



CONTRACT NO. 500251
(SOQ 806105)
ENVIRONMENTAL ENGINEERING SERVICES

CONTRACTOR:

FREESE AND NICHOLS, INC.
10431 MORADO CIRCLE, BUILDING 5, SUITE 300
AUSTIN, TX 78759
Phone: 512-617-3100
E-Mail: KIMBERLY.BUCKLEY@FREESE.COM

AWARD DATE: July 8, 2025

CONTRACT TERM: Two years from the Notice of Award

PRICE: The total contract amount shall be determined by the cumulative total of the task orders issued. The total amount of all task orders shall not exceed \$700,000 for all 5 contracts awarded for this service.

DBE GOAL: 7.5%

PROJECT MANAGER: Barbara Price
Email Address: Barbara.price@capmetro.org

CONTRACT ADMINISTRATOR: Jeffery Yeomans
Telephone #: 512-369-7727
Email Address: jeffery.yeomans@capmetro.org

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



**CONTRACT 500251
(SOQ 806105)
ENVIRONMENTAL ENGINEERING SERVICES**

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**CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY
AUSTIN, TEXAS**

AWARD/CONTRACT FORM

1. SOLICITATION NO: SOQ 806105	2. CONTRACT NO: 500251	3. EFFECTIVE DATE: Upon Execution
4. CONTRACTS ADMINISTRATOR: Jeffery Yeomans		PHONE: 512-369-7727
5. SHIP TO ADDRESS: Capital Metro 2910 East 5 th Street Austin, Texas 78702	6. DELIVERY TERMS: F.O.B. Destination	
		7. DISCOUNTS FOR PROMPT PAYMENT: N/A
8. CONTRACTOR NAME & ADDRESS: Freese and Nichols 801 Cherry Street, Suite 2800 Fort Worth, TX 76102 817-735-7332	9. REMITTANCE ADDRESS:	(If different from Item 8)
PHONE: 817-735-7332	EMAIL: kmb@freese.com	
10. DBE GOAL: 7.5%		

CONTRACT EXECUTION

CAUTION: A false statement in any bid or proposal submitted to CMTA may be a criminal offense in violation of Section 37.10 of the Texas Penal Code.

NEGOTIATED AGREEMENT: (Contractor is required to sign below and return to the Contracting Officer within three (3) calendar days of receipt.)

Contractor agrees to perform, furnish and complete all work set forth or otherwise identified in the following items and all relevant attachments. The rights and obligations of the parties to this contract shall be subject to and governed by the following documents: (a) this Award/Contract, (b) the solicitation, as amended, and (c), such provisions, representations, certifications, and specifications, as are attached or incorporated by reference herein.

- Exhibit A-1
- Exhibit B
- Exhibit D
- Exhibit E-Revised-1
- Exhibit E-1
- Exhibit E-2
- Exhibit F
- Exhibit H

SIGNATURE OF CONTRACTOR:

Name/Title: Kimberly Buckley/Vice President, Principal Signature:  Date: 08/26/2025

AWARD: Items listed below are changes from the original offer and solicitation as submitted.

This Award/Contract Form may be executed in multiple originals, and an executed facsimile or email copy shall have the same force and effect as an original document.

ALTERATIONS IN CONTRACT: Changes are as follows:

Refer to Exhibit E – Revised-1, Section 51, Order of Precedence, which is updated to reflect the most recent version of the following Exhibits:

- Refer to Exhibit E, Contractual Terms and Conditions, which shall be replaced in its entirety with **Exhibit E-Revised-1**, Contractual Terms and Conditions, attached hereto and made a part hereof for all pertinent purposes.

11. ACCEPTED AS TO: Exhibit A-1 (Schedule of Fees), dated April 2, 2025, at the Fully Burdened Rates – Base Years 1-2 for Freese and Nichols, Inc, and for subcontractors Acacia and Associates, Environmental Research Group, Harris Miller Miller & Hanson, Inc, McGray and McGray, Targus, and Zara Environmental

The total contract amount shall be determined by the cumulative total of the task orders issued. The total amount of all task orders shall not exceed \$700,000 for all 5 contracts awarded for this service.

SIGNATURE OF CONTRACTING OFFICER:

Muhammad Abdullah, C.P.M.,
VP Procurement & Chief Contracting Officer

E-SIGNED by Muhammad Abdullah
on 2025-09-11 14:50:26 CDT Date: September 11, 2025

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

**EXHIBIT A-1
SCHEDULE OF FEES
SOQ 806105**

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)	Freese and Nichols, Inc.		
Address	801 Cherry Street, Suite 2800		
City, State, Zip	Forth Worth, TX 76102		
Phone, Email	817.735.7332	kmb@freese.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)	Kimberly Buckley, PG (Vice President/Principal)		
Signature and Date			April 2, 2025

2. ACKNOWLEDGEMENT OF AMENDMENTS

The offeror acknowledges receipt of the following amendment(s) to this solicitation (give number and date of each).

Amendment #	Date	Amendment #	Date

3. PROMPT PAYMENT DISCOUNT

# of Days	Percentage	%

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

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

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

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

The Authority hereby accepts this offer.

Authorized Agent Name and Title (Printed)	
Signature and Date	
Accepted as to:	

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

6. REQUIRED OFFER SUBMITTALS

The offeror has enclosed (1) one electric copy. Mark X at the box below, to indicate that the submittal has been included in the proposal documents.

Exhibit A-1 – Schedule of Fees

7. FULLY BURDENED LABOR RATES

Offeror may add job classifications to match the job classifications used in their proposal. Offeror shall list key sub-contractor classifications also. Additional spaces are provided for job classifications.

Fully burdened hourly labor rates are defined as those rates including all salary, overhead costs, general & administrative expenses and profit. Failure to provide the requested information in columns A through C of Exhibit A-1 may result in the offer being determined non-responsive and removed from further consideration.

Capital Metro will reimburse actual travel expenses up to the not to exceed amount provided detailed travel expense records are provided with copies of receipts. Capital Metro will not pay travel expenses for local travel within the **Austin metropolitan area**, and all air fare cannot be reimbursed at a rate higher than coach fare.

Reimbursable expenses (if applicable) are limited to direct pass-through of all fees paid in obtaining maps, photographs, and other related materials, plats, deeds, agreements, and other real property related documents, or courier service.

8. CERTIFICATION FOR SUBMITTAL OF OFFER

(A) I, Kimberly Buckley, certify that as an agent of Freese and Nichols, Inc. am authorized to submit this Offer which may be selected and accepted. If the Offer is accepted, the Solicitation Documents, any Addenda thereto, and Offer will form a legally binding contract.

(B) Any addenda to Exhibits during the Solicitation process shall take precedence over the original Exhibit.

(C) If a Final Submittal Revision is accepted, it will be incorporated by reference and will take the precedence over the Contractor's original proposal. In the case of multiple revisions or clarifications to the proposal, the most recent shall take precedence over the earlier version(s).

(D) If the parties agree to any alterations to the Contract, pursuant to exceptions taken herein, oral discussions, or other negotiations prior to Award, said Alterations shall be documented in an Award/Contract document to be signed by the parties. Such Award/Contract document shall become first in the order of precedence.

(E) Any legal review on behalf of our company has been completed prior to submittal of this Offer and any exceptions that we have taken to the Exhibits listed above have been fully set forth in our Pricing and Statement of Qualifications. No exceptions will be considered after the award.

Signature: 
Written Name and Title: Kimberly Buckley, PG
Date: 4/2/2025

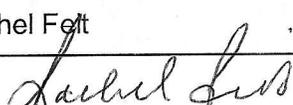
Vice President/Principal

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

EXHIBIT A-1
SCHEDULE OF FEES
SOQ 806105

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)	Acacia Heritage Consulting		
Address	4907 Finley Drive		
City, State, Zip	Austin, TX 78731		
Phone, Email	512-200-2461		
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)	Rachel Felt		
Signature and Date		4-1-25	

2. **ACKNOWLEDGEMENT OF AMENDMENTS**

The offeror acknowledges receipt of the following amendment(s) to this solicitation (give number and date of each).

Amendment #	Date	Amendment #	Date

3. **PROMPT PAYMENT DISCOUNT**

# of Days	25	Percentage	1.20%
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Note, payment terms are specified in Exhibit E, Contractual Terms and Conditions.

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

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

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

The Authority hereby accepts this offer.

Authorized Agent Name and Title (Printed)	
Signature and Date	
Accepted as to:	

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

6. **REQUIRED OFFER SUBMITTALS**

The offeror has enclosed (1) one electric copy. Mark X at the box below, to indicate that the submittal has been included in the proposal documents.

Exhibit A-1 – Schedule of Fees

7. **FULLY BURDENED LABOR RATES**

Offeror may add job classifications to match the job classifications used in their proposal. Offeror shall list key sub-contractor classifications also. Additional spaces are provided for job classifications.

Fully burdened hourly labor rates are defined as those rates including all salary, overhead costs, general & administrative expenses and profit. Failure to provide the requested information in columns A through C of Exhibit A-1 may result in the offer being determined non-responsive and removed from further consideration.

Capital Metro will reimburse actual travel expenses up to the not to exceed amount provided detailed travel expense records are provided with copies of receipts. Capital Metro will not pay travel expenses for local travel within the **Austin metropolitan area**, and all air fare cannot be reimbursed at a rate higher than coach fare

Reimbursable expenses (if applicable) are limited to direct pass-through of all fees paid in obtaining maps, photographs, and other related materials, plats, deeds, agreements, and other real property related documents, or courier service.

8. **CERTIFICATION FOR SUBMITTAL OF OFFER**

(A) I, Rachel Feit, certify that as an agent of Acacia Heritage Consulting am authorized to submit this Offer which may be selected and accepted. If the Offer is accepted, the Solicitation Documents, any Addenda thereto, and Offer will form a legally binding contract.

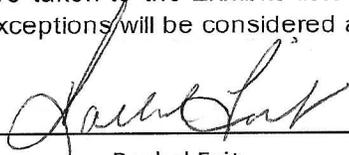
(B) Any addenda to Exhibits during the Solicitation process shall take precedence over the original Exhibit.

(C) If a Final Submittal Revision is accepted, it will be incorporated by reference and will take the precedence over the Contractor's original proposal. In the case of multiple revisions or clarifications to the proposal, the most recent shall take precedence over the earlier version(s).

(D) If the parties agree to any alterations to the Contract, pursuant to exceptions taken herein, oral discussions, or other negotiations prior to Award, said Alterations shall be documented in an Award/Contract document to be signed by the parties. Such Award/Contract document shall become first in the order of precedence.

(E) Any legal review on behalf of our company has been completed prior to submittal of this Offer and any exceptions that we have taken to the Exhibits listed above have been fully set forth in our Pricing and Statement of Qualifications. No exceptions will be considered after the award.

Signature:



Written Name and Title:

Rachel Feit

Principal

Date:

1-Apr-25

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

**EXHIBIT A-1
SCHEDULE OF FEES
SOQ 806105**

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)	Arias & Associates, Inc. dba Arias		
Address	13581 Pond Springs Rd., Ste. 305		
City, State, Zip	Austin, Texas 78729		
Phone, Email	512-428-5550	jarias@ariasinc.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)	Jeremy Arias, President		
Signature and Date			04/01/2025

2. ACKNOWLEDGEMENT OF AMENDMENTS

The offeror acknowledges receipt of the following amendment(s) to this solicitation (give number and date of each).

Amendment #	Date	Amendment #	Date

3. PROMPT PAYMENT DISCOUNT

# of Days	N/A	Percentage	N/A
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Note, payment terms are specified in Exhibit E, Contractual Terms and Conditions.

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

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

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

The Authority hereby accepts this offer.

Authorized Agent Name and Title (Printed)	
Signature and Date	
Accepted as to:	

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

6. **REQUIRED OFFER SUBMITTALS**

The offeror has enclosed (1) one electric copy. Mark X at the box below, to indicate that the submittal has been included in the proposal documents.

Exhibit A-1 – Schedule of Fees

7. **FULLY BURDENED LABOR RATES**

Offeror may add job classifications to match the job classifications used in their proposal. Offeror shall list key sub-contractor classifications also. Additional spaces are provided for job classifications.

Fully burdened hourly labor rates are defined as those rates including all salary, overhead costs, general & administrative expenses and profit. Failure to provide the requested information in columns A through C of Exhibit A-1 may result in the offer being determined non-responsive and removed from further consideration.

Capital Metro will reimburse actual travel expenses up to the not to exceed amount provided detailed travel expense records are provided with copies of receipts. Capital Metro will not pay travel expenses for local travel within the **Austin metropolitan area**, and all air fare cannot be reimbursed at a rate higher than coach fare.

Reimbursable expenses (if applicable) are limited to direct pass-through of all fees paid in obtaining maps, photographs, and other related materials, plats, deeds, agreements, and other real property related documents, or courier service.

8. **CERTIFICATION FOR SUBMITTAL OF OFFER**

Arias & Associates, Inc.
dba Arias

(A) I, Jeremy Arias, certify that as an agent of Arias & Associates, Inc. dba Arias am authorized to submit this Offer which may be selected and accepted. If the Offer is accepted, the Solicitation Documents, any Addenda thereto, and Offer will form a legally binding contract.

(B) Any addenda to Exhibits during the Solicitation process shall take precedence over the original Exhibit.

(C) If a Final Submittal Revision is accepted, it will be incorporated by reference and will take the precedence over the Contractor’s original proposal. In the case of multiple revisions or clarifications to the proposal, the most recent shall take precedence over the earlier version(s).

(D) If the parties agree to any alterations to the Contract, pursuant to exceptions taken herein, oral discussions, or other negotiations prior to Award, said Alterations shall be documented in an Award/Contract document to be signed by the parties. Such Award/Contract document shall become first in the order of precedence.

(E) Any legal review on behalf of our company has been completed prior to submittal of this Offer and any exceptions that we have taken to the Exhibits listed above have been fully set forth in our Pricing and Statement of Qualifications. No exceptions will be considered after the award.

Signature:



Written Name and Title:

Jeremy Arias

President

Date:

04/01/2025

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

EXHIBIT A-1
 SCHEDULE OF FEES
 SOQ 806105

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)	Environmental Research Group LLC		
Address	6049 Falls Road		
City, State, Zip	Baltimore MD 21209		
Phone, Email	5123290031		
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)	Theresa ZanoMcMillan		
Signature and Date			31 March 2025

2. **ACKNOWLEDGEMENT OF AMENDMENTS**

The offeror acknowledges receipt of the following amendment(s) to this solicitation (give number and date of each).

Amendment #	Date	Amendment #	Date
NA			

3. **PROMPT PAYMENT DISCOUNT**

# of Days	0	Percentage	0.00%
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Note, payment terms are specified in Exhibit E, Contractual Terms and Conditions.

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

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

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

The Authority hereby accepts this offer.

Authorized Agent Name and Title (Printed)	
Signature and Date	
Accepted as to:	

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

6. **REQUIRED OFFER SUBMITTALS**

The offeror has enclosed (1) one electric copy. Mark X at the box below, to indicate that the submittal has been included in the proposal documents.

Exhibit A-1 – Schedule of Fees

7. **FULLY BURDENED LABOR RATES**

Offeror may add job classifications to match the job classifications used in their proposal. Offeror shall list key sub-contractor classifications also. Additional spaces are provided for job classifications.

Fully burdened hourly labor rates are defined as those rates including all salary, overhead costs, general & administrative expenses and profit. Failure to provide the requested information in columns A through C of Exhibit A-1 may result in the offer being determined non-responsive and removed from further consideration.

Capital Metro will reimburse actual travel expenses up to the not to exceed amount provided detailed travel expense records are provided with copies of receipts. Capital Metro will not pay travel expenses for local travel within the **Austin metropolitan area**, and all air fare cannot be reimbursed at a rate higher than coach fare.

Reimbursable expenses (if applicable) are limited to direct pass-through of all fees paid in obtaining maps, photographs, and other related materials, plats, deeds, agreements, and other real property related documents, or courier service.

8. **CERTIFICATION FOR SUBMITTAL OF OFFER**

(A) I, Theresa ZanoMcMillan certify that as an agent of Environmental Research Group, authorized to submit this Offer which may be selected and accepted. If the Offer is accepted, the Solicitation Documents, any Addenda thereto, and Offer will form a legally binding contract.

(B) Any addenda to Exhibits during the Solicitation process shall take precedence over the original Exhibit.

(C) If a Final Submittal Revision is accepted, it will be incorporated by reference and will take the precedence over the Contractor’s original proposal. In the case of multiple revisions or clarifications to the proposal, the most recent shall take precedence over the earlier version(s).

(D) If the parties agree to any alterations to the Contract, pursuant to exceptions taken herein, oral discussions, or other negotiations prior to Award, said Alterations shall be documented in an Award/Contract document to be signed by the parties. Such Award/Contract document shall become first in the order of precedence.

(E) Any legal review on behalf of our company has been completed prior to submittal of this Offer and any exceptions that we have taken to the Exhibits listed above have been fully set forth in our Pricing and Statement of Qualifications. No exceptions will be considered after the award.

Signature:



Written Name and Title: Theresa ZanoMcMillan, VP Contracts

Date: 31-Mar-25

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

**EXHIBIT A-1
SCHEDULE OF FEES
SOQ 806105**

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)	Harris Miller Miller & Hanson Inc.		
Address	700 District Ave, Suite 800		
City, State, Zip	Burlington, MA 01803		
Phone, Email	781-229-0707	dwasiuk@hmmh.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)	Diana Wasiuk, President & CEO		
Signature and Date			4/2/2025

2. ACKNOWLEDGEMENT OF AMENDMENTS

The offeror acknowledges receipt of the following amendment(s) to this solicitation (give number and date of each).

Amendment #	Date	Amendment #	Date

3. PROMPT PAYMENT DISCOUNT

# of Days		Percentage	%

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

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

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

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

The Authority hereby accepts this offer.

Authorized Agent Name and Title (Printed)	
Signature and Date	
Accepted as to:	

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

6. **REQUIRED OFFER SUBMITTALS**

The offeror has enclosed (1) one electric copy. Mark X at the box below, to indicate that the submittal has been included in the proposal documents.

