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**CONTRACT NO. 500126  
(RFP 802547)**

**IT TEMPORARY STAFFING SERVICES**

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**CONTRACTOR:** Neos Consulting Group, LLC  
1600 Barton Springs Rd., Unit 4203  
Austin, TX 78704  
Phone: 512-487-4120  
Email: [info@neosconsulting.com](mailto:info@neosconsulting.com)

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**AWARD DATE:** February 26, 2024

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**CONTRACT TERM (Base Period):** Two (2) Years from Notice to Proceed

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**PRICE:** This is a fixed price indefinite-quantity, indefinite-delivery type contract. The total amount to be awarded on all three (3) contracts shall not exceed \$3,000,000 during the Base Period.

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**SBE GOAL:** 8%

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**PROJECT MANAGER:** Michele Gregory  
512-389-7473  
[michele.gregory@capmetro.org](mailto:michele.gregory@capmetro.org)

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**CONTRACT ADMINISTRATOR:** Raymond Lalley  
512-369-6513  
[raymond.lalley@capmetro.org](mailto:raymond.lalley@capmetro.org)

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PROCUREMENT DEPARTMENT  
CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY  
2910 E. 5<sup>th</sup> STREET  
AUSTIN, TEXAS 78702

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(RFP 802547)**

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CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY


**EXHIBIT A-REVISED-1**

**PRICING SCHEDULE**

**RFP 802547**

**THE OFFEROR IS REQUIRED TO SIGN AND DATE EACH PAGE OF THIS SCHEDULE**

**1. IDENTIFICATION OF OFFEROR AND SIGNATURE OF AUTHORIZED AGENT**

|  |   |              |                         |
|--|---|--------------|-------------------------|
| Company Name (Printed)   | Neos Consulting Group, LLC  |              |                         |
| Address  | 1600 Barton Springs Road, Unit 4203   |              |                         |
| City, State, Zip   | Austin TX 78704   |              |                         |
| Phone, Fax, Email  | 512-467-4120  | 512-233-5200 | info@neosconsulting.com |
| The undersigned agrees, if this offer is accepted within the period specified, to furnish any or all supplies and/or services specified in the Schedule at the prices offered therein. |   |              |                         |
| Authorized Agent Name and Title (Printed)  | Karon Irby, President   |              |                         |
| Signature and Date   |  |              | 12/6/2023               |

**2. ACKNOWLEDGEMENT OF AMENDMENTS**

The offeror must acknowledge amendment(s) to this solicitation in accordance with the ACKNOWLEDGMENT OF AMENDMENTS section of Exhibit C.

**3. PROMPT PAYMENT DISCOUNT**

|           |  |            |   |
|-----------|--|------------|---|
| # of Days |  | Percentage | % |
|-----------|--|------------|---|

Note, payment terms are specified in Exhibit E, Contractual Terms and Conditions.


**4. SBE GOAL (TO BE COMPLETED UPON AWARD BY CAPITAL METRO)**

The SBE participation commitment for this contract is the following percentage of the total contract:

|  |   |
|--|---|
|  | % |
|--|---|

**5. AUTHORITY'S ACCEPTANCE (TO BE COMPLETED UPON AWARD BY CAPITAL METRO)**

The Authority hereby accepts this offer.

|   |   |
|---|---|
| Authorized Agent Name and Title (Printed) | Anita Deibert, Procurement Manager Acquisitions & Contract Administration   |
| Signature and Date                        |  E-SIGNED by Anita Deibert on 2024-03-12 15:19:29 CDT  |
| Accepted as to:                           | Exhibit A-1-Revised-1, Pricing Matrix, Section 1.A. BASE PERIOD (Year 1 of the Contract) at the Fully Burdened Hourly Rates reflected in Items 1a through 14c, and Section 1.B. BASE PERIOD (Year 2 of the Contract) at the Fully Burdened Hourly Rates reflected in Items 1a through 14c. The total contract amount for the two-year base period shall not exceed \$3,000,000 for all three (3) contracts. |

# The remainder of Exhibit A – Pricing Schedule has been redacted.

**For further information regarding Exhibit A, you may:**

- Reach out to the Contractor directly via the Contractor contact details provided on the cover page of this contract.

**OR**

- Submit a public information request directly to [PIR@capetro.org](https://www.capetro.org/PIR).

For more information regarding the Public Information Act and submitting public information requests, follow this link to our website <https://www.capetro.org/legal/>



**EXHIBIT B**

**REPRESENTATIONS AND CERTIFICATIONS**

**(LOCALLY FUNDED SUPPLY/SERVICE/CONSTRUCTION CONTRACTS)**

**MUST BE RETURNED WITH THE OFFER**

**1. TYPE OF BUSINESS**

(a) The offeror operates as (mark one):

- An individual
- A partnership
- A sole proprietor
- A corporation
- Another entity LLC

(b) If incorporated, under the laws of the State of:

Texas

**2. PARENT COMPANY AND IDENTIFYING DATA**

(a) The offeror (mark one):

- is
- is not

owned or controlled by a parent company. A parent company is one that owns or controls the activities and basic business policies of the offeror. To own the offering company means that the parent company must own more than fifty percent (50%) of the voting rights in that company.

(b) A company may control an offeror as a parent even though not meeting the requirements for such ownership if the company is able to formulate, determine, or veto basic policy decisions of the offeror through the use of dominant minority voting rights, use of proxy voting, or otherwise.

(c) If not owned or controlled by a parent company, the offeror shall insert its own EIN (Employer's Identification Number) below:

[Redacted]

(d) If the offeror is owned or controlled by a parent company, it shall enter the name, main office and EIN number of the parent company, below:

[Redacted]

**3. CERTIFICATION OF INDEPENDENT PRICE DETERMINATION**

(a) The offeror (and all joint venture members, if the offer is submitted by a joint venture) certifies that in connection with this solicitation:

(1) the prices offered have been arrived at independently, without consultation, communication, or agreement for the purpose of restricting competition, with any other offeror or with any other competitor;

(2) unless otherwise required by law, the prices offered have not been knowingly disclosed by the offeror and will not knowingly be disclosed by the offeror prior to opening of bids in the case of an invitation for bids, or prior to contract award in the case of a request for proposals, directly or indirectly to any other offeror or to any competitor; and

(3) no attempt has been made or will be made by the offeror to induce any other person or firm to submit or not to submit an offer for the purpose of restricting competition.

(b) Each signature on the offer is considered to be a certification by the signatory that the signatory: Karon Irby and Richard Carter are principals and signers for this RFP.

(1) is the person in the offeror's organization responsible for determining the prices being offered in this bid or proposal, and that the signatory has not participated and will not participate in any action contrary to paragraphs (a)(1) through (a)(3) of this provision; or

(i) has been authorized, in writing, to act as agent for the following principals in certifying that those principals have not participated, and will not participate in any action contrary to paragraphs (a)(1) through (a)(3) of this provision \_\_\_\_\_ [insert full name of person(s) in the offeror's organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the offeror's organization];

(ii) as an authorized agent, does certify that the principals named in subdivision (b)(2)(i) of this provision have not participated, and will not participate, in any action contrary to paragraphs (a)(1) through (a)(3) of this provision; and

(iii) as an agent, has not personally participated, and will not participate, in any action contrary to paragraphs (a)(1) through (a)(3) of this provision.

(c) If the offeror deletes or modifies paragraph (a)(2) of this provision, the offeror must furnish with its offer a signed statement setting forth in detail the circumstances of the disclosure.

**4. DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION**

(a) In accordance with the provisions of 2 C.F.R. (Code of Federal Regulations), part 180, the offeror certifies to the best of the offeror's knowledge and belief, that it and its principals:

(1) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(2) have not within a three (3) year period preceding this offer been convicted of or had a civil judgment rendered against them for the commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes, or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(3) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in (a)(2) above; and

(4) have not within a three (3) year period preceding this offer had one or more public transactions (Federal, State, or local) terminated for cause or default.

(b) Where the offeror is unable to certify to any of the statements above, the offeror shall attach a full explanation to this offer.

(c) For any subcontract at any tier expected to equal or exceed \$25,000:

(1) In accordance with the provisions of 2 C.F.R. part 180, the prospective lower tier subcontractor certifies, by submission of this offer, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to the statement, above, an explanation shall be attached to the offer.

(3) This certification (specified in paragraphs (c)(1) and (c)(2), above) shall be included in all applicable subcontracts and a copy kept on file by the prime contractor. The prime contractor shall be required to furnish copies of the certifications to the Authority upon request.

**5. COMMUNICATIONS**

(a) All oral and written communications with the Authority regarding this solicitation shall be exclusively with, or on the subjects and with the persons approved by, the persons identified in this solicitation. Discussions with any other person not specified could result in disclosure of proprietary or other competitive sensitive information or otherwise create the appearance of impropriety or unfair competition and thereby compromise the integrity of the Authority's procurement system. If competition cannot be resolved through normal communication channels, the Authority's protest procedures shall be used for actual or prospective competitors claiming any impropriety in connection with this solicitation.

(b) By submission of this offer, the offeror certifies that it has not, and will not prior to contract award, communicate orally or in writing with any Authority employee or other representative of the Authority (including Board Members, Capital Metro contractors or consultants), except as described below:

| Individual's Name | Date/Subject of Communication |
|-------------------|-------------------------------|
| Not Applicable    |                               |
|                   |                               |
|                   |                               |

(Attach continuation form, if necessary.)

**6. CONTINGENT FEE**

(a) Except for full-time, bona fide employees working solely for the offeror, the offeror represents as part of its offer that it (mark one):

- has
- has not

employed or retained any company or persons to solicit or obtain this contract, and (mark one):

- has
- has not

paid or agreed to pay any person or company employed or retained to solicit or obtain this contract any commission, percentage, brokerage, or other fee contingent upon or resulting from the award of this contract.

- (b) The offeror agrees to provide information relating to (a) above, when any item is answered affirmatively.

## **7. CODE OF ETHICS**

### (a) Statement of Purpose

The brand and reputation of Capital Metro is determined in large part by the actions or ethics of representatives of the agency. Capital Metro is committed to a strong ethical culture and to ethical behavior by all individuals serving Capital Metro as employees, members of the Board of Directors or volunteers. Individuals serving Capital Metro will conduct business with honesty and integrity. We will make decisions and take actions that are in the best interest of the people we serve and that are consistent with our mission, vision and this policy. The Code of Ethics (the "Code") documents Capital Metro's Standards of Ethical Conduct and policies for Ethical Business Transactions. Compliance with the Code will help protect Capital Metro's reputation for honesty and integrity. The Code attempts to provide clear principles for Capital Metro's expectations for behavior in conducting Capital Metro business. We have a duty to read, understand and comply with the letter and spirit of the Code and Capital Metro policies. You are encouraged to inquire if any aspect of the Code needs clarification.

### (b) Applicability

The Code applies to Capital Metro employees, contractors, potential contractors, Board Members and citizen advisory committee members. Violation of the Code of Ethics may result in discipline up to and including termination or removal from the Board of Directors.

### (c) Standards of Ethical Conduct

The public must have confidence in our integrity as a public agency and we will act at all times to preserve the trust of the community and protect Capital Metro's reputation. To demonstrate our integrity and commitment to ethical conduct we will:

- (1) Continuously exhibit a desire to serve the public and display a helpful, respectful manner.
- (2) Exhibit and embody a culture of safety in our operations.
- (3) Understand, respect and obey all applicable laws, regulations and Capital Metro policies and procedures both in letter and spirit.
- (4) Exercise sound judgment to determine when to seek advice from legal counsel, the Ethics Officer or others.
- (5) Treat each other with honesty, dignity and respect and will not discriminate in our actions toward others.
- (6) Continuously strive for improvement in our work and be accountable for our actions.
- (7) Transact Capital Metro business effectively and efficiently and act in good faith to protect the Authority's assets from waste, abuse, theft or damage.
- (8) Be good stewards of Capital Metro's reputation and will not make any representation in public or private, orally or in writing, that states, or appears to state, an official position of Capital Metro unless authorized to do so.
- (9) Report all material facts known when reporting on work projects, which if not revealed, could either conceal unlawful or improper practices or prevent informed decisions from being made.
- (10) Be fair, impartial and ethical in our business dealings and will not use our authority to unfairly or illegally influence the decisions of other employees or Board members.

(11) Ensure that our personal or business activities, relationships and other interests do not conflict or appear to conflict with the interests of Capital Metro and disclose any potential conflicts.

(12) Encourage ethical behavior and report all known unethical or wrongful conduct to the Capital Metro Ethics Officer or the Board Ethics Officer.

(d) Roles and Responsibilities

It is everyone's responsibility to understand and comply with the Code of Ethics and the law. Lack of knowledge or understanding of the Code will not be considered. If you have a question about the Code of Ethics, ask.

It is the responsibility of Capital Metro management to model appropriate conduct at all times and promote an ethical culture. Seek guidance if you are uncertain what to do.

It is Capital Metro's responsibility to provide a system of reporting and access to guidance when an employee wishes to report a suspected violation and to seek counseling, and the normal chain of command cannot, for whatever reason, be utilized. If you need to report something or seek guidance outside the normal chain of command, Capital Metro provides the following resources:

(1) Anonymous Fraud Hotline – Internal Audit

(2) Anonymous Online Ethics Reporting System

(3) Contact the Capital Metro Ethics Officer, Vice-President of Internal Audit, the EEO Officer or Director of Human Resources

(4) Safety Hotline

The Capital Metro Ethics Officer is the Chief Counsel. The Ethics Officer is responsible for the interpretation and implementation of the Code and any questions about the interpretation of the Code should be directed to the Ethics Officer.

(e) Ethical Business Transactions

Section 1. Impartiality and Official Position

(1) A Substantial Interest is defined by Tex. Loc. Govt. Code, § 171.002. An official or a person related to the official in the first degree by consanguinity or affinity has a Substantial Interest in:

(i) A business entity if the person owns ten percent (10%) or more of the voting stock or shares of the business entity or owns either 10% or more or \$15,000 or more of the fair market value of the business entity OR funds received by the person from the business entity exceed 10% of the person's gross income for the previous year; or

(ii) Real property if the interest is an equitable or legal ownership with a fair market value of \$2,500 or more.

Capital Metro will not enter into a contract with a business in which a Board Member or employee or a Family Member of a Board Member or employee as defined in Section 8 has a Substantial Interest except in case of emergency as defined in the Acquisition Policy PRC-100 or the business is the only available source for essential goods and services or property.

(2) No Board Member or employee shall:

(i) Act as a surety for a business that has work, business or a contract with Capital Metro or act as a surety on any official bond required of an officer of Capital Metro.

(ii) Represent for compensation, advise or appear on behalf of any person or firm concerning any contract or transaction or in any proceeding involving Capital Metro's interests.

(iii) Use his or her official position or employment, or Capital Metro's facilities, equipment or supplies to obtain or attempt to obtain private gain or advantage.

(iv) Use his or her official position or employment to unfairly influence other Board members or employees to perform illegal, immoral, or discreditable acts or do anything that would violate Capital Metro policies.

(v) Use Capital Metro's resources, including employees, facilities, equipment, and supplies in political campaign activities.

(vi) Participate in a contract for a contractor or first-tier subcontractor with Capital Metro for a period of one (1) year after leaving employment on any contract with Capital Metro.

(vii) Participate for a period of two (2) years in a contract for a contractor or first-tier subcontractor with Capital Metro if the Board Member or employee participated in the recommendation, bid, proposal or solicitation of the Capital Metro contract or procurement.

## Section 2. Employment and Representation

A Board Member or employee must disclose to his or her supervisor, appropriate Capital Metro staff or the Board Chair any discussions of future employment with any business which has, or the Board Member or employee should reasonably foresee is likely to have, any interest in a transaction upon which the Board Member or employee may or must act or make a recommendation subsequent to such discussion. The Board Member or employee shall take no further action on matters regarding the potential future employer.

A Board Member or employee shall not solicit or accept other employment to be performed or compensation to be received while still a Board Member or employee, if the employment or compensation could reasonably be expected to impair independence in judgment or performance of their duties.

A Board Member or employee with authority to appoint or hire employees shall not exercise such authority in favor of an individual who is related within the first degree, within the second degree by affinity or within the third degree by consanguinity as defined by the Capital Metro Nepotism Policy in accordance with Tex. Govt. Code, Ch. 573.

## Section 3. Gifts

It is critical to keep an arms-length relationship with the entities and vendors Capital Metro does business with in order to prevent the appearance of impropriety, undue influence or favoritism.

No Board Member or employee shall:

(1) Solicit, accept or agree to accept any benefit or item of monetary value as consideration for the Board Member's or employee's decision, vote, opinion, recommendation or other exercise of discretion as a public servant. [Tex. Penal Code §36.02(c)]

(2) Solicit, accept or agree to accept any benefit or item of monetary value as consideration for a violation of any law or duty. [Tex. Penal Code §36.02(a)(1)]

(3) Solicit, accept or agree to accept any benefit or item of monetary value from a person the Board Member or employee knows is interested in or likely to become interested in any Capital Metro contract or transaction if the benefit or item of monetary value could reasonably be inferred as intended to influence the Board Member or employee. [Tex. Penal Code §36.08(d)]

(4) Receive or accept any gift, favor or item of monetary value from a contractor or potential contractor of Capital Metro or from any individual or entity that could reasonably be inferred as intended to influence the Board Member or employee.

Exception: Consistent with state law governing public servants, a gift does not include a benefit or item of monetary value with a value of less than \$50, excluding cash or negotiable instruments, unless it can reasonably be inferred that the item was intended to influence the Board Member or employee. A department may adopt more restrictive provisions if there is a demonstrated and documented business need. [Tex. Penal Code § 36.10(a)(6)]

Exception: A gift or other benefit conferred, independent of the Board Member's or employee's relationship with Capital Metro, that is not given or received with the intent to influence the Board Member or employee in the performance of his or her official duties is not a violation of this policy. The Capital Metro Ethics Officer or Board Ethics Officer must be consulted for a determination as to whether a potential gift falls within this exception.

Exception: Food, lodging, or transportation that is provided as consideration for legitimate services rendered by the Board Member or employee related to his or her official duties is not a violation of this policy.

If you are uncertain about a gift, seek guidance from the Ethics Officer.

#### Section 4. Business Meals and Functions

Board Members and employees may accept invitations for free, reasonable meals in the course of conducting Capital Metro's business or while attending a seminar or conference in connection with Capital Metro business as long as there is not an active or impending solicitation in which the inviting contractor or party may participate and attendance at the event or meal does not create an appearance that the invitation was intended to influence the Board Member or employee.

When attending such events, it is important to remember that you are representing Capital Metro and if you chose to drink alcohol, you must do so responsibly. Drinking irresponsibly may lead to poor judgment and actions that may violate the Code or other Capital Metro policies and may damage the reputation of Capital Metro in the community and the industry.

#### Section 5. Confidential Information

It is everyone's responsibility to safeguard Capital Metro's nonpublic and confidential information.

No Board Member or employee shall:

(1) Disclose, use or allow others to use nonpublic or confidential information that Capital Metro has not made public unless it is necessary and part of their job duties and then only pursuant to a nondisclosure agreement approved by legal counsel or with consultation and permission of legal counsel.

(2) Communicate details of any active Capital Metro procurement or solicitation or other contract opportunity to any contractor, potential contractor or individual not authorized to receive information regarding the active procurement or contract opportunity.

#### Section 6. Financial Accountability and Record Keeping

Capital Metro's financial records and reports should be accurate, timely, and in accordance with applicable laws and accounting rules and principles. Our records must reflect all components of a transaction in an honest and forthright manner. These records reflect the results of Capital Metro's operations and our stewardship of public funds.

A Board Member or employee shall:

(1) Not falsify a document or distort the true nature of a transaction.

- (2) Properly disclose risks and potential liabilities to appropriate Capital Metro staff.
- (3) Cooperate with audits of financial records.
- (4) Ensure that all transactions are supported by accurate documentation.
- (5) Ensure that all reports made to government authorities are full, fair, accurate and timely.
- (6) Ensure all accruals and estimates are based on documentation and good faith judgment.

#### Section 7. Conflict of Interest

Employees and Board Members are expected to deal at arms-length in any transaction on behalf of Capital Metro and avoid and disclose actual conflicts of interest under the law and the Code and any circumstance which could impart the appearance of a conflict of interest. A conflict of interest exists when a Board Member or employee is in a position in which any official act or action taken by them is, may be, or appears to be influenced by considerations of personal gain rather than the general public trust.

Conflict of Interest [Tex. Loc. Govt. Code, Ch. 171 & 176, § 2252.908]

No Board Member or employee shall participate in a matter involving a business, contract or real property transaction in which the Board Member or employee has a Substantial Interest if it is reasonably foreseeable that an action on the matter would confer a special economic benefit on the business, contract or real property that is distinguishable from its effect on the public. [Tex. Loc. Govt. Code, § 171.004]

#### Disclosure

A Board Member or employee must disclose a Substantial Interest in a business, contract, or real property that would confer a benefit by their vote or decision. The Board Member or employee may not participate in the consideration of the matter subject to the vote or decision. Prior to the vote or decision, a Board Member shall file an affidavit citing the nature and extent of his or her interest with the Board Vice Chair or Ethics Officer. [Tex. Loc. Govt. Code, § 171.004]

A Board Member or employee may choose not to participate in a vote or decision based on an appearance of a conflict of interest and may file an affidavit documenting their recusal.

#### Section 8. Disclosure of Certain Relationships [Tex. Loc. Govt. Code, Ch. 176]

#### Definitions

- (1) A Local Government Officer is defined by Tex. Loc. Govt. Code § 176.001(4). A Local Government Officer is:
  - (i) A member of the Board of Directors;
  - (ii) The President/CEO; or
  - (iii) A third party agent of Capital Metro, including an employee, who exercises discretion in the planning, recommending, selecting or contracting of a vendor.
- (2) A Family Member is a person related within the first degree by consanguinity or the second degree by affinity as defined by Tex. Govt. Code, Ch. 573.
- (3) A Family Relationship is a relationship between a person and another person within the third degree by consanguinity or the second degree by affinity as defined by Tex. Govt. Code, Ch. 573.
- (4) A Local Government Officer must file a Conflicts Disclosure Statement (FORM CIS) if:



(i) The person or certain Family Members received at least \$2,500 in taxable income (other than investment income) from a vendor or potential vendor in the last twelve (12) months through an employment or other business relationship;

(ii) The person or certain Family Members received gifts from a vendor or potential vendor with an aggregate value greater than \$100 in the last 12 months; or

(iii) The vendor (or an employee of the vendor) has a Family Relationship with the Local Government Officer.

- (5) A vendor doing business with Capital Metro or seeking to do business with Capital Metro is required to file a completed questionnaire (FORM CIQ) disclosing the vendor's affiliations or business relationship with any Board Member or local government officer or his or her Family Member.

#### Section 9. Duty to Report and Prohibition on Retaliation

Board Members and employees have a duty to promptly report any violation or possible violation of this Code of Ethics, as well as any actual or potential violation of laws, regulations, or policies and procedures to the hotline, the Capital Metro Ethics Officer or the Board Ethics Officer.

Any employee who reports a violation will be treated with dignity and respect and will not be subjected to any form of retaliation for reporting truthfully and in good faith. Any retaliation is a violation of the Code of Ethics and may also be a violation of the law, and as such, could subject both the individual offender and Capital Metro to legal liability.

#### Section 10. Penalties for Violation of the Code of Ethics

In addition to turning over evidence of misconduct to the proper law enforcement agency when appropriate, the following penalties may be enforced:

(1) If a Board Member does not comply with the requirements of this policy, the Board member may be subject to censure or removal from the Board in accordance with Section 451.511 of the Texas Transportation Code.

(2) If an employee does not comply with the requirements of this policy, the employee shall be subject to appropriate disciplinary action up to and including termination.

(3) Any individual or business entity contracting or attempting to contract with Capital Metro which offers, confers or agrees to confer any benefit as consideration for a Board Member's or employee's decision, opinion, recommendation, vote or other exercise of discretion as a public servant in exchange for the Board Member's or employee's having exercised his official powers or performed his official duties, or which attempts to communicate with a Board Member or Capital Metro employee regarding details of a procurement or other contract opportunity in violation of Section 5, or which participates in the violation of any provision of this Policy may have its existing Capital Metro contracts terminated and may be excluded from future business with Capital Metro for a period of time as determined appropriate by the President/CEO.

(4) Any individual who makes a false statement in a complaint or during an investigation of a complaint with regard to a matter that is a subject of this policy is in violation of this Code of Ethics and is subject to its penalties. In addition, Capital Metro may pursue any and all available legal and equitable remedies against the person making the false statement or complaint.

#### Section 11. Miscellaneous Provisions

(1) This Policy shall be construed liberally to effectuate its purposes and policies and to supplement such existing laws as they may relate to the conduct of Board Members and employees.

(2) Within sixty (60) days of the effective date for the adoption of this Code each Board Member and employee of Capital Metro will receive a copy of the Code and sign a statement acknowledging that they have read, understand and will comply with Capital Metro's Code of Ethics. New Board Members and employees will receive a copy of the Code and are required to sign this statement when they begin office or at the time of initial employment.

(3) Board Members and employees shall participate in regular training related to ethical conduct, this Code of Ethics and related laws and policies.

**8. SMALL BUSINESS ENTERPRISE (SBE) GOALS**

The goal established for this solicitation must be met or the offeror must submit clear evidence of a "good faith effort" along with the offeror's completed Schedule C of Subcontractor Participation form (listing all proposed subcontractors, SBE and non-SBE) and an executed Intent to Perform as a SBE Subcontractor form for each SBE subcontractor listed on the Schedule C as part of the proposal or sealed bid. By submission of this offer, the offeror certifies that it will comply with the provisions of Exhibit D attached to this solicitation entitled "Small Business Enterprise Program" and will meet the goal as established in any ensuing contract.

**9. TEXAS ETHICS COMMISSION CERTIFICATION**

In accordance with Section 2252.908, Texas Government Code, upon request of the Authority, the selected contractor may be required to electronically submit a "Certificate of Interested Parties" with the Texas Ethics Commission in the form required by the Texas Ethics Commission, and furnish the Authority with the original signed and notarized document prior to the time the Authority signs the contract. The form can be found at [www.ethics.state.tx.us](http://www.ethics.state.tx.us). Questions regarding the form should be directed to the Texas Ethics Commission.

**10. TEXAS LABOR CODE CERTIFICATION (CONSTRUCTION ONLY)**

Contractor certifies that Contractor will provide workers' compensation insurance coverage on every employee of the Contractor employed on the Project. Contractor shall require that each Subcontractor employed on the Project provide workers' compensation insurance coverage on every employee of the Subcontractor employed on the Project and certify coverage to Contractor as required by Section 406.96 of the Texas Labor Code, and submit the Subcontractor's certificate to the Authority prior to the time the Subcontractor performs any work on the Project.

**11. CERTIFICATION REGARDING ISRAEL**

As applicable and in accordance with Section 2271.002 of the Texas Government Code, the Contractor certifies that it does not boycott Israel and will not boycott Israel during the term of this Contract.

**12. CERTIFICATION REGARDING FOREIGN TERRORIST ORGANIZATIONS**

Contractor certifies and warrants that it is not engaged in business with Iran, Sudan, or a foreign terrorist organization, as prohibited by Section 2252.152 of the Texas Government Code.

**13. VERIFICATION REGARDING FIREARM ENTITIES AND FIREARM TRADE ASSOCIATIONS**

As applicable and in accordance with Section 2274.002 of the Texas Government Code, Contractor verifies that it does not have a practice, policy, guidance, or directive that discriminates against a firearm entity or firearm trade association and will not discriminate during the term of the Contract against a firearm entity or firearm trade association.

**14. BOYCOTT OF ENERGY COMPANIES PROHIBITED**

Pursuant to Chapter 2274 of Texas Government Code, Contractor verifies that:

- (a) it does not, and will not for the duration of the Contract, boycott energy companies, as defined in Section 2274.002 of the Texas Government Code, or
- (b) the verification required by Section 2274.002 of the Texas Government Code does not apply to Contractor and this Contract. If circumstances relevant to this provision change during the course of the Contract, Contractor shall promptly notify the Authority.

**15. CRITICAL INFRASTRUCTURE PROHIBITION**

Pursuant to Chapter 2274 of Texas Government Code, Contractor certifies that, if this Contract or any contract between Contractor and Capital Metro relates to critical infrastructure, as defined in Chapter 2274 of the Texas Government Code, Contractor is not owned by or the majority of stock or other ownership interest of its firm is not held or controlled by:

- (a) individuals who are citizens of China, Iran, North Korea, Russia, or a Governor-designated country; or
- (b) a company or other entity, including a governmental entity, that is owned or controlled by citizens of or is directly controlled by the government of China, Iran, North Korea, Russia, or a Governor-designated country; or
- (c) headquartered in China, Iran, North Korea, Russia, or a Governor-designated country.

**16. CERTIFICATION OF PRIME CONTRACTOR PARTICIPATION**

- (a) The Prime Contractor certifies that it shall perform no less than thirty percent (30%) of the work with his own organization. The on-site production of materials produced by other than the Prime Contractor's forces shall be considered as being subcontracted.
- (b) The organization of the specifications into divisions, sections, articles, and the arrangement and titles of the project drawings shall not control the Prime Contractor in dividing the work among subcontractors or in establishing the extent of the work to be performed by any trade.
- (c) The offeror further certifies that no more than seventy percent (70%) of the work will be done by subcontractors.

**17. REPRESENTATION REGARDING CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT**

(a) *Prohibition.* This Contract is subject to the Public Law 115-232, Section 889, and 2 Code of Federal Regulations (CFR) Part 200, including §200.216 and §200.471 related to the prohibition of certain "covered telecommunications equipment and services", which includes:

- (1) Telecommunications equipment produced by Huawei Technologies Company or ZTE Corporation (or any subsidiary or affiliate of such entities)
- (2) For the purpose of public safety, security of government facilities, physical security surveillance of critical infrastructure, and other national security purposes, video surveillance and telecommunications equipment produced by Hytera Communications Corporation, Hangzhou Hikvision Digital Technology Company, or Dahua Technology Company (or any subsidiary or affiliate of such entities).
- (3) Telecommunications or video surveillance services provided by such entities or using such equipment.
- (4) Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country.

