Chapter 1  Introduction and State of the Practice .......................................................... 1-1
1-1  Introduction .............................................................................................................. 1-1
  1-1.1  Project Delivery Methods .................................................................................... 1-1
  1-1.2  Overview of Design-Build Procurement Process ............................................... 1-3
1-2  Laws and Regulations Design-Build ........................................................................ 1-3
  1-2.1  Washington State Laws ....................................................................................... 1-3
  1-2.2  Federal Transportation Act and Design-Build .................................................... 1-4
  1-2.3  Federal Design-Build Law .................................................................................... 1-4
  1-2.4  Federal Regulations and the NEPA Process ......................................................... 1-5
1-3  Resources ................................................................................................................ 1-7
  1-3.1  Project Delivery Method ....................................................................................... 1-7
  1-3.2  Design-Build Work Group ................................................................................... 1-7
  1-3.3  Design-Build Training Modules ........................................................................... 1-7
  1-3.4  Design-Build Institute of America (DBIA) ............................................................. 1-7
1-4  Acronyms (common design-build acronyms) .......................................................... 1-8
1-5  Definitions (common design-build definitions) ......................................................... 1-8

Chapter 2  Pre-Procurement Activities .............................................................................. 2-1
2-1  Project Delivery Method .......................................................................................... 2-1
2-2  Initial Project Development ...................................................................................... 2-1
  2-2.1  Project Development ........................................................................................... 2-1
  2-2.2  Identification of Funding and Schedule ................................................................ 2-2
  2-2.3  Scoping a Design-Build Project .......................................................................... 2-3
  2-2.4  Office of Equal Opportunity (OEO) Involvement ............................................... 2-4
  2-2.5  Risk Identification and Analysis ......................................................................... 2-4
2-3  Selecting the Project Delivery Method ..................................................................... 2-5
  2-3.1  Project Delivery Method Selection Guidance ...................................................... 2-6
  2-3.2  Approval for Design-Build Delivery Method Use ............................................... 2-6
2-4  Developing the Project Management Plan ............................................................... 2-7
2-5  Project Goal Setting .................................................................................................. 2-8
  2-5.1  Project Goal Setting Workshop .......................................................................... 2-9
2-6  Project Development Organizational Structure ....................................................... 2-13
  2-6.1  Project Development Team Composition ............................................................ 2-13
  2-6.2  Project Development Team Member Roles & Responsibilities ........................... 2-14
  2-6.3  WSDOT Headquarters Roles & Responsibilities ................................................. 2-15
2-7  Preliminary Engineering ......................................................................................... 2-16
  2-7.1  Practical Design, Conceptual Layout, and Basic Configuration ............................ 2-17
  2-7.2  Preliminary Survey and Mapping ...................................................................... 2-19
Chapter 3  Risk Management .......................................................... 3-1
  3-1  Risk Management Processes .............................................. 3-1
  3-2  Risk Register .............................................................. 3-5
  3-3  Design Issues ............................................................ 3-7
  3-4  Typical Design-Build Risks on Transportation Projects ............ 3-7
    3-4.1 Site Conditions and Investigations .............................. 3-7
    3-4.2 Utilities ............................................................ 3-7
    3-4.3 Environmental Permitting ...................................... 3-8
    3-4.4 Right of Way ..................................................... 3-8
    3-4.5 Railroads ........................................................... 3-8
    3-4.6 Drainage and Water Quality .................................... 3-9
    3-4.7 Third-Party Involvement ....................................... 3-9
    3-4.8 Construction ....................................................... 3-9
    3-4.9 Differing Site Conditions ...................................... 3-9
    3-4.10 Completion and General Warranty ............................. 3-10
    3-4.11 Local Agencies ................................................ 3-10
    3-4.12 Third-Party/Adjacent Property Owners ....................... 3-10