Exhibit A-1 – Schedule of Fees

7. **FULLY BURDENED LABOR RATES**

Offeror may add job classifications to match the job classifications used in their proposal. Offeror shall list key sub-contractor classifications also. Additional spaces are provided for job classifications.

Fully burdened hourly labor rates are defined as those rates including all salary, overhead costs, general & administrative expenses and profit. Failure to provide the requested information in columns A through C of Exhibit A-1 may result in the offer being determined non-responsive and removed from further consideration.

Capital Metro will reimburse actual travel expenses up to the not to exceed amount provided detailed travel expense records are provided with copies of receipts. Capital Metro will not pay travel expenses for local travel within the **Austin metropolitan area**, and all air fare cannot be reimbursed at a rate higher than coach fare.

Reimbursable expenses (if applicable) are limited to direct pass-through of all fees paid in obtaining maps, photographs, and other related materials, plats, deeds, agreements, and other real property related documents, or courier service.

8. **CERTIFICATION FOR SUBMITTAL OF OFFER**

(A) I, Diana B. Wasiuk, certify that as an agent of Harris Miller Miller & Hanson Inc. am authorized to submit this Offer which may be selected and accepted. If the Offer is accepted, the Solicitation Documents, any Addenda thereto, and Offer will form a legally binding contract.

(B) Any addenda to Exhibits during the Solicitation process shall take precedence over the original Exhibit.

(C) If a Final Submittal Revision is accepted, it will be incorporated by reference and will take the precedence over the Contractor’s original proposal. In the case of multiple revisions or clarifications to the proposal, the most recent shall take precedence over the earlier version(s).

(D) If the parties agree to any alterations to the Contract, pursuant to exceptions taken herein, oral discussions, or other negotiations prior to Award, said Alterations shall be documented in an Award/Contract document to be signed by the parties. Such Award/Contract document shall become first in the order of precedence.

(E) Any legal review on behalf of our company has been completed prior to submittal of this Offer and any exceptions that we have taken to the Exhibits listed above have been fully set forth in our Pricing and Statement of Qualifications. No exceptions will be considered after the award.

Signature: 

Written Name and Title: Diana B. Wasiuk

President & CEO

Date: 6/25/2025

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

EXHIBIT A-1
SCHEDULE OF FEES
SOQ 806105

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)	McGray and McGray Land Surveyors, Inc.		
Address	3301 Hancock Drive, Suite 6		
City, State, Zip	Austin, Texas 78731		
Phone, Email	(512) 451-8591	chrisc@mcgray.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)	Chris I. Conrad, RPLS, Vice President		
Signature and Date		4/2/2025	

2. **ACKNOWLEDGEMENT OF AMENDMENTS**

The offeror acknowledges receipt of the following amendment(s) to this solicitation (give number and date of each).

Amendment #	Date	Amendment #	Date

3. **PROMPT PAYMENT DISCOUNT**

# of Days	15	Percentage	2.00%
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Note, payment terms are specified in Exhibit E, Contractual Terms and Conditions.

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

The DBE 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)	
Signature and Date	
Accepted as to:	

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

6. **REQUIRED OFFER SUBMITTALS**

The offeror has enclosed (1) one electric copy. Mark X at the box below, to indicate that the submittal has been included in the proposal documents.

Exhibit A-1 – Schedule of Fees

7. **FULLY BURDENED LABOR RATES**

Offeror may add job classifications to match the job classifications used in their proposal. Offeror shall list key sub-contractor classifications also. Additional spaces are provided for job classifications.

Fully burdened hourly labor rates are defined as those rates including all salary, overhead costs, general & administrative expenses and profit. Failure to provide the requested information in columns A through C of Exhibit A-1 may result in the offer being determined non-responsive and removed from further consideration.

Capital Metro will reimburse actual travel expenses up to the not to exceed amount provided detailed travel expense records are provided with copies of receipts. Capital Metro will not pay travel expenses for local travel within the **Austin metropolitan area**, and all air fare cannot be reimbursed at a rate higher than coach fare.

Reimbursable expenses (if applicable) are limited to direct pass-through of all fees paid in obtaining maps, photographs, and other related materials, plats, deeds, agreements, and other real property related documents, or courier service.

8. **CERTIFICATION FOR SUBMITTAL OF OFFER**

(A) I, Chris I. Conrad, certify that as an agent of McGray & McGray Land Surveyors, Inc. am authorized to submit this Offer which may be selected and accepted. If the Offer is accepted, the Solicitation Documents, any Addenda thereto, and Offer will form a legally binding contract.

(B) Any addenda to Exhibits during the Solicitation process shall take precedence over the original Exhibit.

(C) If a Final Submittal Revision is accepted, it will be incorporated by reference and will take the precedence over the Contractor’s original proposal. In the case of multiple revisions or clarifications to the proposal, the most recent shall take precedence over the earlier version(s).

(D) If the parties agree to any alterations to the Contract, pursuant to exceptions taken herein, oral discussions, or other negotiations prior to Award, said Alterations shall be documented in an Award/Contract document to be signed by the parties. Such Award/Contract document shall become first in the order of precedence.

(E) Any legal review on behalf of our company has been completed prior to submittal of this Offer and any exceptions that we have taken to the Exhibits listed above have been fully set forth in our Pricing and Statement of Qualifications. No exceptions will be considered after the award.

Signature: 

Written Name and Title: Chris I. Conrad Vice President

Date: 4/2/2025

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

**EXHIBIT A-1
SCHEDULE OF FEES
SOQ 806105**

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)	Targus Associates LLC		
Address	3333 Earhart Drive, Suite 210		
City, State, Zip	Carrollton, TX 75006		
Phone, Email	(972) 528-4683	sjohnson@targusassociates.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)	Jodi Johnson		
Signature and Date	<i>Jodi Johnson</i>		

2. ACKNOWLEDGEMENT OF AMENDMENTS

The offeror acknowledges receipt of the following amendment(s) to this solicitation (give number and date of each).

Amendment #	Date	Amendment #	Date

3. PROMPT PAYMENT DISCOUNT

# of Days	30	Percentage	1.00%
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Note, payment terms are specified in Exhibit E, Contractual Terms and Conditions.

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

The DBE 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)	
Signature and Date	
Accepted as to:	

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

6. **REQUIRED OFFER SUBMITTALS**

The offeror has enclosed (1) one electric copy. Mark X at the box below, to indicate that the submittal has been included in the proposal documents.

Exhibit A-1 – Schedule of Fees

7. **FULLY BURDENED LABOR RATES**

Offeror may add job classifications to match the job classifications used in their proposal. Offeror shall list key sub-contractor classifications also. Additional spaces are provided for job classifications.

Fully burdened hourly labor rates are defined as those rates including all salary, overhead costs, general & administrative expenses and profit. Failure to provide the requested information in columns A through C of Exhibit A-1 may result in the offer being determined non-responsive and removed from further consideration.

Capital Metro will reimburse actual travel expenses up to the not to exceed amount provided detailed travel expense records are provided with copies of receipts. Capital Metro will not pay travel expenses for local travel within the **Austin metropolitan area**, and all air fare cannot be reimbursed at a rate higher than coach fare.

Reimbursable expenses (if applicable) are limited to direct pass-through of all fees paid in obtaining maps, photographs, and other related materials, plats, deeds, agreements, and other real property related documents, or courier service.

8. **CERTIFICATION FOR SUBMITTAL OF OFFER**

(A) I, Jodi Johnson, certify that as an agent of Targus Associates LLC am authorized to submit this Offer which may be selected and accepted. If the Offer is accepted, the Solicitation Documents, any Addenda thereto, and Offer will form a legally binding contract.

(B) Any addenda to Exhibits during the Solicitation process shall take precedence over the original Exhibit.

(C) If a Final Submittal Revision is accepted, it will be incorporated by reference and will take the precedence over the Contractor’s original proposal. In the case of multiple revisions or clarifications to the proposal, the most recent shall take precedence over the earlier version(s).

(D) If the parties agree to any alterations to the Contract, pursuant to exceptions taken herein, oral discussions, or other negotiations prior to Award, said Alterations shall be documented in an Award/Contract document to be signed by the parties. Such Award/Contract document shall become first in the order of precedence.

(E) Any legal review on behalf of our company has been completed prior to submittal of this Offer and any exceptions that we have taken to the Exhibits listed above have been fully set forth in our Pricing and Statement of Qualifications. No exceptions will be considered after the award.



Signature: _____

Written Name and Title: Jodi Johnson, Manager

Date: 4/2/2025

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

**EXHIBIT A-1
SCHEDULE OF FEES
SOQ 806105**

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)	Zara Environmental LLC		
Address	2104 Hunter Road		
City, State, Zip	San Marcos, TX 78640		
Phone, Email	5122914555	admin@zaraenvironmental.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)	Barrett Clark, Principal - Strategic Planning		
Signature and Date			June 25, 2025

2. ACKNOWLEDGEMENT OF AMENDMENTS

The offeror acknowledges receipt of the following amendment(s) to this solicitation (give number and date of each).

Amendment #	Date	Amendment #	Date

3. PROMPT PAYMENT DISCOUNT

# of Days		Percentage	%

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

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

The DBE 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)	
Signature and Date	
Accepted as to:	

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

6. **REQUIRED OFFER SUBMITTALS**

The offeror has enclosed (1) one electric copy. Mark X at the box below, to indicate that the submittal has been included in the proposal documents.

Exhibit A-1 – Schedule of Fees

7. **FULLY BURDENED LABOR RATES**

Offeror may add job classifications to match the job classifications used in their proposal. Offeror shall list key sub-contractor classifications also. Additional spaces are provided for job classifications.

Fully burdened hourly labor rates are defined as those rates including all salary, overhead costs, general & administrative expenses and profit. Failure to provide the requested information in columns A through C of Exhibit A-1 may result in the offer being determined non-responsive and removed from further consideration.

Capital Metro will reimburse actual travel expenses up to the not to exceed amount provided detailed travel expense records are provided with copies of receipts. Capital Metro will not pay travel expenses for local travel within the **Austin metropolitan area**, and all air fare cannot be reimbursed at a rate higher than coach fare.

Reimbursable expenses (if applicable) are limited to direct pass-through of all fees paid in obtaining maps, photographs, and other related materials, plats, deeds, agreements, and other real property related documents, or courier service.

8. **CERTIFICATION FOR SUBMITTAL OF OFFER**

(A) I, Barrett Clark, certify that as an agent of Zara Environmental LLC, am authorized to submit this Offer which may be selected and accepted. If the Offer is accepted, the Solicitation Documents, any Addenda thereto, and Offer will form a legally binding contract.

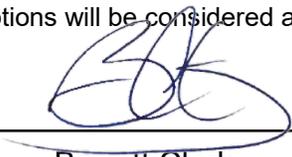
(B) Any addenda to Exhibits during the Solicitation process shall take precedence over the original Exhibit.

(C) If a Final Submittal Revision is accepted, it will be incorporated by reference and will take the precedence over the Contractor’s original proposal. In the case of multiple revisions or clarifications to the proposal, the most recent shall take precedence over the earlier version(s).

(D) If the parties agree to any alterations to the Contract, pursuant to exceptions taken herein, oral discussions, or other negotiations prior to Award, said Alterations shall be documented in an Award/Contract document to be signed by the parties. Such Award/Contract document shall become first in the order of precedence.

(E) Any legal review on behalf of our company has been completed prior to submittal of this Offer and any exceptions that we have taken to the Exhibits listed above have been fully set forth in our Pricing and Statement of Qualifications. No exceptions will be considered after the award.

Signature:



Written Name and Title:

Barrett Clark

Principal - Strategic Planning

Date: June 25, 2025

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@capmetro.org.

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

EXHIBIT B
REPRESENTATIONS AND CERTIFICATIONS
(FEDERALLY ASSISTED 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 _____

(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 dominate 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:

N/A

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:

(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 Kimberly Buckley, PG [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)(1)(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 and part 1200, subpart C, the offeror certifies to the best of the offeror's knowledge and belief, that it and its principals for this covered transaction:

(1) are not presently excluded or disqualified (which may include being 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 (i) the commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; (ii) violation of Federal or State antitrust statutes, including those proscribing price fixing between competitors, allocation of customers between competitors, and bid rigging; (iii) commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or (iv) commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility.

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

(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 its offer/bid/quote/qualifications statement.

(c) For any proposed subcontractor at any tier where the subcontract is expected to equal or exceed \$25,000:

(1) The offeror certifies that it has obtained a certification identical to (a) from such subcontractor.

(2) Where the prospective lower tier participant is unable to certify to (a), 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, the Authority's contractors or consultants) regarding this solicitation, except as described below:

Individual's Name	Date/Subject of Communication
N/A	N/A

(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. PREVIOUS CONTRACTS AND COMPLIANCE REPORTS

The offeror represents as part of its offer that it (mark one):

- has
- has not

participated in a previous contract or subcontract subject either to Executive Order 11246 and its related regulations; and it (mark one):

- N/A has
 has not

filed all required compliance reports.

9. AFFIRMATIVE ACTION COMPLIANCE

(a) The offeror represents as part of its offer that it has a workforce of (indicate below the number of employees including temporary, full-time, or part-time employees):

1,267

(b) The offeror:

has developed an Affirmative Action Plan at each establishment as required by the rules and regulations of the Secretary of Labor (41 C.F.R. parts 60-1 and 60-2) and **has on file**. The offeror will submit the Affirmative Action Plan to the Authority within ten (10) days of the date of the Notice of Award (NOA).

has not developed an Affirmative Action Plan at each establishment as required by the rules and regulations of the Secretary of Labor (41 C.F.R. parts 60-1 and 60-2) and **does not have on file**. The offeror will submit the Affirmative Action Plan to the Authority within one hundred and twenty (120) days of the date of the Notice to Proceed (NTP).

(c) The offeror:

- N/A has
 has not

previously had contracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor.

10. DISADVANTAGED BUSINESS ENTERPRISE (DBE) 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, DBE and non-DBE) and an executed Intent to Perform as a DBE Subcontractor form for each DBE 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 “Disadvantaged Business Enterprise Program” and will meet the goal as established in any ensuing contract.

11. CLEAN AIR AND WATER CERTIFICATION

Applicable if the offer exceeds \$150,000, or the Authority believes that orders under an indefinite contract in any year will exceed \$150,000 or a facility to be used has been the subject of a conviction under the Air Act [42 U.S.C. §

7413(c)(1)] or the Water Act [33 U.S.C. § 1319(c)] and is listed by the Environmental Protection Agency (EPA) as a violating facility, and the acquisition is not otherwise exempt.

By submission of this offer, the offeror certifies that:

(a) any facility to be used in the performance of this proposed contract (mark one):

- is
- is not

listed on the EPA List of Violating Facilities;

(b) it will immediately notify the Authority, before award, of the receipt of any communication from the EPA Administrator, or a designee of the EPA, indicating that any facility which it proposes to use for the performance of the contract is under consideration to be listed on the EPA List of Violating Facilities; and

(c) it will include a certification substantially the same as this certification, including this paragraph (c), in every subcontract not otherwise exempt by law.

12. CERTIFICATION OF NON-SEGREGATED FACILITIES

(a) By the submission of this offer, the offeror certifies that it does not and will not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not and will not permit its employees to perform their services at any location under its control, where segregated facilities are maintained.

(b) The offeror agrees that a breach of this certification is a violation of the Civil Rights and Equal Opportunity Clause in Exhibit E of the contract.

(c) Definitions: For the purpose of this Certification of Non-Segregated Facilities, the following definitions shall apply:

(1) "segregated facilities" means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees that are segregated by explicit directive or are in fact segregated on the basis of race, color, religion, sex, sexual orientation, gender identity or national origin, because of written or oral policies or employee custom. The term does not include separate or single-user restrooms or necessary dressing or sleeping areas provided to assure privacy between the sexes.

(2) "gender identity" refers to one's internal sense of one's own gender; it may or may not correspond to the sex assigned to a person at birth, and may or may not be made visible to others.

(3) "sexual orientation" refers to an individual's physical, romantic, and/or emotional attraction to people of the same and/or opposite gender; examples of sexual orientations include "straight" (or heterosexual), lesbian, gay, and bisexual.

(d) It further certifies that (except where it has obtained identical certifications from proposed subcontracts for specific time periods) it will:

(1) obtain identical certifications from proposed subcontractors before the award of subcontracts under which the subcontractor will be subject to the Equal Opportunity provision in Exhibit E of the contract; and

(2) retain such certifications in its files.

13. CERTIFICATION OF RESTRICTIONS ON LOBBYING

This Certification is applicable if the offer exceeds \$100,000.

(a) By submission of this offer, the offeror certifies to the best of the offeror's knowledge or belief that no Federal appropriated funds have been paid, or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients and subcontractors shall certify and disclose accordingly.

(d) This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 or not more than \$100,000 for each such failure.

14. 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. Questions regarding the form should be directed to the Texas Ethics Commission.

15. 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.

16. 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.

17. 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.

18. BOYCOTT OF ENERGY COMPANIES PROHIBITED

Pursuant to Chapter 2276 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 2276.002 of the Texas Government Code, or

(b) the verification required by Section 2276.002 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.

19. CRITICAL INFRASTRUCTURE PROHIBITION

Pursuant to Chapter 2275 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 2275 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.

20. CERTIFICATION OF PRIME CONTRACTOR PARTICIPATION

(a) The Prime Contractor shall perform no less than thirty percent (**30%**) of the work with his or her 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, and articles, and the arrangement and titles of project drawings shall not control the Prime Contractor in dividing the work among subcontractors or in establishing the extent of work to be performed by any trade.

(c) The offeror hereby certifies that the **Schedule C of Subcontractor Participation** form submitted with the Exhibit D, Disadvantaged Business Enterprise (DBE) portion of this offer represents no more than seventy percent (**70%**) of the work will be done by subcontractors.

21. 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.

22. CERTIFICATION OF NO ORGANIZATIONAL CONFLICT OF INTEREST

(a) Offeror certifies that there is no real or apparent organizational conflict of interest (“Organizational Conflict”). An Organizational Conflict exists when (a) the Offeror is unable, or potentially unable, to provide impartial and objective assistance or advice to the Authority due to other activities, relationships, contracts, or circumstances; (b) the Offeror has an unfair competitive advantage through receipt of or obtaining access to nonpublic information; or (c) during the performance of an earlier contract or the conduct of a procurement, the Offeror has established the ground rules for this procurement by developing specifications, evaluation factors, or similar documents.