(b) *Procedures.* The Offeror shall review the list of excluded parties in the System for Award Management (SAM) (<https://www.sam.gov>) for entities excluded from receiving federal awards for "covered telecommunications equipment or services".

(c) *Representation.* The Offeror represents that—

(1) It

- will  
 will not

provide covered telecommunications equipment or services to the Authority in the performance of any contract, sub-contract or other contractual instrument resulting from this solicitation. The Offeror shall provide the additional disclosure information required at paragraph (d)(1) of this section if the Offeror responds "will" in paragraph (c)(1) of this section; and

(2) After conducting a reasonable inquiry, for purposes of this representation, the Offeror represents that—

- does  
 does not

use covered telecommunications equipment or services, or use any equipment, system, or service that uses covered telecommunications equipment or services. The Offeror shall provide the additional disclosure information required at paragraph (d)(2) of this section if the Offeror responds "does" in paragraph (c)(2) of this section.

(d) *Disclosures.*

(1) Disclosure for the representation in paragraph (c)(1) of this provision. If the Offeror has responded "will" in the representation in paragraph (c)(1) of this provision, the Offeror shall provide the following information as part of the offer:

(i) For covered equipment—

(A) The entity that produced the covered telecommunications equipment (include entity name, unique entity identifier, CAGE code, and whether the entity was the original equipment manufacturer (OEM) or a distributor, if known);

(B) A description of all covered telecommunications equipment offered (include brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); and

(C) Explanation of the proposed use of covered telecommunications equipment and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (a)(1) of this provision.

(ii) For covered services—

(A) If the service is related to item maintenance: A description of all covered telecommunications services offered (include on the item being maintained: Brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); or

(B) If not associated with maintenance, the Product Service Code (PSC) of the service being provided; and explanation of the proposed use of covered telecommunications services and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (a)(1) of this provision.

(2) Disclosure for the representation in paragraph (c)(2) of this provision. If the Offeror has responded "does" in the representation in paragraph (c)(2) of this provision, the Offeror shall provide the following information as part of the offer:

(i) For covered equipment—

(A) The entity that produced the covered telecommunications equipment (include entity name, unique entity identifier, CAGE code, and whether the entity was the OEM or a distributor, if known);

(B) A description of all covered telecommunications equipment offered (include brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); and

(C) Explanation of the proposed use of covered telecommunications equipment and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (a)(2) of this provision.

(ii) For covered services—

(A) If the service is related to item maintenance: A description of all covered telecommunications services offered (include on the item being maintained: Brand; model number, such as OEM number, manufacturer part number, or wholesaler number; and item description, as applicable); or

(B) If not associated with maintenance, the PSC of the service being provided; and explanation of the proposed use of covered telecommunications services and any factors relevant to determining if such use would be permissible under the prohibition in paragraph (a)(2) of this provision.

#### **18. SIGNATURE BLOCK FOR ALL REPRESENTATIONS AND CERTIFICATIONS**

(a) These representations and certifications concern a material representation of fact upon which reliance will be placed in awarding a contract. If it is later determined that the offeror knowingly rendered an erroneous or false certification, in addition to all other remedies the Authority may have, the Authority may terminate the contract for default and/or recommend that the offeror be debarred or suspended from doing business with the Authority in the future.

(b) The offeror shall provide immediate written notice to the Authority if, at any time prior to contract award, the offeror learns that the offeror's certification was, or a subsequent communication makes, the certification erroneous.

(c) Offerors must set forth full, accurate and complete information as required by this solicitation (including this attachment). Failure of an offeror to do so may render the offer nonresponsive.

(d) A false statement in any offer submitted to the Authority may be a criminal offense in violation of Section 37.10 of the Texas Penal Code.

(e) I understand that a false statement on this certification may be grounds for rejection of this submittal or termination of the awarded contract.

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

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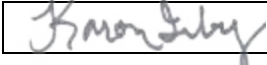
Name of Offeror:

Neos Consulting Group, LLC

Type/Print Name of Signatory:

Karon Irby

Signature:



Date:

09/02/2023

**EXHIBIT D**  
**SMALL BUSINESS ENTERPRISE (SBE) PROGRAM**  
**FOR LOCALLY FUNDED SOLICITATIONS**

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**1. PROGRAM BACKGROUND**

The Small Business Enterprise (SBE) program is designed to work with the small business community to enhance SBE participation in locally funded procurements. The intent of the SBE program is to provide full and fair opportunities for equal participation by all small businesses at the Authority. The program provides specific thresholds to create opportunities, promote competitiveness, and assist SBEs in overcoming potential barriers to participating in contracting opportunities.

**2. DEFINITION**

(a) Capital Metro defines small business as any business whose annual gross income averaged over the past three (3) years does not exceed the Small Business Administration's (SBA) size standards as set forth in 13 C.F.R., Part 121. A size standard is the largest that a firm can be and still qualify as a small business.

(b) Any Small Business that is certified as a Small Business Enterprise (SBE), Minority Business Enterprise (MBE), Women Business Enterprise (WBE), Disadvantaged Business Enterprise (DBE) and Historically Underutilized Business (HUB) meeting the SBA size requirement will be accepted as meeting the Capital Metro SBE requirements

**3. SUBMISSION OF SBE FORMS**

Offerors shall submit with their offer a completed Schedule C of Subcontractor Participation form (listing all proposed subcontractors,) and an executed Intent to Perform as a SBE Subcontractor form for each SBE subcontractor listed on the Schedule C. As required in Section 5 of this Exhibit, complete Good Faith Effort documentation (if necessary) must be submitted at this same time. The listing of a SBE by an Offeror shall constitute a representation by the Offeror to the Authority that it believes such SBE firm to be technically and financially qualified and available to perform the work. It shall also represent a commitment by the Offeror that if it is awarded the contract it will enter into a subcontract with such SBE for the work described and at the price set forth in both the Schedule C of Subcontractor Participation and the Intent to Perform as a SBE Subcontractor forms. If the price changes after the forms have been submitted but prior to award of the contract, the Offeror will immediately notify the Authority's Procurement Department of the changed amount and the reason(s) for the change. No substitutions of SBE firms may be effected without the Authority's prior written approval. If an offeror is a SBE and wishes to count its participation on the project towards the goal, it is required to perform that portion with its own work force.

**4. CREDIT TOWARDS GOALS**

(a) No credit toward meeting SBE goals will be allowed unless the SBE is determined to be eligible by the Capital Metro Office of Diversity. Offerors are strongly encouraged to contact the Authority's Office of Diversity well in advance of the date set for receipt of offers in order to enable review of the proposed SBEs eligibility to participate in the Authority's SBE Program. The dollar value of work performed under a contract with a firm after it has graduated from the SBE program cannot count toward a contract goal. Participation of a SBE subcontractor cannot count toward the prime contractor's SBE achievements until the amount being counted has been paid to the SBE.

(b) Only expenditures to SBEs that perform a Commercially Useful Function may be counted towards goals. A SBE performs a commercially useful function when it is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a commercially useful function, the SBE must also be responsible, with respect to materials and supplies used on the contract, for negotiating price, determining quality and quantity, ordering the material, and installing (where applicable) and paying for the material itself. If a SBE does not perform or exercise responsibility for at least thirty (30%) percent of the total cost of its contract with its own work force, or the SBE subcontracts a greater portion of the work of a contract than would be expected on the basis of normal industry practice for the type of work involved, it is not

## CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

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performing a commercially useful function.

(c) The Contractor may count only the value of the work actually performed by the SBE toward SBE goals. Count the entire amount of that portion of a construction contract that is performed by a SBE's own forces. Include the cost of supplies and materials obtained by the SBE for the work of the contract, including supplies purchased or equipment leased by the SBE (except supplies and equipment the SBE subcontractor purchases or leases from the prime contractor or its affiliate). Count the entire amount of fees or commissions charged by a SBE firm for providing a bona fide service, such as professional, technical, consultant, or managerial services, or for providing bonds or insurance specifically required for the performance of a contract, toward SBE goals, provided the fee is reasonable and not excessive as compared with fees customarily allowed for similar services. When a SBE subcontracts part of the work of its contract to another firm, the value of the subcontracted work may be counted toward SBE goals only if the SBE's subcontractor is itself a SBE. Work that a SBE subcontracts to a non-SBE firm does not count toward SBE goals.

(d) The Contractor may credit towards the SBE goal only sixty (60%) percent of the total dollar cost for material and supplies purchased from SBEs that are regular dealers and not manufacturers. A regular dealer is an established firm that owns, operates, or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business. A person may be a regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone, or asphalt without owning, operating, or maintaining a place of business if the person both owns and operates distribution equipment for the products. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not regular dealers.

(e) A Contractor may count toward its SBE goals the following expenditures to SBE firms that are not manufacturers or regular dealers.

(1) The fees or commissions charged for bona fide services such as professional, technical, consultant, or managerial services and assistance in the procurement of essential personnel, facilities, equipment materials or supplies required for performance of the contract, provided that the fee is determined to be reasonable and not excessive as compared with fees customarily allowed for similar services.

(2) The fees charges for delivery of materials and supplies required on a job site (but not the cost of the materials and supplies themselves) when the hauler, trucker, or delivery service is not also the manufacturer of or a regular dealer in, the materials and supplies.

(3) The fees charged for providing any bonds or insurance specifically required for the performance of the contract.

(4) The fees charged for assistance in the procurement of the materials and supplies provided that the fees are reasonable and not excessive as compared with fees customarily allowed for similar services.

### **5. DEMONSTRATION OF GOOD FAITH EFFORT**

(a) If an Offeror does not meet the SBE goals, it shall nevertheless be eligible for award of the contract if it can demonstrate to the satisfaction of the Authority that it has made a good faith effort to meet the SBE goals. In evaluating an Offeror's good faith effort submission, the Authority will only consider those documented efforts that occurred prior to receipt of competitive sealed proposals (SOQ).

(1) Possible subcontracting opportunities include, but are not limited to:



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| <b>Industry</b>                     | <b>NAIC Code</b> |
|-------------------------------------|------------------|
| Employment Placement Agencies       | 561311           |
| Administration of Human Resources   | 923130           |
| Professional Employer Organizations | 561330           |
| Temporary Help Services             | 561320           |

(2) The SBE goal for this solicitation is **8%**.

(b) In making a determination that the Offeror has made a good faith effort to meet the SBE goals, the Authority shall consider among other things it deems relevant, the criteria set forth below. Additionally, in determining whether a bidder has made good faith efforts, the Authority will take into account the performance of other bidders in meeting the contract goal. The Offeror shall furnish as part of its SBE utilization information provided under Section 5 such specific documentation concerning the steps it has taken to obtain SBE participation, with a consideration of, by way of illustration and not limitation the following:

(1) Whether the Offeror solicited through all reasonable and available means (e.g. attendance at pre-bid meetings, advertising and/or written notices) the interest of all certified SBEs who have the capability to perform the work of the contract. The bidder must solicit this interest within sufficient time to allow the SBEs to respond to the solicitation. The bidder must determine with certainty if the SBEs are interested by taking appropriate steps to follow up initial solicitations.

(2) Whether the Offeror provided interested SBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation.

(3) Whether the Offeror negotiated in good faith with interested SBEs. It is the bidder's responsibility to make a portion of the work available to SBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available SBE subcontractors and suppliers, so as to facilitate SBE participation. Evidence of such negotiation includes the names, addresses, and telephone numbers of SBEs that were considered; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why additional agreements could not be reached for SBEs to perform the work. A bidder using good business judgment would consider a number of factors in negotiating with subcontractors, including SBE subcontractors, and would take a firm's price and capabilities as well as contract goals into consideration. However, the fact that there may be some additional costs involved in finding and using SBEs is not in itself sufficient reason for a bidder's failure to meet the contract SBE goal, as long as such costs are reasonable. Also, the ability or desire of a prime contractor to perform the work of a contract with its own organization does not relieve the bidder of the responsibility to make good faith efforts. Prime contractors are not, however, required to accept higher quotes from SBEs if the price difference is excessive or unreasonable.

(4) Whether the Offeror rejected SBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The contractor's standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of bids in the contractor's efforts to meet the project goal.

(5) Whether the Offeror made efforts to assist interested SBEs in obtaining bonding, lines of credit, or insurance as required by the recipient or contractor.

(6) Whether the Offeror made efforts to assist interested SBEs in obtaining necessary equipment, supplies, materials, or related assistance or services.

(c) In determining whether an Offeror has demonstrated good faith, the Authority will look not only at the different kinds of efforts that the Offeror has made, but also the quantity and intensity of those efforts. Efforts that are mere pro forma are not good faith efforts to meet the goals (even if they are sincerely motivated) if, given all relevant cir-

## CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

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cumstances, the Offeror's efforts could not reasonably be expected to produce a level of SBE participation sufficient to meet the goals.

### **6. CERTIFICATION OF SBEs**

(a) The City of Austin will serve as the certifying agency for the Austin region, which includes the counties of Bastrop, Caldwell, Hays, Travis and Williamson County. All prospective SBEs must submit appropriate forms, available through the City of Austin Certification Department, to prove actual ownership and control by SBEs. All such firms shall cooperate in supplying additional information as requested by the City of Austin DSMBR Certification Department, which will determine the certification of eligible SBEs. Blank forms may be obtained by contacting the City of Austin Certification Department, 4201 Ed Bluestein Blvd., (512) 974-7645, fax: (512) 974-7609. Vendor may also contact Capital Metro at (512) 389-7512 to obtain information.

(b) In the event the Authority determines that a firm identified by the Offeror as a potential SBE does not qualify as a SBE, the Offeror shall be informed and will be provided with an opportunity to substitute firms meeting the certifying agency's SBE eligibility criteria for the Authority's consideration.

(c) Capital Metro will accept Small Business Certification from any government agency that certifies Small Business Enterprises.

(d) Information concerning SBEs currently certified can be obtained by contacting the Office of Diversity Department at the address in subparagraph (a) above. Offerors may access the SBE directory at <http://www.austintexas.gov/department/certification>.

(e) Offerors are reminded that only SBEs may participate in Authority contracts in such capacities. If an offeror proposes using a SBE from another state, the firm must produce evidence that it is SBE certified in the state in which the business is headquartered.

### **7. SBE MODIFICATION OR SUBSTITUTION**

In the event that an Offeror wishes to modify its Schedule C of Subcontractor Participation after its offer is submitted and/or a contract awarded, the Offeror/Contractor must notify the Authority in writing and request approval of the modification. This will include any changes to items of work, material, services or SBE firms which differ from those identified on the Schedule C of Subcontractor Participation on file. The Offeror/Contractor must cooperate in supplying the Authority with additional information with respect to the requested modification. If the modification involves a substitution and if it is approved by the Authority, the Offeror/Contractor must make every good faith effort to replace the SBE with another SBE. In the event that the Offeror/Contractor is unable to contract with another SBE firm, such good faith efforts must be documented to the Office of Diversity Department. The substitute SBE firm must be certified by the Authority in order for the Offeror/Contractor to receive credit towards fulfilling its SBE participation goals for the contract.

### **8. PAYMENT DOCUMENTATION**

Concurrently with the submission of the invoice or each request for a progress payment under this contract, the Contractor shall provide on the Vendor Payment Report Form a breakdown of the amounts paid to date to SBEs identified by the Contractor to participate on this contract. As provided elsewhere in this contract, the Authority may withhold all or part of any progress payment otherwise due the Contractor if the Contractor fails to submit the Vendor Payment Report Form and make prompt payment to its subcontractors, suppliers and laborers.

### **9. SANCTIONS FOR NONCOMPLIANCE WITH THE AUTHORITY'S SBE PROGRAM PROVISIONS**

Failure of the Contractor to carry out the Authority's SBE Program provision shall constitute a breach of contract and may result in termination of the contract for default or such remedy as the Authority may deem appropriate. The willful making of false statements or providing incorrect information will be referred for appropriate legal action.

**REQUIRED SUBMITTAL IF SUBCONTRACTORS ARE UTILIZED  
CAPITAL METRO  
Schedule C, Subcontractor Participation (Local Funds)**

Instructions: The Offeror shall complete this form by listing 1) Names of all proposed subcontractors. 2) Contact information, 3) Description of work to be performed/product to be provided, 4) Age of the firm, 5) Number of employees, 6) % or \$ amount of Total Contract.

*NOTE: AS DEFINED BY THE SMALL BUSINESS ADMINISTRATION; A SMALL BUSINESS IS ANY BUSINESS WHOSE ANNUAL GROSS INCOME AVERAGED OVER THE PAST THREE (3) YEARS DOES NOT EXCEED THE SMALL BUSINESS ADMINISTRATION'S (SBA) SIZE STANDARDS AS SET FORTH IN 13 C.F.R., PART 121.*

**Size Standards for principal NAICS Sectors:** **Construction** General building and heavy construction contractors: \$33.5 million Special trade construction contractors: \$14 million Land subdivision: \$7 million Dredging: \$20 million **Services** Most common: \$7 million Computer programming, data processing and systems design: \$25.5 million The highest annual-receipts size standard in any service industry: \$35.5 million **Manufacturing** About 75 percent of the manufacturing industries: 500 employees A small number of industries: 1,500 employees The balance: either 750 or 1,000 employees **All Other Types of Small Business** Less than 500 employees or three years of gross receipts under \$10 Million.

Name of Prime Contractor (Offeror): Neos Consulting Group, LLC

Project Name: IT TEMPORARY STAFFING SERVICES

RFP 802547

| 1) Name of Subcontractor | 2) Address, Telephone # of Sub Firm (Including name of contact person)               | 3) Description of Work, Services Provided. Where applicable, specify "supply" or "Install" or both. | 4) SBE or non-SBE | 5) Age of Firm | 6) Number of employees | 7) Sub % or \$ amount of Total Contract |
|--------------------------|--|---|-------------------|----------------|------------------------|---|
| CBK Computing Group      | Beshara Shaleesh<br>10652 Chestnut Ridge Road Austiin TX<br>78726 US<br>512-422-3126 | Temporary Staffing Service  | SBE               | 10             | 8                      | 8%                                      |
|                          |  |   |                   |                |                        |   |
|                          |  |   |                   |                |                        |   |
|                          |  |   |                   |                |                        |   |
|                          |  |   |                   |                |                        |   |
|                          |  |   |                   |                |                        |   |

**This form must be completed as instructed above and include every subcontractor proposed on this project.**

The undersigned will enter into a formal agreement with Subcontractors for work listed in this form upon execution of a contract with Capital Metro.



Signature of Authorized Representative of Offeror

9/6/2023

Date Signed

REQUIRED SUBMITTAL

**CAPITAL METRO  
(Local) Intent to Perform as a SBE Contractor/SBE Subcontractor  
RFP 802547**

1. TO: (name of Offeror/Prime Contractor) **Neos Consulting Group, LLC**

2. The undersigned is either currently certified as a SBE or will be at the time this solicitation is due.

The undersigned is prepared to perform the following described work with their own workforce and/or supply the material listed in connection with the above project (where applicable specify "supply" or "install" or both) **Supply Temporary Staffing Services**

and at the following price \$ \_\_\_\_\_ and/or 8% of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned SBE anticipates that 0% of the dollar value of this subcontract will be sublet and/or awarded to other contractors. Any and all subcontractors that a SBE subcontractor uses must be listed in Schedule C and must also be SBE certified. (The SBE subcontractor should complete this section only if the SBE is subcontracting any portion of its subcontract.)

CBK Computing Group

(Name of SBE Firm)

Beshara Shaleesh

(Signature of Authorized Representative)

512-422-3126

(Phone Number)

9/6/2023

(Date Signed)

**Neos Consulting Group, LLC**

(Name of Offeror/Prime Contractor)

Kamran Jilani

(Signature of Authorized Representative)

512-913-5450

(Phone Number)

9/6/2023

(Date Signed)

**EXHIBIT E**  
**CONTRACTUAL TERMS AND CONDITIONS**  
**(SERVICES CONTRACT)**

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**1. DEFINITIONS**

As used throughout this Contract, the following terms shall have the meaning set forth below:

- (a) "Applicable Anti-Corruption and Bribery Laws" means international, federal, state, provincial and local laws, rules, regulations, directives and governmental requirements currently in effect and as they become effective relating in any way to the Contractor's provision of goods and/or services to Authority, including without limitation "FCPA" or any applicable laws and regulations, including in the jurisdiction in which the Contractor operates and/or manufactures goods for the Authority, relating to anti-corruption and bribery.
- (b) "Authority", "Capital Metro", "Cap Metro", "CMTA" means Capital Metropolitan Transportation Authority.
- (c) "Authority Data" means all data, content and information (i) submitted by or on behalf of the Authority or its customers to the Contractor or loaded into the System, (ii) obtained, developed, produced or processed by the Contractor or by the Application or System in connection with the Contract, or (iii) to which the Contractor has access in connection with the Contract, and all derivative versions of such data, content and information, and any derivative versions thereof, in any form or format.
- (d) "Authority Electronic Property" means (i) any websites controlled by the Authority, (ii) any Authority mobile device apps, (iii) any application programming interfaces (API) to the Authority's information technology systems, (iv) any other kiosks, devices or properties for consumer interaction that are created, owned, or controlled by the Authority, and (v) versions and successors of the foregoing, any form or format now known or later developed, that may be used by customers obtaining products or services from the Authority.
- (e) "Change Order" means a written order to the Contractor signed by the Contracting Officer, issued after execution of the Contract, authorizing a change in the term or scope of the Contract.
- (f) "Contract" or "Contract Documents" means this written agreement between the parties comprised of all the documents listed in the Table of Contents, Change Orders and/or Contract Modifications that may be entered into by the parties.
- (g) "Contract Award Date" means the date of the Contract award notice, which may take the form of a purchase order, signed Contract or Notice of Award, issued by the Authority.
- (h) "Contract Modification" means any changes in the terms or provisions of the Contract which are reduced to writing and fully executed by both parties.
- (i) "Contract Sum" means the total compensation payable to the Contractor for performing the Services as originally contracted for or as subsequently adjusted by Contract Modification.
- (j) "Contract Term" means period of performance set forth in the paragraph entitled "Term" contained in Exhibit E.
- (k) "Contracting Officer" means a person with the authority to enter into, administer, and/or terminate contracts and make related determinations and finding on behalf of the Authority. The term includes certain authorized representatives of the Contracting Officer acting within the limits of their authority as delegated by the Contracting Officer.
- (l) "Contractor" means the entity that has assumed the legal obligation to perform the Services as identified in the Contract.
- (m) "Days" means calendar days. In computing any period of time established under this Contract, the day of the event from which the designated period of time begins to run shall not be included, but the last day shall be included

unless it is a Saturday, Sunday, or Federal or State of Texas holiday, in which event the period shall run to the end of the next business day.

- (n) "FAR" means the Federal Acquisition Regulations codified in 48 C.F.R. Title 48.
- (o) "FCPA" means the United States Foreign Corrupt Practices Act, 15 U.S.C. §§ 78dd-1, et seq., as amended.
- (p) "Force Majeure Event" means strikes, lockouts, or other industrial disputes; explosions, epidemics, civil disturbances, acts of domestic or foreign terrorism, wars within the continental United States, riots or insurrections; embargos, natural disasters, including but not limited to landslides, earthquakes, floods or washouts; interruptions by government or court orders; declarations of emergencies by applicable federal, state or local authorities; and present or future orders of any regulatory body having proper jurisdiction.
- (q) "FTA" means the Federal Transit Administration.
- (r) "Fully Burdened Hourly Labor Rate" means an hourly rate that includes all salary, overhead costs, general and administrative expenses, and profit.
- (s) "Intellectual Property Rights" means the worldwide legal rights or interests evidenced by or embodied in: (i) any idea, software, design, concept, personality right, method, process, technique, apparatus, invention, discovery, or improvement, including any patents, trade secrets, and know-how; (ii) any work of authorship, including any copyrights, moral rights or neighboring rights, and any derivative works thereto; (iii) any trademark, service mark, trade dress, trade name, or other indicia of source or origin; (iv) domain name registrations; and (v) any other proprietary or similar rights. The Intellectual Property Rights of a party include all worldwide legal rights or interests that the party may have acquired by assignment or license with the right to grant sublicenses.
- (t) "Manufacturing Materials" mean any completed or partially completed supplies and materials, parts, dies, jigs, fixtures, plans, drawings, information, and contract rights specifically produced or specially acquired by the Contractor for the performance of the Contract.
- (u) "Notice of Award" means formal notice of award of the Contract to the Contractor issued by the Contracting Officer.
- (v) "Notice to Proceed" means written authorization for the Contractor to start the Services.
- (w) "Project Manager" means the designated individual to act on behalf of the Authority, to monitor and certify the technical progress of the Contractor's Services under the terms of this Contract.
- (x) "Proposal" means the offer of the proposer, submitted on the prescribed form, stating prices for performing the work described in the Scope of Services.
- (y) "Services" means the services to be performed by the Contractor under this Contract, and includes services performed, workmanship, and supplies furnished or utilized in the performance of the Services.
- (z) "Subcontract" means the Contract between the Contractor and its Subcontractors.
- (aa) "Subcontractor" means subcontractors of any tier.
- (bb) "Works" means any tangible or intangible items or things that have been or will be specifically, generated, prepared, created, or developed by the Contractor (or such third parties as the Contractor may be permitted to engage) at any time following the effective date of the Contract, for the exclusive use of, and ownership by, Authority under the Contract, including but not limited to any (i) works of authorship (such as literary works, musical works, dramatic works, choreographic works, pictorial, graphic and sculptural works, motion pictures and other audiovisual works, sound recordings and architectural works, which includes but is not limited to manuals, instructions, printed material, graphics, artwork, images, illustrations, photographs, computer software, scripts, object code, source code or other programming code, HTML code, data, information, multimedia files, text web pages or web sites, other written or machine readable expression of such works fixed in any tangible media, and all other copyrightable works), (ii)

trademarks, service marks, trade dress, trade names, logos, or other indicia of source or origin, (iii) ideas, designs, concepts, personality rights, methods, processes, techniques, apparatuses, inventions, formulas, discoveries, or improvements, including any patents, trade secrets and know-how, (iv) domain names, (v) any copies, and similar or derivative works to any of the foregoing, and (vi) all documentation and materials related to any of the foregoing.

**2. INDEFINITE-QUANTITY, INDEFINITE-DELIVERY CONTRACT**

- a) This is a fixed price indefinite-quantity type, indefinite-delivery contract for the supplies or Services specified and stated elsewhere in the Contract. The quantities of supplies and Services specified are estimates only and are not purchased by this Contract.
- b) This indefinite-quantity, indefinite-delivery contract is subject to the following minimum/maximum paragraph:
  - (1) Minimum order. The Authority will order a minimum of \$1,000 in services under this Contract.
  - (2) Maximum order. The Authority will order a maximum not to exceed the total dollar amount of this Contract.
- c) There is no limit to the number of orders that may be placed under this Contract.
- d) The quantities provided by the Authority on the Schedule are estimates used as a basis for Contract Award and are, therefore, not hereby purchased under the Contract.

**3. TERM**

The term of the Contract shall be two years from the Contract notice to proceed. No Services shall be performed under this Contract prior to issuance of a Notice to Proceed.

**4. OPTION TO EXTEND CONTRACT TERM**

The Authority shall have the unilateral right and option to extend the Contract for up to two option periods for a twelve (12) month duration each at the option prices set forth in Exhibit A - Pricing Schedule and Exhibit A-1 – Pricing Matrix upon written notice to the Contractor.

**5. ADDITIONAL OPTION TO EXTEND CONTRACT PERFORMANCE**

If the options granted in Paragraph 4 have been exercised in their entirety, the Authority shall have the unilateral right and option to require continued performance of any services within the limits and rates specified in the Contract. This option may be exercised more than once, but the extension of performance hereunder shall not exceed a total of 6 months. The Authority may exercise the option by written notice to the Contractor.

**6. INVOICING AND PAYMENT**

(a) Invoices may be submitted once per month for work completed and accepted by the Authority and marked "Original" to:

Accounts Payable  
Capital Metropolitan Transportation Authority  
P.O. Box 6308  
Austin, Texas 78762-6308

Or via e-mail to: [ap\\_invoices@capmetro.org](mailto:ap_invoices@capmetro.org)

and shall conform to policies or regulations adopted from time to time by the Authority. Invoices shall be legible and shall contain, as a minimum, the following information:

- (1) the Contract and order number (if any);

- (2) a complete itemization of all costs including quantities ordered and delivery order numbers (if any);
- (3) any discounts offered to the Authority under the terms of the Contract;
- (4) evidence of the acceptance of the supplies or Services by the Authority; and
- (5) any other information necessary to demonstrate entitlement to payment under the terms of the Contract.

(b) All undisputed invoices shall be paid within the time period allowed by law through the Texas Prompt Payment Act, Tex. Gov't Code § 2251.021(b).

(c) The Contractor shall be responsible for all costs/expenses not otherwise specified in this Contract, including by way of example, all costs of equipment provided by the Contractor or Subcontractor(s), all fees, fines, licenses, bonds, or taxes required or imposed against the Contractor and Subcontractor(s), travel related expenses, and all other Contractor's costs of doing business.

(d) In the event an overpayment is made to the Contractor under this Contract or the Authority discovers that the Authority has paid any invoices or charges not authorized under this Contract, the Authority may offset the amount of such overpayment or unauthorized charges against any indebtedness owed by the Authority to the Contractor, whether arising under this Contract or otherwise, including withholding payment of an invoice, in whole or in part, or the Authority may deduct such amounts from future invoices. If an overpayment is made to the Contractor under this Contract which cannot be offset under this Contract, the Contractor shall remit the full overpayment amount to the Authority within thirty (30) calendar days of the date of the written notice of such overpayment or such other period as the Authority may agree. The Authority reserves the right to withhold payment of an invoice, in whole or in part, or deduct the overpayment from future invoices to recoup the overpayment.