Chapter 4  Structure and Content of the Procurement .................... 4-1
  4-1  Request for Qualifications ............................................ 4-1
  4-2  Instructions to Proposers .......................................... 4-8
  4-3  Chapter 1 General Provisions ..................................... 4-15
  4-4  Chapter 2: Technical Requirements ................................ 4-20
Chapter 5  General Procurement Activities ........................................ 5-1
  5-1  Introduction ........................................................................... 5-1
  5-2  Procurement Resources ...................................................... 5-1
  5-3  Timelines and Deliverables .................................................. 5-2
  5-4  Approval of Design-Build Projects to Advertise ..................... 5-8
      5-4.1  Level 1 Approval ......................................................... 5-9
      5-4.2  Level 2 Approval ......................................................... 5-9
      5-4.3  Level 3 Approval ......................................................... 5-9
  5-5  Electronic Submittal Process ................................................. 5-10
      5-5.1  WSDOT Secure File Transfer Protocol .......................... 5-10
      5-5.2  Requesting a Username and Password .......................... 5-10
      5-5.3  Statement of Qualifications Electronic Submittal .............. 5-10
      5-5.4  Proposal Electronic Submittal ....................................... 5-10
  5-6  Contract Ad & Award .......................................................... 5-11
      5-6.1  Initiating the Advertisement and Award Period ................. 5-11
      5-6.2  Request a Project Webpage and Document Directory .......... 5-12
      5-6.3  Advertisement Notice .................................................. 5-12
      5-6.4  Submitting Documents for Web Posting and Notifications ..... 5-13
  5-7  Statement of Qualification Process ....................................... 5-14
      5-7.1  Voluntary Submitters Meeting ....................................... 5-14
      5-7.2  Request for Username and Password .............................. 5-14
      5-7.3  Request for Qualifications Questions, Clarifications, and Addenda .. 5-14
      5-7.4  Request for Qualifications Addenda ............................... 5-15
      5-7.5  Receipt of Statement of Qualifications ............................ 5-15
      5-7.6  Evaluation Process ..................................................... 5-15
  5-8  Request for Proposal Process .............................................. 5-16
      5-8.1  Voluntary Proposers Meetings ....................................... 5-16
      5-8.2  1:1 Meetings ............................................................. 5-16
      5-8.3  Request for Proposal Questions, Clarifications, and Addenda .. 5-18
      5-8.4  Request for Proposal Addenda ....................................... 5-19
      5-8.5  Receipt of Proposal ..................................................... 5-20
      5-8.6  Proposal Evaluation and Determination of the Apparent Best Value Proposer .............................................. 5-20
  5-9  Alternative Technical Concepts .......................................... 5-21
      5-9.1  Submittal ................................................................. 5-21
      5-9.2  Review ...................................................................... 5-22
      5-9.3  WSDOT Response ...................................................... 5-23
      5-9.4  Incorporating Alternative Technical Concepts into the Proposal .. 5-23
      5-9.5  Evaluating Alternative Technical Concepts in the Proposal .... 5-23
      5-9.6  WSDOT Use of Concepts Contained in an Alternative Technical Concept .............................................. 5-24
5-10 Security and Confidentiality ........................................... 5-24
  5-10.1 Confidentiality and Non-Disclosure Agreement and No-Conflicts of Interest Affidavit ........................................... 5-24
  5-10.2 Security of Work Area ........................................ 5-25
  5-10.3 Documentation Control ........................................ 5-25
  5-10.4 Information Release ........................................ 5-25
5-11 Roles and Responsibilities ............................................ 5-25
  5-11.1 Responsibilities of the Contract Ad & Award Office ............... 5-25
  5-11.2 Project Management Team ....................................... 5-25
  5-11.3 Region Executive Team ........................................ 5-25
  5-11.4 Headquarters Executive Team ................................... 5-26
  5-11.5 WSDOT Project Engineer ....................................... 5-26
  5-11.6 Technical Point of Contact ..................................... 5-26
  5-11.7 Assistant State Construction Engineer ......................... 5-26
  5-11.8 Procurement Support/ Request for Qualifications /Request for Proposal Coordinator ........................................ 5-27
5-12 Design-Build Delivery Interface with Other Processes ............... 5-27
  5-12.1 Environmental Processes ...................................... 5-27
  5-12.2 Federal Highway Administration Processes .................... 5-28
5-13 Debriefs .............................................................. 5-28
  5-13.1 Evaluation – Key Points ....................................... 5-29
  5-13.2 Incorporating Reference Feedback ................................ 5-29
  5-13.3 Incorporating Statement of Qualifications and Proposal Comments ........................................ 5-30
  5-13.4 Getting Ready for Debrief Sessions ............................ 5-30
  5-13.5 External Debriefs ............................................ 5-31
  5-13.6 Summary or Closing ........................................... 5-32