(b) If the Offeror is unable to certify to the above (in (a)), the Offeror, certifies that it has attached an explanation disclosing any real or apparent Organizational Conflict. Such attachment includes all relevant facts concerning any past, present, or currently planned interests that may present an Organizational Conflict.

23. FEDERAL TAX LIABILITY AND RECENT FELONY CONVICTIONS

(a) Offeror certifies that it:

(1) Does not have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and

(2) Was not convicted of the felony criminal violation under any Federal law within the preceding 24 months.

(b) If the Offeror is unable to certify to the above (in (a)), the Offeror certifies that it has attached an explanation stating to what part of (a) the Offeror is unable to certify.

(c) The Offeror certifies that it has required any subcontractors identified in its offer to certify to (a) or has attached a statement explaining why such identified subcontractor is unable to certify to (a).

24. LIMITATION ON CERTAIN ROLLING STOCK PROCUREMENTS

(a) *Prohibition.* This Contract is subject to Section 7613 of the National Defense Authorization Act for Fiscal Year 2020 (NDAA 2020), Public Law 116-92 (Dec. 20, 2019) and 49 U.S.C. § 5323(u) which prohibit using financial assistance made available under Chapter 53 of Title 49 U.S. Code to award a contract or subcontract to an entity for the procurement of rolling stock for use in public transportation if the manufacturer of the rolling stock:

(1) is incorporated in or has manufacturing facilities in the United States; and

(2) is owned or controlled by, is a subsidiary of, or is otherwise related legally or financially to a corporation based in a country that -

(i) is identified as a nonmarket economy country (as defined in section 771(18) of the Tariff Act of 1930 (19 U.S.C. 1677(18))) as of the date of enactment of this subsection;

(ii) was identified by the United States Trade Representative in the most recent report required by section 182 of the Trade Act of 1974 (19 U.S.C. 2242) as a foreign country included on the priority watch list defined in subsection (g)(3) of that section; and

(iii) is subject to monitoring by the Trade Representative under section 306 of the Trade Act of 1974 (19 U.S.C. 2416).

(a "Restricted Manufacturer"). For purposes of this provision, the term "otherwise related legally or financially" does not include a minority relationship or investment.

(b) *Procedures.* The Offeror shall review the relevant statutes to ascertain if the Offeror or any subcontractor or supplier is a Restricted Manufacturer.

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

(1) It

- is
- is not

a Restricted Manufacturer; and

(2) It has obtained representations from all relevant subcontractors or suppliers, and that the subcontractors or suppliers—

- are
- are not

Restricted Manufacturers.

(d) *Disclosures.* Disclosure for the representation in paragraph (c) of this provision: If the Offeror has responded "is" in the representation in paragraph (c)(1) of this provision, the Offeror shall provide a statement providing all information reflecting the basis for its certification. If the Offeror has responded "are" in the representation in paragraph (c)(2) of this provision, the Offeror shall provide a statement identifying the subcontractor(s) or supplier(s) and all information reflecting the basis for the certification.

25. 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.

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

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

(e) 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. In addition, under 18 U.S.C. §. 1001, a false statement may result in a fine of up to \$10,000 or imprisonment for up to five (5) years, or both.

Name of Offeror:

Freese and Nichols, Inc.

Type/Print Name of Signatory:

Kimberly Buckley, PG

Title of Signatory:

Vice President/Principal

Signature:



Date:

February 3, 2025

CAPITAL METRO
Schedule C of Subcontractor Participation

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) Status as a DBE or non-DBE, 5) Ethnic Code of firm, 6) Age of the firm, 7) Annual gross receipts of the firm, 8) % or \$ amount of Total Contract. Those subcontractors which are listed on this form as DBEs must have current certification as a DBE with a participating TUCP certifying agency (see Exhibit D paragraph 6). The DBE certification must be complete by the time the proposals are submitted. Additionally, those subcontractors which are listed on this form as DBEs must complete an Intent to Perform as a DBE Subcontractor agreeing to the information listed here.

Name of Prime Contractor (Offeror): Freese and Nichols, Inc.

Project Name: Environmental Engineering and Planning Services

SOQ Number: 806105

Ethnic Code: **A)** African-American Male **B)** African American Female **C)** Asian- Indian Male **D)**Asian- Indian Female **E)** Asian –Pacific Male **G)** Asian-Pacific Female **H)** Hispanic Male **I)** Hispanic Female **J)** Native American Male **K)** Native American Female **L)** White Female **M)** Other

1) Name of Subcontractor	2) Address, Telephone # of DBE Firm (Including name of contact person)	3) Description of Work, Services Provided. Where applicable, specify "supply" or "Install" or both.	4) DBE or non-DBE	5) Ethnic Code	6) Age of Firm	7) Annual Gross Receipts	8) DBE % or \$ amount of Total Contract
Acacia Heritage Consulting	4907 Finley Drive. Austin, TX 78731 512-923-6409 Rachel Feit	Cultural Resources Services	DBE	H	6	\$1.9M	1%
Arias & Associates, Inc.	13581 Pond Springs Rd., Suite 305, Austin, TX 78729 512-428-5550 Alexandros Sioutis	Geotechnical Engineering Services	DBE	H	29	\$5M+	0.5%
Environmental Research Group, LLC	6049 Falls Road, Baltimore, MD 21209 410-366-5170 Lisa Oney	Cultural Resources Services	DBE	L	24	\$19M	2%
Harris Miller Miller & Hanson Inc.	700 District Avenue, Suite 800, Burlington, MA 01803 781-229-0707 Diana B. Wasiuk	Noise & Vibration Consulting Services	DBE	L	43	\$15M	0.5%
MagnaCore Drilling and Environmental Services, Inc.	2605 Fitzgerald Ave McKinney, TX 75071 214-207-8993 Cedric Cascio	Environmental Drilling Services	DBE	HI	26	\$500k	2%
McGray & McGray Land Surveyors, Inc.	3301 Hancock Drive, Suite 6, Austin, TX 78731 512-451-8591 Chris Conrad	Surveying Services	DBE	L	43	\$14M	0.5%
San Antonio Testing Laboratory, LLC	1610 S. Laredo Street San Antonio, TX 78207 210-229-9920 Marcela Hawk	Analytical Testing	non-DBE	C	38	\$3M	N/A
Targus Associates	3333 Earhart Drive, Suite 210, Carrollton, Texas 75006 972-528-4683 Jodi Johnson	Environmental Consulting Services	DBE	I	15	\$3M	0.5%

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

CAPITAL METRO
Schedule C of Subcontractor Participation

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) Status as a DBE or non-DBE, 5) Ethnic Code of firm, 6) Age of the firm, 7) Annual gross receipts of the firm, 8) % or \$ amount of Total Contract. Those subcontractors which are listed on this form as DBEs must have current certification as a DBE with a participating TUCP certifying agency (see Exhibit D paragraph 6). The DBE certification must be complete by the time the proposals are submitted. Additionally, those subcontractors which are listed on this form as DBEs must complete an Intent to Perform as a DBE Subcontractor agreeing to the information listed here.

Name of Prime Contractor (Offeror): Freese and Nichols, Inc.

Project Name: Environmental Engineering and Planning Services

SOQ Number: 806105

Ethnic Code: **A)** African-American Male **B)** African American Female **C)** Asian- Indian Male
D)Asian- Indian Female **E)** Asian –Pacific Male **G)** Asian-Pacific Female **H)** Hispanic Male
I) Hispanic Female **J)** Native American Male **K)** Native American Female **L)** White Female **M)** Other

1) Name of Subcontractor	2) Address, Telephone # of DBE Firm (Including name of contact person)	3) Description of Work, Services Provided. Where applicable, specify "supply" or "Install" or both.	4) DBE or non-DBE	5) Ethnic Code	6) Age of Firm	7) Annual Gross Receipts	8) DBE % or \$ amount of Total Contract
Zara Environmental LLC	2104 Hunter Road, San Marcos, Texas 78666 512-291-4555 Krista McDermid	Environmental Support	DBE	L	21	\$2.5M	0.5%

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

The undersigned will enter into a formal agreement with DBE contractors for work listed in this schedule upon execution of a contract with Capital Metro. The contractor agrees to the terms of this schedule by signing below and submitting the Intent to Perform as completed by the DBE subcontractors. The contractor also certifies that no more than 70% of the work for this project will be subcontracted.



Signature of Authorized Representative of Offeror

02/03/2025

Date Signed

EXHIBIT E-REVISED-1

**CONTRACTUAL TERMS AND CONDITIONS
(TASK ORDER SERVICES CONTRACT)**

1. DEFINITIONS

- (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”, “CapMetro”, “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 work 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) "Task Order" means a request for Services issued under this Contract.
- (cc) "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 an indefinite quantity 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 cumulative amount of all task orders shall not exceed the total dollar amount of this Contract for the entire lifecycle of the contracts awarded under this solicitation (for all awardees, combined). The ordering procedures to issue task orders are addressed under Section 6, "Process for Awarding Task Orders-Two Step Method" and Section 7 "Ordering and Pricing Limitations" in this Exhibit E. The sum of all task orders awarded will be tracked by the Authority to ensure they do not exceed the total maximum value.

(c) There is no limit to the number of orders that may be placed under this Contract.

(d) When the Authority requires supplies or Services covered by this Contract in an amount of less than \$10,000.00, the Authority is not obligated to purchase, nor is the Contractor obligated to furnish, those supplies or Services under the Contract.

(e) There is no guaranteed Contract Sum for the Contract, except for the minimum order specified in (b)(1) of this paragraph.

3. TERM

The term of the Contract shall be two (2) years from the Contract Award Date. No work shall be performed under this Contract prior to issuance of a written Task Order.

4. OPTION TO EXTEND CONTRACT TERM

The Authority shall have the unilateral right and option to extend the Contract for up to three option periods for a twelve (12) month duration each at the option prices set forth in Exhibit A-1 - Pricing Schedule upon written notice to 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. PROCESS FOR AWARDING TASK ORDERS – TWO STEP METHOD

The Authority will ensure that each contractor has a fair opportunity for award of Task Orders in accordance with the following procedures:

(a) Prior to awarding a task order, the Authority will determine evaluation criteria for that task order and will request a technical proposal from all contractors.

(b) The technical proposals will be evaluated by a small team of evaluators using the pre-determined evaluation criteria.

- (c) The firm which is deemed most qualified will be requested to submit a price proposal and negotiations will be conducted with that firm if needed.
- (d) In the event the Authority is unable to reach an agreement with the most qualified firm, negotiations with that firm will be terminated and a price proposal will be requested from the next most qualified firm.
- (e) The process will continue until the Authority reaches an agreement. The task order will then be awarded.
- (f) The Contractor is not required to submit a price proposal for every request for proposals. However, failure to respond to a reasonable number of proposals during the Contract Term may result in the Authority not exercising its option to extend the Contract.
- (g) The Contractor may be restricted from competing on certain task orders if the Contracting Officer determines that a conflict of interest exists. This restriction flows down to the Contractor's sub-contractors. A conflict of interest may exist if the scope of services for the task order would provide the contractor with an unfair advantage due to work on an existing contract with the Authority. Examples of the potential conflicts of interest under the Contract would be Providing systems engineering and technical direction as defined in the Federal Acquisition Regulation (FAR) Part 9.505.1; Preparing specifications or work statements as defined in FAR Part 9.505.2; Providing evaluation services as defined in FAR 9.505.3; and Obtaining access to proprietary information as defined in FAR 9.505.4.

7. ORDERING AND PRICING LIMITATIONS

- (a) Work to be performed under this Contract shall be ordered through issuance of written Task Orders. There is no limitation to the number of Task Orders issued under this Contract.
- (b) Prior to issuance of a written Task Order the Authority shall provide notification to the Contractor of the supplies or Services required by the Task Order, which shall include a required date to submit pricing for this task.
- (c) The Contractor shall return a complete and itemized cost breakdown, inclusive of labor hours, material/travel/other reimbursable costs, etc., and a timeline with milestones for the completion of work within the time stated in the request. Failure to timely respond may result in award of the Task Order to the next contractor in rotation, if applicable. Fully Burdened Labor Hour Rates shall be those specified in the Contract. If the Authority does not agree with the proposed labor disciplines, number of labor hours, material/travel/other costs or timelines, the Authority reserves the right to negotiate with the Contractor so as to arrive at a final agreement for the task. Following final agreement, a written Task Order may be issued.
- (d) Services under this Contract shall commence upon the issuance of each fully executed Task Order. Completion of all requirements under each and every Task Order shall correlate to an expeditious prosecution of the milestones that are not dependent upon factors beyond the direct control of the Contractor.
- (e) The Authority will reimburse actual travel expenses up to the not to exceed amount provided detailed travel expense records are provided with copies of receipts. The Authority will not pay travel expenses for local travel within the Austin metropolitan area, and all air fare cannot be reimbursed at a rate higher than coach fare. Fair and reasonable car rental rates are deemed to be \$50 per day. Any travel conducted pursuant to this Contract shall not be billed in excess of the maximum per diem rates for lodging and meals as established by the U.S. General Services Administration. First and Last Day of travel is limited to seventy-five percent (75%) of meals and incidental expenses. Please see GSA Domestic Per Diem Rates at <http://www.gsa.gov/portal/category/100120>.
- (f) Reimbursable expenses are limited to direct pass-through of all fees paid. All material/travel/other reimbursable costs (including Subcontractor costs) shall be reimbursed to the Contractor by task and at actual cost with no administrative or other mark-ups (including Subcontractor costs). In no event may the total of these costs by task exceed the total in the Task Order. In the event the Contractor believes material/other costs will be exceeded, the Contractor shall immediately notify the Authority and submit a revised estimate for these costs by task. The Contractor shall not proceed with work in excess of that described in the written Task Order unless the Task Order is modified in writing by the Authority.

- (g) Proposals must represent a complete cost projection, including Fully Burdened Hourly Labor Rates by job classification, reimbursable expenses, and other activities associated with the proposed Task Order. All Subcontractor costs must also be included and shall not be singled out as separate tasks in of themselves.
- (h) Written Task Orders shall contain a complete description of the work, an itemization of the estimated material/travel and other costs and the fixed labor fee agreed to by the parties.
- (i) Labor hours shall not be billed as reimbursable expenses.
- (j) No payment for costs incurred prior to issuance of a written Task Order shall be payable to the Contractor.
- (k) Any order issued during the effective period of this Contract and not completed within that period shall be completed by the Contractor within the time specified in the order, except that no Task Order shall be issued if the performance period in the Task Order would extend more than one hundred twenty (120) days past the Contract completion date. The Contract shall govern the Contractor's and the Authority's rights and obligations with respect to that order to the same extent as if the order was completed during the Contract's effective period.

8. INVOICING AND PAYMENT

- (a) Invoices may be submitted once per month for work completed and accepted by the Authority, or if indicated in the Task Order, upon completion of milestones, electronically to:

AP_invoices@capmetro.org

or via mail marked "Original" to the attention of:

Accounts Payable
CMTA
P.O. Box 6308
Austin, Texas 78762-6308

- (b) Payment shall be made within the time period allowed by law through the Texas Prompt Payment Act - Texas Government Code 2251.021(b). A prompt payment discount may be taken if offered and determined to be advantageous by the Authority.
- (c) The Contractor should be paid, upon the submission of proper invoices or vouchers, the prices stipulated herein for supplies delivered and accepted or services rendered and accepted, less deductions, if any, as herein provided. Unless otherwise specified, payment will be made on partial deliveries accepted by the Authority when the amount due on such deliveries so warrants; or, when requested by the Contractor, payment for accepted partial deliveries shall be made whenever such payment would equal or exceed either \$1,000 or 50% of the total amount of this Contract.
- (d) Contractor shall submit an invoice to the Authority on a monthly basis, preferably no later than the 5th business day of each calendar month, for all work that was accepted during the preceding month. Each invoice must reference the applicable acceptance documentation and clearly identify the dates and scope of work performed. Failure to submit timely invoices may result in a delay of payment.
- (e) For each billing cycle, whether monthly or milestone, the Contractor shall provide detailed individual invoices for each Task Order with a Summary of Invoices. The required format is shown in Exhibit E-2, Invoicing Requirements.
 - (1) Summary of Invoices shall include the Contract number, summaries of all Task Orders issued against the Contract whether open or closed, invoice number, CapMetro Project Manager name, Task Order number, project description, Task Order authorized amount, percent of Task Order complete, percent of invoicing complete, previous amount billed, current amount due and the Task Order balance. In the case that a Task Order is one hundred percent (100%) complete, but invoicing is less than one hundred percent (100%) complete, an itemization of the outstanding

invoices shall be included.

(2) Individual Task Order Invoices shall include the Contract number, purchase order number, invoice number, Task Order number, project description, and for each staff position assigned to the Task Order: title and contracted fully-burdened rate. Each title line shall include a breakdown of hours, cost and percent of total for the Task Order contractual amount, previously billed, current invoice and total. Reimbursable expenses shall be itemized by Task Order contractual amount and must be accompanied by supporting documentation.

(3) Reimbursable expenses will not exceed the reimbursable expenses authorized by the Task Order and will be paid as expenses are incurred by the contractor. All reimbursable expenses are subject to the terms specified in the paragraph entitled "Process for Awarding Task Orders".

(f) 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 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.

(g) **Release of Payment Claims by Contractor.** The final invoice submitted by Contractor shall be accompanied by a complete and legally effective release of the Authority from all known and unknown payment claims relating to the Contract on a form provided by the Authority. Contractor's acceptance of final payment constitutes a waiver of all known or unknown payment claims against the Authority related to the Contract, other than those specifically excepted in the General Release of Claims Form.

9. **INSURANCE**

(a) The Contractor shall furnish proof of CapMetro-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.

CAPMETRO 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 Dollars and No/100 Dollars (\$1,000,000) Combined Single Limit of Liability for Bodily Injury and Property Damage.

(3) **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) **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. Minimum limits of liability shall be not less than One Million Dollars and No/100 Dollars (\$1,000,000) on an annual aggregate basis.

(5) Terrorism coverage shall be included on all policies.