**7. RESERVE**

**8. RESERVE**

**9. INSURANCE**

(a) The Contractor shall furnish proof of Capital Metro-stipulated insurance requirements specified below. All insurance policies shall be primary and non-contributing with any other valid and collectible insurance or self-insurance available to the Authority and shall contain a contract waiver of subrogation in favor of the Authority. The Contractor shall furnish to the Authority certificate(s) of insurance evidencing the required coverage and endorsement(s) and, upon request, a certified duplicate original of any of those policies. Prior to the expiration of a certificate of insurance, a new certificate of insurance shall be furnished to the Authority showing continued coverage. Each policy shall be endorsed to provide thirty (30) days written notice of cancellation or non-renewal to the Authority and the Authority shall be named as an Additional Insured under each policy except Professional Liability insurance if required by this Contract. All insurance policies shall be written by reputable insurance company or companies acceptable to the Authority with a current Best's Insurance Guide Rating of A+ and Class XIII or better. All insurance companies shall be authorized to transact business in the State of Texas. The Contractor shall notify the Authority in writing of any material alteration of such policies, including any change in the retroactive date in any "claims-made" policy or substantial reduction of aggregate limits, if such limits apply or cancellation thereof at least thirty (30) days prior thereto. The below requirements only represent the minimum coverage acceptable to the Authority and these requirements are not intended to represent the maximum risk or the maximum liability of the Contractor. The Contractor shall be responsible for setting its own insurance requirements, if any, for the kind and amounts of insurance to be carried by its Subcontractors in excess of the insurance required by the Authority.

The Contractor shall carry and pay the premiums for insurance of the types and in the amounts stated below.

**CAPITAL METRO MINIMUM COVERAGE REQUIREMENTS**



(1) **Comprehensive General Liability Insurance** Coverage with limits of not less than One Million Dollars and No/100 Dollars (\$1,000,000) with an aggregate of Two Million Dollars and No/100 Dollars (\$2,000,000) with coverage that includes:

- (i) Products and Completed Operations Liability
- (ii) Independent Contractors
- (iii) Personal Injury Liability extended to claims arising from employees of the Contractor and the Authority.
- (iv) Contractual Liability pertaining to the liabilities assumed in the agreement.

(2) **Automobile Liability Insurance** covering all owned, hired and non-owned automobiles used in connection with work with limits not less than One Million and No/100 Dollars (\$1,000,000) Combined Single Limit of Liability for Bodily Injury and Property Damage.

(3) **Workers' Compensation Insurance** Statutory Workers' Compensation coverage in the State of Texas. Employers Liability Insurance with minimum limits of liability of One Million Dollars and No/100 Dollars (\$1,000,000)

(4) **Technology Errors & Omissions Insurance:** Combined Technology & Omissions Policy with a minimum One Million and No/100 Dollars (\$1,000,000) claim limit, including (a) Professional Liability Insurance covering negligent acts, errors and omissions arising from the Contractor's work to pay damages for which the Contractor may become legally obligated (such coverage to be maintained for at least two (2) years after termination of this contract, which obligation shall expressly survive termination of this contract; and (b) Privacy, Security and Media Liability Insurance providing liability for unauthorized access or disclosure, security breaches or system attacks, as well as infringement of copyright and trademark that might result from this contract.

(5) All policies shall include **Terrorism Coverage**.

(b) The limits of liability as required above may be provided by a single policy of insurance or by a combination of primary, excess or umbrella policies but in no event shall the total limits of liability available for any one occurrence or accident be less than the amount required above.

(c) The Contractor, and all of its insurers shall, in regard to the above stated insurance, agree to waive all rights of recovery or subrogation against the Authority, its directors, officers, employees, agents, successors and assigns, and the Authority's insurance companies arising out of any claims for injury(ies) or damages resulting from the Services performed by or on behalf of the Contractor under this Contract and/or use of any Authority premises or equipment under this Contract.

(d) Each insurance policy shall contain the following endorsements: PRIMARY AND NON-CONTRIBUTORY INSURANCE and WAIVER OF TRANSFER OF RIGHTS OF RECOVERY AGAINST OTHERS, which shall be evidenced on the Certificate of Insurance. The General Liability insurance shall include contractual endorsement(s) which acknowledge all indemnification requirements under the Agreement. All required endorsements shall be evidenced on the Certificate of Insurance, which shall be evidenced on the Certificate of Insurance. Proof that insurance coverage exists shall be furnished to the Authority by way of a Certificate of Insurance before any part of the Contract work is started.

(e) If any insurance coverage required to be provided by the Contractor is canceled, terminated, or modified so that the required insurance coverages are no longer in full force and effect, the Authority may terminate this Contract or obtain insurance coverages equal to the required coverage, the full cost of which will be the responsibility of the Contractor and shall be deducted from any payment due the Contractor.

(f) If any part of the Contract is sublet, the Contractor shall be liable for its Subcontractor's insurance coverages of the types and in the amounts stated above, and shall furnish the Authority with copies of such Certificates of Insurance. No delay in the Services caused by the Contractor's enforcement of its Subcontractor's insurance requirements shall be excusable delay in the Contract. In the event a Subcontractor is unable to furnish insurance in the

limits required under the Contract, the Contractor shall endorse the Subcontractor as an ADDITIONAL INSURED on the Contractor's policies.

(g) All insurance required to be maintained or provided by the Contractor shall be with companies and through policies approved by The Authority. The Authority reserves the right to inspect in person, prior to the commencement of the Services, all of the Contractor's insurance policy required under this Contract.

(h) The Contractor must furnish proof of the required insurance within five (5) days of the award of the Contract. Certificate of Insurance must indicate the Contract number and description. The insurance certificate should be furnished to the attention of the Contracting Officer.

(i) The Contractor and its lower tier Subcontractors are required to cooperate with the Authority and report all potential claims (workers' compensation, general liability and automobile liability) pertaining to this Contract to the Authority's Risk Management Department at (512) 389-7549 within two (2) days of the incident.

#### **10. PERFORMANCE OF SERVICES BY THE CONTRACTOR**

Except as otherwise provided herein, the Contractor shall perform no less than thirty percent (30%) of the Services with its own organization. If, during the progress of Services hereunder, the Contractor requests a reduction in such performance percentage and the Authority determines that it would be to the Authority's advantage, the percentage of the Services required to be performed by the Contractor may be reduced; provided, written approval of such reduction is obtained by the Contractor from the Authority.

#### **11. REMOVAL OF ASSIGNED PERSONNEL**

The Authority may require, in writing, that the Contractor remove from the Services any employee or Subcontractor of the Contractor that the Authority deems inappropriate for the assignment.

#### **12. REPRESENTATIONS AND WARRANTIES**

The Contractor represents and warrants to the Authority, that the Services shall be performed in conformity with the descriptions and other data set forth in this Contract and with sound professional principles and practices in accordance with accepted industry standards, and that work performed by the Contractor's personnel shall reflect sound professional knowledge, skill and judgment. If any breach of the representations and warranties is discovered by the Authority during the process of the work or within one (1) year after acceptance of the work by the Authority, the Contractor shall again cause the nonconforming or inadequate work to be properly performed at the Contractor's sole expense and shall reimburse for costs directly incurred by the Authority as a result of reliance by the Authority on services failing to comply with the representations and warranties.

#### **13. INDEPENDENT CONTRACTOR**

The Contractor's relationship to the Authority in the performance of this Contract is that of an independent contractor. The personnel performing Services under this Contract shall at all times be under the Contractor's exclusive direction and control and shall be employees of the Contractor and not employees of the Authority. The Contractor shall be fully liable for all acts and omissions of its employees, Subcontractors, and their suppliers and shall be specifically responsible for sufficient supervision and inspection to assure compliance in every respect with Contract requirements. There shall be no contractual relationship between any Subcontractor or supplier of the Contractor and the Authority by virtue of this Contract. The Contractor shall pay wages, salaries and other amounts due its employees in connection with this Agreement and shall be responsible for all reports and obligations respecting them, such as Social Security, income tax withholding, unemployment compensation, workers' compensation and similar matters.

#### **14. COMPOSITION OF CONTRACTOR**

If the Contractor hereunder is comprised of more than one legal entity, each such entity shall be jointly and severally liable hereunder.

**15. SUBCONTRACTORS AND OUTSIDE CONSULTANTS**

Any Subcontractors and outside associates or consultants required by the Contractor in connection with the Services covered by the Contract will be limited to such individuals or firms as were specifically identified and agreed to by the Authority in connection with the award of this Contract. Any substitution in such Subcontractors, associates, or consultants will be subject to the prior approval of the Authority.

**16. EQUITABLE ADJUSTMENTS**

(a) Any requests for equitable adjustments under any provision shall be governed by the following provisions:

(1) Upon written request, the Contractor shall submit a proposal, in accordance with the requirements and limitations set forth in this paragraph, for Services involving contemplated changes covered by the request. The proposal shall be submitted within the time limit indicated in the request for any extension of such time limit as may be subsequently granted. The Contractor's written statement of the monetary extent of a claim for equitable adjustment shall be submitted in the following form:

(i) Proposals totaling \$5,000 or less shall be submitted in the form of a lump sum proposal with supporting information to clearly relate elements of cost with specific items of Services involved to the satisfaction of the Contracting Officer, or his/her authorized representative.

(ii) For proposals in excess of \$5,000, the claim for equitable adjustment shall be submitted in the form of a lump sum proposal supported with an itemized breakdown of all increases and decreases in the Contract.

(b) No proposal by the Contractor for an equitable adjustment shall be allowed if asserted after final payment under this Contract.

**17. CONTRACTOR AND SUBCONTRACTOR ANNUAL AUDITED FINANCIAL STATEMENTS AND ABILITY TO PERFORM**

The Contractor must provide evidence of its financial resources and its ability to perform the services for which Contractor is submitting a response. This includes information Contractor or believes is pertinent that demonstrates its financial capability, financial solvency, and capability to fulfill the requirements of this contract.

The Contractor shall provide to the Authority a copy of Contractors' and Subcontractors' latest audited financial statements, which may include Contractor's balance sheet, statements of income, retained earnings, cash flows, and the notes to the financial statements, as well as Contractor's most current 10-K, if applicable, throughout the term of the Contract. The audited financial statements shall be provided annually. The financial statements shall be provided to the Authority within ninety (90) calendar days from the end of Contractor's fiscal period. For instance, if Contractor's fiscal period ends each December 31st, then the financial statements shall be provided to the Authority no later than March 31st of the following year. The Authority, at its' discretion, may accept unaudited financial reports.

**18. PERSONNEL ASSIGNMENTS**

(a) The Contractor shall perform the Services in an orderly and workmanlike manner, and shall utilize persons skilled and qualified for the performance of the Services. The Authority will have the right to review the experience of each person assigned to perform the Services and approve personnel assignments, including those to be performed by Subcontractors,

(b) The Contractor certifies that the Contractor, and each Subcontractor, have established a criminal history background policy that complies with guidance issued by the U.S. Equal Employment Opportunity Commission and that the Contractor and each Subcontractor conducts criminal history checks on its assigned personnel in accordance with such policy to identify, hire and assign personnel to work on this Contract whose criminal backgrounds are appropriate for the Services being performed, considering the risk and liability to the Contractor and the Authority. The Authority reserves the right to require the Contractor and any Subcontractor to disclose any criminal or military criminal convictions of assigned personnel and the right to disapprove the use of assigned personnel with criminal or military convictions.

(c) At the commencement of the Contract, the Contractor shall provide a list of candidates to be used to provide the Services and shall certify that a criminal history background check has been completed on each candidate within the preceding 6-month period. Thereafter during the Term, the Contractor shall submit quarterly report containing a list of all persons (including Subcontractors) assigned to perform Services under the Contract and a certification that each named person has undergone a criminal background check as required by this Contract. The Authority shall have the right to audit the Contractor's records for compliance with the provisions of this Section. Criminal background checks shall include the following:

(1) **State Criminal History:** The Contractor shall research criminal history, including driving records (where applicable), covering all jurisdictions within the state, including local counties and municipalities.

(2) **Out of State Criminal History:** The Contractor shall research criminal history, including state driving records (where applicable), for all 50 states.

(3) **National Sex Offender Registry**

(4) **Military Discharge:** For any candidates that have served in the military, the Contractor shall review the DD Form 214 "Certificate of Release or Discharge from Active Duty" (Long Form).

\*Matters identified on the Long Form as military discipline will be considered in accordance with the corresponding crime listed below with respect to classification, severity and time elapsed.

The Contractor shall disclose to the Authority the type of arrests with pending dispositions and convictions for crimes according to the classification of offense and the timetable below:

| <b>Offense Type</b>  | <b>Action Required</b>  |
|--|---|
| <b>Crimes Against the Person (other than sex crimes)</b>   |   |
| Felony   | Submit to Capital Metro for review if less than 10 years from date of <b>release from confinement</b>   |
| Class A or B Misdemeanor   | Submit to Capital Metro for review if less than 7 years from date of <b>conviction</b>  |
| Class C Misdemeanor  | Submit to Capital Metro for review if less than 5 years from date of <b>conviction</b>  |
| <b>Crimes Against the Person - Sex Crimes/Registered Sex Offenders</b>   |   |
| ALL  | Submit to Capital Metro for review  |
| <b>Crimes Against Property</b>   |   |
| Felony   | Submit to Capital Metro for review if less than 10 years from date of <b>release from confinement</b>   |
| <b>Moral Crimes, including, but not limited to: Drug Crimes, Prostitution, Bigamy, Illegal Gambling, Child Pornography</b> |   |
| Felony   | Submit to Capital Metro for review if less than 10 years from date of <b>release from confinement</b>   |
| Class A or B Misdemeanor   | Submit to Capital Metro for review if less than 7 years from date of <b>conviction</b>  |
| Class C Misdemeanor  | Submit to Capital Metro for review if less than 5 years from date of <b>conviction</b>  |
| <b>Driving Offenses</b>  |   |
| Class A or B Misdemeanor, DWI/DUI or other "serious driving offense"   | Disqualified if less than 7 years from date of conviction or deferred adjudication. Submit to Capital Metro for review if between 7-10 years since conviction or deferred adjudication or more than 2 convictions in a lifetime |

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

|                                       |  |
|---------------------------------------|--|
| Class C Misdemeanor Moving Violations | Disqualified from driving if more than 2 moving violations in the past 5 years (Any more than one driving safety course taken for a moving violation that appears on a five (5) year record will be treated as a moving violation and will count against the employee) |
|---------------------------------------|--|

The Contractor may not assign an employee to provide Services if the employee has any conviction in the applicable categories listed above, unless an exception is granted by the Authority in accordance with subparagraph (d).

(d) The Contractor may request the Authority perform an individual assessment of a candidate with a criminal conviction meeting one of the above categories. In conducting an individual assessment, the Authority's review will include, but not be limited to, the following factors:

- (1) The nature and gravity of the offense or conduct;
- (2) The degree of harm caused by the offense or conduct;
- (3) The time that has elapsed since the conviction or completion of probation or jail time;
- (4) The nature of the job sought, including the job duties, environment, and level of supervision;
- (5) Any incorrect criminal history;
- (6) Wrongful identification of the person;
- (7) The facts and circumstances surrounding the offense or conduct;
- (8) The number of offenses for which the candidate was convicted;
- (9) The subsequent conviction for another relevant offense;
- (10) The age of the person at the time of conviction or completion of probation or jail time;
- (11) Evidence that the person performed the same type of work, post-conviction, with the same or different employer, with no known incidents of criminal conduct;
- (12) The length and consistency of employment history before and after the conviction in a similar field as the current position sought;
- (13) Rehabilitation efforts, e.g., education, treatment, training;
- (14) Employment or character references and any other information regarding fitness for the particular position;
- (15) Whether the person is bonded or licensed under any federal, state or local program or any licensing authority;
- (16) The person's statement of the circumstances surrounding the offense and conviction and relevant factors is consistent with publicly available record related to the crime and conviction; and
- (17) Any other factors deemed relevant in the consideration of a particular assessment.

At the time a request is made for an individual assessment, the Contractor must include the following documentation:

- the candidate's application/resume;
- a copy of the criminal conviction history, including those tried in a military tribunal;

- available court information related to the conviction;
- any publicly available information related to the offense and conviction;
- a statement from the candidate addressing any/all factors set forth above and explaining why the person is qualified for the assignment notwithstanding the conviction; and
- a statement from the candidate explaining why the person is an acceptable risk for the work to be performed by the candidate.

The Authority will provide a written decision to the Contractor within five (5) working days of receipt of all required documentation from the Contractor.

- (e) The Contractor will conduct new criminal history background checks on all assigned personnel every two (2) years during the Contract to ensure the preceding criterion are still met by the assigned personnel and notify the Authority if an employee has a subsequent arrest with pending disposition or conviction (or change in driving record, as applicable) that requires further review by the Authority using the criterion set forth above. The Authority reserves the right to request that the assigned individual be removed from performing work under this Contract.

**19. BADGES AND ACCESS CONTROL DEVICES**

(a) The Contractor and each of the Contractor's employees, as well as each Subcontractor of any tier and any workers working on behalf of Subcontractor, shall be required to wear a Capital Metro Contractor Photo Identification Badge ("badge") at all times while on the Authority's premises. The badge will be provided by Capital Metro. If any badge holder loses or misplaces his or her badge, the Contractor shall immediately notify the Project Manager upon discovery. The Contractor will be charged a \$50.00 replacement fee for each lost or misplaced badge, which fee shall be deducted any amounts due and owing to the Contractor or if the Contract is terminated upon demand by the Authority. The Contractor shall return all badges provided when any badge holder is no longer working on the Contract, and all badges shall be returned upon completion of the Contract. In the event the Contractor fails to do so, the Contractor will pay a \$50.00 per badge fee deducted from any amounts due and owing to the Contractor or if the Contract is terminated upon demand by the Authority. All badges should be returned to the Project Manager. All requests for new and replacement badges must be submitted in writing to the Project Manager. The misuse of a badge may result in termination of the Contract.

(b) Access Control Devices will be issued to employees of the Contractor and to each Subcontractor of any tier and any worker working on behalf of Subcontractor as necessary to perform the Contract. Access Control Devices are not transferable between the Contractor employees or workers working on behalf of the Subcontractor. The Contractor employees and workers on behalf of the Subcontractor are prohibited from loaning Access Control Devices or providing access to an unauthorized person into restricted areas without prior arrangements with the Project Manager. All requests for new and replacement Access Control Devices must be submitted in writing to the Project Manager. Lost Access Control Devices must be reported to the Project Manager immediately upon discovery. All Access Control Devices should be returned to the Project Manager. The misuse of an Access Control Device(s) may result in termination of the Contract. The Contractor shall return all Access Control Devices once an assigned employee or worker is no longer working on the Contract or upon termination of the Contract. In the event the Contractor fails to do so, then the Contractor shall be responsible for the replacement cost of an Access Control Device which shall be deducted from any amounts due and owing to the Contractor or payable on demand if the Contract has terminated. The replacement cost will be calculated at current market value to include labor and materials.

(c) The provisions of this paragraph survive termination of the Contract.

**20. CHANGES**

(a) The Authority may, at any time, by written order, make changes within the general scope of the Contract in the Services to be performed. If such changes cause an increase or decrease in the Contractor's cost of, or time required for, performance of any Services under this Contract, whether or not changed by any order, an equitable adjustment shall be made and the Contract shall be modified in writing accordingly. Any claim of the Contractor for adjustment under this paragraph must be asserted in writing within thirty (30) days from the date of receipt by the Contractor of

the notification of change unless the Contracting Officer grants a further period of time before the date of final payment under the Contract.

(b) No Services for which an additional cost or fee will be charged by the Contractor shall be furnished without the prior written authorization of the Authority.

(c) Any other written order (which, as used in this paragraph (c), includes direction, instruction, interpretation, or determination) from the Contracting Officer that causes a change in the Contractor's obligations shall be treated as a Change Order under this paragraph; provided that the Contractor gives the Contracting Officer written notice stating (1) the date, circumstances, and source of the order and (2) that the Contractor regards the order as a Change Order.

(d) Except as provided in this paragraph, no order, statement, or conduct of the Contracting Officer shall be treated as a change under this paragraph or entitle the Contractor to an equitable adjustment.

(e) If any change under this paragraph causes an increase or decrease in the Contractor's cost of, or the time required for, the performance of any part of the Services under this Contract, whether or not changed by any such order, the Contracting Officer may make an equitable adjustment and modify the Contract in writing in accordance with the provisions in paragraph entitled "Equitable Adjustments" contained in Exhibit E.

## **21. TERMINATION FOR DEFAULT**

(a) The Authority may, subject to the provisions of subparagraph (c) below, by written notice of default to the Contractor, terminate the whole or any part of this Contract in either one of the following circumstances:

(1) if the Contractor fails to perform the Services within the time specified herein or any extension thereof;  
or

(2) if the Contractor fails to perform any of the other provisions of this Contract and does not cure such failure within a period of ten (10) days (or such longer period as the Authority may authorize in writing) after receipt of notice from the Authority specifying such failure.

(b) In the event the Authority terminates this Contract in whole or in part as provided in subparagraph (a) of this paragraph, the Authority may procure, upon such terms and in such manner as the Authority may deem appropriate, supplies or services similar to those so terminated, and the Contractor shall be liable to the Authority for any excess costs for such similar supplies or services; provided, that the Contractor shall continue the performance of this Contract to the extent, if any, it has not been terminated under the provisions of this subparagraph.

(c) Except with respect to the defaults of Subcontractors, the Contractor shall not be liable for any excess costs if the failure to perform the Contract arises out of causes beyond the control and without the fault or negligence of the Contractor. Such causes may include, but are not restricted to Force Majeure Events; provided, however, in every case the failure to must be beyond the control and without the fault or negligence of the Contractor. If the failure to perform is caused by the default of a Subcontractor and if such default arises out of causes beyond the control of both the Contractor and Subcontractor and without the fault or negligence of either of them, the Contractor shall not be liable for any excess costs for failure to perform, unless the supplies or Services to be furnished by the Subcontractor were obtainable from other sources in sufficient time to permit the Contractor to meet the required delivery schedule.

(d) If this Contract is terminated as provided in subparagraph (a), the Authority, in addition to any other rights provided in this subparagraph, may require the Contractor to transfer title and deliver to the Authority in the manner and to the extent directed by the Authority any Manufacturing Materials as the Contractor has specifically produced or specifically acquired for the performance of such part of this Contract as has been terminated; and the Contractor shall, upon direction of the Authority, protect and preserve property in possession of the Contractor in which the Authority has an interest. Payment for completed Manufacturing Materials delivered to and accepted by the Authority shall be at the Contract price. The Authority may withhold from amounts otherwise due the Contractor for such completed Manufacturing Materials such sum as the Authority determines to be necessary to protect the Authority against loss because of outstanding liens or claims of former lien holders.

(e) If, after notice of termination of this Contract under the provisions of this paragraph, it is determined by the Authority that the Contractor was not in default or that the default was excusable under the provisions of this paragraph, the rights and obligations of the parties shall be those provided in the paragraph entitled "Termination for Convenience" contained in this Exhibit E.

(f) The rights and remedies of the Authority provided in this paragraph shall not be exclusive and are in addition to any other rights and remedies provided by law or under this Contract.

**22. TERMINATION FOR CONVENIENCE**

(a) The Authority may, whenever the interests of the Authority so require, terminate this Contract, in whole or in part, for the convenience of the Authority. The Authority shall give written notice of the termination to the Contractor specifying the part of the Contract terminated and when termination becomes effective.

(b) The Contractor shall incur no further obligations in connection with the terminated orders, and, on the date set forth in the notice of termination, the Contractor will stop providing Services to the extent specified. The Contractor also shall terminate outstanding orders and subcontracts as they relate to the terminated order. The Contractor shall settle the liabilities and claims arising out of the termination of subcontracts and orders connected with the terminated orders. The Authority may direct the Contractor to assign the Contractor's right, title, and interest under terminated orders or Subcontracts to the Authority. The Contractor must still complete any orders not terminated by the notice of termination and may incur such obligations as are necessary to do so.

(c) The Authority may require the Contractor to transfer title and deliver to the Authority in the manner and to the extent directed by the Authority: (1) any completed supplies; and (2) such partially completed supplies and materials, parts, tools, dies, jigs, fixtures, plans, drawings, information and contract rights (hereinafter called "Manufacturing Materials") as the Contractor has specifically produced or specially acquired for the performance of the terminated part of this Contract. The Contractor shall, upon direction of the Authority, protect and preserve property in the possession of the Contractor in which the Authority has an interest. If the Authority does not exercise this right, the Contractor shall use its best efforts to sell such supplies and Manufacturing Materials.

(d) The Authority shall pay the Contractor the following amounts:

(1) Contract prices for supplies accepted under the Contract;

(2) costs incurred in preparing to perform and performing the terminated portion of the Services plus a fair and reasonable profit on such portion of the Services (such profit shall not include anticipatory profit or consequential damages), less amounts paid or to be paid for accepted supplies; provided, however, that if it appears that the Contractor would have sustained a loss if the entire Contract would have been completed, no profit shall be allowed or included, and the amount of compensation shall be reduced to reflect the anticipated rate of loss;

(3) costs of settling and paying claims arising out of the termination of subcontracts (these costs must not include costs paid in accordance with subparagraph (2) of this paragraph); and

(4) the reasonable settlement costs of the Contractor and other expenses reasonably necessary for the preparation of settlement claims and supporting data with respect to the terminated portion of the Contract and for the termination and settlement of subcontracts thereunder, together with reasonable storage, transportation, and other costs incurred in connection with the protection or disposition of property allocable to the terminated portion of this Contract.

(5) The total sum to be paid the Contractor under this paragraph shall not exceed the total Contract Sum plus the reasonable settlement costs of the Contractor reduced by the amount of payments otherwise made, the proceeds of any sales of supplies and Manufacturing Materials under this paragraph, and the contract price of orders not terminated.



**23. CONTRACTOR CERTIFICATION**

The Contractor certifies that the fees in this Contract have been arrived at independently without consultation, communication, or agreement for the purpose of restricting competition, as to any matter relating to such fees with any other firm or with any competitor.

**24. INTELLECTUAL PROPERTY; DATA PRIVACY PROVISIONS**

(a) As between the Contractor and the Authority, the Works and Intellectual Property Rights therein are and shall be owned exclusively by Capital Metro, and not the Contractor. The Contractor specifically agrees that all Works shall be considered “works made for hire” and that the Works shall, upon creation, be owned exclusively by the Authority. To the extent that the Works, under applicable law, may not be considered works made for hire, the Contractor hereby agrees that this Contract effectively transfers, grants, conveys, assigns, and relinquishes exclusively to the Authority all right, title and interest in and to all worldwide ownership rights in the Works, and all Intellectual Property Rights in the Works, without the necessity of any further consideration, and the Authority shall be entitled to obtain and hold in its own name all Intellectual Property Rights in and to the Works.

(b) The Contractor, upon request and without further consideration, shall perform any acts that may be deemed necessary or desirable by the Authority to evidence more fully the transfer of ownership of all Works to the Authority to the fullest extent possible, including but not limited to the execution, acknowledgement and delivery of such further documents in a form determined by the Authority. In the event the Authority shall be unable for any reason to obtain the Contractor’s signature on any document necessary for any purpose set forth in the foregoing sentence, the Contractor hereby irrevocably designates and appoints the Authority and its duly authorized officers and agents as the Contractor’s agent and the Contractor’s attorney-in-fact to act for and in the Contractor’s behalf and stead to execute and file any such document and to do all other lawfully permitted acts to further any such purpose with the same force and effect as if executed and delivered by the Contractor.

(c) To the extent that any pre-existing rights and/or third-party rights or limitations are embodied, contained, reserved or reflected in the Works, the Contractor shall either:

(1) grant to the Authority the irrevocable, perpetual, non-exclusive, worldwide, royalty-free right and license to:

(i) use, execute, reproduce, display, perform, distribute copies of, and prepare derivative works based upon such pre-existing rights and any derivative works thereof in connection with the sale, offering for sale, marketing, advertising, and promotion of the Authority’s goods and services, and in all forms of media, media channels and/or publicity that may now exist or hereafter be created or developed, including but not limited to television, radio, print, Internet, and social media (e.g., Facebook, Twitter, YouTube, etc.) and

(ii) authorize others to do any or all of the foregoing, or

(2) where the obtaining of worldwide rights is not reasonably practical or feasible, provide written notice to the Authority of such pre-existing or third party rights or limitations, request the Authority’s approval of such pre-existing or third party rights, obtain a limited right and license to use such pre-existing or third-party rights on such terms as may be reasonably negotiated, and obtain the Authority’s written approval of such pre-existing or third-party rights and the limited use of same. The Contractor shall provide the Authority with documentation indicating a third party’s written approval for the Contractor to use any pre-existing or third-party rights that may be embodied, contained, reserved or reflected in the Works. The Contractor shall indemnify, defend and hold the Authority harmless from and against any and all claims, demands, regulatory proceedings and/or causes of action, and all losses, damages, and costs (including attorneys’ fees and settlement costs) arising from or relating to, directly or indirectly, any claim or assertion by any third party that the Works infringe any third-party rights. The foregoing indemnity obligation shall not apply to instances in which the Authority either:

(i) exceeded the scope of the limited license that was previously obtained by the Contractor and agreed to by the Authority, or

(ii) obtained information or materials, independent of the Contractor's involvement or creation, and provided such information or materials to the Contractor for inclusion in the Works, and such information or materials were included by the Contractor, in an unaltered and unmodified fashion, in the Works.

(d) The Contractor hereby warrants and represents to the Authority that individuals or characters appearing or depicted in any advertisement, marketing, promotion, publicity or media, of any type or form that may now exist or hereafter be created or developed by or on behalf of the Contractor for the use by or benefit of the Authority, have provided their written consent for the use, reproduction, display, performance, and distribution of, and/or preparation of derivative works to, their persona or personality rights, including name, biographical information, picture, portrait, likeness, performance, voice and/or identity ("Personality Rights"), and have been compensated for such Personality Rights, if appropriate. If such permission has been obtained for a limited time, the Contractor shall be responsible for any costs associated with claims resulting from such use, etc., of the Personality Rights after the expiration of those time limits. The Contractor agrees to defend, indemnify and hold the Authority harmless from any claims, including but not limited to claims for invasion of privacy, infringement of the right of publicity, libel, unfair competition, false advertising, intentional or negligent infliction of emotional distress, copyright or trademark infringement, and/or claims for attorney's fees, resulting from such use, etc., of the Personality Rights.