Chapter 6 Evaluation of Statements of Qualifications (SOQ) and Proposals ........ 6-1
6-1 Introduction .................................................................. 6-1
  6-1.1 Transparency .................................................. 6-1
  6-1.2 Scoring Systems ............................................. 6-2
  6-1.3 Evaluation Methods .......................................... 6-2
  6-1.4 Confidentiality and Non-Disclosure Agreement (Agreement), and No-Conflicts of Interest Affidavit (Affidavit) ...................... 6-2
  6-1.5 Information Release ........................................... 6-3
  6-1.6 Security of Work Area ........................................ 6-3
  6-1.7 Documentation Control ....................................... 6-3
  6-1.8 Potential Evaluators List ..................................... 6-4
# Roles and Responsibilities

## 6-2

- **Facilitator**
- **Evaluators**
- **Technical Advisor**
- **Office of Equal Opportunity Technical Advisor**
- **Observer**
- **Project Management Team**
- **Region Executive Team**
- **Headquarters Executive Team**
- **Contract Ad & Award Office**

## 6-3

### Statement of Qualifications Evaluations Process

- **Objectives**
- **Overall Statement of Qualifications Evaluation Process**
- **Statement of Qualifications Evaluation Chart**
- **Schedule**
- **SOQ Evaluation Process**
- **Adjectival Rating Criteria**
- **Assessing Strengths and Weaknesses**
- **Conclusion of SOQ Evaluation Procedure**
- **SOQ Evaluation Materials**

## 6-4

### Proposal Evaluations

- **Objectives**
- **Overall Proposal Evaluation Process**
- **Proposal Evaluation Chart**
- **Schedule**
- **Proposal Evaluation Process**
- **Proposal Evaluation Kick-Off Meeting**
- **Independent Evaluations**
- **In-the-Room Evaluations**
- **Internal Proposal Debriefs**
- **Identification of Betterments**
- **Award Process**
- **Proposal Evaluation Materials**
# Chapter 7  Contract Administration/Implementation