(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-CONTIBUTORY 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 Contract 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 Contract 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. **In the event that offeror proposes as the prime contractor and is awarded a contract, offeror cannot be a named as a subcontractor on contract award(s) made to another prime.**

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 STATEMENT AND ABILITY TO PERFORM

The Contractor represents and warrants to the Authority, that the Services shall be performed (1) with the professional skill and care ordinarily provided by, as applicable, competent engineers or architects practicing under the same or similar circumstances and professional license; and (2) as expeditiously as is prudent considering the ordinary professional skill and care of, as applicable, a competent engineer or architect. If any breach of the representations and warranties is discovered by the Authority during the process of the work or within one 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.

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:

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(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:

Offense Type	Action Required
Crimes Against the Person (other than sex crimes)	
Felony	Submit to CapMetro for review if less than 10 years from date of release from confinement
Class A or B Misdemeanor	Submit to CapMetro for review if less than 7 years from date of conviction
Class C Misdemeanor	Submit to CapMetro for review if less than 5 years from date of conviction
Crimes Against the Person - Sex Crimes/Registered Sex Offenders	
ALL	Submit to CapMetro for review
Crimes Against Property	
Felony	Submit to CapMetro for review if less than 10 years from date of release from confinement
Moral Crimes, including, but not limited to: Drug Crimes, Prostitution, Bigamy, Illegal Gambling, Child Pornography	
Felony	Submit to CapMetro for review if less than 10 years from date of release from confinement
Class A or B Misdemeanor	Submit to CapMetro for review if less than 7 years from date of conviction
Class C Misdemeanor	Submit to CapMetro for review if less than 5 years from date of conviction
Driving Offenses	
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 CapMetro for review if between 7-10 years since conviction or deferred adjudication or more than 2 convictions in a lifetime
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 CapMetro Contractor Photo Identification Badge ("badge") at all times while on the Authority's premises. The badge will be provided by CapMetro. 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 subparagraph (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 paragraph (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 paragraph (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 paragraph.

(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 CapMetro, 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 paragraph 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. 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. 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.

34. 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.

35. 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 shall be referred to the Authority.

(d) The requirements of Subchapter J, Chapter 552, Government Code, may apply to this **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.

36. 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.

37. 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.

38. LAWS, STATUTES AND OTHER GOVERNMENTAL REQUIREMENTS

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

39. 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 East 5th Street, Austin, Texas 78702.

40. 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 performance of work or to the products or 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.

41. 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.

42. 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.

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.

FOR PROFESSIONAL LIABILITY CLAIMS, CONTRACTOR SHALL REIMBURSE AN INDEMNIFIED PARTY FOR ALL REASONABLE COSTS OF THEIR DEFENSE IN THE SAME PROPORTION CONTRACTOR IS FOUND LIABLE, RATHER THAN 'DEFEND' AS ABOVE

(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 employee 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 CapMetro 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 CapMetro 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 the Work Site or CapMetro owned or leased property, including personal vehicles parked in CapMetro 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 inconsistency between the provisions of this Contract, unless otherwise provided herein, the inconsistency shall be resolved by giving precedence in the following order, as revised:

- 1. Exhibit A – Schedule
- 2. Exhibit A-1 – Pricing Schedule
- 3. Exhibit B - Representations and Certifications, Federally Assisted
- 4. Exhibit E-1 - Addendum to Contractual Terms and Conditions, Federally Assisted
- 5. **Exhibit E – Revised-1-Contractual Terms and Conditions**
- 6. Exhibit D - Disadvantaged Business Enterprise Program/DBE
- 7. Exhibit F - Scope of Services
- 8. Exhibit H – Authorization of Work Product
- 9. 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. 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.

54. 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: 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) CapMetro 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.

55. RESERVE

56. 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.

57. RESERVE

58. APPROVED SAFETY VESTS AND PPE

The Contractor and each of the Contractor's employees, as well as each Subcontractor and any workers working on behalf of Subcontractor, shall wear ANSI Class 2 or 3 high-visibility safety vests at all times when on the Authority's premises including but not limited to bus maintenance and operations facilities, rail maintenance and operations facilities, on or near a roadway exposed to vehicular traffic or while on or near rail right-of-way, construction sites, operations and maintenance facilities. Furthermore, within designated project areas such as construction sites and rail right-of-way, additional personal protective equipment (PPE) must be worn, including but not limited to ANSI Class 2 or 3 high-visibility safety vests, hard hats, safety glasses, and any other PPE deemed necessary based on the specific tasks or hazards present. Failure to comply with this requirement shall result in removal from the premises and may result in termination of the Contract.

EXHIBIT E-1
ADDENDUM TO CONTRACTUAL TERMS AND CONDITIONS
FEDERALLY ASSISTED SUPPLY OR SERVICE CONTRACT

The Contractor clauses and provisions of this Exhibit apply to all Federally assisted supply and service contracts. These provisions supersede and take precedence over any other clause or provision contained within this contract which may be in conflict therewith.

1. DISADVANTAGED BUSINESS ENTERPRISE (DBE)

(a) It is the policy of the Authority and the U.S. Department of Transportation (“DOT” or “U.S. DOT”) that Disadvantaged Business Enterprises (DBEs) as defined in 49 C.F.R. Part 26 shall have the maximum opportunity to participate in the performance of contracts financed in whole or in part with Federal funds under this Contract. Consequently, the DBE requirements of 49 C.F.R Part 26 apply to this Contract and all subcontracts awarded under this Contract.

(b) The Contractor and its subcontractors shall not discriminate on the basis of race, color, national origin, or sex in the performance of this Contract. The Contractor shall carry out applicable requirements of 49 C.F.R. Part 26, and the Authority's DOT approved Disadvantaged Business Enterprise (DBE) program in the award of subcontracts and administration of this Contract. Failure by the Contractor to carry out these requirements is a material breach of the Contract, which may result in the termination of this Contract or such other remedy, as the Authority deems appropriate, including but not limited to:

- (i) Withholding monthly progress payments,
- (ii) Assessing sanctions,
- (iii) Liquidating damages, and/or
- (iv) Disqualifying Contractor or subcontractor from future bidding as non-responsible.

(c) Contractor shall pay subcontractors for satisfactory performance of their contracts no later than 30 days from receipt of each payment the Authority makes to the Contractor.

(d) If this Contract contains a defined DBE goal, the Contractor shall use the specific DBEs listed in its bid/proposal/offer to perform the work and supply the materials for which each is listed unless the Contractor obtains the Authority's written consent. Accordingly, the Contractor may not terminate a DBE subcontractor listed in its bid/proposal/offer without the Authority's prior written consent. Contractor actions covered by this subsection include, but are not limited to, instances in which the Contractor seeks to perform work originally designated for a DBE subcontractor with: (i) its own forces or those of an affiliate; (ii) a non-DBE firm; or (iii) another DBE firm. Unless the Authority's consent is provided under this clause, the Contractor shall not be entitled to any payment for work or material unless it is performed or supplied by the listed DBE. If the Authority provides its written consent, the Contractor shall comply with 49 C.F.R. 26.53(f) in executing the termination; the Contractor shall also comply with 49 C.F.R. 26.53(g) and use the delineated good-faith efforts to find another DBE subcontractor to substitute for the original DBE subcontractor and maintain and provide relevant documentation regarding such efforts.

(e) Contractor shall make available upon request a copy of all DBE subcontracts.

(f) Contractor shall ensure that all subcontracts or agreements with DBEs to supply labor or materials require that the subcontract and all lower-tier subcontractors be performed in accordance with this clause.

(g) If subcontracts will be let, Contractor shall take the affirmative steps listed in 2 C.F.R. 200.321, which addresses contracting with small and minority businesses, women's business enterprises, and labor surplus area firms.

2. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT – OVERTIME COMPENSATION

(a) Overtime Requirements. No contractor or subcontractor contracting for any part of the Contract work which

may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty (40) hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half (1-1/2) times the basic rate of pay for all hours worked in excess of forty (40) hours in such workweek.

(b) Violation, Liability for Unpaid Wages, Liquidated Damages. In the event of any violation of the provisions set forth in paragraph (a) above, the Contractor and any subcontractor responsible therefor shall be liable for the unpaid wages. In addition, such Contractor and subcontractor shall be liable to the United States (in the case of work done under the Contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the provisions set forth in paragraph (a) above, in the sum of \$29 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty (40) hours without payment of the overtime wages required by the provisions set forth in paragraph (a) above.

(c) Withholding for Unpaid and Liquidated Damages. The Authority shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the Contractor or subcontractor under any such contract or any other Federal contract with the Contractor, or any other Federally-assisted contract subject to the Contract Work Hours and Safety Standards Act which is held by the Contractor, such sums as may be determined to be necessary to satisfy any liabilities of such Contractor or subcontractor for unpaid wages and liquidated damages as provided in the provisions set forth in paragraph (b) of this clause.

(d) Payroll and Basic Records.

(1) The Contractor or Subcontractor shall maintain payroll records during the course of Contract work and shall preserve them for a period of three (3) years from the completion of the Contract for all laborers and mechanics working on the Contract. Such records shall contain the name and address of each such employee, social security number, correct classification, hourly rates of wages paid, daily and weekly number of hours worked, deductions made, and actual wages paid. Nothing in this paragraph shall require the duplication of records required to be maintained for construction work by Department of Labor regulations at 29 C.F.R. 5.5(a)(3) implementing the Davis-Bacon Act.

(2) The records to be maintained under paragraph (d)(1) of this clause shall be made available by the Contractor or Subcontractor for inspection, copying, or transcription by authorized representatives of the Authority, the Federal Transit Administration (FTA), or the Department of Labor. The Contractor or Subcontractor shall permit such representatives to interview employees during working hours on the job.

(e) Subcontracts. The Contractor or subcontractor shall insert in any subcontracts the provisions set forth in paragraphs (a) through (d) above, and also a provision requiring the subcontractors to include these clauses in any lower tier subcontracts. The Contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the provisions set forth in paragraphs (a) through (d) above.

3. CIVIL RIGHTS AND EQUAL OPPORTUNITY

During the performance of this Contract, the Contractor for itself, its assignees and successors in interest (hereinafter referred to as the "Contractor"), agrees to comply with the following requirements:

(a) Nondiscrimination. In accordance with Federal transit law at 49 U.S.C. § 5332, the Contractor agrees that it will not discriminate against any employee or applicant for employment because of race, color, religion, national origin, sex, disability, or age. In addition, the Contractor agrees to comply with applicable Federal implementing regulations and other implementing requirements FTA may issue.

(b) Race, Color, Religion, National Origin, Sex. In accordance with Title VII of the Civil Rights Act, as amended, 42 U.S.C. § 2000e et seq., and Federal transit laws at 49 U.S.C. § 5332, the Contractor agrees to comply with all applicable equal employment opportunity requirements of U.S. Department of Labor (U.S. DOL) regulations, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," 41 C.F.R. chapter 60, and Executive Order No. 11246, "Equal Employment Opportunity in Federal Employment," September 24, 1965,

42 U.S.C. § 2000e note, as amended by any later Executive Order that amends or supersedes it, referenced in 42 U.S.C. § 2000e note. The Contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, national origin, or sex (including sexual orientation and gender identity). Such action shall include, but not be limited to, the following: employment, promotion, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

(c) Age. In accordance with the Age Discrimination in Employment Act, 29 U.S.C. §§ 621- 634, U.S. Equal Employment Opportunity Commission (U.S. EEOC) regulations, "Age Discrimination in Employment Act," 29 C.F.R. part 1625, the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6101 et seq., U.S. Health and Human Services regulations, "Nondiscrimination on the Basis of Age in Programs or Activities Receiving Federal Financial Assistance," 45 C.F.R. part 90, and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

(d) Disabilities. In accordance with section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794, the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. § 12101 et seq., the Architectural Barriers Act of 1968, as amended, 42 U.S.C. § A-27 4151 et seq., and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees that it will not discriminate against individuals on the basis of disability. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.

(e) Information and Reports. The Contractor shall provide all information and reports required by the Regulations or directive issued pursuant thereto, and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the Authority or the Federal Transit Administration (FTA) to be pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information is required or a Contractor is in the exclusive possession of another who fails or refuses to furnish this information, the Contractor shall so certify to the Authority, or FTA, as appropriate, and shall set forth what efforts it has made to obtain the information.

(f) Sanctions for Noncompliance. In the event of the Contractor's noncompliance with the provisions of this Contract, the Authority shall impose such Contract sanctions as it or the FTA may determine to be appropriate, including, but not limited to:

- (1) withholding of payments to the Contractor under the Contract until the Contractor complies; and/or
- (2) cancellation, termination or suspension of the Contract, in whole or in part.

(g) Incorporation of Provisions. The Contractor shall include the provisions of paragraph (a) through (f) of this clause in every subcontract or procurement, including subcontracts or procurements for materials and leases of equipment, unless exempt by the applicable law or regulations, or directives issued pursuant thereto. The Contractor shall take such action with respect to any subcontract or procurement as the Authority or FTA may direct as a means of enforcing such revisions including sanctions for noncompliance: provided, however, that in the event a Contractor becomes involved in, or is threatened with, litigation with a Subcontractor or supplier as a result of such direction, the Contractor may request the Authority, and, in addition, the United States to enter into such litigation to protect the interests of the Authority and the United States.

4. CLEAN AIR AND WATER ACT

(a) Definitions:

- (1) "Air Act," as used in this clause, means the Clean Air Act (42 U.S.C. § 7401 et seq.).
- (2) "Clean Air Standards," as used in this clause means:

(i) any enforceable rules, regulations, guidelines, standards, limitations, orders, controls, prohibitions, work practices, or other requirements contained in, issued under, or otherwise adopted under the Air Act or Executive Order 11738.

(ii) an applicable implementation plan as described in Section 110(d) of the Air Act [42 U.S.C. § 7410(d)]; or

(iii) an approved implementation procedure under Section 112(d) of the Air Act [42 U.S.C. § 7412(d)].

(3) "Clean Water Standards," as used in this clause, means any enforceable limitation, control, condition, prohibition, standard, or other requirement promulgated under the Water Act or contained in a permit issued to a discharger by the Environmental Protection Agency or by a State under an approved program, as authorized by Section 402 of the Water Act (33 U.S.C. § 1342), or by local government to ensure compliance with pre-treatment regulations as required by Section 307 of the Water Act (33 U.S.C. § 1317).

(4) "Compliance," as used in this clause, means compliance with:

(i) Clean Air or Water Standards; or

(ii) a schedule or plan ordered or approved by a court of competent jurisdiction, the Environmental Protection Agency, or an air or water pollution control agency under the requirements of the Air Act or Water Act and related regulations.

(5) "Facility," as used in this clause, means any building, plant, installation, structure, mine, vessel or other floating craft, location, or site of operations, owned, leased, or supervised, by a Contractor or Subcontractor, sued in the performance of a contract or subcontract. When a location or site of operations includes more than one building, plant, installation, or structure, the entire location or site shall be deemed a facility except when the Administrator, or a designee of the Environmental Protection Agency, determines that independent facilities are co-located in one geographical area.

(6) "Water Act," as used in this clause, means Clean Water Act (33 U.S.C. § 1251 et seq.).

(b) The Contractor agrees:

(1) to comply with all Clean Air Standards and Clean Water Standards.

(2) that no portion of the work required by the Contract will be performed in a facility listed on the Environmental Protection Agency List of Violating Facilities on the date when this Contract was awarded unless and until the EPA eliminates the name of the facility from the listing;

(3) that it will report all violations to FTA and the Regional Office of the Environmental Protection Agency;

(4) to use best efforts to comply with clean air standards and clean water standards at the facility in which the Contract is being performed; and

(5) to insert the substance of this clause into any nonexempt Subcontract, including this paragraph (b)(4).

5. ENERGY POLICY AND CONSERVATION ACT

The Contractor agrees to comply with mandatory standards and policies relating to energy efficiency contained in the State Energy Conservation Plan issued in compliance with the Energy Policy and Conservation Act (42 U.S.C. § 6321 et seq.).

6. OFFICIALS NOT TO BENEFIT

No member of or delegate to Congress, or resident commissioner, shall be admitted to any share or part of this Contract or to any benefit arising from it. However, this clause does not apply to this Contract to the extent that this

Contract is made with a corporation for the corporation's general benefit.

7. BUY AMERICA PROVISION

(a) The Contractor agrees to comply with 49 U.S.C. 5323(j) and the FTA's implementing regulations found at 49 C.F.R. Part 661, the Build America, Buy America Act, Public Law 117-58, div. G, tit. IX, sections 70911 – 70927 (2021), as implemented by the U.S. Office of Management and Budget, the U.S. Department of Transportation (DOT), and the Federal Transit Administration (FTA), which require that all steel, iron, manufactured products and construction materials used in FTA-funded projects are produced in the United States, unless DOT or FTA has granted a waiver or the product or material is subject to a general waiver. The provisions of the statutes and their implementing regulations and guidance are hereby incorporated by reference into this Contract. The Contractor shall comply with the Buy America certification(s) submitted with its proposal/bid.

(b) If applicable, the Contractor also agrees to comply with 49 U.S.C. § 5323(m) and FTA's implementing regulation at 49 C.F.R. Part 663.

8. CARGO PREFERENCE - USE OF UNITED STATES FLAG VESSELS

This clause only applies to contracts in which materials, equipment, or commodities may be transported by ocean vessel in carrying out the terms of the contract. As required by 46 C.F.R. Part 381, the Contractor agrees:

(a) to utilize privately owned United States flag commercial vessels to ship at least fifty percent (50%) of the gross tonnage (computed separately for dry bulk carriers, dry cargo liners and tankers) involved, whenever shipping any equipment, materials, or commodities pursuant to this Contract, to the extent such vessels are available at fair and reasonable rates of United States flag commercial vessels; and

(b) to furnish within twenty (20) days following the date of loading for shipments originating with the United States, or within thirty (30) working days following the date of loading for shipments originating outside of the United States, a legible copy of a rated, "on-board" commercial ocean bill-of-lading in English for each shipment of cargo described in paragraph (a) above to the Authority, (through the prime Contractor in the case of a Subcontractor's bills-of-lading) and to the Division of National Cargo, Office of Market Development, Maritime Administration, Washington, D.C. 20590, marked with appropriate identification of the project; and

(c) to insert the substance of the provisions of this clause in all Subcontracts issued pursuant to this Contract.