(e) The Contractor hereby irrevocably and forever waives, and agrees never to assert, any Moral Rights in or to the Works which the Contractor may now have or which may accrue to the Contractor's benefit under U.S. or foreign copyright laws and any and all other residual rights and benefits which arise under any other applicable law now in force or hereafter enacted. The term "Moral Rights" shall mean any and all rights of paternity or integrity of the Works and the right to object to any modification, translation or use of the Works, and any similar rights existing under the judicial or statutory law of any country in the world or under any treaty, regardless of whether or not such right is denominated or referred to as a Moral Right.

(f) The Contract is intended to protect the Authority's proprietary rights pertaining to the Works, and the Intellectual Property Rights therein, and any misuse of such rights would cause substantial and irreparable harm to the Authority's business. Therefore, the Contractor acknowledges and stipulates that a court of competent jurisdiction should immediately enjoin any material breach of the intellectual property and confidentiality provisions of this Contract, upon a request by the Authority, without requiring proof of irreparable injury as same should be presumed.

(g) Upon the request of the Authority, but in any event upon termination of this Contract, the Contractor shall surrender to the Authority all documents and things pertaining to the Works, including but not limited to drafts, memoranda, notes, records, drawings, manuals, computer software, reports, data, and all other documents or materials (and copies of same) generated or developed by the Contractor or furnished by the Authority to the Contractor, including all materials embodying the Works, any Authority confidential information, or Intellectual Property Rights, regardless of whether complete or incomplete. This paragraph is intended to apply to all Works made or compiled by the Contractor, as well as to all documents and things furnished to the Contractor by the Authority or by anyone else that pertains to the Works.

(h) The Contractor and its subcontractors and their respective employees and personnel may have access to the Authority Data (including without limitation, personally identifiable information ("PII")) in connection with the performance of the Contract. PII shall be any information that identifies or describes a person or can be directly linked to a specific individual, including ridership and usage data. Examples of PII include, but are not limited to, name, address, phone or fax number, signature, date of birth, e-mail address, method of payment, ridership and travel pattern data. Customer Personally Identifiable Information, or Customer PII, means any PII relating to the Authority's customers. To the extent any Authority Data (including PII) is made available to the Contractor under the Contract, the Contractor shall take reasonable steps to maintain the confidentiality, security, safety, and integrity of all PII and other Authority Data in accordance with the Authority's Proprietary Rights and Data Security Addendum, which will be attached as an addendum to the Contract, as applicable.

(i) The Contractor and its subcontractors, employees and consultants may require access to the Authority Electronic Property and related Authority Data in connection with the performance of services under the Contract. In such event, the Contractor agrees that it will, and it will cause its subcontractors and any of their respective employees and personnel to, execute the Authority's Access and Use Agreement, which will be attached as an addendum to the Contract, as applicable.

- (j) This Section 23 will survive termination or expiration of this Agreement for any reason.

## **25. STANDARDS OF PERFORMANCE**

The Contractor shall perform the Services hereunder in compliance with all applicable federal, state, and local laws and regulations. The Contractor shall use only licensed personnel to perform Services required by law to be performed by such personnel.

## **26. INSPECTIONS AND APPROVALS**

(a) All Services performed by the Contractor or its Subcontractors or consultants shall be subject to the inspection and approval of the Authority at all times, but such approval shall not relieve the Contractor of responsibility for the proper performance of the Services. The Contractor shall provide sufficient, safe, and proper facilities at all times for such inspection of the Services and shall furnish all information concerning the Services and give the Authority or its representatives free access at all reasonable times to the facilities where the Services are performed.

(b) The Contractor shall provide and maintain an inspection system acceptable to the Authority covering the Services under this Contract. Complete records of all inspection work performed by the Contractor shall be maintained and made available to the Authority during Contract performance and for as long afterwards and the Contract requires.

(c) The Authority has the right to inspect and test all Services called for by this Contract, to the extent practicable, at all times and places during the term of the Contract. The Authority shall perform inspections and tests in a manner that will not unduly delay the Services.

(d) If any of the Services do not conform with Contract requirements, the Authority may require the Contractor to perform the Services again in conformity with the Contract requirements, at no increase in the Contract Sum. When the defects in services cannot be corrected by performance, the Authority may (1) require the Contractor to take necessary action to ensure that future performance conforms to Contract requirements and (2) reduce the Contract Sum to reflect the reduced value of the Services performed.

(e) If the Contractor fails promptly to perform the Services again or to take the necessary action to ensure future performance in conformity with Contract requirements, the Authority may (1) by contract or otherwise, perform the Services and charge to the Contractor any cost incurred by the Authority that is directly related to the performance of such service or (2) terminate the Contract for default.

## **27. SUSPENSION OF SERVICES**

(a) The Authority may order the Contractor in writing to suspend all or any part of the Services for such period of time as the Authority determines to be appropriate for the convenience of the Authority.

(b) If the performance of all or any part of the Services is, for an unreasonable period of time, suspended or delayed by an act of the Authority in the administration of this Contract, or by the Authority's failure to act within the time specified in this Contract (or, if no time is specified, within a reasonable time), an adjustment shall be made for any increase in cost of performance of this Contract (excluding profit) necessarily caused by such unreasonable suspension or delay, and the Contract modified in writing accordingly. However, no adjustment shall be made under this paragraph for any suspension or delay to the extent (1) that performance would have been suspended or delayed by any other cause, including the fault or negligence of the Contractor, or (2) for which an equitable adjustment is provided for or excluded under any other provision of this Contract.

(c) No claim under this paragraph shall be allowed (1) for any costs incurred more than twenty (20) days before the Contractor shall have notified the Authority in writing of the act or failure to act involved (but this requirement shall not apply to a claim resulting from a suspension order), and (2) unless the claim, in an amount stated, is asserted in writing as soon as practicable after the termination of such suspension or delay, but not later than the date of final payment. No part of any claim based on the provisions of this subparagraph shall be allowed if not supported by adequate evidence showing that the cost would not have been incurred but for a delay within the provisions of this paragraph.

**28. PAYMENT TO SUBCONTRACTORS**

(a) Payments by contractors to subcontractors associated with Authority contracts are subject to the time periods established in the Texas Prompt Payment Act, Tex. Gov't Code § 2251.

(b) A false certification to the Authority under the provisions of the paragraph entitled "Invoicing and Payment" hereof may be a criminal offense in violation of Tex. Penal Code § 10.

**29. FEDERAL, STATE AND LOCAL TAXES**

The Contract Sum includes all applicable federal, state, and local taxes and duties. The Authority is exempt from taxes imposed by the State of Texas and local sales and use taxes under Texas Tax Code § 151.309, and any such taxes included on any invoice received by the Authority shall be deducted from the amount of the invoice for purposes of payment. The Contractor may claim exemption from payment of applicable State taxes by complying with such procedures as may be prescribed by the State Comptroller of Public Accounts. The Contractor bears sole and total responsibility for obtaining information pertaining to such exemption.

**30. EQUAL OPPORTUNITY**

During the performance of this Contract, the Contractor agrees that it will, in good faith, afford equal opportunity required by applicable federal, state, or local law to all employees and applicants for employment without regard to race, color, religion, sex, national origin, disability or any other characteristic protected by federal, state or local law.

**31. CONFLICT OF INTEREST**

(a) Reference is made to Exhibit B, Representations and Certifications, Code of Ethics, which is incorporated herein and made a part of this Contract. Capitalized terms used in this paragraph and not otherwise defined shall have the meanings as described to them in the Code of Ethics.

(b) The Contractor represents that no Employee has a Substantial Interest in the Contractor or this Contract, which Substantial Interest would create or give rise to a Conflict of Interest. The Contractor further represents that no person who has a Substantial Interest in the Contractor and is or has been employed by the Authority for a period of two (2) years prior to the date of this Contract has or will (1) participate, for the Contractor, in a recommendation, bid, proposal or solicitation on any Authority contract, procurement or personnel administration matter, or (2) receive any pecuniary benefit from the award of this Contract through an ownership of a Substantial Interest (as that term is defined in Paragraph II, subparagraphs (1) and (3) of the Code of Ethics) in a business entity or real property.

(c) The Contractor agrees to ensure that the Code of Ethics is not violated as a result of the Contractor's activities in connection with this Contract. The Contractor agrees to immediately inform the Authority if it becomes aware of the existence of any such Substantial Interest or Conflict of Interest, or the existence of any violation of the Code of Ethics arising out of or in connection with this Contract.

(d) The Authority may, in its sole discretion, require the Contractor to cause an immediate divestiture of such Substantial Interest or elimination of such Conflict of Interest, and failure of the Contractor to so comply shall render this Contract voidable by the Authority. Any willful violation of these provisions, creation of a Substantial Interest or existence of a Conflict of Interest with the express or implied knowledge of the Contractor shall render this Contract voidable by the Authority.

(e) In accordance with paragraph 176.006, Texas Local Government Code, "vendor" is required to file a conflict of interest questionnaire within seven business days of becoming aware of a conflict of interest under Texas law. The conflict of interest questionnaire can be obtained from the Texas Ethics Commission at [www.ethics.state.tx.us](http://www.ethics.state.tx.us). The questionnaire shall be sent to the Authority's Contract Administrator.

### **32. GRATUITIES**

The Authority may cancel this Contract, without liability to the Contractor, if it is found that gratuities in the form of entertainment, gifts, or otherwise were offered or given by the Contractor or any agent or representative to any Authority official or employee with a view toward securing favorable treatment with respect to the performance of this Contract. In the event this Contract is canceled by the Authority pursuant to this provision, the Authority shall be entitled, in addition to any other rights and remedies, to recover from the Contractor a sum equal in amount to the cost incurred by the Contractor in providing such gratuities.

### **33. PUBLICATIONS**

All published material and written reports submitted under this Contract must be originally developed material unless otherwise specifically provided in the Contract document. When material, not originally developed, is included in a report, it shall have the source identified. This provision is applicable when the material is in a verbatim or extensive paraphrased format.

### **34. REQUEST FOR INFORMATION**

(a) The Contractor shall not provide information generated or otherwise obtained in the performance of its responsibilities under this Contract to any party other than the Authority and its authorized agents except as otherwise provided by this Contract or after obtaining the prior written permission of the Authority.

(b) This Contract, all data and other information developed pursuant to this Contract shall be subject to the Texas Public Information Act. The Authority shall comply with all aspects of the Texas Public Information Act.

(c) The Contractor is instructed that any requests for information regarding this Contract and any deliverables shall be referred to the Authority.

(d) The requirements of Subchapter J, Chapter 552, Government Code, may apply to this **bid/contract** and the contractor or vendor agrees that the contract can be terminated if the contractor or vendor knowingly or intentionally fails to comply with a requirement of that subchapter.

(1) The requirement of Subchapter J, Chapter 552, Government Code as amended currently applies to expenditures of at least \$1 million in public funds for the purchase of goods or services.

### **35. RIGHTS TO PROPOSAL AND CONTRACTUAL MATERIAL**

(a) All documentation related to or prepared in connection with any proposal, including the contents of any proposal contracts, responses, inquiries, correspondence, and all other material submitted in connection with the proposal shall become the property of the Authority upon receipt.

(b) All documents, reports, data, graphics and other materials produced under this Contract shall become the sole possession of the Authority upon receipt and payment, subject only to the Contractor's professional obligation to maintain copies of its work product.

### **36. LIMITATION OF LIABILITY**

In no event shall the Authority or its officers, directors, agents or employees be liable in contract or tort, to the Contractor or its Subcontractors for special, indirect, incidental or consequential damages, resulting from the Authority's performance, nonperformance, or delay in performance of its obligations under this Contract, or the Authority's termination of the Contract with or without cause, or the Authority's suspension of the Services. This limitation of liability shall not apply to intentional tort or fraud. The Contractor shall include similar liability provisions in all its Subcontracts.

### **37. LAWS, STATUTES AND OTHER GOVERNMENTAL REQUIREMENTS**

The Contractor agrees that it shall be in compliance with all laws, statutes, and other governmental requirements, regulations or standards prevailing during the term of this Contract.

**38. CLAIMS**

In the event that any claim, demand, suit, or other action is made or brought by any person, firm, corporation, or other entity against the Contractor arising out of this Contract, the Contractor shall give written notice thereof, to the Authority within three (3) working days after being notified of such claim, demand, suit, or action. Such notice shall state the date and hour of notification of any such claim, demand, suit, or other action; the name and address of the person, firm, corporation, or other entity making such claim or instituting or threatening to institute any type of action or proceeding; the basis of such claim, action, or proceeding; and the name of any person against whom such claim is being made or threatened. Such written notice shall be delivered either personally or by mail and shall be directly sent to the attention of the President/CEO, Capital Metropolitan Transportation Authority, 2910 E. 5th Street, Austin, Texas 78702.

**39. LICENSES AND PERMITS**

The Contractor shall, without additional expense to the Authority, be responsible for obtaining any necessary licenses, permits, and approvals for complying with any federal, state, county, municipal, and other laws, codes, and regulations applicable to the Services to be provided under this Contract including, but not limited to, any laws or regulations requiring the use of licensed Subcontractors to perform parts of the work.

**40. NOTICE OF LABOR DISPUTES**

(a) If the Contractor has knowledge that any actual or potential labor dispute is delaying or threatens to delay the timely performance of this Contract, the Contractor immediately shall give notice, including all relevant information, to the Authority.

(b) The Contractor agrees to insert the substance of this paragraph, including this subparagraph (b), in any Subcontract under which a labor dispute may delay the timely performance of this Contract; except that each Subcontract shall provide that in the event its timely performance is delayed or threatened by delay by any actual or potential labor dispute, the Subcontractor shall immediately notify the next higher tier Subcontractor or the Contractor, as the case may be, of all relevant information concerning the dispute.

**41. PUBLICITY RELEASES**

All publicity releases or releases of reports, papers, articles, maps, or other documents in any way concerning this Contract or the Services hereunder which the Contractor or any of its Subcontractors desires to make for the purposes of publication in whole or in part, shall be subject to approval by the Authority prior to release.

**42. INTEREST OF PUBLIC OFFICIALS**

The Contractor represents and warrants that no employee, official, or member of the Board of the Authority is or will be pecuniarily interested or benefited directly or indirectly in this Contract. The Contractor further represents and warrants that it has not offered or given gratuities (in the form of entertainment, gifts or otherwise) to any employee, official, or member of the Board of the Authority with a view toward securing favorable treatment in the awarding, amending, or evaluating the performance of this Contract. For breach of any representation or warranty in this paragraph, the Authority shall have the right to terminate this Contract without liability and/or have recourse to any other remedy it may have at law or in equity.

**43. INDEMNIFICATION**

(a) **THE CONTRACTOR WILL INDEMNIFY, DEFEND AND HOLD THE AUTHORITY AND ITS OFFICERS, DIRECTORS, EMPLOYEES, AGENTS AND REPRESENTATIVES (THE AUTHORITY AND EACH SUCH PERSON OR ENTITY IS AN "INDEMNIFIED PARTY") HARMLESS FROM AND AGAINST AND PAY ANY AND ALL DAMAGES (AS DEFINED HEREIN) DIRECTLY OR INDIRECTLY RESULTING FROM, RELATING TO, ARISING OUT OF OR ATTRIBUTABLE TO ANY OF THE FOLLOWING:**

- (1) **ANY BREACH OF ANY REPRESENTATION OR WARRANTY THAT THE CONTRACTOR HAS MADE**

**IN THIS CONTRACT;**

(2) ANY BREACH, VIOLATION OR DEFAULT BY OR THROUGH THE CONTRACTOR OR ANY OF ITS SUBCONTRACTORS OF ANY OBLIGATION OF THE CONTRACTOR IN THIS CONTRACT OR ANY OTHER AGREEMENT BETWEEN THE CONTRACTOR AND THE AUTHORITY;

(3) THE USE, CONDITION, OPERATION OR MAINTENANCE OF ANY PROPERTY, VEHICLE, FACILITY OR OTHER ASSET OF THE AUTHORITY TO WHICH THE CONTRACTOR HAS ACCESS OR AS TO WHICH THE CONTRACTOR PROVIDES SERVICES; OR

(4) ANY ACT OR OMISSION OF THE CONTRACTOR OR ANY OF ITS SUBCONTRACTORS OR ANY OF THEIR OFFICERS, DIRECTORS, EMPLOYEES, AGENTS, CUSTOMERS, INVITEES, REPRESENTATIVES OR VENDORS.

(b) "ACTION" MEANS ANY ACTION, APPEAL, PETITION, PLEA, CHARGE, COMPLAINT, CLAIM, SUIT, DEMAND, LITIGATION, MEDIATION, HEARING, INQUIRY, INVESTIGATION OR SIMILAR EVENT, OCCURRENCE OR PROCEEDING.

(c) "DAMAGES" MEANS ALL DIRECT OR INDIRECT DAMAGES, LOSSES, LIABILITIES, DEFICIENCIES, SETTLEMENTS, CLAIMS, AWARDS, INTEREST, PENALTIES, JUDGMENTS, FINES, OR OTHER COSTS OR EXPENSES OF ANY KIND OR NATURE WHATSOEVER, WHETHER KNOWN OR UNKNOWN, CONTINGENT OR VESTED, MATURED OR UNMATURED, AND WHETHER OR NOT RESULTING FROM THIRD-PARTY CLAIMS, INCLUDING COSTS (INCLUDING, WITHOUT LIMITATION, REASONABLE FEES AND EXPENSES OF ATTORNEYS, OTHER PROFESSIONAL ADVISORS AND EXPERT WITNESSES) RELATED TO ANY INVESTIGATION, ACTION, SUIT, ARBITRATION, APPEAL, CLAIM, DEMAND, INQUIRY, COMPLAINT, MEDIATION, INVESTIGATION OR SIMILAR EVENT, OCCURRENCE OR PROCEEDING.

(d) "THREATENED" MEANS A DEMAND OR STATEMENT HAS BEEN MADE (ORALLY OR IN WRITING) OR A NOTICE HAS BEEN GIVEN (ORALLY OR IN WRITING), OR ANY OTHER EVENT HAS OCCURRED OR ANY OTHER CIRCUMSTANCES EXIST THAT WOULD LEAD A PRUDENT PERSON OR ENTITY TO CONCLUDE THAT AN ACTION OR OTHER MATTER IS LIKELY TO BE ASSERTED, COMMENCED, TAKEN OR OTHERWISE PURSUED IN THE FUTURE.

(e) IF ANY ACTION IS COMMENCED OR THREATENED THAT MAY GIVE RISE TO A CLAIM FOR INDEMNIFICATION (A "CLAIM") BY ANY INDEMNIFIED PARTY AGAINST THE CONTRACTOR, THEN SUCH INDEMNIFIED PARTY WILL PROMPTLY GIVE NOTICE TO THE CONTRACTOR AFTER SUCH INDEMNIFIED PARTY BECOMES AWARE OF SUCH CLAIM. FAILURE TO NOTIFY THE CONTRACTOR WILL NOT RELIEVE THE CONTRACTOR OF ANY LIABILITY THAT IT MAY HAVE TO THE INDEMNIFIED PARTY, EXCEPT TO THE EXTENT THAT THE DEFENSE OF SUCH ACTION IS MATERIALLY AND IRREVOCABLY PREJUDICED BY THE INDEMNIFIED PARTY'S FAILURE TO GIVE SUCH NOTICE. THE CONTRACTOR WILL ASSUME AND THEREAFTER DILIGENTLY AND CONTINUOUSLY CONDUCT THE DEFENSE OF A CLAIM WITH COUNSEL THAT IS SATISFACTORY TO THE INDEMNIFIED PARTY. THE INDEMNIFIED PARTY WILL HAVE THE RIGHT, AT ITS OWN EXPENSE, TO PARTICIPATE IN THE DEFENSE OF A CLAIM WITHOUT RELIEVING THE CONTRACTOR OF ANY OBLIGATION DESCRIBED ABOVE. IN NO EVENT WILL THE CONTRACTOR APPROVE THE ENTRY OF ANY JUDGMENT OR ENTER INTO ANY SETTLEMENT WITH RESPECT TO ANY CLAIM WITHOUT THE INDEMNIFIED PARTY'S PRIOR WRITTEN APPROVAL, WHICH WILL NOT BE UNREASONABLY WITHHELD. UNTIL THE CONTRACTOR ASSUMES THE DILIGENT DEFENSE OF A CLAIM, THE INDEMNIFIED PARTY MAY DEFEND AGAINST A CLAIM IN ANY MANNER THE INDEMNIFIED PARTY REASONABLY DEEMS APPROPRIATE. THE CONTRACTOR WILL REIMBURSE THE INDEMNIFIED PARTY PROMPTLY AND PERIODICALLY FOR THE DAMAGES RELATING TO DEFENDING AGAINST A CLAIM AND WILL PAY PROMPTLY THE INDEMNIFIED PARTY FOR ANY DAMAGES THE INDEMNIFIED PARTY MAY SUFFER RELATING TO A CLAIM.

(f) THE INDEMNIFICATION OBLIGATIONS AND RIGHTS PROVIDED FOR IN THIS CONTRACT DO NOT REQUIRE (AND SHALL NOT BE CONSTRUED AS REQUIRING) THE CONTRACTOR TO INDEMNIFY, HOLD HARMLESS, OR DEFEND ANY INDEMNIFIED PARTY (OR ANY THIRD PARTY) AGAINST ANY ACTION OR CLAIM (OR THREATENED ACTION OR CLAIM) CAUSED BY THE NEGLIGENCE OR FAULT, THE BREACH OR VIOLATION OF A STATUTE, ORDINANCE, GOVERNMENTAL REGULATION, STANDARD, OR RULE, OR THE

**BREACH OF CONTRACT OF ANY INDEMNIFIED PARTY, ITS AGENTS OR EMPLOYEES, OR ANY THIRD PARTY UNDER THE CONTROL OR SUPERVISION OF ANY INDEMNIFIED PARTY, OTHER THAN THE CONTRACTOR OR ITS AGENTS, EMPLOYEES, OR SUBCONTRACTORS OF ANY TIER.**

(g) **THIS PARAGRAPH WILL SURVIVE ANY TERMINATION OR EXPIRATION OF THIS CONTRACT.**

**44. RECORD RETENTION; ACCESS TO RECORDS AND REPORTS**

(a) The Contractor will retain, and will require its Subcontractors of all tiers to retain, complete and readily accessible records related in whole or in part to the Contract, including, but not limited to, data, documents, reports, statistics, sub-agreements, leases, subcontracts, arrangements, other third party agreements of any type, and supporting materials related to those records.

(b) If this is a cost-reimbursement, incentive, time and materials, labor hour, or price determinable Contract, or any combination thereof, the Contractor shall maintain, and the Authority and its representatives shall have the right to examine, all books, records, documents, and other evidence and accounting procedures and practices sufficient to reflect properly all direct and indirect costs of whatever nature claimed to have been incurred and anticipated to be incurred for the performance of this Contract.

(c) If the Contractor submitted certified cost or pricing data in connection with the pricing of this Contract or if the Contractor's cost of performance is relevant to any change or modification to this Contract, the Authority and its representatives shall have the right to examine all books, records, documents, and other data of the Contractor related to the negotiation, pricing, or performance of such Contract, change, or modification for the purpose of evaluating the costs incurred and the accuracy, completeness, and currency of the cost or pricing data submitted. The right of examination shall extend to all documents necessary to permit adequate evaluation of the costs incurred and the cost or pricing data submitted, along with the computations and projections used therein.

(d) The Contractor shall maintain all books, records, accounts and reports required under this paragraph for a period of at not less than three (3) years after the date of termination or expiration of this Contract, except in the event of litigation or settlement of claims arising from the performance of this Contract, in which case records shall be maintained until the disposition of all such litigation, appeals, claims or exceptions related thereto.

(e) The Contractor agrees to provide sufficient access to the Authority and its contractors to inspect and audit records and information related to performance of this Contract as reasonably may be required.

(f) The Contractor agrees to permit the Authority and its contractors access to the sites of performance under this Contract as reasonably may be required.

(g) If an audit pursuant to this paragraph reveals that the Authority has paid any invoices or charges not authorized under this Contract, the Authority may offset or recoup such amounts against any indebtedness owed by it to the Contractor, whether arising under this Contract or otherwise, over a period of time equivalent to the time period over which such invoices or charges accrued.

(h) This paragraph will survive any termination or expiration of this Contract.

**45. EXCUSABLE DELAYS**

(a) Except for defaults of Subcontractors at any tier, the Contractor shall not be in default because of any failure to perform this Contract under its terms if the failure arises from Force Majeure Events. In each instance, the failure to perform must be beyond the control and without the fault or negligence of the Contractor. "Default" includes failure to make progress in the performance of the Services.

(b) If the failure to perform is caused by the failure of a Subcontractor at any tier to perform or make progress, and if the cause of the failure was beyond the control of both the Contractor and Subcontractor and without the fault or negligence of either, the Contractor shall not be deemed to be in default, unless:



- (1) the subcontracted supplies or services were obtainable from other sources;
- (2) the Authority ordered the Contractor in writing to obtain these services from the other source; and
- (3) the Contractor failed to comply reasonably with this order.

(c) Upon the request of the Contractor, the Authority shall ascertain the facts and extent of the failure. If the Authority determines that any failure to perform results from one or more of the causes above, the delivery schedule or period of performance shall be revised, subject to the rights of the Authority under this Contract.

#### **46. LOSS OR DAMAGE TO PROPERTY**

The Contractor shall be responsible for any loss or damage to property including money securities, merchandise, fixtures and equipment belonging to the Authority or to any other individual or organization, if any such loss or damage was caused by the Contractor or any Subcontractor at any tier, or any employee thereof, while such person is on the premises of the Authority as an employee of the Contractor or Subcontractor.

#### **47. CONTRACTOR CONTACT/AUTHORITY DESIGNEE**

The Contractor shall provide the Authority with a telephone number to ensure immediate communication with a person (not a recording) anytime during Contract performance. Similarly, the Authority shall designate an Authority representative who shall be similarly available to the Contractor.

#### **48. QUALITY ASSURANCE**

A periodic review of the Contractor's scheduled work may be performed by the Authority. If work is deemed incomplete or unacceptable in any way, the Authority will determine the cause and require the Contractor to take corrective measures in accordance with the terms of the Contract.

#### **49. INTERPRETATION OF CONTRACT – DISPUTES**

All questions concerning interpretation or clarification of this Contract or the acceptable fulfillment of this Contract by the Contractor shall be immediately submitted in writing to the Authority's Contracting Officer for determination. All determinations, instructions, and clarifications of the Contracting Officer shall be final and conclusive unless the Contractor files with the Capital Metro President/CEO within two (2) weeks after the Authority notifies the Contractor of any such determination, instruction or clarification, a written protest, stating in detail the basis of the protest. The President/CEO shall consider the protest and notify the Contractor within two (2) weeks of the protest filing of his or her final decision. The President/CEO's decisions shall be conclusive subject to judicial review. Notwithstanding any disagreement the Contractor may have with the decisions of the President/CEO, the Contractor shall proceed with the Services in accordance with the determinations, instructions, and clarifications of the President/CEO. The Contractor shall be solely responsible for requesting instructions or interpretations and liable for any cost or expenses arising from its failure to do so. The Contractor's failure to protest the Contracting Officer's determinations, instructions, or clarifications within the two-week period shall constitute a waiver by the Contractor of all of its rights to further protest.

#### **50. TOBACCO FREE WORKPLACE**

(a) Tobacco products include cigarettes, cigars, pipes, snuff, snus, chewing tobacco, smokeless tobacco, dipping tobacco and any other non-FDA approved nicotine delivery device.

(b) The tobacco free workplace policy refers to all Capital Metro owned or leased property. Note that this includes all buildings, facilities, work areas, maintenance facilities, parking areas and all Authority owned vehicles.

(c) Tobacco use is not permitted at any time on Capital Metro owned or leased property, including personal vehicles parked in Capital Metro parking lots.

(d) Littering of tobacco-related products on the grounds or parking lots is also prohibited.

**51. ORDER OF PRECEDENCE**

In the event of any inconsistency between the provisions of this Contract, the inconsistency shall be resolved by giving precedence in the following order, as revised:

1. Exhibit A/A-1 – Pricing Schedule and Pricing Matrix
2. Exhibit E – Contractual Terms and Conditions
3. Exhibit B – Representations and Certifications
4. Exhibit D – Small Business Enterprise Program/SBE
5. Exhibit F – Scope of Services
6. Exhibit IT-1 – Proprietary Rights and Data Security Addendum
7. Exhibit IT-2 – Access and Use Agreement
8. Other provisions or attachments to the Contract

**52. ANTI-CORRUPTION AND BRIBERY LAWS**

The Contractor shall comply with all Applicable Anti-Corruption and Bribery Laws. The Contractor represents and warrants that it has not and shall not violate or cause the Authority to violate any such Anti-Corruption and Bribery Laws. The Contractor further represents and warrants that, in connection with supplies or Services provided to the Authority or with any other business transaction involving the Authority, it shall not pay, offer, promise, or authorize the payment or transfer of anything of value, directly or indirectly to: (a) any government official or employee (including employees of government owned or controlled companies or public international organizations) or to any political party, party official, or candidate for public office or (b) any other person or entity if such payments or transfers would violate applicable laws, including Applicable Anti-Corruption and Bribery Laws. Notwithstanding anything to the contrary herein contained, the Authority may withhold payments under this Contract, and terminate this Contract immediately by way of written notice to the Contractor, if it believes, in good faith, that the Contractor has violated or caused the Authority to violate the Applicable Anti-Corruption and Bribery Laws. The Authority shall not be liable to the Contractor for any claim, losses, or damages related to its decision to exercise its rights under this provision.

**53. RESERVED**

**54. ORGANIZATIONAL CONFLICT OF INTEREST (OCI)**

(a) This Contract may task the Contractor to prepare or assist in preparing work statements that directly, predictably and without delay are used in future competitive acquisitions. The parties recognize that by the Contractor providing this support a potential conflict of interest arises as defined by FAR 9.5.

