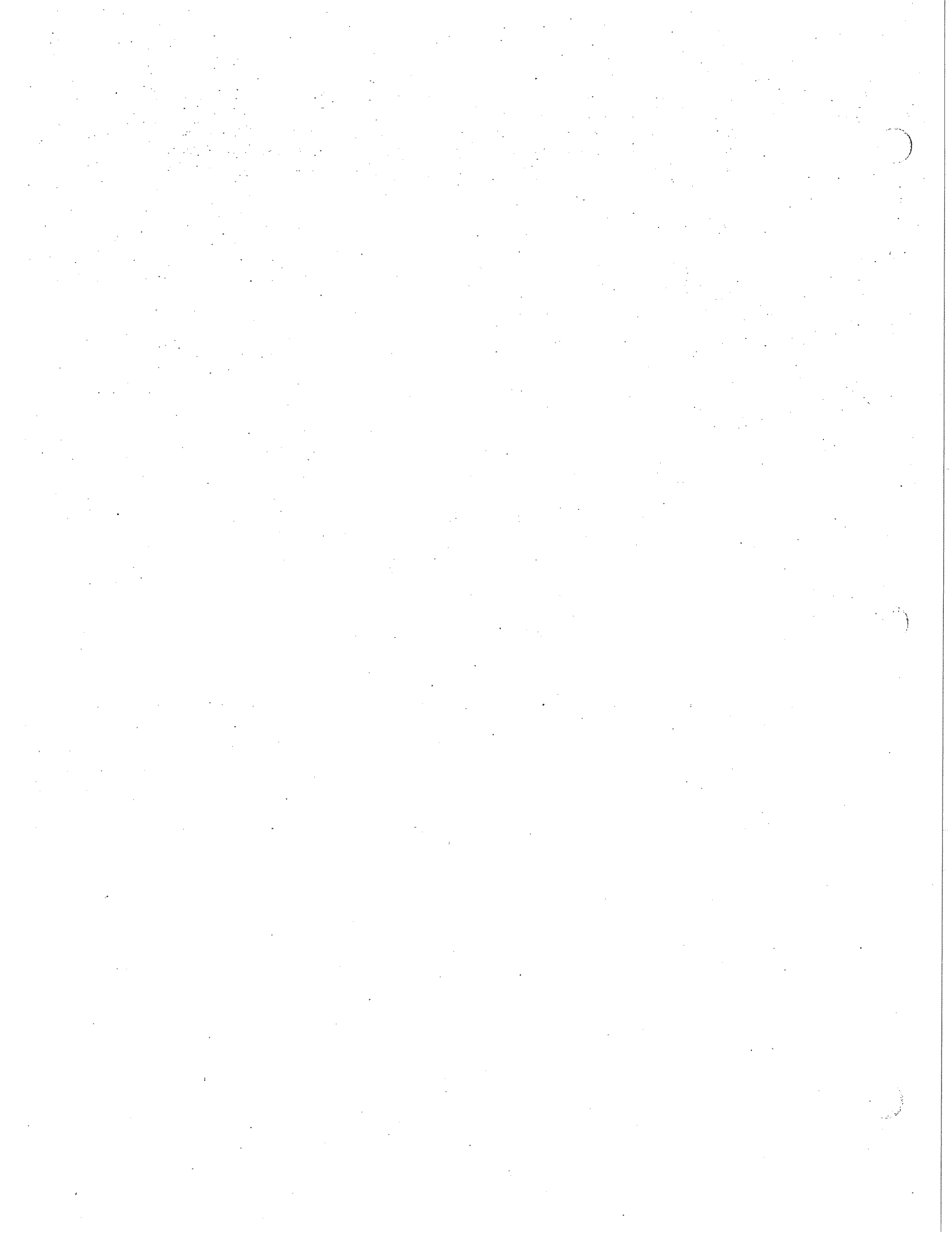


EXHIBIT D TO MEMORANDUM OF AGREEMENT NO. GCA 6486

1. Relocated surface street within the Alaskan Way right-of-way from South King Street to Pine Street, a new surface street from the intersection of Pine Street and Alaskan Way to Battery Street, and connecting Alaskan Way to Elliott and Western Avenues;
2. Demolition of the existing Alaskan Way Viaduct;
3. North and south tunnel ventilation buildings;
4. Re-establishment of the City street grid in the vicinity of the portals (e.g. Harrison, John, Thomas, and comparable southend streets); and
5. Battery Street Tunnel decommissioning.
6. Total WSDOT budget allocated for PROGRAM elements listed in lines 1 through 5 above: \$380 million.

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