9. FLY AMERICA

The Contractor agrees that if Federal funds are used to fund international air transportation of any persons (and their personal effects) involved in or property acquired for the Contract, the transportation must be provided by U.S. flag air carriers to the extent service by these carriers is available, as required by the International Air Transportation Fair Competitive Practices Act of 1974, as amended, 49 U.S.C. 40118, in accordance with U.S. GAO regulations, "Uniform Standards and Procedures for Transportation Transactions," 4 C.F.R. Part 52, and U.S. GAO Guidelines for Implementation of the "Fly America Act" B-138942, 1981 U.S. Comp. Gen. LEXIS 2166. March 31, 1981.

10. AUDIT AND INSPECTION OF RECORDS

(a) This clause is applicable if this Contract was entered into by means of negotiation and shall become operative with respect to any modification to this Contract whether this Contract was initially entered into by means of negotiation or by means of formal advertising.

(b) The Contractor shall maintain complete and readily accessible records and shall permit the Authority, the U.S. Department of Transportation, and the Comptroller General of the United States or any of their duly authorized representatives access to and the right to examine any directly pertinent books, documents, papers, and records of such Contractor, involving transactions related to the Contract, for the purpose of making audit, examination, excerpts and transcriptions. Such access requires the Contractor to provide timely and reasonable access for the purpose of interview and discussion related to such documents.

(c) The Contractor agrees to comply with the record-retention requirements in 2 C.F.R. 200.334 (previously 2 C.F.R. 200.333). Under such requirements, the Contractor shall maintain all books, documents, papers, and records required under the Contract for a period of at least three years after the date of termination or expiration of the Contract, or the disposition of all litigation, appeals, claims, or exceptions related to this Contract (whichever is later). The rights of access in this clause are not limited to the required retention period(s) but last as long as the records are retained.

(d) The Contractor further agrees to include in all subcontracts a clause that requires the subcontractor:

(1) To maintain complete and readily accessible records and to permit the Authority, the U.S. Department of Transportation, and the Comptroller General of the United States or any of their duly authorized representatives access to and the right to examine any directly pertinent books, documents, papers, and records of such subcontractor, involving transactions related to the Contract, for the purpose of making audit, examination, excerpts, and transcriptions. The clause shall also require the subcontractor to provide timely and reasonable access for the purpose of interview and discussion related to such documents.

(2) To comply with the record-retention requirements in 2 C.F.R. 200.334 (previously 2 C.F.R. 200.333), the subcontractor shall maintain all books, documents, papers, and records required under the Contract for a period of at least three years after the date of termination or expiration of the Contract, or the disposition of all litigation, appeals, claims, or exceptions related to this Contract (whichever is later). The clause shall note that the rights of access in the clause are not limited to the required retention period(s) but last as long as the records are retained.

11. RESTRICTIONS ON LOBBYING

(a) The Contractor shall timely comply with the requirements of the lobbying restrictions set forth in Section 319 of Public Law 101-121, as implemented by the Department of Transportation in 49 C.F.R. Part 20, and as those authorities may be hereafter amended.

(b) If a Standard Form LLL, "Disclosure Form to Report Lobbying," is required to be completed by the Contractor or Subcontractor at any tier, such disclosure form shall be furnished to the Authority.

12. ACCESS REQUIREMENTS TO INDIVIDUALS WITH DISABILITIES

The Contractor shall comply with all applicable requirements of the Americans with Disabilities Act of 1990 (ADA), 42 U.S.C. § 12101, et seq. and 49 U.S.C. § 322; Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794; the Architectural Barriers Act of 1968, as amended 42 U.S.C. § 4151, et seq.; Federal Transit law, specifically 49 U.S.C. § 5332; Section 16 of the Federal Transit Act, as amended, 49 U.S.C. app. 1612; and the following regulations and any amendments thereto:

(a) U.S. DOT regulations, "Transportation Services for Individuals with Disabilities (ADA)," 49 C.F.R. Part 37;

(b) U.S. DOT regulations, "Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefiting from Federal Financial Assistance," 49 C.F.R. Part 27;

(c) U.S. DOT regulations, "Transportation for Individuals with Disabilities: Passenger Vessels," 49 C.F.R. Part 39;

(d) Department of Justice (DOJ) regulations, "Nondiscrimination on the Basis of Disability in State and Local Government Services," 28 C.F.R. Part 35;

(e) DOJ Regulations, "Nondiscrimination on the Basis of Disability by Public Accommodations and in Commercial Facilities," 28 C.F.R. Part 36;

(f) Equal Employment Opportunity Commission (EEOC) "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 C.F.R. Part 1630;

(g) Federal Communications Commission regulations, "Telecommunications Relay Services and Related Customer Premises Equipment for the Hearing and Speech Disabled," 47 C.F.R. Part 64, Subpart F;

- (h) FTA regulations, "Transportation for Elderly and Handicapped Persons", 49 C.F.R. Part 609;
- (i) Joint U.S. Architectural and Transportation Barriers Compliance Board (U.S. ATBCB) and U.S. DOT regulations, "Americans with Disabilities (ADA) Accessibility Specifications for Transportation Vehicles," 49 C.F.R. Part 38;
- (j) U.S. ATBCB regulations, "Electronic and Information Technology Accessibility Standards," 36 C.F.R. Part 1194;
- (k) FTA Circular 4710.1, "Americans with Disabilities Act: Guidance;" and
- (l) Other Federal laws, regulations, and requirements pertaining to access for seniors or individuals with disabilities.

13. OPERATIONS SERVICE CONTRACTS

If this is an operational service contract, the Contractor agrees to the following and agrees to include the substance of this clause in each subcontract that may involve operating public transit services:

- (a) Charter Service Operations. The Contractor agrees to comply with 49 U.S.C. § 5323(d), 5323(r), and 49 C.F.R. Part 604. The Contractor is prohibited from providing charter service using federally funded equipment or facilities if there is at least one (1) private charter operator willing and able to provide the service, except under one of the specified exceptions. Any charter service provided under one of the exceptions must be "incidental," i.e., it must not interfere with or detract from the provision of mass transportation; and
- (b) School Bus Operations. Pursuant to 49 U.S.C. § 5323(f) and 49 C.F.R. Part 605, the Contractor may not engage in school bus operations exclusively for the transportation of students and school personnel in competition with private school bus operators unless qualified under specified exemptions. When operating exclusive school bus service under an allowable exemption, the Contractor may not use federally funded equipment, vehicles, or facilities.

14. PROGRAM FRAUD AND FALSE OR FRAUDULENT STATEMENTS AND RELATED ACTS

- (a) The Contractor acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. §§ 3801 et seq. and U.S. DOT regulations, "Program Fraud Civil Remedies," 49 C.F.R. Part 31, apply to its actions pertaining to this Contract. The Contractor certifies or affirms the truthfulness and accuracy of any statement it has made, it makes, it may make, or causes to be made, pertaining to the Contract or the FTA assisted project for which this Contract work is being performed. In addition to other penalties that may be applicable, the Contractor further acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on the Contractor to the extent the Federal Government deems appropriate.
- (b) The Contractor also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government under a contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 U.S.C. Chapter 53, the Government reserves the right to impose the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5323(l) on the Contractor, to the extent the Federal Government deems appropriate.
- (c) The Contractor agrees to include the above two clauses in each Subcontract associated with this Contract. It is further agreed that the clauses shall not be modified, except to identify the Subcontractor who will be subject to the provisions.

15. PRIVACY ACT

- (a) The Contractor agrees to comply with, and assures the compliance of its employees with, the information restriction and other applicable requirements of the Privacy Act of 1974, 5 U.S.C. § 552a. Among other things, the

Contractor agrees to obtain the express consent of the Federal Government before the Contractor or its employees operate a system of records on behalf of the Federal Government. The Contractor understands that the requirements of the Privacy Act, including the civil and criminal penalties for violation of that Act, apply to those individuals involved, and that failure to comply with the terms of the Privacy Act may result in termination of the Contract.

(b) The Contractor agrees to include the above clause in each Subcontract associated with this Contract. It is further agreed that the clauses shall not be modified, except to identify the Subcontractor who will be subject to the provisions.

16. NO OBLIGATION BY THE FEDERAL GOVERNMENT

(a) Notwithstanding any concurrence by the Federal Government in or approval of the solicitation or award of the Contract, absent the express written consent by the Federal Government, the Federal Government is not a party to this Contract and shall not be subject to any obligations or liabilities to the Contractor, or any other party (whether or not a party to that Contract) pertaining to any matter resulting from the underlying Contract.

(b) The Contractor agrees to include the above clause in each Subcontract associated with this Contract. The clause shall not be modified, except to identify the Subcontractor who will be subject to its provisions.

17. NOTICE OF FEDERAL REQUIREMENTS

(a) The Contractor shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in CapMetro's Master Agreement with the FTA, as they may be amended or promulgated from time to time during the term of this Contract. The Contractor's failure to so comply shall constitute a material breach of this Contract.

(b) The Contractor is advised that Federal requirements applicable to this Contract as set forth in federal law, regulations, policies, and related administrative practices may change during the performance of this Contract. Any such changes shall also apply to this Contract and subcontracts at all tiers.

18. INCORPORATION OF FTA TERMS – FTA CIRCULAR 4220.1F

The preceding provisions include, in part, certain Standard Terms and Conditions required by the DOT, whether or not expressly set forth in the preceding Contract provisions. All contractual provisions required by DOT, as set forth in FTA Circular 4220.1F, dated November 1, 2008, are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Contract. The Contractor shall not perform any act, fail to perform any act, or refuse to comply with any Authority requests, which would cause the Authority to be in violation of the FTA terms and conditions.

19. SEISMIC SAFETY REGULATIONS

To the extent applicable to Contractor's work, the Contractor agrees that any new building or addition to an existing building will be designed and constructed in accordance with the standards for Seismic Safety required in Department of Transportation Seismic Safety Regulations 49 C.F.R. Part 41 and will certify to compliance to the extent required by the regulation. The Contractor also agrees to ensure that all work performed under this Contract including work performed by a Subcontractor is in compliance with the standards required by the Seismic Safety Regulations and the certification of compliance issued on the project.

20. DRUG-FREE WORKPLACE PROGRAM

(a) As used in this clause:

(1) "Alcohol" means ethyl alcohol and any beverage containing ethyl alcohol.

(2) "Controlled substance(s)" means a substance, including a drug and an immediate precursor listed in Schedules I through V of Subchapter A of the Texas Controlled Substances Act, Tex. Rev. Civ. Stat. Ann. Articles

481.032 - 481.036. These substances include, but are not limited to, marijuana, heroin, LSD, concentrated cannabis or cannabinoids, hashish or hash oil, morphine or its derivatives, mescaline, peyote, phencyclidine (PCP, Angel Dust), opium, opiates, methadone, cocaine, Quaaludes, amphetamines, "exotic/designer" drugs, benzodiazepines, Seconal, codeine, barbiturates, Phenobarbital, or Valium.

(3) "Safety sensitive task" means each category of work performed at a construction workplace which, if performed by a person impaired by the effects of alcohol or a controlled substance:

- (i) would pose a serious risk of death or personal injury to the employee or others in the vicinity; or
- (ii) could compromise the quality of the construction in such manner as would impose a significant public safety risk in the operation of the Authority's public transportation system.

(4) "Drug-free workplace" means a site for the performance of work done in connection with the Authority's construction contract at which employees are prohibited from using alcohol or from engaging in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance.

(5) "Employee" means an employee of a Contractor or Subcontractor who may be directly engaged in the performance of work under the Authority's construction contract.

(6) "Reasonable suspicion" means the presence or absence of specific criteria identified in the Contractor's drug-free workplace program (indicating the possibility that a person is under the influence of alcohol or a controlled substance) as observed by the Contractor's supervisory personnel with reasonable training in the identification of such criteria.

(b) The program shall provide for mandatory drug testing of employees who are to perform safety sensitive tasks under the following circumstances:

(1) All employees will be tested prior to assignment to the Authority's construction project to ascertain the use of controlled substances if the employee will be performing safety sensitive tasks; and

(2) When there is a reasonable suspicion that an employee is under the influence of alcohol or a controlled substance at the workplace; and

(3) When an employee has been involved in an accident or unsafe practice (as defined in the Contractor's safety program) at the workplace.

(c) The program may, at the Contractor's discretion, include mandatory employee drug testing under the following circumstances:

(1) As part of or as a follow-up to counseling or rehabilitation for controlled substance use; or

(2) As part of a voluntary employee drug testing program.

(d) A random testing procedure to detect the use of alcohol or a controlled substance by employees performing safety sensitive tasks is required as part of the Contractor's program for the purpose of preventing or deterring hazardous performance. The procedure shall require that, at a minimum, five percent (5%) of the Contractor's employees will be randomly tested within the Contract period or within each year of the Contract period, whichever period is shorter.

(e) All testing by or on behalf of the Contractor because of a requirement in the Authority's Contract shall be conducted only for employees engaged (or to be engaged) in safety sensitive tasks and only for use of alcohol or a controlled substance and shall be conducted in a manner and under written policies that minimize the intrusion on the employee's privacy and personal dignity. This provision shall not preclude the Contractor from adding its own additional testing requirements.

(f) The Contractor shall publish a statement notifying employees that the use of alcohol at the workplace or the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance by employees at any time is prohibited and specifying the actions that will be taken against employees for violations of such prohibition.

(g) The program must require each employee who will perform a safety sensitive task, prior to working under the Authority's Contract to:

- (1) Acknowledge in writing the Contractor's drug-free workplace program; and
- (2) Give advance written consent to any drug testing that may be conducted under the Contractor's program and the use of test results for decisions related to employment, disciplinary action, or continued employment. The Contractor will agree, in connection with the employee's consent that the results of testing for alcohol and controlled substances will not be voluntarily referred to any law enforcement agency. If the Contractor is subject to a collective bargaining agreement:
 - (i) the procedure for obtaining the individual employee's acknowledgment and consent must be consistent with the Contractor's obligations under the collective bargaining agreement; and
 - (ii) employees shall have the right to be accompanied by a union representative when any specimen is obtained for testing.
- (h) The Contractor will establish a drug-free awareness program to inform its employees about:
 - (1) The dangers of drug abuse in the workplace;
 - (2) The Contractor's policy of maintaining a drug-free workplace;
 - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) The penalties that may be imposed upon employees who refuse to submit to required testing and for other violations of the drug-free workplace program including, but not limited to, being unable to remain employed at the workplace until approval to return is obtained from the Authority.
- (i) The Contractor's drug-free workplace program shall, at a minimum, include:
 - (1) Policies and procedures for specimen collection, chain of custody for specimens, laboratory qualification standards, laboratory analysis procedures, quality control requirements, and test result reporting procedures which substantially conform to the material requirements of the Mandatory Guidelines for Federal Workplace Drug Testing Programs promulgated by the U.S. Department of Health and Human Services in effect on the date of award of the Authority's construction contract.
 - (2) Procedures for the Contractor's employees to report their use of prescription drugs used in the course of medical treatment or which have been prescribed and authorized for use by a licensed medical practitioner.
 - (3) The criteria the Contractor will use for "reasonable suspicion" testing.
 - (4) The levels of alcohol or controlled substances which will be used in conjunction with a determination that an employee is "under the influence" or is "impaired by the effects of" alcohol or controlled substance(s).
- (j) The Contractor shall display a notice, prominently placed near each entrance to the workplace, stating that, by entering the premises, persons are consenting to an inspection of themselves and their property including, but not limited to, their clothing, vehicles, briefcases, lunch boxes, tool boxes, purses, and packages.
- (k) The Contractor agrees to use its best efforts to establish and maintain a work environment free of use by employees of alcohol or controlled substances through implementation of paragraph (b) through (j) of this clause. The Contractor shall prepare and maintain records in sufficient detail to demonstrate compliance with the requirements of this clause including, but not limited to, certifications from Subcontractors and records of drug or alcohol tests conducted during performance of the Contract. Such records shall be subject to inspection and audit by the Authority, and the Contractor's noncompliance may authorize the Authority to withhold all or any portion of any payments due the Contractor until the Contractor demonstrates compliance.
- (l) As applicable, the Contractor also agrees to establish and implement a drug and alcohol testing program that complies with 49 U.S.C. § 5331, 49 C.F.R. Part 655, and 49 C.F.R. Part 40, produce any documentation necessary to establish its compliance with such requirements, and permit any authorized representative of the U.S. DOT or its operating administrations, any state oversight agency, and/or the Authority, to inspect the facilities and records associated with the implementation of the drug and alcohol testing program and review the testing process. The Contractor agrees further to certify annually its compliance with Part 655 before issuance of the Notice to Proceed and annually thereafter and to submit, by March 1 of each year of the term of the Contract, a Management Information System (MIS) report covering the previous calendar year to CapMetro, Attn: Chief Contracting Officer, 2910 East 5th Street, Austin, Texas 78702. To certify compliance the Contractor shall use the "Alcohol and Controlled Substances

Testing” certification in the “Annual List of Certifications and Assurances for Federal Transit Administration Grants and Cooperative Agreements,” which is published annually in the Federal Register.

(m) A Drug-Free Workplace Program clause identical to this clause (except for changes appropriate for designation of the parties), including this subparagraph (l) will be included in every Subcontract entered into in connection with this Contract.

21. RECYCLED PRODUCTS; 42 U.S.C. § 6962, 40 C.F.R. Part 247, Executive Order 12873, 2 C.F.R. 200.322

(a) Applicability to Contracts

The Recycled Products requirements apply to all contracts for items designated by the EPA, when the purchaser or Contractor procures \$10,000 or more of one of these items during the fiscal year, or has procured \$10,000 or more of such items in the previous fiscal year, using Federal funds. New requirements for "recovered materials" will become effective May 1, 1996. These new regulations apply to all procurement actions involving items designated by the EPA, where the procuring agency purchases \$10,000 or more of one of these items in a fiscal year, or when the cost of such items purchased during the previous fiscal year was \$10,000.

(b) Flow Down

These requirements flow down to all contractor and Subcontractor tiers.

(c) Recovered Materials

The Contractor agrees to comply with all the requirements of Section 6002 of the Resource Conservation and Recovery Act (RCRA), as amended (42 U.S.C. 6962), including but not limited to the regulatory provisions of 40 C.F.R. Part 247, and Executive Order 12873, as they apply to the procurement of the items designated in Subpart B of 40 C.F.R. Part 247.