(b) For the purposes of this paragraph, the term “Contractor” means the Contractor, its subsidiaries and affiliates, joint ventures involving the Contractor, any entity with which the Contractor may hereafter merge or affiliate and any other successor or assignee of the Contractor.

(c) The Contractor acknowledges the full force and effect of this paragraph. It agrees to be bound by its terms and conditions and understands that violation of this paragraph may, in the judgment of the Contracting Officer, be cause for Termination for Default. The Contractor also acknowledges that this does not represent the sole and exclusive remedy available to the Authority in the event the Contractor breaches this or any other Organizational Conflict of Interest paragraph.

**55. MISCELLANEOUS**

(a) This Contract does not intend to, and nothing contained in this Contract shall create any partnership, joint venture or other equity type agreement between the Authority and the Contractor.

(b) All notices, statements, demands, requests, consents or approvals required under this Contract or by law by either party to the other shall be in writing and may be given or served by depositing same in the United States mail, postage paid, registered or certified and addressed to the party to be notified, with return receipt requested; by personally delivering same to such party; an agent of such party; or by overnight courier service, postage paid and

addressed to the party to be notified; or by e-mail with delivery confirmation. Notice deposited in the U.S. mail in the manner hereinabove described shall be effective upon such deposit. Notice given in any other manner shall be effective only if and when received by the party to be notified.

**If to the Contractor:** As set forth in Exhibit B to this Contract

**If to the Authority:** Capital Metropolitan Transportation Authority  
**Attn:** VP Procurement/Chief Contracting Officer  
2910 E. 5th Street  
Austin, Texas 78702

Address for notice can be changed by written notice to the other party.

(c) In the event the Authority finds it necessary to employ legal counsel to enforce its rights under this Contract, or to bring an action at law, or other proceeding against the Contractor to enforce any of the terms, covenants or conditions herein, the Contractor shall pay to the Authority its reasonable attorneys' fees and expenses, regardless of whether suit is filed.

(d) If any term or provision of this Contract or any portion of a term or provision hereof or the application thereof to any person or circumstance shall, to any extent, be void, invalid or unenforceable, the remainder of this Contract will remain in full force and effect unless removal of such invalid terms or provisions destroys the legitimate purpose of the Contract in which event the Contract will be terminated.

(e) This Contract represents the entire agreement between the parties concerning the subject matter of this Contract and supersedes any and all prior or contemporaneous oral or written statements, agreements, correspondence, quotations and negotiations. In executing this Contract, the parties do not rely upon any statement, promise, or representation not expressed herein. This Contract may not be changed except by the mutual written agreement of the parties.

(f) A facsimile signature shall be deemed an original signature for all purposes. For purposes of this paragraph, the phrase "facsimile signature" includes without limitation, an image of an original signature.

(g) Whenever used herein, the term "including" shall be deemed to be followed by the words "without limitation". Words used in the singular number shall include the plural, and vice-versa, and any gender shall be deemed to include each other gender. All Exhibits attached to this Contract are incorporated herein by reference.

(h) All rights and remedies provided in this Contract are cumulative and not exclusive of any other rights or remedies that may be available to the Authority, whether provided by law, equity, statute, or otherwise. The election of any one or more remedies the Authority will not constitute a waiver of the right to pursue other available remedies.

(i) The Contractor shall not assign the whole or any part of this Contract or any monies due hereunder without the prior written consent of the Contracting Officer. No assignment shall relieve the Contractor from any of its obligations hereunder. Any attempted assignment, transfer or other conveyance in violation of the foregoing shall be null and void.

(j) The failure of the Authority to insist upon strict adherence to any term of this Contract on any occasion shall not be considered a waiver or deprive the Authority thereafter to insist upon strict adherence to that term or other terms of this Contract. Furthermore, the Authority is a governmental entity and nothing contained in this Contract shall be deemed a waiver of any rights, remedies or privileges available by law.

(k) This Contract shall be governed by and construed in accordance with the laws of the State of Texas. Any dispute arising with respect to this Contract shall be resolved in the state or federal courts of the State of Texas, sitting in Travis County, Texas and the Contractor expressly consents to the personal jurisdiction of these courts.

(l) This Contract is subject to the Texas Public Information Act, Tex. Gov't Code, Chapter 552.

(m) The Contractor represents, warrants and covenants that: (a) it has the requisite power and authority to execute, deliver and perform its obligations under this Contract; and (b) it is in compliance with all applicable laws related to such performance.

(n) The person signing on behalf of the Contractor represents for himself or herself and the Contractor that he or she is duly authorized to execute this Contract.

(o) No term or provision of this Contract is intended to be, or shall be, for the benefit of any person, firm, organization, or corporation for a party hereto, and no such other person, firm, organization or corporation shall have any right or cause of action hereunder.

(p) Capital Metro is a governmental entity and nothing in this Contract shall be deemed a waiver of any rights or privileges under the law.

(q) Funding for this Contract after the current fiscal year is subject to revenue availability and appropriation of funds in the annual budget approved by the Authority's Board of Directors.

(r) Time is of the essence for all delivery, performance, submittal, and completion dates in this Contract.

#### **56. DRUG AND ALCOHOL TESTING PROGRAM**

(a) The Authority and its Contractors and Subcontractors are required to comply with the requirements of 49 C.F.R. Part 219 with no exceptions. The Contractor has established and implemented, or agrees to establish and implement, and cause its applicable Subcontractors to establish and implement, a drug and alcohol testing program for regulated employees (including volunteers, employees and probationary employees) whose duties include inspection, construction, maintenance or repair of roadway track; bridges, roadway, signal and communications systems, electric traction systems, roadway facilities or roadway maintenance machinery on or near track or with the potential of fouling a tack and flagmen and watchmen/lookouts ("Part 219 employees") that complies with 49 C.F.R. Part 219, produce any documentation necessary to establish its compliance with Part 219, and permit any authorized representative of the United States Department of Transportation or the Federal Railroad Administration ("FRA") and the Authority to inspect the facilities and records associated with the implementation and operation of the drug and alcohol testing program as required under 49 C.F.R. Part 219, including the review of the testing process.

(b) **Prior to the performance of any work under the Contract by any Part 219 employees on or after June 12, 2017**, the Contractor shall furnish the Authority, and cause each Subcontractor that provides Part 219 employees to perform work under the Contract to furnish the Authority, with copies of all supporting compliance documentation including but not limited to the following:

(1) A copy of the Contractor's 49 C.F.R. Part 219 Railroad Contractor Compliance Plan.

(2) A copy of the Federal Railroad Administration's acceptance letter for 49 C.F.R. Part 219 Railroad Contractor Compliance Plan.

(3) A certified list of the Contractor's Part 219 grandfathered employees (June 12, 2017).

(4) A certified list of employees who are currently regulated by 49 C.F.R. Part 219 Railroad Contractor Compliance Plan Part 219.

(5) Copies of the employees DOT 40-25 previous employer drug and alcohol record covered by 49 C.F.R. Part 219 Railroad Contractor Compliance Plan.

(6) Updated list of the Contractor's employees when an employee status has changed or employee becomes ineligible, along with an updated certification required in subparagraph (4).

(7) Rule G Observations when requested by the Authority.

(8) Management Information System Report (MIS) each six (6) months.

Access to the work site will be prohibited to employees not named in the certified list required by subparagraphs (4) and (6).

(c) Upon notice to the Contractor, Capital Metro may require the Contractor and any Subcontractor providing Part 219 employees to use a third-party compliance provider to track the Contractor's Part 219 compliance. If the Contractor or any of its Subcontractors fails to utilize such required compliance provider or an approved equivalent as required, then the Authority may suspend the Contractor's performance under this Contract and/or pursue default remedies under this Contract. The Authority reserves the right to change the required third-party compliance provider upon notice to the Contractor. In the event that Capital Metro requires the Contractor to use a third-party compliance service, any costs of the required service will be reimbursed by Capital Metro provided the Contractor follows the following reimbursement procedure: the Contractor shall provide the estimated costs of the compliance service within fourteen (14) calendar days following Capital Metro's notice to the Contractor of the adoption of a third-party compliance provider requirement and the Contractor shall not incur any costs until a subsequent Contract modification is fully executed.

(d) The Contractor shall provide the Authority with a list of the names of any Subcontractors performing Part 219 Services, along with a certified list of the employees assigned by the Subcontractor to perform work under the Contract, at least ten (10) calendar days prior to the time a Subcontractor or its Part 219 employees enters the work site. The Contractor and each Subcontractor shall be solely responsible for their compliance with 49 C.F.R. Part 219.

(e) The Contractor shall include the substance of subparagraph (a)-(e) of this paragraph, in each applicable Subcontract under this Contract.

(f) If the Authority discovers that the Contractor or any of its subcontractors are not in compliance with the requirements of 49 C.F.R. Part 219, the Authority may suspend the Contractor's performance under this Contract and/or pursue default remedies under this Contract.

#### **57. FUNDING AVAILABILITY**

Funding after the current fiscal year of any contract resulting from this solicitation is subject to revenue availability and appropriation of funds in the annual budget approved by the Authority's Board of Directors.

**EXHIBIT F  
SCOPE OF SERVICES  
IT TEMPORARY STAFFING SERVICES**

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**1. INTRODUCTION**

Capital Metro Transportation Authority is seeking the services of a qualified firm(s) to provide staffing services on an as-needed basis for various technology positions, some of which are noted in the categories below.

**2. BACKGROUND**

Capital Metropolitan Transportation Authority (“Capital Metro” or “the Authority”) is a public agency responsible for providing mass transit service within the City of Austin and the surrounding communities of Leander, Lago Vista, Jonestown, Manor, San Leanna, and Point Venture, as well as the unincorporated area of Travis County within Commissioner Precinct 2 and the Anderson Mill area of Williamson County. Capital Metro services include bus, rail, ride-share programs, special events, and special transit services for the mobility impaired.

**3. GENERAL SCOPE**

Capital Metro currently oversees the operations of Bus, Paratransit, and Commuter Rail services in Central Texas. The current workforce consists of approximately 350 full-time administrative staff, interns, and approximately 156 security officers working part-time to provide police security to our service area. We average 25 to 30 open vacancies at all times, with an average turnover rate of 22%. The largest portion of our workforce was contracted out in August 2012. Capital Metro oversees those contracts, which employ approximately 1900 drivers, engineers, mechanics, service, and administrative workers. This workforce works out of approximately 9 locations within the city of Austin.

The current workforce consists of approximately 60 full-time administrative, technical, construction, and engineering employees.

The following list of categories and positions is an overview of the type of temporary staffing services commonly requested. This is not intended to be a comprehensive list of Capital Metro’s needs. Considerations for pricing should include ENTRY, INTERMEDIATE, and ADVANCED levels.

The categories include:

- Systems Support Specialist\*
- Applications Systems Analyst\*
- Geospatial Systems Analyst (GIS) Coordinator\*
- Senior GIS Analyst\*
- Network Administrator\*
- .NET Developer\*
- CRM System Specialist\*
- ServiceNow Contractor\*
- Technology Project Manager\*
- Information Systems Security Analyst\*
- Telecommunications Technician\*
- Sharepoint Consultant\*
- ServiceNow Consultant\*
- Business Analyst\*

*\*Staffing Positions descriptions are included in Attachment 1 of the bid package*

The Authority reserves the right to add or delete positions at its sole discretion. Any such changes shall be made through written contract modification.

**4. STAFFING SERVICES OVERVIEW**

The temporary staffing services will be provided to Capital Metro in accordance with this scope of services and under the terms of all applicable Federal, State, and local regulations. The Contractor must provide timely, responsive, reliable, highly skilled, temporary staffing services.

The contractor shall provide temporary staffing services in compliance with the Authority's job descriptions and physical demands of the job. All individuals submitted to fill a position shall meet the minimum requirements as stated in the position descriptions.

**5. COORDINATOR:**

Capital Metro will have the continuing right to reasonably disapprove of the person designated for this role by the CONTRACTOR and to require a suitable replacement. CONTRACTOR will also arrange for substitutes to cover the Coordinator's material absences during Capital Metro's business or other operational hours. The Coordinator's duties will be as follows:

- (a) Work with Capital Metro designated team members responsible for coordinating staffing
- (b) Work with Hiring Managers in filling staffing requisitions
- (c) Onboard and work with temporary employees as a resource in addressing questions and other needs.
- (d) Communicate any day-to-day staffing updates including call-outs and terminations.
- (e) Provide/disclose process for resolving problems/concerns (both employee and company)
- (f) Provide reporting as needed or requested.

**6. IT PROTOCOLS:**

The contractor shall abide by all Capital Metro policies and protocols if utilizing Capital Metro systems equipment and/or networks.

**7. CONTRACTOR REQUIREMENTS / RESPONSIBILITIES**

- (a) **Service Hours:** The contractor must be able to receive and fill temporary orders Monday through Friday from 7:00 a.m. to 8:00 p.m. The Contractor must be able to place temporaries who are available to work varied hours Sunday through Saturday, including holidays and special events. The Coordinator must be available in the event of an emergency that involves temporary employees.
- (b) **Qualified Applicants:** Resumes of qualified applicants must be submitted within two (2) weeks of being notified of the temporary need. Should the requisition not be filled in in the specified time frame, the contractor will outline what additional offerings will be provided to Capital Metro to fill the position.
- (c) **Background/Qualification Checks** will be conducted at the expense of the contractor(s) for all candidates submitted and selected for assignment to Capital Metro. Candidates not meeting requirements will not be assigned. (Attachment #3 - Background Policy)
- (d) **Reports:** The contractor will prepare monthly reports that will include, but are not limited to, time to fill, temporaries hired and terminated, reports on the total number of dollars spent, the total number of hours worked, or the number hours remaining before a temporary employee is eligible for hire by Capital Metro.
- (e) **Agency Inspections:** Capital Metro reserves the right to randomly inspect the Contractor's employee files, timesheets, other work-related documents, and Contractor certifications for all requirements listed in this contract to ensure compliance with all said specifications.
- (f) **Conversion:** Capital Metro requires a standard conversion period from the Contractor for temporary employees who are offered a full-time position. Capital Metro requires this conversion period be no longer than 320 hours. Capital Metro also requires that there be no minimum conversion period for payrolled employees. Capital Metro will not pay conversion/hire fees.

**8. COMPENSATION**

- (a) Regular and overtime hourly rates paid to temporary employees are the responsibility of the Contractor. Overtime shall be paid upon proper authorization from the departmental supervisor who signs the timecard for the temporary employee. Overtime hourly rates will be at the designated billable hourly rate times 1.5.
- (b) Timesheets: Temporary workers will be instructed on how to complete and submit timesheets and submit timesheets for approval and ultimately to the Contractor each week. The Contractor should then add a copy of the timesheet with the invoice submitted for payment.

**9. TEMPORARY EMPLOYMENT AGREEMENT**

Additional temporary employee qualifications: Unless otherwise specified by Capital Metro, all temporary employees provided by Contractor to Capital Metro must be at least 18 years of age and have at least a high school or general education diploma. Temporary employees must agree to sign documents acknowledging Capital Metro policies, including, but not limited to, facility access and identification badges, Equal Employment Opportunity, Code of Conduct, Tobacco-Free Workplace, Harassment, Technology Usage Policy, Confidentiality Agreement, Appearance, Drug, and Alcohol-Free Workplace Policy.

**10. TRAINING/QUALIFICATIONS**

- (a) The contractor will ensure that all temporary employees shall be properly trained for the positions they will be filling. This includes any applicable safety training required or training on standard office equipment and software.
- (b) The Authority reserves the right to interview candidates as necessary. If the Authority determines that the person(s) sent to any job site is/are not qualified to do the required work within the first eight (8) hours after reporting to work, then the person(s) will be sent back to the Contractor at no cost to the Authority.
- (c) Standards of Conduct and Performance: Temporary workers may be told to leave the premises or terminated, and their pay will stop for inappropriate behavior, including but not limited to, the following:
  - (1) Violation of any safety rules
  - (2) Reporting for work while unfit for duty medically, mentally, or physically
  - (3) Using or under the influence of alcohol or controlled substances
  - (4) Quitting work, wasting time, loitering, or leaving the assigned work area during normal work hours without permission
  - (5) Engaging in horseplay; provoking or instigating fighting on Agency property
  - (6) Refusal to perform work assigned or comply with verbal instructions of a manager/supervisor
  - (7) Possessing weapons of any kind on premises
  - (8) Engaging in improper, immoral, unlawful, or in-decent conduct, including abusive language
  - (9) Deliberately misusing, destroying, or damaging Agency property
- (d) Confirmation of Order: The contractor will be required to email a confirmation report to the Capital Metro designated P&C representative or email group for each temporary assigned to the worksite. The confirmation must be received via email no later than one (1) business day after the temporary employee begins work.

**11. PAYROLLING/PAYROLL**

At times, the Authority will send a candidate to the Contractor and only need the Contractor to "Payroll" the candidate's position. Since the Authority has sourced the candidate in this instance, the Contractor's cost shall only include all required insurance and all applicable taxes required for payroll purposes. "Payrolling" could be requested for any job classification. The Authority is not precluded from using another contract for these services should it be in the best interest of the Authority to do so.



**12. DRESS CODE**

All temporary employees sent to the Authority must wear the proper attire for the position to which they are assigned. The contractor must ensure that the dress for temporary employees assigned is at a minimum “business casual” (no shorts, halter tops, sweatpants, athletic attire, etc.). The contractor’s temporary employees are expected to maintain an appropriate appearance that is businesslike, neat, and clean as determined by the requirements of the area in which the employee works. Factors considered when considering appropriate appearance are the degree of customer contact, the nature of the work, and safety issues. Capital Metro Appearance policy to be provided to temporary employees as a part of onboarding.

**13. RECRUITMENT**

The contractor shall report on all recruitment efforts, including recruiting a diverse candidate pool.

**14. EMPLOYEE RELATIONS**

The contractor shall provide/disclose a process for resolving problems/concerns (both employee and company).

**15. IMPLEMENTATION/TRANSITION PROCESS**

The contractor shall outline the process for transitioning temporary employees from the current contracted vendor to the new one.

**16. HOLIDAYS OBSERVED**

New Years Day  
Martin Luther King, Jr. Day  
Memorial Day  
Juneteenth  
Independence Day  
Labor Day  
Veterans Day  
Thanksgiving Holiday Thursday, & Friday  
Christmas Day

# CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

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## EXHIBIT IT

### PROPRIETARY RIGHTS AND DATA SECURITY ADDENDUM

Capital Metro Transportation Authority (“the Authority”) has invested extensive time, money and specialized resources into developing, collecting and establishing its tangible and intangible proprietary assets. This Proprietary Rights and Data Security Addendum (this “Addendum”) identifies and acknowledges the Authority’s proprietary rights, establishes baseline commitments regarding data security and represents a set of standard terms applicable to service providers and business partners when they enter into contracts with the Authority. Capitalized terms used in this Addendum have the meanings set forth in the Agreement, unless differently defined in this Addendum. The Contractor is responsible for ensuring compliance with the terms of this Addendum by the Contractor’s employees, agents and contractors and all of the restrictions and obligations in this Addendum that apply to the Contractor also apply to the Contractor’s employees, agents and contractors. The term “including” or “includes” means including without limiting the generality of any description to which such term relates.

#### **1. DEFINITIONS**

The following terms will have the meanings described below in this Addendum.

(a) “Authority Data” means all data, content or information, in any form or format, including interim, Processed, compiled, summarized, or derivative versions of such data, content or information, and any insights that may be learned from such data, content or information, that may exist in any system, database, or record that is either

- (i) provided by or on behalf of the Authority or its customers to the Contractor, or
- (ii) is obtained, developed, produced or Processed by the Contractor or its systems, in each of (i) and (ii) in connection with the relationship or arrangements established by the Contract, but excluding any data or information that is expressly defined as owned by the Contractor in the Contract.

(b) “Authority Electronic Property” means:

- (i) any websites controlled by the Authority,
- (ii) any Authority mobile device apps,
- (iii) any application programming interfaces (API) to the Authority’s information technology systems,
- (iv) any other kiosks, devices or properties for consumer interaction that are created, owned, or controlled by the Authority, and
- (v) versions and successors of the foregoing, any form or format now known or later developed, that may be used by customers obtaining products or services from the Authority.

(c) “Contract” means that certain contract for products and services entered into between the Contractor and Authority to which this Addendum is attached or incorporated by reference.

(d) “Data Law” means, as in effect from time to time, any law, rule, regulation, declaration, decree, directive, statute or other enactment, order, mandate or resolution, which is applicable to either the Contractor or the Authority, issued or enacted by any national, state, county, municipal, local, or other government or bureau, court, commission, board, authority, or agency, relating to data security, data protection and/or privacy. Data Laws also include ISO 27001 and ISO 27002, the most current Payment Card Industry Data Security Standard (the “PCI DSS”, and other industry standard practices) and any

## CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

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financial standards or business requirements applicable to the Authority's business or the Authority Data and/or the Authority Electronic Property.

(e) "Personal Identifying Information" means any data that identifies or could be used to identify a natural person, including name, mailing address, phone number, fax number, email address, Social Security number, credit card or other payment data, date of birth, driver's license number, account number or user ID, PIN, or password.

(f) "Process" or "Processing" means, with respect to Authority Data, to collect, access, use, process, modify, copy, analyze, disclose, transmit, transfer, sell, rent, store, or retain or destroy such data in any form. For the avoidance of doubt, "Process" includes the compilation or correlation of Authority Data with information from other sources and the application of algorithmic analysis to create new or derivative data sets from Authority Data.

(g) "Remediation Efforts" means, with respect to any Security Incident, activities designed to remedy a Security Incident which may be required by a Data Law or by the Authority's or the Contractor's policies or procedures, or which may otherwise be necessary, reasonable or appropriate under the circumstances, commensurate with the nature of such Security Incident. Remediation Efforts may include:

- (i) development and delivery of legal notices to affected individuals or other third parties;
- (ii) establishment and operation of toll-free telephone numbers for affected individuals to receive specific information and assistance;
- (iii) procurement of credit monitoring, credit or identity repair services and identity theft insurance from third parties that provide such services for affected individuals;
- (iv) provision of identity theft insurance for affected individuals;
- (v) cooperation with and response to regulatory, government and/or law enforcement inquiries and other similar actions;
- (vi) undertaking of investigations (internal or in cooperation with a governmental body) of such Security Incident, including forensics;
- (vii) public relations and other crisis management services; and
- (viii) cooperation with and response to litigation with respect to such Security Incident (including, but not limited to, class action suits or similar proceedings); and in each case of examples (i) through (viii), payment of legal costs, disbursements, fines, settlements and damages.

(h) "Security Incident" means:

- (i) the loss or misuse of Authority Data and/or the Authority Electronic Property;
- (ii) the inadvertent, unauthorized, or unlawful processing, alteration, corruption, sale, rental, or destruction of the Authority Data and/or the Authority Electronic Property;
- (iii) unauthorized access to internal resources;
- (iv) programmatic manipulation of a system or network to attack a third party;
- (v) elevation of system privileges without authorization;
- (vi) unauthorized use of system resources;
- (vii) denial of service to a system or network; or
- (viii) any potential or confirmed exposure (which may stem from an act or omission to act) that would result in any of the events described in (i) through (viii).

## CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

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- (i) "Security Policies" means statements of direction for Security Requirements and mandating compliance with applicable Data Laws. Typically, Security Policies are high level instructions to management on how an organization is to be run with respect to Security Requirements.
- (j) "Security Procedures" means statements of the step-by-step actions taken to achieve and maintain compliance with Security Requirements.
- (k) "Security Requirements" means the security requirements set forth below in Section 7 of this Addendum and any security requirements requested by the Authority from time to time.
- (l) "Security Technical Controls" means any specific hardware, software or administrative mechanisms necessary to implement, maintain, comply with and enforce the Security Requirements. Security Technical Controls specify technologies, methodologies, implementation procedures, and other detailed factors or other processes to be used to implement and maintain Security Policies and Procedures relevant to specific groups, individuals, or technologies.

### **2. FISMA COMPLIANCE**

Both parties will comply with all federal and state regulations, statues, and laws that govern this Agreement which includes, without limitation, the Federal Information Security Management Act, 2006 (FISMA) to the extent applicable to the Authority's business or the products and services provided by the Contractor. The Contractor accepts ultimate responsibility and liability for the protection and preservation of all Authority Data and the Authority Electronic Property through a security operational plan (the "Security Plan"). The Contractor will make available a current copy of the Security Plan for review upon the Authority's request. FISMA requires organizations to meet minimum security requirements by selecting the appropriate security controls as described by NIST Special Publication (SP) 800-53 revision 4, "*Security and Privacy Controls for Federal Information Systems and Organizations.*" Note that organizations must always reference the most current version of NIST SP 800-53 for the security control selection process. The Contractor should meet the minimum-security requirements detailed in FIPS Publication 200.

### **3. AUTHORITY DATA**

As between the Contractor and the Authority (*i.e.*, without addressing rights of third parties), the Authority is the sole owner of all rights, title and interest in and to Authority Data and the Authority Electronic Property. Except as expressly authorized in the Agreement, the Contractor may not use, edit, modify, create derivatives, combinations, or compilations of, combine, associate, synthesize, re-identify, reverse engineer, reproduce, display, distribute, disclose, sell or Process any Authority Data or Authority Electronic Property. The Contractor will not use Authority Data or Authority Electronic Property in a manner that is harmful to the Authority.

### **4. PERSONAL IDENTIFYING INFORMATION**

The Contractor will comply with any Data Laws relating to the use, safeguarding, or Processing of any Personal Identifying Information, including any requirement to give notice to or obtain consent of the individual. In Processing any Personal Identifying Information, the Contractor will at all times comply with any posted privacy policy or other representations made to the person to whom the information is identifiable, and to communicate any limitations required thereby to any authorized receiving party (including any modifications thereto) in compliance with all Data Laws. The Contractor will ensure that any such receiving party abides by any such limitations, in addition to the requirements of the Agreement. Notwithstanding the foregoing, the Contractor represents and warrants that Personal Identifying Information will not be Processed, transmitted, or stored outside of the United States. The Contractor shall take reasonable steps to maintain the confidentiality of and will not reveal or divulge to any person or entity any Personal Identifying Information that becomes known to it during the term of this Contract. The Contractor must maintain policies and programs that prohibit unauthorized disclosure of Personal Identifying Information by its employees and subcontractors and promote training and awareness of information security policies and practices. The Contractor must comply, and must cause its employees,

## CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

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representatives, agents, and subcontractors to comply, with such commercially and operationally reasonable directions as the Authority may make to promote the safeguarding or confidentiality of Personal Identifying Information. The Contractor must conduct background checks for employees or sub-Contractors that have access to Personal Identifying Information or systems Processing Personal Identifying Information. The Contractor must limit access to computers and networks that host Personal Identifying Information, including without limitation through user credentials and strong passwords, data encryption both during transmission and at rest, firewall rules, and network-based intrusion detection systems. In addition to the foregoing, to the extent that any Personal Identifying Information qualifies as Protected Health Information that is subject to protection under the Health Insurance Portability and Accountability Act of 1996 ("HIPAA," found at Public Law 104-191), and certain privacy and security regulations promulgated by the U.S. Department of Health and Human Services to implement certain provisions of HIPAA and the Health Information Technology for Economic and Clinical Health Act (the "HITECH Act"), and its implementing regulations found in the Omnibus Final Rule (collectively the "HIPAA Regulations") found at 45 C.F.R. Parts 160, 162 and 164, the Contractor will execute and abide by the rights and obligations set forth in the Business Associate Agreement of the Authority.

### **5. NO IMPLIED RIGHTS**

No right, license, permission, or ownership or other interest of any kind in or to any Authority Data or other intellectual property rights owned or licensed by the Authority is or is intended to be given or transferred to or acquired by the Contractor except as expressly stated in writing in the Agreement.

### **6. PROHIBITED INTERNET PRACTICES**

The Contractor will not, and will not authorize or encourage any third party to, directly or indirectly:

- (a) use any automated, deceptive or fraudulent means to generate impressions, click-throughs, or any other actions in relation to advertisements or Internet promotions on Authority Electronic Property or in relation to advertisements or Internet promotions of the Authority (or its products or services) on third party websites; or
- (b) collect or Process data from an Authority Electronic Property other than as has been expressly authorized by the Authority in the Agreement or another written agreement with the Authority. Except as expressly allowed in the Agreement, the Contractor will not "screen-scrape" Authority Electronic Property or conduct any automated extraction of data from Authority Electronic Property or tracking of activity on Authority Electronic Property.

### **7. SECURITY REQUIREMENTS**

The Contractor will apply reasonable physical, technical and administrative safeguards for Authority Data that is in the Contractor's possession or control in order to protect the same from unauthorized Processing, destruction, modification, or use that would violate the Agreement or any Data Law. The Contractor represents and warrants that the Security Policies, Security Procedures and Security Technical Controls as they pertain to the services being rendered to the Authority by the Contractor or its subcontractors and any Processing of Authority Data by the Contractor or its subcontractors will at all times be in material compliance with all Data Laws. In addition, the Contractor will require any of its employees, agents or contractors with access to Authority Data to adhere to any applicable Data Laws, and the Contractor represents and warrants that such employees, agents and contractors have not been involved in any violation of applicable Data Laws in the twenty-four months before the Effective Date. The Contractor will take into account the sensitivity of any Authority Data in the Contractor's possession in determining reasonable controls used to safeguard such Authority Data.

### **8. DATA SEGREGATION AND ACCESS**

The Contractor will physically or logically segregate stored Authority Data from other data and will ensure that access to Authority Data is restricted to only authorized personnel through security measures. The

## CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

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Contractor will establish and maintain appropriate internal policies, procedures and systems that are reasonably designed to prevent the inappropriate use or disclosure of Authority Data.