<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>7-1</td>
<td>Project Organization: Key Personnel</td>
</tr>
<tr>
<td>7-1.1</td>
<td>Other Project Personnel</td>
</tr>
<tr>
<td>7-2</td>
<td>Project Startup</td>
</tr>
<tr>
<td>7-2.1</td>
<td>Award, Contract Execution, and Notice to Proceed</td>
</tr>
<tr>
<td>7-2.2</td>
<td>Co-Location</td>
</tr>
<tr>
<td>7-3</td>
<td>Contract Meetings, Hold Points, and Milestones</td>
</tr>
<tr>
<td>7-3.1</td>
<td>Contract Meetings</td>
</tr>
<tr>
<td>7-3.2</td>
<td>Milestones and Hold Points</td>
</tr>
<tr>
<td>7-4</td>
<td>Contract Submittals</td>
</tr>
<tr>
<td>7-4.1</td>
<td>Document Control Work Plan</td>
</tr>
<tr>
<td>7-4.2</td>
<td>Quality Management Plan</td>
</tr>
<tr>
<td>7-4.3</td>
<td>Environmental Compliance Plan</td>
</tr>
<tr>
<td>7-4.4</td>
<td>Design Documentation</td>
</tr>
<tr>
<td>7-4.5</td>
<td>Released for Construction Documents</td>
</tr>
<tr>
<td>7-4.6</td>
<td>Non-Conformance Report and Non-Conformance Issue</td>
</tr>
<tr>
<td>7-4.7</td>
<td>As Builts</td>
</tr>
<tr>
<td>7-4.8</td>
<td>Final Records</td>
</tr>
<tr>
<td>7-5</td>
<td>Partnering</td>
</tr>
<tr>
<td>7-6</td>
<td>Design Development</td>
</tr>
<tr>
<td>7-6.1</td>
<td>Process</td>
</tr>
<tr>
<td>7-6.2</td>
<td>Design Quality Assurance and Quality Control</td>
</tr>
<tr>
<td>7-7</td>
<td>Construction Processes</td>
</tr>
<tr>
<td>7-7.1</td>
<td>Testing, Inspection, and Materials Quality Assurance</td>
</tr>
<tr>
<td>7-7.2</td>
<td>Statistical Analysis of Materials</td>
</tr>
<tr>
<td>7-7.3</td>
<td>F&amp;t Analysis</td>
</tr>
<tr>
<td>7-7.4</td>
<td>Testers and Inspectors Quality Control</td>
</tr>
<tr>
<td>7-7.5</td>
<td>Independent Assurance</td>
</tr>
<tr>
<td>7-7.6</td>
<td>Quality Assessment</td>
</tr>
<tr>
<td>7-7.7</td>
<td>Quality Verification</td>
</tr>
<tr>
<td>7-8</td>
<td>WSDOT Auditing Processes and Non-Conforming Work</td>
</tr>
<tr>
<td>7-8.1</td>
<td>WSDOT Audits</td>
</tr>
<tr>
<td>7-8.2</td>
<td>Non-Conforming Work</td>
</tr>
<tr>
<td>7-9</td>
<td>FHWA Audits</td>
</tr>
<tr>
<td>7-10</td>
<td>Change Orders</td>
</tr>
<tr>
<td>7-10.1</td>
<td>Change Order</td>
</tr>
<tr>
<td>7-11</td>
<td>Construction Contracts Information System Database</td>
</tr>
</tbody>
</table>
## Chapter 8 Project Acceptance and Close Out

8-1 Introduction ................................................................. 8-1
8-2 Project Acceptance .......................................................... 8-1
  8-2.1 Completion and Final Acceptance ................................... 8-1
  8-2.2 Physical Completion .................................................... 8-2
  8-2.3 Substantial Completion ................................................ 8-2
8-3 Close Out of Final Design Documentation ................................ 8-3
  8-3.1 Design Documentation Package ....................................... 8-3
  8-3.2 Project File ............................................................... 8-4
  8-3.3 Project Development Approval ....................................... 8-4
  8-3.4 Technical Memoranda .................................................. 8-5
  8-3.5 Design Analyses ......................................................... 8-5
  8-3.6 WSDOT Quality Verification Design Documentation ................. 8-5
  8-3.7 Approval and Retention of Final Design Documentation .......... 8-6
8-4 Close Out of Final Construction Documentation .......................... 8-7
  8-4.1 As Built Plans ............................................................ 8-7
  8-4.2 Construction Final Records ............................................ 8-8

## Chapter 9 Vacant


## Chapter 10 FHWA and Civil Rights

10-1 FHWA Involvement .......................................................... 10-1
  10-1.1 Stewardship and Oversight Agreement ............................ 10-2
  10-1.2 FHWA Authorization of Design-Build Projects .................. 10-3
  10-1.3 FHWA Concurrence of Design Analyses on NHS Highways ...... 10-4
  10-1.4 FHWA Projects of Division Interest (PoDIs) ..................... 10-4
10-2 Civil Rights ................................................................. 10-4
  10-2.1 Disadvantaged Business Enterprise (DBE) ....................... 10-4
  10-2.2 Federal Small Business Enterprise (FSBE) ....................... 10-5
  10-2.3 On-the-Job Training (OJT) .......................................... 10-5
  10-2.4 Equal Employment Opportunity (EEO) ............................ 10-5
  10-2.5 Apprenticeships ....................................................... 10-6
  10-2.6 Requirements for Affirmative Action to Ensure Equal Employment Opportunity .................................................. 10-7
  10-2.7 Title VI ................................................................. 10-9
  10-2.8 ADA ................................................................. 10-9