22. TRANSIT EMPLOYEE PROTECTIVE AGREEMENTS; 49 U.S.C. § 5310, § 5311, and § 5333, 29 C.F.R. Part 215

(a) Applicability to Contracts

The Transit Employee Protective Provisions apply to each contract for transit operations performed by employees of a Contractor recognized by FTA to be a transit operator. (Because transit operations involve many activities apart from directly driving or operating transit vehicles, FTA determines which activities constitute transit "operations" for purposes of this clause.)

(b) Flow Down

These provisions are applicable to all contracts and Subcontracts at every tier.

(c) Transit Employee Protective Provisions

(1) The Contractor agrees to comply with applicable transit employee protective requirements as follows:

(i) General Transit Employee Protective Requirements - To the extent that FTA determines that transit operations are involved, the Contractor agrees to carry out the transit operations work on the underlying Contract in compliance with terms and conditions determined by the U.S. Secretary of Labor to be fair and equitable to protect the interests of employees employed under this Contract and to meet the employee protective requirements of 49 U.S.C. A 5333(b), and U.S. DOL guidelines at 29 C.F.R. Part 215, and any amendments thereto. These terms and conditions are identified in the letter of certification from the U.S. DOL to FTA applicable to the FTA Recipient's project from which Federal assistance is provided to support work on the underlying Contract. The Contractor agrees to carry out that work in compliance with the conditions stated in that U.S. DOL letter. The requirements of this subsection (1), however, do not apply to any contract financed with Federal assistance provided by FTA either for projects

for elderly individuals and individuals with disabilities authorized by 49 U.S.C. § 5310(a)(2), or for projects for nonurbanized areas authorized by 49 U.S.C. § 5311. Alternate provisions for those projects are set forth in subsections (b) and (c) of this clause.

(ii) Transit Employee Protective Requirements for Projects Authorized by 49 U.S.C. § 5310(a)(2) for Elderly Individuals and Individuals with Disabilities - If the contract involves transit operations financed in whole or in part with Federal assistance authorized by 49 U.S.C. § 5310(a)(2), and if the U.S. Secretary of Transportation has determined or determines in the future that the employee protective requirements of 49 U.S.C. § 5333(b) are necessary or appropriate for the state and the public body subrecipient for which work is performed on the underlying Contract, the Contractor agrees to carry out the Project in compliance with the terms and conditions determined by the U.S. Secretary of Labor to meet the requirements of 49 U.S.C. § 5333(b), U.S. DOL guidelines at 29 C.F.R. Part 215, and any amendments thereto. These terms and conditions are identified in the U.S. DOL's letter of certification to FTA, the date of which is set forth Grant Agreement or Cooperative Agreement with the state. The Contractor agrees to perform transit operations in connection with the underlying Contract in compliance with the conditions stated in that U.S. DOL letter.

(iii) Transit Employee Protective Requirements for Projects Authorized by 49 U.S.C. § 5311 in Nonurbanized Areas - If the contract involves transit operations financed in whole or in part with Federal assistance authorized by 49 U.S.C. § 5311, the Contractor agrees to comply with the terms and conditions of the Special Warranty for the Nonurbanized Area Program agreed to by the U.S. Secretaries of Transportation and Labor, dated May 31, 1979, and the procedures implemented by U.S. DOL or any revision thereto.

(2) The Contractor also agrees to include the any applicable requirements in each Subcontract involving transit operations financed in whole or in part with Federal assistance provided by FTA.

(d) The Authority encourages the Contractor, to adopt and enforce workplace safety policies to decrease crashes caused by distracted drivers, including policies that bar text messaging while driving company-owned or –rented vehicles, or government-owned, leased, or rented vehicles or privately-owned vehicles when on official Authority business or when performing any work for or on behalf of the Authority. See Executive Order 13513 “Federal Leadership on Reducing Text Messaging While Driving”, Oct. 1, 2009 (available at <http://edocket.access.gpo.gov/2009/E9-24203.htm>) and DOT Order 3902.10 “Text Messaging While Driving”, Dec. 30, 2009, as implemented by Financial Assistance Policy Letter (No. FAP-2010-01, February 2, 2010, available at https://www.transportation.gov/sites/dot.dev/files/docs/FAPL_2010-01.pdf). This includes, but is not limited to:

(1) Considering new rules and programs or re-evaluating existing programs to prohibit text messaging while driving;

(2) Conducting education, awareness, and other outreach for employees about the safety risks associated with texting while driving; and

(3) Encouraging voluntary compliance with the agency's text messaging policy while off duty.

(e) The Contractor is encouraged to insert the substance of this clause in all tier Subcontract awards.

23. DISTRACTED DRIVING, INCLUDING TEXT MESSAGING WHILE DRIVING

(a) The Contractor agrees to comply with:

(1) Executive Order No. 13513, “Federal Leadership on Reducing Text Messaging While Driving,” October 1, 2009, 23 U.S.C. § 402 note, (74 Fed. Reg. 51225);

(2) U.S. DOT Order 3902.10, “Text Messaging While Driving,” December 30, 2009; and:

(i) Adopt and enforce policies that ban text messaging while driving in Contractor-owned or rented vehicles or, if applicable, Authority-owned vehicles; or while driving privately-owned vehicles when performing any Work for or on behalf of the Authority.

(ii) Conduct initiatives in a manner commensurate with the size of the business, such as,

(A) Establishment of new rules and programs or re-evaluation of existing programs to prohibit text messaging while driving; and

(B) Education, awareness, and other outreach to employees about the safety risks associated with texting while driving.

(3) The following U.S. DOT Special Provision pertaining to Distracted Driving:

(i) *Safety*. The Contractor agrees to adopt and enforce workplace safety policies to decrease crashes caused by distracted drivers, including policies to ban text messaging while using an electronic device supplied by an employer, and driving a vehicle the driver owns or rents, a vehicle Contractor owns, leases, or rents, or a privately-owned vehicle when on official business in connection with the Contract, or when performing any work for or on behalf of the Contract;

(ii) *Contractor Size*. The Contractor agrees to conduct workplace safety initiatives in a manner commensurate with its size, such as establishing new rules and programs to prohibit text messaging while driving, re-evaluating the existing programs to prohibit text messaging while driving, and providing education, awareness, and other outreach to employees about the safety risks associated with texting while driving; and

(iii) *Extension of Provision*. The Contractor agrees to include these Special Provisions of this Contract in its sub-contract agreements, and encourage its sub-contractors to comply with this Special Provision.

(b) For purposes of this paragraph, the phrase “text messaging” means reading from or entering data into any handheld or other electronic device, including for the purpose of short message service texting, e-mailing, instant messaging, obtaining navigational information, or engaging in any other form of electronic data retrieval or electronic data communication operating a motor vehicle on an active roadway with the motor running, including while temporarily stationary because of traffic, a traffic light, stop sign, or otherwise; it does not include operating a motor vehicle with or without the motor running when one has pulled over to the side of, or off, an active roadway and has halted in a location where one can safely remain stationary.

24. VETERANS EMPLOYMENT

CapMetro is a recipient of Federal financial assistance on this Contract. The Contractor shall give a hiring preference, to the extent practicable, to veterans (as defined in Section 2108 of Title 5 C.F.R.) who have the requisite skills and abilities to perform the construction work required under the Contract. This subsection shall not be understood, construed or enforced in any manner that would require an employer to give a preference to any veteran over any equally qualified applicant who is a member of any racial or ethnic minority, female, an individual with a disability, or a former employee.

25. SEAT BELT

Seat Belt Use. The Contractor agrees to implement Executive Order No. 13043, “Increasing Seat Belt Use in the United States,” April 16, 1997, 23 U.S.C. § 402 note, (62 Fed. Reg. 19217), by:

(a) Adopting and promoting on-the-job seat belt use policies and programs for its employees and other personnel that operate company-owned vehicles, company-rented vehicles, or personally operated vehicles; and

(b) Including a “Seat Belt Use” provision in each of its sub-contractor agreements related to the Contract.

26. PROHIBITION ON CONTRACTING FOR CERTAIN TELECOMMUNICATIONS AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT

(a) Pursuant to Public Law 115-232, Section 889, and 2 C.F.R. Part 200, including §200.216 and §200.471, the Authority is prohibited from using federal funds to:

(1) Procure or obtain,

(2) Extend or renew a contract to procure or obtain; or

(3) Enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that use "Covered Telecommunications Equipment or Services" as a substantial or essential component of any system, or as critical technology as part of any system.

(b) As described in Public Law 115-232, section 889, "Covered Telecommunications Equipment or Services" is:

(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.

(c) Contractor shall not use or provide to the Authority Covered Telecommunications Equipment or Services in the performance of this Contract.

(d) Contractor shall insert the substance of this Paragraph in all subcontracts and other contractual instruments, including subcontracts for the acquisition of commercial items.

(e) Contractor shall notify the Authority immediately if Contractor cannot comply with the prohibition during the performance of this Contract.

27. BUS TESTING

(a) The following applies to purchases or leases of any new bus model or any bus model with a major change in configuration or components to be acquired or leased with FTA funds.

(b) Contractor agrees to comply with the Bus Testing requirements under 49 U.S.C. § 5318(e) and FTA's implementing regulation at 49 C.F.R. Part 665 to ensure that the requisite testing is performed for all new bus models or any bus model with a major change in configuration or components, and that the bus model has achieved a passing score. Upon completion of the testing, the Contractor shall obtain a copy of the bus testing reports from the operator of the testing facility and make that report(s) publicly available prior to final acceptance of the first vehicle by the Authority.

28. TRAFFICKING IN PERSONS

The Contractor agrees that it and its employees shall not, at any time during the performance of this Contract, do any of the following:

(a) Engage in severe forms of trafficking in persons, as defined Section 103 of the Trafficking Victims Protection Act of 2000 ("TVPA"), as amended, 22 U.S.C. § 7102;

- (b) Procure a commercial sex act, as defined Section 103 of the TVPA, as amended, 22 U.S.C. § 7102; or
- (c) Use forced labor, defined as labor obtained by recruitment, harboring, transportation, provision, or other means of obtaining of a person for labor or services through the use of force, fraud, or coercion for the purpose of subjection to involuntary servitude, peonage, debt bondage, or slavery, in the performance of the Contract or permit the use of forced labor in the performance of any subcontract hereunder.

29. GOVERNMENT-WIDE SUSPENSION AND DEBARMENT

- (a) Contractor shall comply with the following requirements of 2 C.F.R. Part 180, Subpart C, as adopted and supplemented by U.S. DOT regulations at 2 C.F.R. Part 1200.
- (b) Contractor shall not enter into any “covered transaction” (as defined in the above-referenced regulations) that is, or whose principal is, suspended, debarred, or otherwise excluded from participating in covered transactions, except as authorized by
 - (i) U.S. DOT regulations, “Nonprocurement Suspension and Debarment,” 2 C.F.R. Part 1200;
 - (ii) U.S. OMB regulatory guidance, “Guidelines to Agencies on Governmentwide Debarment and Suspension (Nonprocurement),” 2 C.F.R. Part 180; and
 - (iii) Other applicable federal laws, regulations, or requirements regarding participation with debarred or suspended Recipients or Third Party Participants.
- (c) Contractor shall review the U.S.GSA “System for Award Management – Lists of Parties Excluded from Federal Procurement and Nonprocurement Programs,” if required by U.S. DOT regulations, 2 C.F.R. Part 1200.
- (d) Contractor will ensure that all subcontracts include a provision necessary to flow down these suspension and debarment provisions to all lower-tier covered transactions.

30. PATENT RIGHTS AND RIGHTS IN DATA

If the Federal award meets the definition of “funding agreement” under 37 C.F.R. 401.2 (a) and Contractor is a small business firm or nonprofit organization performing experimental, developmental, or research work under that “funding agreement,” the Contractor agrees that the use of any data produced or delivered under the terms of the Contract including, but not limited to, engineering drawings and associated lists, specifications, process sheets and technical reports, shall be governed by the requirements of 37 C.F.R. Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements,” and any implementing regulations issued by FTA. In addition, the Contractor agrees that it will not publish such data without the written consent of the Authority and, if appropriate, the Federal Government.

31. NATIONAL INTELLIGENT TRANSPORTATION SYSTEMS STANDARDS

The Contractor agrees to conform to the National Intelligent Transportation Systems (ITS) Architecture requirements of 23 U.S.C. § 517(d), unless the Authority has obtained an exemption from the requirements and provided Contractor information regarding the exemption. The Contractor further agrees to follow FTA Notice, “FTA National ITS Architecture Policy on Transit Projects,” 66 Fed. Reg. 1455, January 8, 2001, and all other applicable Federal guidance.

32. NOTIFICATION OF LEGAL MATTERS

Contractor shall notify the Authority of any and all matters that Contractor knows or reasonably should know may affect the Federal Government’s interests. This notification requirement includes, but is not limited to, current or prospective legal matters such as an actual or potential major dispute, breach, default, litigation, naming of the Authority or the Federal Government as a party to litigation, or a legal disagreement in any forum for any reason. Matters that may affect the Federal Government include but are not limited to, the Federal Government’s interests in the Contract, the underlying Authority/FTA Agreement, and any amendments thereto, or the Federal Government’s administration or enforcement of federal laws, regulations, and requirements. Contractor agrees to include this clause

in every subcontract awarded at every tier. Contractor shall further notify the Authority of any potential fraud, waste, or abuse occurring on the contract or Project.

33. FEDERAL TAX LIABILITY AND RECENT FELONY CONVICTION

Contractor agrees that, prior to entering into any subcontract, Contractor will require the subcontractor to provide a certification on Federal Tax Liability and Recent Felony Convictions, which should be identical to the certification that Contractor provided the Authority. If the prospective subcontractor cannot certify as to the statements, Contractor shall not enter into the subcontract absent Authority and FTA approval. Contractor agrees to include this clause in every subcontract awarded at every tier.

34. COVID-19 SAFETY REQUIREMENTS

The Contractor agrees to comply with the Centers for Disease Control and Prevention (“CDC”) Order of January 29, 2021, titled Requirement for Persons to Wear Masks While on Conveyances and at Transportation Hubs (“CDC Mask Order”), as has been and may later be amended, and any other subsequent orders that may be issued. In addition, the Contractor shall comply with all applicable Authority policies and procedures, including those of the Authority’s service contractors. The Contractor agrees to include this clause in each subcontract to this Contract and to require subcontractors to include the clause in all lower-tier subcontracts.

35. LIMITATION ON CERTAIN ROLLING STOCK PROCUREMENTS

(a) Pursuant to Section 7613 of the National Defense Authorization Act for Fiscal Year 2020 (NDAA 2020), Public Law 116-92 (Dec. 20, 2019) and 49 U.S.C. § 5323(u), the Authority is prohibited from using financial assistance under Chapter 53 of title 49 U.S. Code to award a contract or subcontract to an entity for the procurement of rolling stock for use in public transportation if the manufacturer of the rolling stock:

(1) is incorporated in or has manufacturing facilities in the United States; and

(2) is owned or controlled by, is a subsidiary of, or is otherwise related legally or financially to a corporation based in a country that -

(i) is identified as a nonmarket economy country (as defined in section 771(18) of the Tariff Act of 1930 (19 U.S.C. 1677(18))) as of the date of enactment of this subsection;

(ii) was identified by the United States Trade Representative in the most recent report required by section 182 of the Trade Act of 1974 (19 U.S.C. 2242) as a foreign country included on the priority watch list defined in subsection (g)(3) of that section; and

(iii) is subject to monitoring by the Trade Representative under section 306 of the Trade Act of 1974 (19 U.S.C. 2416)

(a “Restricted Manufacturer”).

(b) For purposes of this provision, the term “otherwise related legally or financially” does not include a minority relationship or investment.

(c) Contractor shall not provide the Authority with rolling stock under this Contract if the rolling stock is from a Restricted Manufacturer or otherwise in violation of this prohibition.

(d) Contractor shall insert this provision in all applicable subcontracts and other contractual instruments.

(e) Contractor shall notify the Authority immediately if Contractor or any of its subcontractors cannot comply with this provision during the performance of this Contract.