### **9. PCI COMPLIANCE**

If the Contractor Processes payment card data, cardholder data, or sensitive authentication data on behalf of the Authority or if the Contractor otherwise can impact the security of said data belonging to the Authority, the Contractor is responsible for the security of said data. The Contractor represents and warrants that it has performed an assessment to confirm that the material aspects of the Contractor's Security Policies, Security Procedures and Security Technical Controls (as they pertain to the services being rendered to the Authority by the Contractor or its subcontractors and any Processing of Authority Data by the Contractor or its subcontractors) comply with the PCI DSS and the Contractor will repeat this assessment each year during the Term. The Contractor will provide certification of compliance with this requirement upon request from the Authority.

### **10. SECURITY REVIEWS AND AUDITS**

The Contractor will, upon request, provide the Authority with reports of any audits performed on the Contractor's Security Policies, Security Procedures or Security Technical Controls. At a minimum, such reports will include any certifications of the Contractor's agents and contractors. Additionally, the Contractor will respond within a reasonable time period to any inquiries from the Authority relating to the Contractor's and its agents' and contractors' Security Policies, Security Procedures and Security Technical Controls. The Contractor will, upon the Authority's request, provide the Authority or its representatives access to the Contractor's and its agents' and contractors' systems, records, processes and practices that involve Processing of Authority Data so that an audit may be conducted. the Authority will not exercise such audit right more frequently than once per twelve (12) month period and the Authority will bear the full cost and expense of any such audit, unless such audit discloses a Security Incident or a breach of this Addendum or the Agreement, in which case the Contractor will bear the full cost and expense of such audit and a further audit may be conducted by the Authority or its representatives within the current twelve (12) month period.

### **11. SECURITY INCIDENTS**

The Contractor will timely and promptly notify the Authority upon discovering or otherwise learning of a Security Incident involving the Authority Data or the Authority Electronic Property, to the extent within the Contractor's access, possession or control. Following any Security Incident, the Contractor will consult in good faith with the Authority regarding Remediation Efforts that may be necessary and reasonable. The Contractor will:

- (a) at the Authority's direction undertake Remediation Efforts at the Contractor's sole expense and reimburse the Authority for its reasonable costs and expenses in connection with any Remediation Efforts it elects to undertake,
- (b) ensure that such Remediation Efforts provide for, without limitation, prevention of the recurrence of the same type of Security Incident, and
- (c) reasonably cooperate with any Remediation Efforts undertaken by the Authority.
- (d) Without limiting the foregoing, the Contractor will:
  - (i) immediately undertake investigations (internal or in cooperation with a governmental body) of such Security Incident, including forensics,
  - (ii) timely share with the Authority any Security Incident-related information, reports, forensic evidence and due diligence obtained from the investigation into the Security Incident and cooperate with the Authority in response to regulatory, government and/or law enforcement inquiries and other

## CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

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similar actions, (iii) cooperate with the Authority with respect to any public relations and other crisis management services, and litigation with respect to such Security Incident (including, but not limited to, class action suits or similar proceedings); and in each instance of Security Incident, be liable and responsible for payment of legal costs, disbursements, fines, settlements and damages. To the extent that the Authority is bound to comply with any interlocal agreements pertaining to shared information (including the Authority Data), the Contractor agrees that it will comply with, and cooperate with the Authority in its compliance, with all rights and obligations pertaining to the Authority Data and/or the Authority Electronic Property under such interlocal agreements.

### **12. NOTICE TO THE AUTHORITY CUSTOMERS AND EMPLOYEES**

Any notifications to any of the Authority's customers or employees regarding Security Incidents will be handled exclusively by the Authority and the Contractor may not under any circumstances contact the Authority's customers or employees relating to such Security Incident unless the Contractor is under a legal obligation to do so, in which event:

- (a) the Contractor must notify the Authority in writing promptly after concluding that the Contractor has the legal obligation to notify such customers or employees and explain in such notice to the Authority the basis for the legal obligation and
- (b) the Contractor will limit the notices to any of the Authority's customers and employees to those required by the legal obligation or as pre-approved by the Authority.
- (c) The Contractor will reasonably cooperate in connection with notices to the Authority's customers and employees regarding a Security Incident and the Contractor will assist with sending such notices if so requested by the Authority.

### **13. EQUITABLE RELIEF**

The Contractor acknowledges that the Authority may have no adequate remedy at law if there is a breach or threatened breach of any of the obligations set forth in this Addendum and, accordingly, that the Authority may, in addition to any legal or other remedies available to the Authority, seek injunctive or other equitable relief to prevent or remedy such breach without requirement of a bond or notice. The Contractor will not object or defend against such action on the basis that monetary damages would provide an adequate remedy.

**EXHIBIT IT-2 – Revised-1**  
**ACCESS AND USE AGREEMENT**

This Access and Use Agreement (this "Agreement") is entered into as of the effective date set forth on the signatory page between the undersigned person identified as the "Contractor" and Capital Metro Transportation Authority ("the Authority") concerning the terms and conditions under which the Authority will provide the Contractor with limited access and use of the Authority Data and/or the Authority Electronic Property in conjunction with the Contractor's performance of the Contract. The parties acknowledge and agree to the following terms and conditions:

**1. DEFINITIONS**

For purposes of this Agreement, capitalized terms shall have the meaning set forth below:

- (a) "Applicable Laws" means any and all applicable statutes, laws, treaties, rules, codes, ordinances, regulations, permits, interpretations, or orders of any Federal, state, or local governmental authority having jurisdiction over the Authority's or the Contractor's business the Contract, and the parties all as in effect as of the date of the Contract and as amended during the term of the Contract.
- (b) "Authority Data" means all data, content or information, in any form or format, including interim, Processed, compiled, summarized, or derivative versions of such data, content or information, and any insights that may be learned from such data, content or information, that may exist in any system, database, or record that is either (i) provided by or on behalf of the Authority or its customers to the Contractor, or (ii) is obtained, developed, produced or Processed by the Contractor or its systems, in each of (i) and (ii) in connection with the relationship or arrangements established by the Agreement, but excluding any data or information that is expressly defined as owned by the Contractor in the Contract.
- (c) "Authority Electronic Property" means (i) any websites controlled by the Authority, (ii) any Authority mobile device apps, (iii) any application programming interfaces (API) to the Authority's information technology systems, (iv) any other kiosks, devices or properties for consumer interaction that are created, owned, or controlled by the Authority, and (v) versions and successors of the foregoing, any form or format now known or later developed, that may be used by customers obtaining products or services from the Authority.
- (d) "Confidential Information" as used herein, shall mean and include, without limitation: (i) any information concerning the Authority, which is provided by or on behalf of the Authority to the Contractor, such as accounting and financial data, product, marketing, development, pricing and related business plans and budgets, and all of the information and plans related to the Authority's business, which are not published; (ii) all Authority Data; and (iii) the Authority Electronic Property.
- (e) "Contract" means that certain contract for products and services entered into between the Contractor and Authority to which this Agreement is attached or incorporated by reference. The applicable reference number for the Contract may be set forth in the signatory page to this Agreement.
- (f) "Remediation Efforts" means, with respect to any Security Incident, activities designed to remedy a Security Incident, which may be required by Applicable Law or by the Authority's or the Contractor's policies or procedures or under the Security Requirements, or which may otherwise be necessary, reasonable or appropriate under the circumstances, commensurate with the nature of such Security Incident.
- (g) "Security Incident" means: (i) the loss or misuse of the Authority Data and/or the Authority Electronic Property; (ii) the inadvertent, unauthorized, or unlawful processing, alteration, corruption, sale, rental, or destruction of Authority Data and/or the Authority Electronic Property; (iii) unauthorized access to internal resources; (iv) programmatic manipulation of a system or network to attack a third party; (v) elevation of system privileges without authorization; (vi) unauthorized use of system resources; (vii) denial of service to a system or network; or (viii) any potential or confirmed exposure (which may stem from an act or omission to act) that would result in any of the events described in (i) through (viii).
- (h) "Security Requirements" means security measures under Applicable Laws, industry best practices and other reasonable physical, technical and administrative safeguards, procedures, protocols, requirements and obligations related to facility and network security in order to protect the Authority Data and the Authority Electronic Property from unauthorized processing, destruction, modification, distribution and use, as approved in writing by the Authority, and all confidentiality and non-use or limited use obligations set forth in any license agreements or other third-party contracts (including interlocal agreement) applicable to the Authority Data and/or the Authority Electronic Property.



**2. CONFIDENTIAL INFORMATION**

The Contractor acknowledges and agrees that the Contract creates a relationship of confidence and trust on the part of the Contractor for the benefit of the Authority. During the term of the Contract, the Contractor may acquire certain Confidential Information from or regarding the Authority employees, agents and representatives or documents, or otherwise as a result of performing the services of the Contractor. The Contractor acknowledges and agrees that all such Confidential Information is and shall be deemed the sole, exclusive, confidential and proprietary property and trade secrets of the Authority at all times during the term of the Contract and following any expiration of termination thereof.

**3. STANDARD OF CARE**

The Contractor agrees to hold in confidence without disclosing or otherwise using any Confidential Information, except as such disclosure or use may be required in connection with and limited to the product and services of the Contractor. The Contractor acknowledges and agrees that the Authority would not have entered into the Contract unless the Authority were assured that all such Confidential Information would be held in confidence by the Contractor in trust for the sole benefit of the Authority.

**4. EXCEPTIONS**

The Contractor's obligation of confidentiality hereunder shall not apply to information that: (i) is already in the Contractor's possession without an obligation of confidentiality; (ii) is rightfully disclosed to the Contractor by a third party with no obligation of confidentiality; or (iii) is required to be disclosed by court or regulatory order, provided the Contractor gives the Authority prompt notice of any such order.

**5. COMPLIANCE**

The Contractor, as well as its agents, representatives, and employees, shall comply with all of the Authority's rules, regulations, and guidelines pertaining to the Authority Data and the Authority Electronic Property and all Applicable Laws.

**6. SECURITY REQUIREMENTS**

The Contractor will establish and manage all Security Requirements necessary to protect the Authority Data integrity and permit appropriate access to the Application and the Authority Electronic Property. The Contractor will cooperate with and assist the Authority and its contractors to implement security protocols (e.g., firewalls, SSI, etc.) and take appropriate actions with respect to all Authority Data and the Authority Electronic Property to the extent in the Contractor's access, possession or control, so as to enable the Contractor to prevent the loss, alteration or unauthorized access to the Authority Data or the Authority Electronic Property. The Contractor will, upon the Authority's request, for each year of the term of the Contract, provide to the Authority copies of monthly firewall logs and third party audit reports, summaries of test results and other equivalent evaluations with regard to security and confidentiality in connection with the Contractor's access and use thereof. The Contractor will use commercially reasonable efforts in accordance with the Security Requirements to secure all Authority Data and/or Authority Electronic Property stored on the Contractor's devices or network against access by parties external to the Authority or the Contractor and by unauthorized users, and against damage, disruption and other activity aimed at data availability or the services or other trespass or illegal actions. The Contractor will employ computer anti-malware protections and other reasonable commercial means to ensure a safe computing environment. The Contractor agrees that it will, and it will cause its personnel and contractors to timely comply with the Authority's privacy policies and safety and network security policies, as the same may be provided to the Contractor, at all times while on-site at the Authority's facilities or remotely accessing the Authority's systems or facilities (including Authority Data and/or Authority Electronic Property). The Contractor and/or its designated third party auditor(s) will perform all audits necessary to ensure the Authority Data integrity and adherence to the Security Requirements.

## **7. SECURITY INCIDENT**

The Contractor will timely and promptly notify the Authority upon discovering or otherwise learning of any Security Incident involving Authority Data but in no event shall such notice exceed the time periods for notice required under Applicable Laws. Following any Security Incident, the Contractor will consult in diligent good faith with the Authority regarding Remediation Efforts that may be necessary and reasonable. Without limiting the foregoing, the Contractor will (i) immediately undertake investigations (internal or in cooperation with a governmental body) of such Security Incident, including forensics, (ii) timely share with the Authority any Security Incident-related information, reports, forensic evidence and due diligence obtained from the investigation into the Security Incident and cooperate with the Authority in response to regulatory, government and/or law enforcement inquiries and other similar actions, (iii) cooperate with the Authority with respect to any public relations and other crisis management services, and litigation with respect to such Security Incident (including, but not limited to, class action suits or similar proceedings); and in each instance of Security Incident, be liable and responsible for payment of legal costs, disbursements, fines, settlements and damages. To the extent that the Authority is bound to comply with any interlocal agreements pertaining to shared information (including the Authority Data), the Contractor agrees that it will comply with, and cooperate with the Authority in its compliance, with all rights and obligations pertaining to the Authority Data under such interlocal agreements. The Contractor will timely and promptly notify the Authority upon discovering or otherwise learning of any Security Incident involving Authority Data but in no event shall such notice exceed the time periods for notice required under Applicable Laws. Following any Security Incident, the Contractor will consult in diligent good faith with the Authority regarding Remediation Efforts that may be necessary and reasonable. Without limiting the foregoing, the Contractor will (i) immediately undertake investigations (internal or in cooperation with a governmental body) of such Security Incident, including forensics, (ii) timely share with the Authority any Security Incident-related information, reports, forensic evidence and due diligence obtained from the investigation into the Security Incident and cooperate with the Authority in response to regulatory, government and/or law enforcement inquiries and other similar actions, (iii) cooperate with the Authority with respect to any public relations and other crisis management services, and litigation with respect to such Security Incident (including, but not limited to, class action suits or similar proceedings); and in each instance of Security Incident, be liable and responsible for payment of legal costs, disbursements, fines, settlements and damages. To the extent that the Authority is bound to comply with any interlocal agreements pertaining to shared information (including the Authority Data), the Contractor agrees that it will comply with, and cooperate with the Authority in its compliance, with all rights and obligations pertaining to the Authority Data under such interlocal agreements.

## **8. LIMITED ACCESS AND USE**

The Authority authorizes the Contractor to access and use and to the extent necessary to perform the Services to install and use the Authority Data and/or Authority Electronic Property provided or made available by the Authority in its sole discretion and solely for the purposes of providing products and services for the benefit of or on behalf of the Authority under and during the term of the Contract. As between the Contractor and the Authority (i.e., without addressing rights of third parties), the Authority is the sole owner of all rights, title and interest in and to any Authority Data and Authority Electronic Property, together with all improvements, derivative works or enhancements to any of the foregoing and all intellectual property rights related thereto. Except as expressly authorized in this Agreement in the performance of the services solely for the benefit of the Authority or its customers, the Contractor may not use, edit, modify, create derivatives, combinations or compilations of, combine, associate, synthesize, re-identify, reverse engineer, reproduce, display, distribute, disclose, sell or Process any Authority Data or Authority Electronic Property. The Contractor will not use any Authority Data or Authority Electronic Property in a manner that is harmful to the Authority. All access and use shall be subject to the Authority's platform and network security policies and procedures and other Security Requirements. Access and use shall be limited to the Contractor and the number of users or devices authorized in writing by the Authority.

## **9. NO OWNERSHIP**

Nothing set forth in this Agreement shall give the Contractor any ownership or other license, conveyance or right, title or interest in and to any and all Confidential Information (or any intellectual property, derivatives, improvements,

enhancements, feedback or suggestions related to any of the foregoing, whether conceived, reduced to practice or developed alone or jointly with others by the Authority or the Contractor), which rights shall be owned exclusively by the Authority, and the Contractor will not knowingly take any action to challenge, contest or other action inconsistent with the Authority's rights.

**10. RESERVED RIGHTS**

The Authority reserves the right to suspend or terminate the Contractor's access and use of the Authority Data and/or the Authority Electronic Property at any time without liability or prior notice to the Contractor. Within five (5) business days of the Authority's written request, the Contractor will return or destroy all written or recorded materials comprising any Confidential Information of the Authority, together with all copies, summaries, compilations or analyses incorporating such information (whether held in computer, electronic or similar format), and certify the same in writing to the Authority; provided that all confidentiality obligations and ownership rights shall survive the return of such materials and the termination of this Agreement indefinitely or for as long as such information qualifies as a trade secret or confidential information under applicable law.

**11. SPECIFIC PERFORMANCE**

The Contractor recognizes that the restrictions and covenants contained in this Agreement are reasonable and necessary for the protection of the Authority's legitimate business interests, goodwill and trade secrets and confidential information. The Contractor acknowledges that the breach or threatened breach of this Agreement can cause irreparable damages to the Authority, and that in addition to and not in lieu of all other rights available at law or in equity, the Authority will have the right to temporary and permanent injunctive relief to prevent the breach of this Agreement by the Contractor, without posting of bond and proving actual damages. the Authority will be entitled to recover its costs and expenses, including reasonable attorneys' fees, in enforcing its rights under this Agreement.

**12. MISCELLANEOUS**

This Agreement is made under and shall be construed in accordance with the laws of the State of Texas, and any dispute arising under this Agreement shall be settled in a court of competent jurisdiction lying in Travis County, Texas. If any of the provision of this Agreement are found to be unenforceable, the remainder shall be enforced as fully as possible and the unenforceable provision shall be deemed modified to the limited extent required to permit enforcement of the Agreement as a whole. This Agreement may be signed in multiple counterparts by hard or electronic signature (each of which shall have the same force and effect and deemed an original but all of which will together constitute but one and the same instrument).

**13. SIGNATURE BLOCK**

|                       |                   |                     |   |
|-----------------------|-------------------|---------------------|---|
|                       | <b>CONTRACTOR</b> |                     | <b>Capital Metro Transportation Authority</b> |
| <b>By:</b>            |                   | <b>By:</b>          |   |
| <b>Print Name:</b>    |                   | <b>Print Name:</b>  |   |
| <b>Title:</b>         |                   | <b>Title:</b>       |   |
| <b>Date:</b>          |                   | <b>Date:</b>        |   |
| <b>Address:</b>       |                   | <b>Address:</b>     |   |
| <b>Notice:</b>        |                   | <b>Notice:</b>      |   |
| <b>Effective Date</b> |                   | <b>Contract No.</b> |   |

## Attachment 1 - IT POSITIONS

### TITLE: *Application Systems Analyst I-III*

#### JOB SUMMARY

The Application Systems Analyst reports to the Program Manager of Technology Systems. This position is responsible for the technical details, application use, and business implications on a variety of Capital Metro's Software Systems that includes Commercial-off-the-shelf (COTS) and custom developed software on client-server, multi-tier, web and/or mobile platforms. This role is also responsible for providing customer focused service and building positive and constructive relationships with stakeholders and customers, by understanding their needs, problems, and providing timely communication and service.

#### PRIMARY RESPONSIBILITIES

- Configure and develop applications, custom processes, functionality, reports, queries, interfaces, and system integration in support of business needs.
- Ensure data integrity within systems owned. Understand data relationships, resolve data and interface issues.
- Provide assistance with documents necessary to procure required systems, licenses, maintenance, and support. Ensure any renewals are completed before expiration and Capital Metro is in compliance with any vendor licensing requirements.
- Participate in on-call rotation for after-hours IT support.
- Partner with stakeholders to undertake full IT ownership of the systems and projects assigned and become proficient in the technical and functional aspects of these systems.
- Provide technical support on projects. Successfully support tasks or projects as assigned. Provide support working with technology vendors and implementation partners to implement technical solutions.
- Provide periodic reports to management.
- Develop and ensure updates to technical and/or user documentation. Train users on systems and processes. Provide support in efforts to encourage system use and adoption with stakeholders. Act as an advocate and advisor for the application of technology solutions to the agency.
- Provide support in proactively setting up and managing systems in excellent working condition through implementation and monitoring of alerts, regular maintenance activities, performance tuning, software updates and patches. Provide support in working with internal IT teams and technology vendors to ensure all systems are available and secure on a 24 by 7 basis.
- Support efforts in system security by ensuring compliance to security standards and policies, monitoring access privileges, conducting risk assessments, investigation of suspicious activities, and remediation of identified security threats or risks.
- Document test cases and perform comprehensive testing during implementation and upgrades.
- Provide support in the planning and undertaking of periodic risk analysis of systems and mitigate risks wherever possible. Provide support in the planning and testing of disaster recovery. Provide support to implement, monitor and verify backups. Provide support in resolving issues.
- Follow change management and change control processes to plan and deploy system changes. Perform change-impact analysis. Communicate changes to stakeholders and IT.
- Research, develop and implement IT standards and best practice policies or procedures.
- Maintain a safe working environment at all times.

## Attachment 1 - IT POSITIONS

- Perform other duties as required and/or assigned in support of the Capital Metro Strategic Goals and the IT Vision, Mission, and Objectives aligned to these goals.

### **MINIMUM QUALIFICATIONS**

#### **Education and Experience:**

- Bachelor's degree in Computer Science or related field. Additional related experience may substitute for degree on a year for year basis up to four (4) years.
- Three (3) years of experience in Information Technology or related field desired.
- Experience in working on and supporting multiple projects related to commercial off-the-shelf applications or custom-built systems.
- Experience in troubleshooting, analyzing logs, utilizing debugging tools, obtaining technical assistance from software and/or database vendors or via advanced search on the web and timely resolution of technical problems.
- Experience with direct end user support in a customer service role. Demonstrated dedication to customer services.

#### **OR**

- An equivalent combination of education, experience, knowledge, skills, abilities, and other characteristics consistent with the required qualifications for 7 years total required education and experience.

#### **Knowledge, Skills and Abilities:**

- Excellent organization abilities, analytical skills and communication skills including the ability to effectively communicate technical information to a non-technical audience.
- Be self-motivated and seek opportunities for continuous improvement of IT skills and processes. Be a catalyst and a willing participant of organizational changes.
- Ability to work in a team environment in a matrix organization, partnering well with employees, management, users, business areas, vendors, contractors and undertake duties and tasks as assigned without close supervision
- Ability to be a positive and constructive contributor in a team based environment
- Knowledge of Information System Implementation Lifecycle desired.
- Ability to effectively manage multiple priorities and diverse groups of people and activities simultaneously
- Experience in Microsoft Development Platform Technologies, Web or App development technologies SQL Server Database and/or Transit Specific Systems.
- Intermediate proficiency using Microsoft Office Suite.
- Demonstrated leadership ability.

### **SECURITY SENSITIVE POSITION**

This position is a "Security Sensitive" position. Capital Metro will conduct annual criminal background checks on incumbents in this position. A position is "Security Sensitive" if its' incumbent handles currency, has access to sensitive computerized databases, has access to master keys, or works in an area of the Capital Metro that has been designated as a security-sensitive area.

## Attachment 1 - IT POSITIONS

### TITLE: GIS Coordinator I-III

#### JOB SUMMARY

The Geographic Information System (GIS) Coordinator II reports to the Director, Enterprise Application and Data Services or the Technical Project Manager. This position is responsible to coordinate the development, maintenance and implementation of computerized GIS. Plan and manage the technical activities required to customize, test and implement GIS improvement projects. This role is also responsible for providing customer focused service and building positive and constructive relationships with stakeholders and customers, by understanding their needs, problems and providing timely communication and service.

#### PRIMARY RESPONSIBILITIES

- Oversee, coordinate and manage the development, maintenance, implementation, training and support of GIS and related systems or tools.
- Oversee the development, maintenance and compliance of GIS and spatial data usage policies, procedures and strategic plans at Capital Metro.
- Coordinate and plan the use of hardware and software to support GIS.
- Gather, analyze, document, integrate, produce and maintain spatial datasets, databases and reports.
- Responsible for map maintenance and development including base maps, service area maps, and other maps as necessary through a cooperative effort with various departments throughout the agency.
- Compile geographic data from a variety of sources including censuses, field observation, satellite imagery, aerial photographs, and existing maps.
- Meet with and interfaces with local city, county, and other agencies to help standardize GIS data for this area.
- Stay abreast of new technologies to support the ongoing and future operations of GIS.
- Represent Capital Metro at national, state and local levels in area of responsibility.
- Ensure data integrity within systems owned. Understand data relationships, resolve data and interface issues.
- Partner with stakeholders to undertake full IT ownership of the systems and projects assigned and become proficient in the technical and functional aspects of these systems.
- Provide technical support and leadership assistance on projects. Successfully support and assist in tracking tasks or projects as assigned. Provide leadership assistance and support in working with technology vendors and implementation partners to implement technical solutions.
- Provide periodic reports to management.
- Develop and ensure updates to technical and/or user documentation. Train users on systems and processes. Lead efforts to encourage system use and adoption with the business areas. Act as an advocate and advisor for the application of technology solutions to the agency.
- Provide support and assist in leadership in proactively setting up and managing systems in excellent working condition through implementation and monitoring of alerts, regular maintenance activities, performance tuning, software updates and patches. Provide support and assist in leadership in working with internal IT teams and technology vendors to ensure all systems are available and secure on a 24 by 7 basis.

## Attachment 1 - IT POSITIONS

- Support and assist in leading efforts in system security by ensuring compliance to security standards and policies, monitoring access privileges, conducting risk assessments, investigation of suspicious activities, and remediation of identified security threats or risks.
- Document test cases and perform comprehensive testing during implementation and upgrades.
- Support and assist in leading the planning and undertaking of periodic risk analysis of systems & mitigate risks wherever possible. Lead in the planning and testing of disaster recovery. Support and assist in leading implementing, monitoring and verifying backups. Lead resolving issues.
- Follow change management and change control processes to plan and deploy system changes. Perform change-impact analysis. Communicate changes to stakeholders and IT.
- Research, develop and implement IT standards and best practice policies and procedures.
- Maintain a safe working environment at all times.
- Perform other duties as required and/or assigned in support of the Capital Metro Strategic Goals and the IT Vision, Mission, and Objectives aligned to these goals.

### **MINIMUM QUALIFICATIONS**

#### **Education and Experience:**

- Bachelor's degree in Computer Science or related field. Related experience may substitute on a year for year basis for educational requirements up to four (4) years.
- Four (4) years progressive experience in implementation and/or management of GIS
- Required use of ESRI suite of GIS software in prior work experience.
- Proficiency using geodatabases/spatial databases and relational databases, preferably SQL Server, preferred.
- Proficiency in VBA for ArcGIS, knowledge of ArcObjects, Microsoft Development Platform Technologies, Web or App development technologies and/or Transact-SQL, preferred.
- Experience with direct end user support in a customer service role.

#### **OR**

- An equivalent combination of education, experience, knowledge, skills, abilities, and other characteristics consistent with the required qualifications for eight (8) years total required education and experience.

#### **Knowledge, Skills and Abilities:**

- Excellent organization abilities, analytical skills and communication skills including the ability to effectively communicate technical information to a non-technical audience.
- Be self-motivated and seek opportunities for continuous improvement of IT skills and processes. Be a catalyst and a willing participant of organizational changes.
- Ability to work in team environment in a matrix organization, partnering well with employees, management, users, business areas, vendors, contractors and undertake duties and tasks as assigned without close supervision
- Ability to be a positive and constructive contributor in a team based environment
- Knowledge of Information System Implementation Lifecycle desired.
- Ability to effectively manage multiple priorities and diverse groups of people and activities simultaneously
- Knowledge of GTFS data format, Google Maps API and/or Bing maps API, preferred.

## **Attachment 1 - IT POSITIONS**

- In depth knowledge of geographical systems.
- Familiarity with Open Geospatial Consortium (OGC) standards.
- Proficiency using Microsoft Office Suite.
- Demonstrated leadership ability.

### **SECURITY SENSITIVE POSITION**

This position is a “Security Sensitive” position. Capital Metro will conduct annual criminal background checks on incumbents in this position. A position is “Security Sensitive” if its incumbent handles currency, has access to sensitive computerized databases, has access to master keys, or works in an area of the Capital Metro that has been designated as a security-sensitive area.



## Attachment 1 - IT POSITIONS

### TITLE: Network Administrator I-III

#### JOB SUMMARY

The Network Administrator I reports directly to the Director, Network Services. This position is responsible for information technology infrastructure administration and support including regular administrative functions. This position will monitor and optimize the information technology infrastructure performance.

#### PRIMARY RESPONSIBILITIES

- Install and maintain information technology infrastructure.
- Install new software releases and system upgrades.
- Perform system and user analysis to plan and implement short/mid-range hardware improvements.
- Perform all system backups and recovery operations.
- Maintain all user accounts and system access levels.
- Ensure infrastructure security policies are implemented and maintained.
- Perform system and user analysis to resolve medium to complex system problems.
- Analyze, monitor and optimize information technology infrastructure performance.
- Manage maintenance and license agreements.
- Maintain hardware and software inventory.
- Ensure infrastructure systems are documented according to approved standards.
- Participate in after-hours on call support rotation.
- Provide customer focused service. Build positive and constructive relationships with business areas, customers, understand their needs, problems and provide timely communication and service.
- Partner with business to undertake full IT ownership of the systems and projects assigned and become proficient in the technical and functional aspects of these systems.
- Provide technical support on projects. Successfully support tasks or projects as assigned. Provide support working with technology vendors and implementation partners to implement technical solutions.
- Provide periodic reports to management.
- Develop and ensure updates to technical and/or user documentation. Train users on systems and processes. Provide support in efforts to encourage system use and adoption with the business areas. Act as an advocate and advisor for the application of technology solutions to the agency.
- Provide support in proactively setting up and managing systems in excellent working condition through implementation and monitoring of alerts, regular maintenance activities, performance tuning, software updates and patches. Provide support in working with internal IT teams and technology vendors to ensure all systems are available and secure on a 24 by 7 basis.
- Support efforts in system security by ensuring compliance to security standards and policies, monitoring access privileges, conducting risk assessments, investigation of suspicious activities, and remediation of identified security threats or risks.
- Document test cases and perform comprehensive testing during implementation and upgrades.
- Provide support in the planning and undertaking of periodic risk analysis of systems and mitigate risks wherever possible. Provide support in the planning and testing of disaster recovery. Provide support to implement, monitor and verify backups. Provide support in resolving issues.

## Attachment 1 - IT POSITIONS

- Follow change management and change control processes to plan and deploy system changes. Perform change-impact analysis. Communicate changes to business areas and IT.
- Research, develop and implement IT standards and best practice policies and procedures.
- Be responsible in maintaining a safe working environment at all times.
- Perform other duties as required and/or assigned in support of the Capital Metro Strategic Goals and the IT Vision, Mission, and Objectives aligned to these goals.

### **MINIMUM QUALIFICATIONS**

#### **Education and Experience**

- Bachelor's degree in Computer Science or related field. Additional related experience may substitute for degree on a year for year basis up to four years.
- Three (3) years of experience in Information Technology or related field desired and progressively responsible experience in IT systems and workstation support and maintenance. Including three (3) years of experience in Windows server network or IT systems management.
- Experience with direct end-user support in a customer service role. Demonstrated dedication to customer service.

#### **Knowledge, Skills and Abilities:**

- Knowledge of major hardware and software systems including local area networks, PC architecture and networking topologies
- Skills with current major network system applications.
- Customer service experience and working team concepts.
- Strong oral and written communication skills and ability to establish and maintain effective working relationships.
- Ability to coordinate several diverse job requirements and projects.
- Ability to lift and carry 70 lbs. with assistance.
- Excellent organization abilities, analytical skills and communication skills including the ability to effectively communicate technical information to a non-technical audience.
- Be self-motivated and seek opportunities for continuous process improvement. Be a catalyst and a willing participant of organizational changes.
- Ability to work in a team environment in a matrix organization, partnering well with employees, management, users, business areas, vendors, contractors and undertake duties and tasks as assigned without close supervision.
- Ability to be a positive and constructive contributor in a team based environment.
- Knowledge of Information System Implementation Lifecycle desired.
- Ability to effectively manage multiple priorities and diverse groups of people and activities simultaneously.
- Proficiency using Microsoft Office Suite.
- Demonstrated leadership ability.

#### **OR**

- An equivalent combination of education, experience, knowledge, skills, abilities, and other characteristics consistent with the required qualifications for seven (7) years total required education and experience.

## Attachment 1 - IT POSITIONS

### **MISSION CRITICAL POSITION**

This position has been identified as a “Mission Critical” position due to the responsibility IT has in supporting systems that are critical to agency operations.

### **SECURITY SENSITIVE POSITION**

This position has been identified as a “Security Sensitive” position. Capital Metro will conduct annual background checks on incumbents in this position. A position is “Security Sensitive” if its incumbent handles currency, has access to sensitive computerized databases, has access to master keys, or works in an area of the Capital Metro that has been designated as a security-sensitive area.

## Attachment 1 - IT POSITIONS

### TITLE: *System Support Specialist I-III*

#### JOB SUMMARY

This position is will provide edge device hardware and software support including: solving microcomputer operations problems, installation and maintenance of workstations, laptops, docking stations, tablets, smartphones, peripherals, specialized end user technologies, and network components, user support and training, documentation.

#### PRIMARY RESPONSIBILITIES

- Customer Service
- Diagnose and resolve user problems.
- Train internal customer on edge device software.
- Manage user access to software.
- Edge device hardware management Provide after hours on-call support on a rotational basis.
- PC Hardware Management
- Assist in installation and minor maintenance
- Assist in contracted maintenance and license management
- Assist in inventory maintenance
- Edge device software management
- Assist in installation of upgrades and minor maintenance
- Assist in edge device security maintenance (patches, anti-virus, access control, etc.)
- Assist in Inventory maintenance
- Perform other duties as required and/or assigned.

#### MINIMUM QUALIFICATIONS

##### **Education and Experience:**

- High school diploma or equivalent
- One (1) year resolving microcomputer hardware and software problems with three (3) years experience using or operating a microcomputer.
- Three (3) years experience using or operating a microcomputer

##### **Knowledge, Skills and Abilities:**

- Knowledge of Microsoft Windows architecture, of customer service and working team concepts.
- Ability to teach software usage and solve user problems and to identify and resolve edge device hardware problems.
- Good oral and written communication skills and ability to establish and maintain effective working relationships.
- Ability to coordinate several diverse job requirements and projects.
- Ability to lift and carry 70 lbs. with assistance.

## Attachment 1 - IT POSITIONS

### SECURITY SENSITIVE POSITION

This position is a "Security Sensitive" position. Capital Metro will conduct annual criminal background checks on incumbents in this position. A position is "Security Sensitive" if it's incumbent handles currency,

## Attachment 1 - IT POSITIONS

### TITLE: Technology Project Manager I-III

#### JOB SUMMARY

The Technology Project Manager reports directly to the Manager of Project Management Office, but may perform tasks under the general direction of a Technology Project Manager II or III on larger projects. This position is responsible for managing all project lifecycle phases to plan, coordinate, and implement systems, applications and technologies for one or more small sized, low complexity projects or subprojects and portions of larger projects which includes little or no integration with other systems. This position will analyze and evaluate existing and proposed systems, perform business process reviews and all other functions related to the implementation of technology projects. Lead the efforts of a project team made up of internal and external technical and non-technical staff to successful project completion. This role is also responsible for providing customer focused service and building positive and constructive relationships with stakeholders and customers, by understanding their needs, problems, and providing timely communication and service.

#### PRIMARY RESPONSIBILITIES

- Perform research and needs assessments for technology projects.
- Draft and monitor project implementation plans, requirements definition, scope development resource allocation, risk analysis, quality assurance, schedules, and budgets.
- Manage the efforts of cross functional project team members in a matrix management environment, to include task scheduling and monitoring.
- Facilitate conflict resolution among project team members to include vendors, technical leads, and operations staff.
- Prepare scopes of work, cost benefit analysis, and other documents necessary to the project procurement process.
- Prepare status reporting project updates and presentations as necessary.
- Lead and document project team meetings.
- Partner with stakeholders to undertake full IT ownership of the systems and projects assigned and become proficient in the technical and functional aspects of these systems.
- Provide technical support on projects. Successfully support tasks or projects as assigned. Provide support working with technology vendors and implementation partners to implement technical solutions.
- Provide periodic reports to management.
- Develop and ensure updates to technical and/or user documentation. Train users on systems and processes. Provide support in efforts to encourage system use and adoption with the business areas. Act as an advocate and advisor for the application of technology solutions to the agency.
- Provide support in proactively setting up and managing systems in excellent working condition through implementation and monitoring of alerts, regular maintenance activities, performance tuning, software updates and patches. Provide support in working with internal IT teams and technology vendors to ensure all systems are available and secure on a 24 by 7 basis.
- Support efforts in system security by ensuring compliance to security standards and policies, monitoring access privileges, conducting risk assessments, investigation of suspicious activities, and remediation of identified security threats or risks.
- Document test cases and perform comprehensive testing during implementation and upgrades.

## Attachment 1 - IT POSITIONS

- Provide support in the planning and undertaking of periodic risk analysis of systems and mitigate risks wherever possible. Provide support in the planning and testing of disaster recovery. Provide support to implement, monitor and verify backups. Provide support in resolving issues.
- Follow change management and change control processes to plan and deploy system changes. Perform change-impact analysis. Communicate changes to business areas and IT.
- Research, develop and implement IT standards and best practice policies and procedures.
- Maintain a safe working environment at all times.
- Perform other duties as required and/or assigned in support of the Capital Metro Strategic Goals and the IT Vision, Mission, and Objectives aligned to these goals.

### **MINIMUM QUALIFICATIONS**

#### **Education and Experience:**

- Bachelor's degree in Computer Science or related field. Additional related experience may substitute for degree on a year for year basis up to four years.
- Three (3) years of progressively responsible experience in Information Technology or related field.
- Two (2) years managing technology projects including one (1) year supervising technical and functional teams.
- Experience in IT infrastructure, project planning and implementation.
- Experience with direct end-user support in a customer service role. Demonstrated dedication to customer service.

#### **OR**

- An equivalent combination of education, experience, knowledge, skills, abilities, and other characteristics consistent with the required qualifications for seven (7) years total required education and experience.

#### **Knowledge, Skills and Abilities:**

- Excellent organization abilities, analytical skills and communication skills including the ability to effectively communicate technical information to a non-technical audience.
- Be self-motivated and seek opportunities for continuous improvement of IT skills and processes. Be a catalyst and a willing participant of organizational changes.
- Ability to work in a team environment in a matrix organization, partnering well with employees, management, users, business areas, vendors, contractors and undertake duties and tasks as assigned without close supervision
- Ability to be a positive and constructive contributor in a team based environment
- Knowledge of Information System Implementation Lifecycle desired.
- Ability to effectively manage multiple priorities and diverse groups of people and activities simultaneously
- Knowledge of the Project Management Institute PMBOK for standard project management methodologies and processes.
- Ability to lead cross-functional teams
- Ability to manage several diverse projects simultaneously
- Ability to identify critical risk factors that may impact the project
- Excellent attention to detail.
- Excellent oral and written communication skills.

## **Attachment 1 - IT POSITIONS**

- Proficiency using Microsoft Project to develop a project schedule, assign resources to tasks, track progress, and analyze workloads.
- Proficiency using Microsoft Office Suite.
- Demonstrated leadership ability.

### **SECURITY SENSITIVE POSITION**

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## Attachment 1 - IT POSITIONS

### TITLE: SharePoint Contractor

#### JOB SUMMARY

The SharePoint Contractor reports directly to the Technology Systems Manager. This position will serve as combination programmer/developer, administrator and business analyst assigned as part of a team to design develop and implement SharePoint collaboration, search management and records management system for Capital Metro.

#### PRIMARY RESPONSIBILITIES

- Provide technical support on SharePoint site configurations and administration
- Maintain SharePoint Information Governance Framework
- Develop test procedure and perform user acceptance testing
- Design SharePoint Site template and views
- Security template design and planning
- Create technical and functional documentation of the system developed
- Work with Information Technology team and business users to obtain and document requirements
- Identify opportunities for improvement
- Migrate document from eDocs Document Management System (Hummingbird) to SharePoint
- Ensure any issue is escalated to the project manager in a timely manner
- Be responsible in maintaining a safe working environment at all times.
- Perform other duties as required and/or assigned.

#### MINIMUM QUALIFICATIONS

##### **Education and Experience:**

- BS in Computer Science, MIS or related field is preferred.
- 2+ years' experience in administration and deployment of SharePoint 2010-2013 (SharePoint Online a plus).
- Site Owner and Site Administration experience with SharePoint 2010 or above is required.
- Experience building and supporting all aspects of SharePoint 2010 or above, including sites, site collections, master pages & templates, web parts, content types & policies, lists, libraries, workflows, forms authentication, configuring SharePoint for records management and security groups is required.
- Experience in .NET Framework (3.0 or higher) using C#, ASP.NET, CSS, JavaScript, HTML/DHTML, and AD authentication is preferred.

##### **Knowledge, Skills and Abilities:**

- Knowledge of Microsoft Windows Server, Office 2010 or above, MS Lync, PowerShell and scripting languages.
- MCSE, MCTS or MCITP SharePoint Certifications a plus.
- Excellent oral and written communication skills.
- Ability to work well in a team environment.

#### SECURITY SENSITIVE POSITION

This position is a "Security Sensitive" position. Capital Metro will conduct annual criminal background checks on incumbents in this position. A position is "Security Sensitive" if its incumbent handles currency,

## **Attachment 1 - IT POSITIONS**

has access to sensitive computerized databases, has access to master keys, or works in an area of the Capital Metro that has been designated as a security-sensitive area.

## Attachment 1 - IT POSITIONS

### **TITLE: Senior GIS Analyst I-III**

#### **JOB SUMMARY**

The Senior GIS Analyst reports directly to the Technical IT Manager, Enterprise Application Support and works closely with the GIS Coordinator II. Under the guidance and direction of the GIS Coordinator this position will support the planning, development, maintenance and implementation of an Enterprise Geographic Information Systems (GIS). This role is also responsible for providing customer focused service and building positive and constructive relationships with stakeholders and customers, by understanding their needs, problems, and providing timely communication and service.

#### **PRIMARY RESPONSIBILITIES**

- Provide assistance in the coordination, management, and execution of the development, maintenance, implementation, training and support of GIS and related systems.
- Help to coordinate and plan the implementation, maintenance and upgrades of hardware and software to support an Enterprise GIS throughout the Agency.
- Assist in establishing and ensuring compliance of policies and procedures concerning the development and use of spatial data throughout Capital Metro.
- Responsible for map/data maintenance and development to include: base maps, service area maps/data, and other maps/data as necessary through a cooperative effort with various departments throughout the agency.
- Responsible for internal & external customer support and training on GIS related applications and tools.
- Provide technical support on projects. Successfully support tasks or projects as assigned. Provide support working with technology vendors and implementation partners to implement technical solutions.
- Develop and ensure updates to technical and/or user documentation. Train users on systems and processes. Provide support in efforts to encourage system use and adoption with the business areas. Act as an advocate and advisor for the application of technology solutions to the agency.
- Provide periodic reports to management.
- Provide support in proactively setting up and managing systems in excellent working condition through implementation and monitoring of alerts, regular maintenance activities, performance tuning, software updates and patches. Provide support in working with internal IT teams and technology vendors to ensure all systems are available and secure on a 24 by 7 basis.
- Support efforts in system security by ensuring compliance to security standards and policies, monitoring access privileges, conducting risk assessments, investigation of suspicious activities, and remediation of identified security threats or risks.
- Document test cases and perform comprehensive testing during implementation and upgrades.
- Provide support in the planning and undertaking of periodic risk analysis of systems and mitigate risks wherever possible. Provide support in the planning and testing of disaster recovery. Provide support in to implement, monitor and verify backups. Provide support in resolving issues.
- Follow change management and change control processes to plan and deploy system changes. Perform change-impact analysis. Communicate changes to business areas and IT.
- Research, develop and implement IT standards and best practice policies and procedures.
- Be responsible in maintaining a safe working environment at all times.
- Perform other duties as required and/or assigned in support of the Capital Metro Strategic Goals and the IT Vision, Mission, and Objectives aligned to these goals.

## Attachment 1 - IT POSITIONS

### **MINIMUM QUALIFICATIONS**

#### **Education and Experience:**

- BA/BS in GIS or related field. Additional related experience may substitute for degree on a year for year basis up to four years.
- Three (3) years hands-on experience with Esri's ArcGIS suite.
  - Including ArcGIS Desktop, Server, AGO/Portal, ArcPy, & Collector.
- Experience with an ArcSDE/Enterprise Geodatabases on SQL Server.
- Preferred experience with Safe's Feature Manipulation Engine (FME) Desktop and Server.
- Experience with direct end-user support in a customer service role. Demonstrated dedication to customer service.
- Knowledge of General Transit Feed Specification (GTFS) a plus.

#### **OR**

- An equivalent combination of education, experience, knowledge, skills, abilities, and other characteristics consistent with the required qualifications for 7 years total required education and experience.

#### **Knowledge, Skills and Abilities:**

- Developer skills a plus and would include: Python, HTML5, and SQL languages.
- Knowledge of geoprocessing and ArcPy (i.e., both using and creating custom tools).
- Excellent organization abilities, analytical skills and communication skills including the ability to effectively communicate technical information to a non-technical audience.
- Be self-motivated and seek opportunities for continuous improvement of IT skills and processes. Be a catalyst and a willing participant of organizational changes.
- Ability to work in a team environment in a matrix organization, partnering well with employees, management, users, business areas, vendors, contractors and undertake duties and tasks as assigned without close supervision.
- Ability to be a positive and constructive contributor in a team based environment.
- Knowledge of Information System Implementation Lifecycle desired.
- Ability to effectively manage multiple priorities and diverse groups of people and activities simultaneously.
- Proficiency using Microsoft Office Suite.
- Demonstrated leadership ability.

### **SECURITY SENSITIVE POSITION**

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## Attachment 1 - IT POSITIONS

### TITLE: .NET Developer

#### **JOB SUMMARY**

The .NET Developer (Temp) reports directly to the Database Administrator III. This position will serve as combination programmer/developer and business analyst assigned to design and develop custom web applications integrated with enterprise RDMS. Work as part of a team to plan, coordinate and implement programming projects for Capital Metro.

#### **PRIMARY RESPONSIBILITIES**

- Migrate existing legacy ASP and other web applications to .NET framework
- Work with Information Technology team and customers to obtain and document requirements.
- Design, code and test new or upgrade existing web applications, reports, and queries as needed in support of business needs. Use best practices to develop applications.
- Develop database objects like Stored Procedure, views and/or functions that integrates with the web applications
- Prepare project plans and schedules and deliver per deadlines
- Conduct project status meetings, documents meeting minutes & action items. Provide regular status reports.
- Create technical and functional documentation of the system developed
- Act as the technical expert to answer web related questions and troubleshoot problems with the web applications and corresponding databases. Debug errors by using logs, print outs, and other system related tools.
- Be responsible in maintaining a safe working environment at all times.
- Perform other duties as required and/or assigned.

#### **MINIMUM QUALIFICATIONS**

##### **Education and Experience:**

- High school diploma or GED.
- 1 to 2 years of development experience in .NET Framework (3.0 or higher) using C#, ASP.net, UI design, CSS, JavaScript, JQuery, AJAX, Web Services, HTML/DHTML, ADO.NET and AD authentication.
- Must have significant contribution in development of 1-2 .NET systems

##### **Knowledge, Skills and Abilities:**

- Skilled in implementation of .NET applications right from planning, designing, developing, configuring, deployment and support.
- Hands on development experience using Microsoft Visual Studio.
- Working Knowledge of Microsoft SQL Server, Oracle Database and SQL/T-SQL to create database objects.
- Excellent oral and written communication skills. Ability to work well in a team environment.

## Attachment 1 - IT POSITIONS

### **SECURITY SENSITIVE POSITION**

This position is a "Security Sensitive" position. Capital Metro will conduct annual criminal background checks on incumbents in this position. A position is "Security Sensitive" if its incumbent handles currency, has access to sensitive computerized databases, has access to master keys, or works in an area of the Capital Metro that has been designated as a security-sensitive area.

## Attachment 1 - IT POSITIONS

### TITLE: CRM System Specialist I-III

#### JOB SUMMARY

Serve as combination business analyst and technical resource assigned to plan, design, develop, configure and implement Microsoft Dynamics Customer Relationship Management (CRM) System online.

#### PRIMARY RESPONSIBILITIES

- Migrate existing legacy Customer Service Application to Dynamics CRM Online.
- Work with Information Technology team and customers to obtain and document requirements by creating artifacts such as Use Cases, User Stories, Requirements Definitions, Process Flows, Process Definitions, and User Interface Design.
- Work with team members independently to design, code, configure and test new Customer Service Application on Microsoft Dynamics CRM. This would include: entity customization, plug-in development, CRM forms, screens, views, workflows, dashboards and reports development using JavaScript, .Net C#, SSRS and related technologies as needed.
- Migrate data from the legacy system to the new Dynamics CRM system.
- Utilize Microsoft Visual Studio to develop and maintain code.
- Develop database objects like Stored Procedure, views and/or functions that integrates with the CRM solution.
- Prepare project plans and schedules and deliver per deadlines.
- Interact with development team and management staff. Conduct project status meetings, document meeting minutes & action items. Provide regular status reports.
- Create technical and functional documentation of the system developed.
- Act as the technical expert to answer questions and troubleshoot problems with the Dynamics CRM applications and corresponding databases. Debug errors by using logs, print outs, and other system related tools.
- Be responsible in maintaining a safe working environment at all times.
- Perform other duties as required and/or assigned.

#### MINIMUM QUALIFICATIONS

##### **Education and Experience:**

- Bachelor's degree in Computer Science, Information Systems or related area preferred.
- Two (2) years' experience in Information Technology.
- Two (2) years' experience in doing development and configuration work in Microsoft Dynamics CRM, JavaScript, .NET C#, SSRS.
- Two (2) years' significant role in developing and deploying Microsoft Dynamics CRM systems.
- Technical experience with Microsoft Dynamics CRM 2013 version would be a plus.

##### **Knowledge, Skills and Abilities:**

- Specific experience in Microsoft Dynamics CRM entity customization, plug-in development, CRM forms, screens, views, workflows, dashboards and reports development
- Experience with mobile and outlook configuration is a plus.
- Hands on development experience using Microsoft Visual Studio.
- Working Knowledge of Microsoft SQL Server, Oracle Database and SQL/T-SQL
- Knowledge of object oriented programming methodologies, structured systems analysis, design tools, and software development lifecycle
- Excellent oral and written communication skills. Ability to work well in a team environment.

## Attachment 1 - IT POSITIONS

### **Ed 12/16/16)SECURITY SENSITIVE POSITION**

This position is a "Security Sensitive" position. Capital Metro will conduct annual criminal background checks on incumbents in this position. A position is "Security Sensitive" if the incumbent handles currency, has access to sensitive computerized databases, has access to master keys, or works in an area of the Capital Metro that has been designated as a security-sensitive area.



## Attachment 1 - IT POSITIONS

### TITLE: ServiceNow Contractor

#### JOB SUMMARY

The ServiceNow Contractor reports directly to the Technology Systems Manager. This position will serve as combination programmer/developer, administrator and business analyst assigned as part of a team to design develop and implement ServiceNow collaboration, search management and records management system for Capital Metro.

#### PRIMARY RESPONSIBILITIES

- Provide technical support on ServiceNow site configurations and administration
- Maintain ServiceNow Information Governance Framework
- Develop test procedure and perform user acceptance testing
- Design ServiceNow Site template and views
- Security template design and planning
- Create technical and functional documentation of the system developed
- Work with Information Technology team and business users to obtain and document requirements
- Identify and implement opportunities for improvement
- Ensure any issue is escalated to the project manager in a timely manner
- Be responsible in maintaining a safe working environment at all times.
- Perform other duties as required and/or assigned.

#### MINIMUM QUALIFICATIONS

##### **Education and Experience:**

- BS in Computer Science, MIS or related field is preferred.
- 2+ years' experience in administration and deployment of ServiceNow is required.
- Experience building and supporting all aspects of ServiceNow.
- Experience in .NET Framework (3.0 or higher) using C#, ASP.NET, CSS, JavaScript, HTML/DHTML, and AD authentication is preferred.

##### **Knowledge, Skills and Abilities:**

- Knowledge of Microsoft Windows Server, Office 2010 or above, MS Lync, PowerShell and scripting languages.
- MCSE, MCTS or MCITP SharePoint Certifications a plus.
- Excellent oral and written communication skills.
- Ability to work well in a team environment.

#### SECURITY SENSITIVE POSITION

This position is a "Security Sensitive" position. Capital Metro will conduct annual criminal background checks on incumbents in this position. A position is "Security Sensitive" if its incumbent handles currency, has access to sensitive computerized databases, has access to master keys, or works in an area of the Capital Metro that has been designated as a security-sensitive area.

## Attachment 1 - IT POSITIONS

### **TITLE: Business Analyst I-III**

#### **JOB SUMMARY**

The Business Systems Analyst II reports directly to the Program Manager or Technology Manager. This position is responsible for supporting the finance business unit to ensure finance policies and business processes are implemented and followed accurately. The person in this role will lead and support fare structure, programs, and fare policy initiatives, business systems administration, including support of finance customer payment systems and ERP initiatives in coordination with the project managers. Following implementation of new systems, this role will support the continued operation of these systems which may include process improvements and upgrades.

#### **PRIMARY RESPONSIBILITIES**

- Maintain working relationships between end-users, information technology support and project staff, and vendors to ensure the needs of the business unit are met.
- Develop and communicate policies and procedures for customer payment systems and related activities, including business rules, departmental coordination, setup, monitoring and troubleshooting of the internal controls and reconciliation processes.
- Perform customer payment system and ERP system analysis and troubleshooting. Assist end-users and information technology support staff to troubleshoot enterprise applications or hardware.
- Analyze and audit business process potentials for streamlining and improvements in efficiencies, as well as compliance with established policies and procedures.
- Provide regular review of data collection/input procedures and strive to achieve improved data quality through increased system knowledge/awareness among daily users.
- Identify business trends using data, compile analysis reports that are delivered to stakeholders and then follow-up on all results. Assist business owners with reporting and metrics, including the development of new reports.
- Act as finance subject matter expert on technology projects. Develop project system scope and objectives to guide finance and IT department in the redesign of systems or the implementation of new systems.
- Manage the support responsibility matrices for financial systems defining roles and responsibilities and leading periodic reviews with system stakeholders.
- Assist with development and review of functional mapping, workflows, technical documentation, and test scripts, coordinate implementations, conduct acceptance testing and develop/conduct user training as needed for new and upgraded technology projects.
- Lead efforts to encourage system use and adoption for financial systems with all business areas. Act as an advocate and advisor for the business processes or technology systems to the agency.
- Continually evaluate technology products, services, settings, and their use to determine the business unit can meet its operational needs. Suggest alternative products, services, uses, or settings to improve business unit function, as needed.
- Manage project expenses and/or budgets related to the Financial systems.
- Develop and maintain a growing technology learning library for finance end users.
- Review administrative contracts and work with vendors to resolve contract performance issues; review contract specifications and monitor contractor performance; ensure project milestones are met by monitoring completion of tasks.
- Support Capital Metropolitan Transportation Authority's Safety Management Systems (SMS) process by following safety and security policies, considering safety in every action and reporting safety and security concerns.
- Perform other duties as required and/or assigned.

## Attachment 1 - IT POSITIONS

### **MINIMUM QUALIFICATIONS**

#### **Education and Experience:**

- Bachelor's degree in Computer Information System, Accounting or related field from an accredited college or university. Related experience may substitute on a year for year basis for educational requirements up to four (4) years.
- Five (5) years of progressively responsible experience in applications or systems analyst work with systems training and team leadership. Preferred experience in Customer Payment Systems for Transit Agencies and ERP systems
- Four (4) years of system or data analysis including query writing.
- Three (3) years of experience with Business Intelligence systems, such as Power BI, Tableau, COGNOS
- Proficiency using Microsoft Office Suite, Microsoft Project, Microsoft Visio
- Structure Query Language (SQL) statements.
- Experience and understanding of transit-oriented business systems preferred.

#### **Knowledge, Skills and Abilities:**

- Strong analytical and troubleshooting skills.
- Detail oriented and the ability to work in a highly collaborative environment that supports transparent communication among staff.
- Experience using word processing, database, spreadsheet, and visio.
- Excellent oral, written, and interpersonal communication skills.
- Ability to maintain confidentiality of sensitive information.
- Ability to manage multiple projects and meet established deadlines.
- Ability to maintain an effective working relationship with employees, management, contractors, and the general public.

### **SECURITY SENSITIVE POSITION**

This position has been identified as a "Security Sensitive" position. Capital Metro will conduct annual background checks on incumbents in this position. A position is "Security Sensitive" if its incumbent handles currency, has access to sensitive computerized databases, has access to master keys, or works in an area of the Capital Metro that has been designated as a security-sensitive area.

## Attachment 1 - IT POSITIONS

### TITLE: Information Systems Security Analyst I-III

#### JOB SUMMARY

The Information Systems Security Analyst protects against unauthorized access, modification, or destruction of CapMetro assets and contributes to the development of Information Technology (IT) security policies and standards. Complete tasks designed to ensure security of the organization's systems and information assets. The incumbent understands internet architecture, firewall, and other network infrastructure configurations to protect system security. In addition, the incumbent may need to authorize user access and be familiar with domain structures and digital signatures. The incumbent will contribute to moderately complex aspects of a project. This position will report directly to the VP, Chief Information Security Officer but may also receive assignments from the Program Manager IV Network Cybersecurity.

#### PRIMARY RESPONSIBILITIES

- Install and maintain IT Cybersecurity infrastructure.
- Monitor internal alerts, industry bulletins, federal notifications on cybersecurity threats, take action needed and escalate appropriately.
- Assess new systems for security vulnerabilities prior to acquisition.
- Install new software releases and system upgrades.
- Perform tuning and capacity planning to enhance performance of the IT cybersecurity infrastructure.
- Perform system and user analysis to plan and implement short/mid-range hardware improvements.
- Assist with all system backups and recovery operations related to cybersecurity infrastructure.
- Review user accounts and system access levels as appropriate.
- Ensure infrastructure security policies are implemented and maintained.
- Perform system and user analysis to resolve advance system problems.
- Analyze, monitor, and optimize IT cybersecurity infrastructure performance.
- Mentor other network administrators and other team members to facilitate business goals and agency processes.
- Provide input to supervisor for process change, enterprise system priorities, and team goals.
- Manage maintenance and license agreements.
- Maintain hardware and software inventory related to cybersecurity infrastructure.
- Ensure cybersecurity infrastructure systems are documented according to approved standards.
- Participate in after-hours on call support rotation when necessary.
- Provide customer focused service. Build positive and constructive relationships with business areas, customers, understand their needs, problems and provide timely communication and service.
- Partner with business to undertake full IT ownership of the systems and projects assigned and become proficient in the technical and functional aspects of these systems.
- Provide technical support and leadership assistance on projects. Successfully support and assist in leading tasks or projects as assigned. Provide leadership assistance and support in working with technology vendors and implementation partners to implement technical solutions.
- Provide periodic reports to management.
- Develop and ensure updates to technical and/or user documentation. Train users on systems and processes related to cybersecurity to include managing annual mandatory training events. Lead

## Attachment 1 - IT POSITIONS

in efforts to encourage system use and adoption with the business areas. Act as an advocate and advisor for the application of cybersecurity technology solutions to the agency.

- Provide support and assist in leadership in proactively setting up and managing systems in excellent working condition through implementation and monitoring of alerts, regular maintenance activities, performance tuning, software updates and patches. Provide support and assist in leadership in working with internal IT teams and technology vendors to ensure all systems are available and secure on a 24 by 7 basis.
- Support and assist in leading efforts in system security by ensuring compliance to security standards and policies, monitoring access privileges, conducting risk assessments, investigation of suspicious activities, and remediation of identified security threats or risks.
- Document test cases and perform comprehensive testing during implementation and upgrades.
- Support and assist in leading the planning and undertaking of periodic risk analysis of systems and mitigate risks wherever possible.
- Follow change management and change control processes to plan and deploy system changes. Perform change-impact analysis. Communicate changes to business areas and IT.
- Research, contribute to the development of IT standards, and implement IT standards and best practice policies and procedures.
- Be self-motivated and seek opportunities for continuous improvement of IT skills and processes.
- Be responsible and always maintain a safe working environment.
- Support Capital Metropolitan Transportation Authority's Safety Management Systems (SMS) process by following safety and security policies, considering safety in every action and reporting safety and security concerns.
- Perform other duties as required and/or assigned in support of the CapMetro Strategic Goals and the IT Vision, Mission, and Objectives aligned to these goals.
- 

### **MINIMUM QUALIFICATIONS**

#### **Education and Experience:**

- Bachelor's degree in Computer Science or related field. Additional related experience may substitute for a degree on a year for year basis up to four years.
- Four (4) years of progressively responsible experience in infrastructure applications, systems, and Cybersecurity related services and experience in Windows server network or IT systems management.
- Experience with direct end-user support in a customer service role. Demonstrated dedication to customer service
- Formal Cybersecurity certifications are desired but not required – such as CISSP.