**EXHIBIT E-2
INVOICING REQUIREMENTS**

SAMPLE Environmental Engineering Contract 12345

Date 1/31/2025

**SUMMARY OF INVOICES
SAMPLE DOCUMENT**

Date	Invoice #	Cap Metro Project Manager	Task Order	Description	Task Order Authorized Amount	Task % Complete	Invoice % Complete	Previous Amount Billed	Current Amount Due	Task Order Balance
		John Doe	1	Park and Ride ABC	\$ 3,700.00	100%	100%	\$ 3,700.00	\$ -	\$ -
		Pooja Kumar	2	Park and Ride DEF	\$ 5,980.00	100%	100%	\$ 5,980.00	\$ -	\$ -
1/31	1234	Jane Doe	3	Railstation TUV	\$ 16,260.00	33%	33%	\$ 2,500.00	\$ 2,350.00	\$ 11,410.00
1/31	6789	John Doe	4	Park and Ride WXY	\$ 47,523.00	100%	98%	\$ 44,277.00	\$ 3,050.00	\$ 196.00
					\$ 73,463.00			\$ 56,457.00	\$ 5,400.00	\$ 11,606.00

Task Order 100% / Invoicing Less than 100% Complete: Itemization of Outstanding Invoices

Task Order	Item Outstanding	Date to be Submitted	Amount
4	Invoice from Title Company Not Received Prior to Billing Cycle	2/28/2025	\$ 196.00

**EXHIBIT E-2
INVOICING REQUIREMENTS**

SAMPLE Engineering Contract 12345

Date 1/31/2025
Invoice # 1234

**INVOICE FOR TASK ORDER 3
SAMPLE DOCUMENT**

Project Description **Rail Station TUV**

Cap Metro Project Manager **John Doe**

Description	Rate	Task Order			Previously Billed			Current Invoice			Total	
		Hours	Fixed Cost	%	Hours	Billed	%	Hours	Invoice	%	Billed	%
Principal	\$ 175.00	12	\$ 2,100.00	13%	2	\$ 350.00	14%	2		0%	\$ 350.00	8%
Project Manager	\$ 150.00	30	\$ 4,500.00	28%	4	\$ 600.00	24%	5	\$ 750.00	35%	\$ 1,350.00	29%
Sr Engineer	\$ 135.00	15	\$ 2,025.00	13%	3	\$ 405.00	16%	1	\$ 135.00	6%	\$ 540.00	12%
Engineer	\$ 115.00	45	\$ 5,175.00	33%	7	\$ 805.00	33%	8	\$ 920.00	43%	\$ 1,725.00	37%
Sr Technician	\$ 50.00	40	\$ 2,000.00	13%	6	\$ 300.00	12%	7	\$ 350.00	16%	\$ 650.00	14%
Services Subtotal		142	\$ 15,800.00	100%	22	\$ 2,460.00	100%	23	\$ 2,155.00	100%	\$ 4,615.00	100%
Reimbursables:												
Courier Service			\$ 120.00						\$ 70.00		\$ 70.00	
Title Company Docs			\$ 340.00			\$ 40.00			\$ 125.00		\$ 165.00	
NTE Subtotal			\$ 460.00			\$ 40.00			\$ 195.00		\$ 235.00	
TOTAL			\$ 16,260.00			\$ 2,500.00			\$ 2,350.00		\$ 4,850.00	
									Due \$ 2,350.00			

Total Billed \$ 4,850.00
Balance on Task Order \$ 11,410.00

**EXHIBIT E-2
INVOICING REQUIREMENTS**

SAMPLE Environmental Engineering Contract 12345

Date 1/31/2025
Invoice # 6789

**INVOICE FOR TASK ORDER 4
SAMPLE DOCUMENT**

Project Description

Park and Ride WXY

Cap Metro Project Manager John Doe

Description	Rate	Task Order			Previously Billed			Current Invoice			Total	
		Hours	Fixed Cost	%	Hours	Billed	%	Hours	Invoice	%	Billed	%
Principal	\$ 175.00	36	\$ 6,300.00	13%	30	\$ 5,250.00	12%	3		0%	\$ 5,250.00	11%
Project Manager	\$ 150.00	78	\$ 11,700.00	25%	70	\$ 10,500.00	24%	5	\$ 750.00	25%	\$ 11,250.00	24%
Sr Engineer	\$ 135.00	83	\$ 11,205.00	24%	83	\$ 11,205.00	25%	10	\$ 1,350.00	44%	\$ 12,555.00	27%
Engineer	\$ 115.00	110	\$ 12,650.00	27%	100	\$ 11,500.00	26%	-	\$ -	0%	\$ 11,500.00	24%
Sr Technician	\$ 50.00	108	\$ 5,400.00	11%	115	\$ 5,750.00	13%	-	\$ -	0%	\$ 5,750.00	12%
Fixed Price Adjustment*									\$ 950.00		\$ 950.00	
Services Subtotal		415	\$ 47,255.00	100%	398	\$ 44,205.00	100%	18	\$ 3,050.00	69%	\$ 47,255.00	98%
						\$ 47,255.00						
Reimbursables**:												
Courier Service			\$ 72.00			72			\$ -		\$ 72.00	
Title Company Docs			\$ 196.00			-			\$ -		\$ -	
NTE Subtotal			\$ 268.00			72.00			\$ -		\$ 72.00	
TOTAL			\$ 47,523.00			\$ 44,277.00			\$ 3,050.00		\$ 47,327.00	
									Due \$ 3,050.00			

Item Outstanding	Date to be Submitted	Amount
Title Company Invoice	2/28/2025	\$ 196.00

Total Billed \$ 47,327.00
Balance on Task Order \$ 196.00

*Fixed price adjustment would be negative figure if total invoiced exceeded fixed price; Task Orders are negotiated fixed price for services. Capital Metro will not pay greater than the fixed price unless a Scope Change is ordered.

**Reimbursable expenses will not exceed the reimbursable expenses authorized by the task order. Reimbursable costs (including subcontractor costs) shall be reimbursed to the Contractor by task and at actual cost with no administrative or other mark-ups (including subcontractor costs).

EXHIBIT F SCOPE OF SERVICES
ENVIRONMENTAL ENGINEERING AND PLANNING SERVICES

1. BACKGROUND

(a) Capital Metropolitan Transportation Authority (“CapMetro” 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, Volente, and Point Venture, as well as the unincorporated area of Travis County within Commissioner Precinct 2 and the Anderson Mill area of Williamson County. CapMetro services include bus, commuter rail, ride-share programs, special event services, and special transit services for the mobility impaired.

(b) CapMetro needs NEPA, THC, TCEQ, FTA and other compliant environmental engineering services in support of real estate matters, including, but not limited to, real property acquisition, licensing and leasing, capital projects, facilities management, real estate development, and railroad right-of-way matters, within the next five years. The Contractor will be expected to respond to information and clarification requests from the Federal Transit Administration (FTA), the Texas Commission on Environmental Quality (TCEQ) the Texas Historical Commission (THC) and the Environmental Protection Agency (EPA), as the needs arises.

(c) CapMetro also requests services to support Agency sustainability and environmental performance goals as outlined in the [CapMetro Sustainability Vision Plan](#). Services may include environmental management system support and auditing, waste minimization and pollution prevention, and ecological services and green infrastructure planning.

2. ELEMENTS & DELIVERABLES

The Contractor’s work process and product shall conform to and comply with any and all State, Federal and Local Jurisdictional procedures, ordinances and regulations including, but not limited to, the National Environmental Policy Act (NEPA), the Federal Transit Administration (FTA), the Texas Historical Commission (THC) and the Texas Commission on Environmental Quality (TCEQ). The Contractor time of performance and quality of work product will be the essence of this contract. The below list identifies services that CapMetro is considering via this contract. It is not expected that each firm will be able to respond to each request. We hope to develop consultant partnerships with firms that have expertise in some, or all of the listed services.

- (1) FTA Environmental Determinations
- (2) Categorical Exclusion (CE)
- (3) Finding of No Significant Impact (FONSI)
- (4) Decision of Record (DR)
- (5) Environmental Site Assessments (ESA) – Phase I, II, & III
- (6) Environmental Assessments (EA)
- (7) Environmental Impact Studies (EIS)
- (8) Environmental Remediation Plans
- (9) NEPA “Needs Assessment”
- (10) Lead and Asbestos Investigations
- (11) Spill Prevention Control & Countermeasure Plans
- (12) Hazardous Material Evaluation and Remediation

- (13) Assessments for industrial discharge (oil, gas, chemicals, etc.)
- (14) Development of plans for environmental cleanup
- (15) Noise and Vibration Evaluation
- (16) Historical Archeological, Cultural Surveys
- (17) Historical Architectural SHPO Consultations
- (18) Environmental Engineering Impact Studies
- (19) Land Use
- (20) Climate Resiliency Assessments; Flood Control
- (21) Preparation of Letter of Map Revision (LOMR)/ Conditional Letter of map Revision (CLOMR) documentation
- (22) Wildlife or Biological Species Habitat; Ecological, Eco-system Service, and Biodiversity Assessments and Planning
- (23) Wetlands
- (24) Karst Features
- (25) Recharge Zones
- (26) Preparation of Environmental Engineering Design and/or Related Documents
- (27) Record Keeping and Preparation of Detailed Reports of Engineering Studies with Recommendations
- (28) Preparation and Administration of Environmental Permit Applications to Local, State and Federal agencies.
- (29) Environmental (and Sustainability) Management System (i.e. ISO 14001, FTA) Support and Auditing
- (30) Waste Minimization and Pollution Prevention Planning and Support
- (31) Environmental Compliance & Regulatory Support

3. GENERAL

- (a) All written reports required under the Agreement are to be delivered and addressed to the attention of the CapMetro Director of Real Estate, Capital Metro, 2910 E. 5th Street, Austin, Texas 78702.
- (b) Due to potential conflicts of interest and in concert with CapMetro's fiscal responsibility to the taxpayers, Consultant is prohibited from receiving any other compensation outside of payment under this Agreement that may result from or be directly related to the Work of this Contract.
- (c) All work product shall:
 - (1) be delivered in both paper (hard copy) and electronic format (Adobe)
 - (2) become the property of CapMetro

4. TASK ORDERS

- (a) A production schedule must accompany the task order proposal outlining which production is required.
- (b) Task Order proposals must represent a complete cost projection, including hourly fees by job classification, design and specification production and other activities associated with the proposed task order. All subcontractor costs must be included as part of the overall Task Order.
- (c) The Authority may reject any task proposal as non-responsive that excludes the required services.
- (d) The Contractor shall immediately notify the Authority of any requirements for additional project investigation or documentation necessary to provide the required scope of services.
- (e) All designs shall be appropriate to the project goals defined by the Authority's Project Manager.

5. RESPONSIBILITIES OF THE CONTRACTOR

- (a) All professional engineering design services must be performed in compliance with the Texas Engineering Practice Act, Chapter 1001 of the Texas Occupations Code.
- (b) The Contractor must maintain current insurance required by this Contract, including Railroad Protective Insurance if required by any Task Order for work in the railroad ROW.
- (c) The Contractor must obtain Railroad Worker Protection training for its assigned employees when working on the CapMetro railroad ROW. Further, the Contractor must arrange for and include in its cost of work the charge for an RWIC (railroad worker in charge) from the CapMetro railroad operator during the times his employees are within the railroad protective zone, if not previously provided by CapMetro.
- (d) The Contractor shall maintain an effective quality control system for all services provided in this Contract. The Contractor shall provide the necessary staffing, policies and procedures required to identify, document and correct quality defects and deficiencies.

6. AUTHORIZATION OF WORK

All work authorizations must be authorized by written signature of the CapMetro Procurement department. All goods or services provided without the proper authorization will result in non-payment.

- (a) Work Authorizations include:
 - (1) Change Orders
 - (2) Change Order Revisions
 - (3) Task Orders
 - (4) Task Order Revisions
 - (5) Contract Modifications
- (b) Procurement authorized signatures include:
 - (1) Contract Administrator
 - (2) Procurement Manager
 - (3) Procurement Director

EXHIBIT H – AUTHORIZATION OF WORK PRODUCT

DESCRIPTION: Environmental Engineering and Planning Services
CONTRACT NO.: To be determined following contract award

Authority’s Contracting Officer (CO)

- A. The CO for administration of this Contract is Jeffery Yeomans
B. Phone: 512-369-7727
C. Email: jeffery.yeomans@capmetro.org

The Contracting Officer is responsible for the general administration of the Contract, negotiation of any changes, and issuance of written modifications, task order revisions, or Change Orders (as it pertains to Construction Contracts Only and results in a Contract modification – see below) to the Contract. If the parties desire to modify the Contract, or revise the Task Order of the Contract, in any way, only the Contracting Officer is authorized to issue a written modification for authorized signatures.

Authority’s Project Manager (PM)

- A. The PM for this Contract is Barbara Price
B. Phone: 512-389-7438
C. Email: Barbara.price@capmetro.org

The Authority’s PM for this Contract is responsible for the overall management and coordination of this Contract and will act as the central point of contact for the Authority. The PM has full authority to act for the Authority in the performance of any project connected to the Contract. However, the PM cannot authorize, in writing or orally, to commence any work. The PM shall meet with Contractor’s PM to discuss problems as they occur. Any changes, including changes pursuant to the Changes clause in the Contract, will be handled solely by the CO. As needed, the Authority’s PM may assist with development of Change Orders and Contract modifications with the Authority’s CO.

Field Change Orders (Construction Contracts Only) – The Authority’s PM is permitted to authorize work when an event occurs in the field during construction which requires immediate action. Immediately, but no later than three (3) business days following such action, the Authority’s PM must provide a signed Change Order to the CO along with any other required procurement documentation in order to memorialize the Change Order in a task order revision or Contract modification.

The Contractor understands that should Contractor perform any work prior to written authorization by the Authority’s CO, Contractor is not allowed to invoice for any additional cost or fee for services or goods under the Contract, nor is the Authority liable for any payment for any unauthorized work.

SIGNED and DATED

Contractor signature line with handwritten signature and text: Contractor must sign and return with Offer

Date line with handwritten date: 02/03/2025

E-SIGNED by Barbara Price on 2025-10-01 14:05:57 CDT

Date line with handwritten date: October 01, 2025

Authority’s Project Manager (PM) signature line

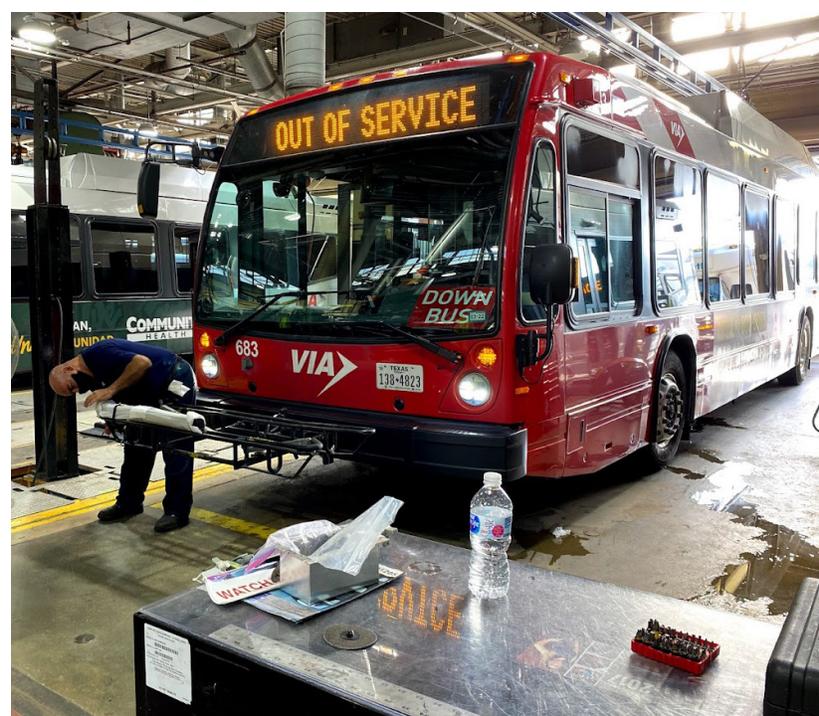
Date line with handwritten date: October 01, 2025

E-SIGNED by Jeffery Yeomans on 2025-10-01 13:50:26 CDT

Date line with handwritten date: October 01, 2025

Authority’s Contracting Officer (CO) signature line

Date line with handwritten date: October 01, 2025



STATEMENT OF QUALIFICATIONS

Capital Metro Transportation Authority

Environmental Engineering and Planning Services – No. 806105

February 3, 2025

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

AMENDMENT OF SOLICITATION

1. SOQ 806105	2. AMENDMENT NO.: 1	3. ISSUED: 1/10/2025
4. ISSUED BY: Jeffery Yeomans, Contract Administrator III		5. NUMBER OF AMENDMENT PAGES: 1
<p>6. <u>AMENDMENT OF SOLICITATION:</u></p> <p>The solicitation identified in Block 1, is hereby amended as described in Block 9. Except as provided herein, all other provisions of the solicitation, as hereto amended, shall remain unchanged and in full force and effect.</p>		
<p>7. <u>REQUIREMENT TO ACKNOWLEDGE AMENDMENT:</u></p> <p>Failure of offeror to acknowledge receipt of this Amendment may result in bid/proposal being deemed nonresponsive. Offerors must sign at Block 8 and acknowledge Amendment(s) to this solicitation in accordance with the ACKNOWLEDGEMENT OF AMENDMENTS section of Exhibit C-Revised-1.</p> <p>It is the responsibility of the bidder/proposer to check the solicitation package accessible through "Bid Opportunities" at https://www.planetbids.com/portal/portal.cfm?CompanyID=39494 for any amendments to the solicitation.</p>		
<p>8. <u>OFFEROR'S ACKNOWLEDGEMENT OF AMENDMENT:</u></p> <p>Name & Title: <u>Kimberly Buckley, PG Vice President/Principa</u> Signature: <u></u></p> <p>Offeror: <u>Freese and Nichols, Inc.</u> Date: <u>02/03/2025</u></p>		
<p>9. <u>DESCRIPTION OF THE AMENDMENT:</u></p> <p>This Amendment is issued to make changes to the above referenced solicitation as detailed below:</p> <ol style="list-style-type: none"> 1. Refer to <u>Cover Page</u>. Cover Page shall be replaced in its entirety with Cover Page – Revised-1, attached hereto and made a part hereof for all pertinent purposes. 2. Refer to <u>Table of Contents</u>. Table of Contents shall be replaced in its entirety with Table of Contents – Revised-1, attached hereto and made a part hereof for all pertinent purposes. 3. Refer to <u>Exhibit C, Solicitation Instructions and Conditions</u>. Exhibit C shall be replaced in its entirety with Exhibit C - Revised-1, attached hereto and made a part hereof for all pertinent purposes. 4. Refer to <u>Exhibit G – Past Performance Questionnaire</u>. Exhibit G shall be replaced in its entirety with Exhibit G-Revised-1, attached hereto and made a part hereof for all pertinent purposes. (If original Exhibit G has been sent, it is not necessary to resend this one.) <p align="center">THE DUE DATE HAS BEEN CHANGED TO FEBRUARY 3, 2025</p> <p align="center">[END OF AMENDMENT 1]</p>		

SOQ 806105

Amendment #1

(9/8/2023)

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

**EXHIBIT A
SCHEDULE
SOQ 806105**

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)	Freese and Nichols, Inc.		
Address	10431 Morado Circle, Building 5, Suite 300		
City, State, Zip	Austin, Texas 78759		
Phone, Fax, Email	512-617-3100	N/A	kimberly.buckley@freese.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)	Kimberly Buckley, PG		
Signature and Date			02/03/2025

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

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

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

7.5	%
-----	---

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

The Authority hereby accepts this offer.

Authorized Agent Name and Title (Printed)	
Signature and Date	
Accepted as to:	

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

6. DOCUMENTS ENCLOSED WITH THE SUBMITTAL

Submittals shall be submitted electronically via the Authority's PB System™ by PlanetBids ("PlanetBids"). See Exhibit C, Solicitation Instructions and Conditions, Section 4, PREPARATION OF SUBMITTALS and Section 8. SUBMISSION OF SUBMITTALS, for instructions on registering with, and submitting submittals on, PlanetBids.