#### **Knowledge, Skills and Abilities:**

- Demonstrated ability to maintain server hardware, software, and network equipment.
- Knowledge of major hardware and software systems including local area networks, PC architecture and networking topologies.
- Skills with current major network system applications.
- Customer service experience and working team concepts.
- Strong analytical and troubleshooting skills to resolve hardware, software, and Cybersecurity issues.
- Strong oral and written communication skills and ability to establish and maintain effective working relationships.
- Ability to deliver quality work timely and accurately
- Ability to coordinate several diverse job requirements and projects.

## **Attachment 1 - IT POSITIONS**

- Excellent organization abilities, analytical skills and communication skills including the ability to effectively communicate technical information to a non-technical audience.
- Be self-motivated and seek opportunities for continuous process improvement. Be a catalyst and a willing participant of organizational changes.
- Ability to work in a team environment in a matrix organization, partnering well with employees, management, users, business areas, vendors, contractors and undertake duties and tasks as assigned without close supervision.
- Ability to be a positive and constructive contributor in a team-based environment.
- Knowledge of Information System Implementation Lifecycle desired.
- Ability to effectively manage multiple priorities and diverse groups of people and activities simultaneously.
- Proficiency using Microsoft Office Suite.

### **SECURITY SENSITIVE POSITION**

This position has been identified as a “Security Sensitive” position. Capital Metro will conduct annual background checks on incumbents in this position. A position is “Security Sensitive” if its incumbent handles currency, has access to sensitive computerized databases, has access to master keys, or works in an area of the Capital Metro that has been designated as a security-sensitive area.

## Attachment 1 - IT POSITIONS

### TITLE: Telecommunications Technician I-III

#### JOB SUMMARY

The Telecommunications Technician reports directly to the Director, Network Services. This position will provide installation, maintenance and operational support for Capital Metro's telecommunications solution. This position is responsible for prioritization of task assignments and project goals, hands-on problem solving, installation and maintenance of telecommunications hardware and software, and related adjunct systems, research, documentation, customer support and training. This role is also responsible for providing customer focused service and building positive and constructive relationships with stakeholders and customers, by understanding their needs, problems, and providing timely communication and service.

#### PRIMARY RESPONSIBILITIES

- Customer Service
  - ◆ Diagnose and resolve customer issues.
  - ◆ Train internal customers on telecommunications systems and basic troubleshooting.
  - ◆ Manage user access to telecommunications systems.
  - ◆ Develop documentation for processes, training, troubleshooting, etc.
  - ◆ Provide after hours on-call support.
  
- Telecommunications Hardware Management
  - a. Assist in installation and minor maintenance.
  - b. Assist in contracted maintenance and license management.
  - c. Perform research for emerging technologies and make recommendations.
  - d. Assist in inventory maintenance and documentation.
  - e. Maintain and configure telecommunications systems management infrastructure for updates, patching, etc.
  
- Telecommunications Software Management
  - s. Assist in installation of upgrades and minor maintenance.
  - t. Assist in Inventory maintenance and documentation.
  - u. Maintain telecommunications systems security (patches, anti-virus, access control, etc.).
  - v. Maintain and configure telecommunications systems management application for updates, patching, etc.
  
- Telecommunications Adjunct Administration

Maintain and support telecommunications adjunct systems in conjunction with service providers. Provide support for functionality, reports, queries, interfaces, and system integration in support of business needs for (but not limited to) the following applications:

  - w. Public Address System
  - x. Announcement Devices
  - y. Outside Ringers / Indicator Lights / Call Boxes
  
- User Provisioning Lead
  - z. Create, modify, disable and delete user accounts and their profiles for the telecommunications system and adjuncts.
  
- Partner with stakeholders to undertake full ownership of the systems and projects assigned and become proficient in the technical and functional aspects of these systems.
- Maintain a safe working environment at all times.

## Attachment 1 - IT POSITIONS

- Support Capital Metropolitan Transportation Authority's Safety Management Systems (SMS) process by following safety and security policies, considering safety in every action and reporting safety and security concerns.
- Perform other duties as required and/or assigned in support of the Capital Metro Strategic Goals and the IT Vision, Mission, and Objectives aligned to these goals.

### **MINIMUM QUALIFICATIONS**

#### **Education and Experience:**

- Associates degree in Telecommunications or related field. Related experience may be substituted on a year-for-year basis for up to two (2) years.
- Eight (8) years of experience resolving telecommunications hardware and software problems in a networked environment.
- Five (5) or more years of experience in supporting and administering telecommunications solutions.
- Experience with direct end user support in a customer service role.

#### **Knowledge, Skills and Abilities:**


- Knowledge of telecommunications systems analysis, troubleshooting and repair skills
- Ability to use a personal computer in a networked Microsoft Enterprise environment
- Ability to use basic cable testing equipment
- Ability to teach software usage and solve user problems and to identify and resolve telecommunications systems problems.
- Good oral and written communication skills and ability to establish and maintain effective working relationships.
- Ability to coordinate several diverse job requirements and projects.
- Ability to use Microsoft Office 365 applications such as Excel, Word, Sharepoint.
- Ability to maintain and support a telecommunications system in conjunction with the providing vendor
- Ability to lift and carry 70 lbs. with assistance.
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### **SECURITY SENSITIVE POSITION**

This position has been identified as a "Security Sensitive" position. Capital Metro will conduct annual background checks on incumbents in this position. A position is "Security Sensitive" if its incumbent handles currency, has access to sensitive computerized databases, has access to master keys, or works in an area of the Capital Metro that has been designated as a security-sensitive area.



## ATTACHMENT 2

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|    | <b>Background Investigations and<br/>Driving Requirements and<br/>Reporting<br/>HRC-112</b><br><br><b>Vice President, Administration<br/>and Risk Management<br/>Compliance Officer</b>   | <b>Issued: April 2001<br/>Updated: July 2017</b><br><br><b>Approved by:<br/>President &amp; CEO</b> |
| <b>PURPOSE</b>  |   |   |
| <p>The purpose of this policy is to provide: 1) process and procedures for background investigations for pre-employment for Capital Metropolitan Transportation Authority (Capital Metro) job applicants; 2) provide guidelines to Capital Metro contractors/service providers for evaluating their applicants; 3) process for annual background reviews for current employees as required by security or safety status; and 4) requirements for eligibility to drive on Capital Metro business.</p>  |   |   |
| <b>POLICY</b>   |   |   |
| <p>This policy applies to all Capital Metro employees. The procedures for evaluating background investigations will apply to Capital Metro contractors/service providers in their evaluations of eligibility for hiring and continued employment.</p> <p>Capital Metro reserves the right to check the driving, credit and criminal records of employees both before and during employment at Capital Metro based on the requirements and responsibilities of the job as determined by the safety and/or security status of each position. Applicants must provide a driver's license and/or other identifying information from which a background history will be conducted. An investigation may be conducted for the following purposes:</p> <ul style="list-style-type: none"> <li>- Determine license status;</li> <li>- Existence of driving convictions, criminal convictions, credit history or other background information relevant to the position; or</li> <li>- As required by governing jurisdictions.</li> </ul> <p>The policy addresses Capital Metro's expectations with respect to employees reporting changes to their criminal or driving record history.</p> |   |   |
| <b>Compliance with FCRA</b>   | <p>Capital Metro and its contractors/service providers as outlined in their contracts will comply with all legal requirements relating to background and credit checks, including but not limited to, compliance with the provisions of the Fair Credit Reporting Act (FCRA), as amended.</p> <p>This includes proper and timely disclosure of reports being requested and notice of any potential adverse actions.</p> |   |
| <b>Disclosure and Identity Verification</b>   | <p>The applicant will be given a disclosure notice prior to requesting the background investigation.</p> <p>If an applicant is denied consideration based upon background history, it must be verified that his/her identity corresponds with the background document through matching social security number, date of birth and drivers' license number.</p>   |   |

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| <b>RESPONSIBILITIES</b>                           |   |
|---|---|
| <b>President/CEO</b>                              | <ul style="list-style-type: none"> <li>○ The President/CEO approves policies based on recommendations from the Executive Policy Review Team.</li> </ul>   |
| <b>Executive Policy Review Team</b>               | <ul style="list-style-type: none"> <li>○ Executive Policy Review Team reviews and recommends new policies and policy changes to the President/CEO for approval.</li> </ul>  |
| <b>Risk Assessment Team (Team)</b>                | <ul style="list-style-type: none"> <li>○ The Risk Assessment Team will review requests related to candidates who have been conditionally eliminated from the hiring pool due to the background investigation results.</li> <li>○ The Risk Assessment Team will review the evaluation factors and the circumstances presented by the candidate in making a decision as to the eligibility for employment by Capital Metro and/or contractors/service providers.</li> </ul>   |
| <b>People &amp; Culture Department</b>            | <ul style="list-style-type: none"> <li>○ The People &amp; Culture Department is responsible for maintaining and interpreting People &amp; Culture policies.</li> <li>○ The People &amp; Culture Department will recommend changes to People &amp; Culture policies for review by the Executive Policy Review Team.</li> <li>○ The People &amp; Culture Department is responsible for processing background investigations on all final applicants for hire for Capital Metro positions and current Capital Metro employees for annual reviews.</li> </ul>   |
| <b>Capital Metro Contract Administrator</b>       | <ul style="list-style-type: none"> <li>○ The contract administrator is a Procurement Department staff member assigned to oversee the solicitation and administration of contracts subject to this policy.</li> <li>○ The contract administrator will work with the project manager to determine the appropriate categories of contractor/service provider employees that will provide services to Capital Metro under the contract.</li> <li>○ The contract administrator will work with the contractor/service provider to ensure compliance with applicable requirements of this policy.</li> </ul>   |
| <b>Capital Metro Contractor/ Service Provider</b> | <ul style="list-style-type: none"> <li>○ Capital Metro contractors/service providers provide services to Capital Metro in operating our business. Candidates for employment must be evaluated in accordance with the background evaluation factors outlined in this policy. A contractor may appeal to the Risk Assessment Team if a candidate is conditionally eliminated from the hiring pool due to the background investigation results.</li> <li>○ Capital Metro contractors/service providers are responsible for processing background investigations on candidates and current employees based on the safety and security requirements of the position.</li> <li>○ Capital Metro contractors/service providers are required to take all necessary steps to ensure compliance with this policy.</li> </ul> |
| <b>Department Manager</b>                         | <ul style="list-style-type: none"> <li>○ The department manager is responsible for ensuring that employees are familiar with this policy and the requirements. If the manager is aware of any changes to employee's criminal and/or driving records the manager is required to ensure the employee reports the change to the Sr. Director / Chief, People &amp; Culture or designee</li> <li>○ If an employee is not placed on the "Approved Driver" list, the manager is responsible for ensuring that the employee does not drive a Capital Metro vehicle while conducting Capital Metro business.</li> </ul>   |

## ATTACHMENT 2

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|  | <ul style="list-style-type: none"> <li>○ If an employee is placed on the Do Not Drive list, the manager is responsible for ensuring that the employee does not drive a company or personal vehicle while conducting Capital Metro business.</li> </ul>  |
| <b>Employee</b>                                      | <ul style="list-style-type: none"> <li>○ Capital Metro employees are required to report criminal convictions, arrests, driving offenses and moving violations to their supervisor and the Sr. Director / Chief, People &amp; Culture or designee.</li> </ul>  |
| <b>DEFINITIONS</b>                                   |   |
| <b>All New Employees</b>                             | <ul style="list-style-type: none"> <li>○ All new employees are subject to background checks under the Background Investigation-Criminal History Screening Requirements which include but are not limited to:                             <ul style="list-style-type: none"> <li>○ Capital Metro and/or Capital Metro contractor/service provider employee whose work assignment is on Capital Metro property.</li> <li>○ Capital Metro and/or Capital Metro contractor/service provider employee who has one-on-one or in person contact with Capital Metro customers or employees.</li> </ul> </li> </ul>  |
| <b>Safety Sensitive</b>                              | <ul style="list-style-type: none"> <li>○ Capital Metro and/or Capital Metro contractor/service provider employee who operates or controls the movement of a Capital Metro owned or branded vehicle and has regular access to the public.</li> </ul>   |
| <b>Security Sensitive – Information Property</b>     | <ul style="list-style-type: none"> <li>○ Capital Metro and/or Capital Metro contractor/service provider employee who has access to Capital Metro or customer financial information or cash including payroll, procurement, and data systems. This includes positions other than operators that may handle cash as a primary responsibility of the job.</li> </ul>   |
| <b>Security Sensitive – Information on Employees</b> | <ul style="list-style-type: none"> <li>○ Capital Metro and/or Capital Metro contractor/service provider employee who has access to private employee information including protected health information.</li> </ul>  |
| <b>TYPES OF BACKGROUND INVESTIGATIONS</b>            |   |
| <b>Pre-Employment</b>                                | <p>Background investigations are conducted on applicants under consideration for hire. When the background investigation is complete, if the results are unfavorable, proper and timely disclosure and appropriate notice of adverse action will be sent to the applicant.</p> <p>These checks may include the following:</p> <ul style="list-style-type: none"> <li>○ National criminal history (required for all positions)</li> <li>○ Driving record history (required for all positions)</li> <li>○ Employment verification (required for all positions)</li> <li>○ Education verification (required for all positions)</li> <li>○ National sex offender registry (required for all positions)</li> <li>○ DD-214 (required for all relevant positions)</li> <li>○ Credit Checks (required for security sensitive positions that handle cash)</li> <li>○ Past drug &amp; alcohol test results (required for safety sensitive positions)</li> </ul> |
| <b>Annual Review Security Sensitive</b>              | <ul style="list-style-type: none"> <li>○ Annual national criminal background checks will be conducted on employees in security sensitive positions.</li> <li>○ Annual credit checks will also be conducted on employees as defined in the Credit History Reporting Policy HRC-815. A designated security sensitive position will be identified in the job description and in position vacancy advertisements.</li> </ul>  |

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| <b>Annual Review<br/>– All</b>  | <ul style="list-style-type: none"> <li>○ Driving Record</li> </ul>   |
| <b>Experience and Education</b> | <ul style="list-style-type: none"> <li>○ Job applicant experience that is related to the minimum qualifications for the position and that is necessary for determining starting pay in accordance with Compensation Plan and Administration Policy and Procedures HRC-200 will be verified with previous employers. If verification through previous employers is not possible, other forms of verification such as pay-stubs, W-2 forms and tax returns may be accepted.</li> <li>○ Employment and professional references may also be verified using reference check questions approved by the People &amp; Culture Department. The minimum education level required for the position will also be verified through the educational institution, official diplomas or official transcripts.</li> </ul> |
| <b>Credit Checks</b>            | <ul style="list-style-type: none"> <li>○ Credit checks will be reviewed on a case-by-case basis to determine potential conflicts with the duties of positions that handle cash. Credit Checks will be reviewed in accordance with the Credit History Reporting Policy HRC-815.</li> </ul>  |

### BACKGROUND INVESTIGATIONS-PROCEDURES

Access to run and/or view criminal records from the Department of Public Safety (DPS) database shall be limited as follows:

|  | <b>Access to <u>RUN</u></b>   | <b>Access to <u>VIEW</u></b>                       |
|--|---|--|
| Sr. Director / Chief, People & Culture or designee | <ul style="list-style-type: none"> <li>• All pre-employment and annual checks</li> <li>• Checks for the purposes of employee retention decisions</li> <li>• Audit process records for compliance</li> </ul>               | Same   |
| P&C Designee                                       | <ul style="list-style-type: none"> <li>• All pre-employment and annual checks</li> <li>• Checks for the purposes of employee retention decisions</li> </ul>   | Same   |
| Manager, Security Director, Security               | Non-recruitment and non-annual checks – for the purposes of employment retention decisions. <b>(Only after regular work hours or in the absence of the Sr. Director / Chief, People &amp; Culture or Designee to run)</b> | Same   |
| Risk Assessment Team (Team)                        | None  | All, only for the purposes of employment retention |

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|  |   | and/or pre-employment decisions |
| <p>A log will be kept of all non-recruitment and non-annual inquiries for DPS Audit purposes.</p> <ul style="list-style-type: none"> <li>○ People &amp; Culture staff will complete a background investigation.</li> <li>○ People &amp; Culture staff will notify the candidate if he/she has been identified for further review based on criminal history and provide the candidate an opportunity to submit a written statement addressing any/all evaluation factors explaining why the exclusion should not be applied in their particular circumstances.</li> </ul> |   |                                 |
| <b>Candidates for Direct Employment with Capital Metro</b>   | <ul style="list-style-type: none"> <li>○ For any candidates identified as requiring review before a determination of eligibility for hire, People &amp; Culture staff will compile and provide to the Risk Assessment Team the following information: <ul style="list-style-type: none"> <li>● application/resume</li> <li>● copy of criminal history record and any publicly available information related to the crime (court records)</li> <li>● statement from the applicant addressing any/all evaluation factors that will be considered by the Team</li> </ul> </li> <li>○ The Risk Assessment Team will evaluate any applicants identified by the screen in a timely manner to determine eligibility for hire.</li> <li>○ If the candidate is deemed ineligible for hire, a designated member of the Risk Assessment Team will provide a written letter to the candidate explaining the reasons for denial, specifically referencing the evaluation factors.</li> </ul>   |                                 |
| <b>Candidates for Employment with a Capital Metro Contractor</b>   | <ul style="list-style-type: none"> <li>○ Contractors/service providers will screen potential employees in accordance with the terms of their individual contracts and submit any candidates they wish to hire (with the required additional information) who require Capital Metro review to the Contract Administrator.</li> <li>○ For any candidates identified as requiring review before a determination of eligibility for hire, the contractor/service provider will compile and provide to the Contract Administrator the following information which will be provided immediately to the Risk Assessment Team for review: <ul style="list-style-type: none"> <li>● application/resume</li> <li>● copy of criminal history record and any publicly available information related to the crime (court records)</li> <li>● statement from the applicant addressing any/all evaluation factors that will be considered by the Risk Assessment Team explaining why the exclusion should not be applied in their particular circumstances</li> <li>● statement of position from the contractor/service provider explaining why they believe employment of the candidate is an acceptable risk using the relevant evaluation factors</li> </ul> </li> <li>○ The Risk Assessment Team will evaluate any applicants identified by the contractor/service provider within five (5) business days of receipt of all required information to determine eligibility for hire.</li> <li>○ If the candidate is deemed ineligible for hire, a designated member of the Risk Assessment Team will provide a written letter to the contractor/service provider explaining the reasons the applicant was denied, specifically referencing the evaluation factors.</li> </ul> |                                 |
| <b>DETERMINING EXCLUSION FROM EMPLOYMENT BASED ON BACKGROUND INVESTIGATION</b>   |   |                                 |
| <b>Job Related</b>   | <ul style="list-style-type: none"> <li>○ An exclusion of employment as a result of the background investigation requires that the criminal offense have a demonstrable relationship to successful performance of the job responsibilities and requirements.</li> </ul>  |                                 |

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| <b>Business Necessity</b>   | <ul style="list-style-type: none"> <li>○ The specific criminal conduct and its dangers create a risk that is too great to allow the employment of the individual.</li> </ul> |   |  |
| <b>BACKGROUND INVESTIGATION – CRIMINAL HISTORY SCREENING REQUIREMENTS:</b>  |  |   |  |
| <ul style="list-style-type: none"> <li>• All Capital Metro and contractor/service provider employees are subject to minimum screening requirements. Additional screening verifications are conducted based upon other position requirements/criteria. Any arrests pending disposition or convictions for crimes listed below identified in the criminal history screening or received during employment must be reported and will be subject to review by the Risk Assessment Team for retention of employment, removal from the Approved Driver or inclusion on the Do Not Drive lists.</li> </ul> |  |   |  |
| <b>All New Employees</b>  | <b>Offense</b>   | <b>Severity</b>   | <b>Action Required</b>   |
|   | Crimes Against the Person (other than sex crimes)  | Felony  | Submit to Capital Metro for review if less than 10 years from date of release from confinement   |
|   |  | Class A or B Misdemeanor  | Submit to Capital Metro for review if less than 7 years from date of conviction  |
|   |  | Class C Misdemeanor   | Submit to Capital Metro for review if less than 5 years from date of conviction  |
|   | Crimes Against the Person - Sex Crimes/Registered Sex Offenders  | ALL   | Submit to Capital Metro for review   |
|   | Crimes Against Property  | Felony  | Submit to Capital Metro for review if less than 10 years from date of release from confinement   |
|   | Moral Crimes including, but not limited to:<br>Drug Crimes<br>Prostitution<br>Bigamy<br>Illegal Gambling<br>Child Pornography  | Felony  | Submit to Capital Metro for review if less than 10 years from date of release from confinement   |
|   |  | Class A or B Misdemeanor  | Submit to Capital Metro for review if less than 7 years from date of conviction  |
|   |  | Class C Misdemeanor   | Submit to Capital Metro for review if less than 5 years from date of conviction  |
|   | Driving Offenses   | Class A or B Misdemeanor<br>DWI/DUI or other "serious driving offense"  | Disqualified from driving if less than 7 years from date of conviction or deferred adjudication. Submit to Capital Metro for review if between 7-10 years since conviction or deferred adjudication or more than 2 convictions in a lifetime |
|   | Class C Misdemeanor<br>Moving Violations   | Disqualified from driving if more than 2 moving violations in the past 5 years (Any more than one driving safety course taken for a moving violation that appears on a five (5) year record will be treated as a moving violation and will count against the applicant) |  |
| Matters identified during the review of a DD-214 as military discipline will be considered in accordance with the corresponding crime listed above with respect to classification, severity and time elapsed.   |  |   |  |

## ATTACHMENT 2

| <b>INDIVIDUALIZED ASSESSMENT</b>   |   |
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| <p>Capital Metro will provide an opportunity for an individualized assessment for those people identified by the screening to determine if the policy as applied is job related and consistent with business necessity. The Risk Assessment Team will review the following factors in making the decision to allow the applicant to proceed in the hiring process.</p> |   |
| <p><b>Individualized Factors of Consideration</b></p>  | <ul style="list-style-type: none"> <li>○ Nature and Gravity of the offense and the degree of harm caused by the crime (relationship of offense to position)                             <ul style="list-style-type: none"> <li>● What was the impact on safety, property or life?</li> </ul> </li> <li>○ Time elapsed since conviction or completion of the sentence</li> <li>○ Nature of the job sought, including the job duties, environment and level of supervision</li> <li>○ Demonstration of incorrect criminal history information or the wrong person was identified by the screen</li> <li>○ Facts or circumstances surrounding the offense or conduct</li> <li>○ Number of offenses for which the individual was convicted</li> <li>○ Subsequent commission of another relevant crime</li> <li>○ Older age at the time of conviction or release from prison</li> <li>○ Evidence that the individual performed the same type of work, post-conviction, with the same or different employer, with no known incidents of criminal conduct</li> <li>○ The length and consistency of employment history before and after the offense or conduct in a similar field as the current position sought</li> <li>○ Rehabilitation efforts, e.g. education, training</li> <li>○ Employment or character references and any other information regarding fitness for the particular position</li> <li>○ Whether the individual is bonded under a federal, state or local bonding program</li> <li>○ Applicant's statement of the crime and relevant factors is consistent with publicly available record related to the crime (documentation)</li> <li>○ Any other factors deemed relevant in the consideration of a particular assessment</li> </ul> |
| <b>REPORTING BACKGROUND HISTORY CHANGES OR NEW OFFENSES</b>  |   |
| <p><b>Reporting Requirements</b></p>   | <ul style="list-style-type: none"> <li>○ Capital Metro employees are required to report criminal convictions, arrests, driving license suspension, revocations and moving violations to their supervisor and the Sr. Director / Chief, People &amp; Culture or designee in writing within one working day upon their return to work.</li> <li>○ A change in the number of moving violations or driving offenses could possibly move the employee to the "Do Not Drive" list or remove them from the Approved Driver List.</li> </ul>  |
| <p><b>Employee Consequences</b></p>  | <ul style="list-style-type: none"> <li>○ Employees who fail to comply with the reporting requirements may be subject to disciplinary action up to and including termination.</li> <li>○ Criminal convictions or arrests during employment may result in disciplinary action up to and including termination. Arrests will be evaluated on a case by case basis to determine appropriate action depending on the offense and the employee's duties. The Risk Assessment Team will review based on guidelines listed under Individualized Assessment.</li> </ul>  |

## ATTACHMENT 2

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|   | <ul style="list-style-type: none"> <li>○ Employees who receive an alcohol and/or drug related driving offense, either on or off the job, will be referred for a mandatory visit with the Employee Assistance Program (EAP).</li> </ul>  |
| <b>Supervisor Responsibility</b>  | <ul style="list-style-type: none"> <li>○ Supervisor must document that the employee reported as required and provide the documentation to People &amp; Culture.</li> <li>○ If the supervisor is aware of any changes in the employee’s criminal or driving record, they must contact People &amp; Culture as soon as possible.</li> </ul>   |
| <b>DO NOT DRIVE/APPROVED DRIVER LISTS</b>   |   |
| <p>If Capital Metro or a contractor/service provider hires an individual or later the individual is identified as having moving violations and/or driving offenses that exceed the standards set in this policy but driving is NOT considered an essential function of the position, there is still an identified risk if and when the employee would need to drive for Capital Metro business. Because of this risk, the employee exceeding the risk level for driving offenses will be placed on a “Do Not Drive” list and removed from the Approved Driver list until the driving record has been returned to a compliant status. Driving offenses exclude equipment failures and inspection/registration.</p>   |   |
| <p><b><u>DO NOT DRIVE LIST</u></b><br/>An employee on the Do Not Drive List is not authorized to drive a Capital Metro vehicle or their personal vehicle on Capital Metro business.</p>   |   |
| <p><b><u>APPROVED DRIVER LIST</u></b><br/>An employee may be placed on an Approved Driver List to be eligible to utilize a Capital Metro vehicle for business purposes in accordance with the Non-Revenue Fleet Vehicle Policy, COO-100. To be eligible for the Approved Driver List, the employee must:</p> <ul style="list-style-type: none"> <li>○ have a valid Texas Driver’s License;</li> <li>○ meet the Criminal History Screening Requirements of this policy; and</li> <li>○ Have completed a three-hour defensive driving course within the last three years</li> </ul> <p>Driving on Capital Metro business while not eligible is a violation of this policy and the employee may be subject to disciplinary action up to and including termination.</p> |   |
| <b>People &amp; Culture Responsibilities</b>  | <ul style="list-style-type: none"> <li>○ People &amp; Culture will maintain the Approved Driver list. People &amp; Culture provides notice to the following when the employee status has changed:             <ul style="list-style-type: none"> <li>• The employee</li> <li>• The employee’s supervisor/manager</li> </ul> <p>(A copy of the notice will be placed in the employee’s personnel file.)</p> </li> <li>○ Makes mandatory referrals to the EAP for assessment and any treatment prescribed by EAP for an employee who receives an alcohol and/or drug related driving offense. If the employee fails to report to the EAP or to complete the EAP recommended treatment, including aftercare, the employee may be subject to disciplinary action up to and including termination.</li> <li>○ Receives return to work documentation from mental health, medical professional and/or EAP counselor.</li> <li>○ Maintains the Approved Driver list and will make the list available to all Department Vehicle Coordinators</li> <li>○ Maintain certifications for defensive driving courses and notify employees and their supervisor when the three-year expiration date is approaching.</li> <li>○ Arranges for the ongoing availability of an online three-hour defensive driving course to assist employees in fulfilling that requirement.</li> </ul> |



## ATTACHMENT 2

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| <b>People &amp; Culture Recruiting</b>                  | When the driving history background investigation reveals an adverse result, the recruiter will include the instructions prohibiting driving on Capital Metro business in the job offer letter so the new hire is aware of not driving while on duty.  |
| <b>Employee Responsibility</b>                          | <ul style="list-style-type: none"> <li>○ The employee is responsible for not driving on Capital Metro business, either in a Capital Metro vehicle or personal vehicle while not eligible.</li> <li>○ An employee can initiate a request to be removed from the Do Not Drive list and/or added to the Approved Driver list by contacting People &amp; Culture with updated driving status information.</li> <li>○ <u>Driver's License:</u> Employee must have a valid driver's license.</li> </ul> <p>Employees who do not hold a valid Texas driver's license are responsible for obtaining one within a 60-day timeframe from date of hire prior to driving on Capital Metro business.</p> <ul style="list-style-type: none"> <li>○ <u>Liability Insurance:</u> Employees operating a personal vehicle on Capital Metro business are responsible for maintaining automobile liability insurance coverage that meets the state's financial responsibility requirements. Proof of insurance should be maintained in the vehicle.</li> <li>○ <u>Defensive Driving Course:</u> Employee must provide proof of completion of the defensive driving course to People &amp; Culture which will be maintained in the HRIS system.</li> <li>○ <u>Traffic Citations:</u> Employees are responsible for any citations resulting from violations of traffic laws that are incurred while they are conducting Capital Metro business.</li> </ul> |
| <b>Department Vehicle Coordinators Responsibilities</b> | Consult Approved Driver list prior to checking out a vehicle to an employee. See Non-Revenue Fleet Management Policy for a complete listing of the responsibilities of Department Vehicle Coordinators.  |
| <b>Supervisor and Manager Responsibilities</b>          | <ul style="list-style-type: none"> <li>○ Ensure employee compliance with "Do Not Drive" and Approved Driver list.</li> <li>○ Remove the employee from all driving duties immediately upon learning of an alcohol and/or drug related driving offense.</li> </ul>   |

**Related Policies:**

Compensation Plan and Administration Policy and Procedures HRC-200  
 Drug and Alcohol-Free Workplace Policy and Procedures HRC-510  
 Credit History Reporting Policy HRC-815