Mark X each box below, to indicate that the submittals have been included in the offer. See Exhibit C, Solicitation Instructions and Conditions, Section 5, CONTENTS OF STATEMENT OF QUALIFICATIONS for a description of the required submittal format.

- Exhibit A – Schedule (pricing not requested until after selecting most qualified)**
- Exhibit B – Representations and Certifications**
- Exhibit C-1 - Exceptions and Assumptions Form**
- Exhibit D – Schedule C of Subcontractor Participation & Intent to Perform**
- Exhibit H- Authorization of Work Product**
- Firm Financial Data, as described in Exhibit C, Contents of Statement of Qualifications**
- W-9 Form**

Note: Failure to submit the required submittals along with the offer may result in rejection of the offer.

Remainder of page left blank intentionally

Signature of Authorized Agent:



Date:

02/03/2025

EXHIBIT B
REPRESENTATIONS AND CERTIFICATIONS
(FEDERALLY ASSISTED 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 _____

(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 dominate 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:

██████████

(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:

N/A

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:

(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 Kimberly Buckley, PG [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)(1)(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 and part 1200, subpart C, the offeror certifies to the best of the offeror's knowledge and belief, that it and its principals for this covered transaction:

(1) are not presently excluded or disqualified (which may include being 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 (i) the commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; (ii) violation of Federal or State antitrust statutes, including those proscribing price fixing between competitors, allocation of customers between competitors, and bid rigging; (iii) commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or (iv) commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility.

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

(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 its offer/bid/quote/qualifications statement.

(c) For any proposed subcontractor at any tier where the subcontract is expected to equal or exceed \$25,000:

(1) The offeror certifies that it has obtained a certification identical to (a) from such subcontractor.

(2) Where the prospective lower tier participant is unable to certify to (a), 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, the Authority's contractors or consultants) regarding this solicitation, except as described below:

Table with 2 columns: Individual's Name, Date/Subject of Communication. Row 1: N/A, N/A. Row 2: (empty). Row 3: (empty).

(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. PREVIOUS CONTRACTS AND COMPLIANCE REPORTS

The offeror represents as part of its offer that it (mark one):

- has
- has not

participated in a previous contract or subcontract subject either to Executive Order 11246 and its related regulations; and it (mark one):

- N/A has
- has not

filed all required compliance reports.

9. AFFIRMATIVE ACTION COMPLIANCE

(a) The offeror represents as part of its offer that it has a workforce of (indicate below the number of employees including temporary, full-time, or part-time employees):

1,267

(b) The offeror:

has developed an Affirmative Action Plan at each establishment as required by the rules and regulations of the Secretary of Labor (41 C.F.R. parts 60-1 and 60-2) and **has on file**. The offeror will submit the Affirmative Action Plan to the Authority within ten (10) days of the date of the Notice of Award (NOA).

has not developed an Affirmative Action Plan at each establishment as required by the rules and regulations of the Secretary of Labor (41 C.F.R. parts 60-1 and 60-2) and **does not have on file**. The offeror will submit the Affirmative Action Plan to the Authority within one hundred and twenty (120) days of the date of the Notice to Proceed (NTP).

(c) The offeror:

- N/A has
- has not

previously had contracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor.

10. DISADVANTAGED BUSINESS ENTERPRISE (DBE) 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, DBE and non-DBE) and an executed Intent to Perform as a DBE Subcontractor form for each DBE 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 “Disadvantaged Business Enterprise Program” and will meet the goal as established in any ensuing contract.

11. CLEAN AIR AND WATER CERTIFICATION

Applicable if the offer exceeds \$150,000, or the Authority believes that orders under an indefinite contract in any year will exceed \$150,000 or a facility to be used has been the subject of a conviction under the Air Act [42 U.S.C. §

7413(c)(1)] or the Water Act [33 U.S.C. § 1319(c)] and is listed by the Environmental Protection Agency (EPA) as a violating facility, and the acquisition is not otherwise exempt.

By submission of this offer, the offeror certifies that:

(a) any facility to be used in the performance of this proposed contract (mark one):

- is
 is not

listed on the EPA List of Violating Facilities;

(b) it will immediately notify the Authority, before award, of the receipt of any communication from the EPA Administrator, or a designee of the EPA, indicating that any facility which it proposes to use for the performance of the contract is under consideration to be listed on the EPA List of Violating Facilities; and

(c) it will include a certification substantially the same as this certification, including this paragraph (c), in every subcontract not otherwise exempt by law.

12. CERTIFICATION OF NON-SEGREGATED FACILITIES

(a) By the submission of this offer, the offeror certifies that it does not and will not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not and will not permit its employees to perform their services at any location under its control, where segregated facilities are maintained.

(b) The offeror agrees that a breach of this certification is a violation of the Civil Rights and Equal Opportunity Clause in Exhibit E of the contract.

(c) Definitions: For the purpose of this Certification of Non-Segregated Facilities, the following definitions shall apply:

(1) "segregated facilities" means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees that are segregated by explicit directive or are in fact segregated on the basis of race, color, religion, sex, sexual orientation, gender identity or national origin, because of written or oral policies or employee custom. The term does not include separate or single-user restrooms or necessary dressing or sleeping areas provided to assure privacy between the sexes.

(2) "gender identity" refers to one's internal sense of one's own gender; it may or may not correspond to the sex assigned to a person at birth, and may or may not be made visible to others.

(3) "sexual orientation" refers to an individual's physical, romantic, and/or emotional attraction to people of the same and/or opposite gender; examples of sexual orientations include "straight" (or heterosexual), lesbian, gay, and bisexual.

(d) It further certifies that (except where it has obtained identical certifications from proposed subcontracts for specific time periods) it will:

(1) obtain identical certifications from proposed subcontractors before the award of subcontracts under which the subcontractor will be subject to the Equal Opportunity provision in Exhibit E of the contract; and

(2) retain such certifications in its files.

13. CERTIFICATION OF RESTRICTIONS ON LOBBYING

This Certification is applicable if the offer exceeds \$100,000.

(a) By submission of this offer, the offeror certifies to the best of the offeror's knowledge or belief that no Federal appropriated funds have been paid, or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients and subcontractors shall certify and disclose accordingly.

(d) This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 or not more than \$100,000 for each such failure.

14. 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. Questions regarding the form should be directed to the Texas Ethics Commission.

15. 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.

16. 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.

17. 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.

18. BOYCOTT OF ENERGY COMPANIES PROHIBITED

Pursuant to Chapter 2276 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 2276.002 of the Texas Government Code, or

(b) the verification required by Section 2276.002 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.

19. CRITICAL INFRASTRUCTURE PROHIBITION

Pursuant to Chapter 2275 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 2275 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.

20. CERTIFICATION OF PRIME CONTRACTOR PARTICIPATION

(a) The Prime Contractor shall perform no less than thirty percent (**30%**) of the work with his or her 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, and articles, and the arrangement and titles of project drawings shall not control the Prime Contractor in dividing the work among subcontractors or in establishing the extent of work to be performed by any trade.

(c) The offeror hereby certifies that the **Schedule C of Subcontractor Participation** form submitted with the Exhibit D, Disadvantaged Business Enterprise (DBE) portion of this offer represents no more than seventy percent (**70%**) of the work will be done by subcontractors.

21. 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.

22. CERTIFICATION OF NO ORGANIZATIONAL CONFLICT OF INTEREST

(a) Offeror certifies that there is no real or apparent organizational conflict of interest (“Organizational Conflict”). An Organizational Conflict exists when (a) the Offeror is unable, or potentially unable, to provide impartial and objective assistance or advice to the Authority due to other activities, relationships, contracts, or circumstances; (b) the Offeror has an unfair competitive advantage through receipt of or obtaining access to nonpublic information; or (c) during the performance of an earlier contract or the conduct of a procurement, the Offeror has established the ground rules for this procurement by developing specifications, evaluation factors, or similar documents.

(b) If the Offeror is unable to certify to the above (in (a)), the Offeror, certifies that it has attached an explanation disclosing any real or apparent Organizational Conflict. Such attachment includes all relevant facts concerning any past, present, or currently planned interests that may present an Organizational Conflict.

23. FEDERAL TAX LIABILITY AND RECENT FELONY CONVICTIONS

(a) Offeror certifies that it:

(1) Does not have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and

(2) Was not convicted of the felony criminal violation under any Federal law within the preceding 24 months.

(b) If the Offeror is unable to certify to the above (in (a)), the Offeror certifies that it has attached an explanation stating to what part of (a) the Offeror is unable to certify.

(c) The Offeror certifies that it has required any subcontractors identified in its offer to certify to (a) or has attached a statement explaining why such identified subcontractor is unable to certify to (a).

24. LIMITATION ON CERTAIN ROLLING STOCK PROCUREMENTS

(a) *Prohibition.* This Contract is subject to Section 7613 of the National Defense Authorization Act for Fiscal Year 2020 (NDAA 2020), Public Law 116-92 (Dec. 20, 2019) and 49 U.S.C. § 5323(u) which prohibit using financial assistance made available under Chapter 53 of Title 49 U.S. Code to award a contract or subcontract to an entity for the procurement of rolling stock for use in public transportation if the manufacturer of the rolling stock:

(1) is incorporated in or has manufacturing facilities in the United States; and

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

(2) is owned or controlled by, is a subsidiary of, or is otherwise related legally or financially to a corporation based in a country that -

(i) is identified as a nonmarket economy country (as defined in section 771(18) of the Tariff Act of 1930 (19 U.S.C. 1677(18))) as of the date of enactment of this subsection;

(ii) was identified by the United States Trade Representative in the most recent report required by section 182 of the Trade Act of 1974 (19 U.S.C. 2242) as a foreign country included on the priority watch list defined in subsection (g)(3) of that section; and

(iii) is subject to monitoring by the Trade Representative under section 306 of the Trade Act of 1974 (19 U.S.C. 2416).

(a “Restricted Manufacturer”). For purposes of this provision, the term “otherwise related legally or financially” does not include a minority relationship or investment.

(b) *Procedures.* The Offeror shall review the relevant statutes to ascertain if the Offeror or any subcontractor or supplier is a Restricted Manufacturer.

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

(1) It

- is
- is not

a Restricted Manufacturer; and

(2) It has obtained representations from all relevant subcontractors or suppliers, and that the subcontractors or suppliers—

- are
- are not

Restricted Manufacturers.

(d) *Disclosures.* Disclosure for the representation in paragraph (c) of this provision: If the Offeror has responded “is” in the representation in paragraph (c)(1) of this provision, the Offeror shall provide a statement providing all information reflecting the basis for its certification. If the Offeror has responded “are” in the representation in paragraph (c)(2) of this provision, the Offeror shall provide a statement identifying the subcontractor(s) or supplier(s) and all information reflecting the basis for the certification.

25. 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.

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

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

(e) 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. In addition, under 18 U.S.C. §. 1001, a false statement may result in a fine of up to \$10,000 or imprisonment for up to five (5) years, or both.

Name of Offeror:

Freese and Nichols, Inc.

Type/Print Name of Signatory:

Kimberly Buckley, PG

Title of Signatory:

Vice President/Principal

Signature:

Kimberly Buckley

Date:

February 3, 2025

CAPITAL METRO
Schedule C of Subcontractor Participation

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) Status as a DBE or non-DBE, 5) Ethnic Code of firm, 6) Age of the firm, 7) Annual gross receipts of the firm, 8) % or \$ amount of Total Contract. Those subcontractors which are listed on this form as DBEs must have current certification as a DBE with a participating TUCP certifying agency (see Exhibit D paragraph 6). The DBE certification must be complete by the time the proposals are submitted. Additionally, those subcontractors which are listed on this form as DBEs must complete an Intent to Perform as a DBE Subcontractor agreeing to the information listed here.

Name of Prime Contractor (Offeror): Freese and Nichols, Inc.
Project Name: Environmental Engineering and Planning Services
SOQ Number: 806105

Ethnic Code: A) African-American Male B) African American Female C) Asian- Indian Male D)Asian- Indian Female E) Asian –Pacific Male G) Asian-Pacific Female H) Hispanic Male I) Hispanic Female J) Native American Male K) Native American Female L) White Female M) Other

1) Name of Subcontractor	2) Address, Telephone # of DBE Firm (including name of contact person)	3) Description of Work, Services Provided. Where applicable, specify "supply" or "retail" or both.	4) DBE or non-DBE	5) Ethnic Code	6) Age of Firm	7) Annual Gross Receipts	8) DBE % or \$ amount of Total Contract
Acacia Heritage Consulting	4907 Finley Drive, Austin, TX 78731 512-923-6409 Rachel Feist	Cultural Resources Services	DBE	H	6	\$1.9M	1%
Arias & Associates, Inc.	13581 Pond Springs Rd., Suite 305, Austin, TX 78729 512-428-5550 Alexandros Sioritis	Geotechnical Engineering Services	DBE	H	29	\$5M+	0.5%
Environmental Research Group, LLC	6049 Falls Road, Baltimore, MD 21209 410-366-5170 Lisa Oney	Cultural Resources Services	DBE	L	24	\$19M	2%
Harris Miller Miller & Hanson Inc.	700 District Avenue, Suite 800, Burlington, MA 01803 781-229-0707 Diana B. Wasink	Noise & Vibration Consulting Services	DBE	L	43	\$15M	0.5%
MagnaCore Drilling and Environmental Services, Inc.	2605 Fitzgerald Ave McKinney, TX 75071 214-207-8993 Cedric Cuccio	Environmental Drilling Services	DBE	HI	28	\$500k	2%
McGray & McGray Land Surveyors, Inc.	3301 Hancock Drive, Suite 6, Austin, TX 78731 512-451-8591 Chris Conrad	Surveying Services	DBE	L	43	\$14M	0.5%
San Antonio Testing Laboratory, LLC	1610 S. Laredo Street San Antonio, TX 78207 210-229-9920 Marcela Hank	Analytical Testing	non-DBE	C	38	\$3M	N/A
Targas Associates	3333 Easthart Drive, Suite 210, Carrollton, Texas 75006 972-528-4683 Jodi Johnson	Environmental Consulting Services	DBE	I	15	\$3M	0.5%

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

**CAPITAL METRO
Schedule C of Subcontractor Participation**

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) Status as a DBE or non-DBE, 5) Ethnic Code of firm, 6) Age of the firm, 7) Annual gross receipts of the firm, 8) % or \$ amount of Total Contract. These subcontractors which are listed on this form as DBEs must have current certification as a DBE with a participating TUCP certifying agency (see Exhibit D paragraph 6). The DBE certification must be complete by the time the proposals are submitted. Additionally, those subcontractors which are listed on this form as DBEs must complete an Intent to Perform as a DBE Subcontractor agreeing to the information listed here.

Name of Prime Contractor (Offeror): Freese and Nichols, Inc.
 Project Name: Environmental Engineering and Planning Services
 SDQ Number: 806105

Ethnic Code: A) African-American Male B) African American Female C) Asian- Indian Male
 D)Asian- Indian Female E) Asian –Pacific Male G) Asian-Pacific Female H) Hispanic Male
 I) Hispanic Female J) Native American Male K) Native American Female L) White Female M) Other

1) Name of Subcontractor	2) Address, Telephone # of DBE Firm (including name of contact person)	3) Description of Work, Services Provided. Where applicable, specify "supply" or "install" or both.	4) DBE or non-DBE	5) Ethnic Code	6) Age of Firm	7) Annual Gross Receipts	8) DBE % or \$ amount of Total Contract
Zaca Environmental LLC	2104 Hunter Road, San Marcos, Texas 78666 512-291-4555 Krista McDevitt	Environmental Support	DBE	L	21	\$2.5M	0.5%

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

The undersigned will enter into a formal agreement with DBE contractors for work listed in this schedule upon execution of a contract with Capital Metro. The contractor agrees to the terms of this schedule by signing below and submitting the Intent to Perform as completed by the DBE subcontractors. The contractor also certifies that no more than 70% of the work for this project will be subcontracted.



 Signature of Authorized Representative of Offeror

02/03/2025

 Date Signed

CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105

(Note: In accordance with 49 CFR (Code of Federal Regulations) Part 26 and Board policy, DBE firms participating in Capital Metro's DBE Program must have "current" certification status with a TUCP Certifying Agency (see Exhibit D Paragraph 6) by the due date established for this SOQ.

- 1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
- 2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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) cultural resources compliance and consulting

and at the following price \$ _____ and/or 2 % of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE 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 DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

<u>Acacia Heritage Consulting</u> (Name of DBE Firm)	 (Signature of Authorized Representative)	<u>512-923-6409</u> (Phone Number)	<u>01/22/2025</u> (Date Signed)
<u>Freese and Nichols, Inc.</u> (Name of Offeror/Prime Contractor)	 (Signature of Authorized Representative)	<u>817-735-7332</u> (Phone Number)	<u>2/3/2025</u> (Date Signed)

CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105

(Note: In accordance with 49 CFR (Code of Federal Regulations) Part 26 and Board policy, DBE firms participating in Capital Metro's DBE Program must have "current" certification status with a TUCP Certifying Agency (see Exhibit D Paragraph 6) by the due date established for this SOQ.

1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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) Provide geotechnical engineering services

and at the following price \$ _____ and/or 0.5 % of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE 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 DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

Arias & Associates, Inc.
(Name of DBE Firm)


(Signature of Authorized Representative)

512-428-5550
(Phone Number)

1/17/2025
(Date Signed)

Freese and Nichols, Inc.
(Name of Offeror/Prime Contractor)


(Signature of Authorized Representative)

817-735-7332
(Phone Number)

2/3/2025
(Date Signed)

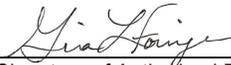
CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105

(Note: In accordance with 49 CFR (Code of Federal Regulations) Part 26 and Board policy, DBE firms participating in Capital Metro's DBE Program must have "current" certification status with a TUCP Certifying Agency (see Exhibit D Paragraph 6) by the due date established for this SOQ.

- 1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
- 2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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) Cultural Resources Support

and at the following price \$ _____ and/or 2 % of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE 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 DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

<u>Environmental Research Group, LLC</u> (Name of DBE Firm)	 (Signature of Authorized Representative)	<u>410-366-5170</u> (Phone Number)	<u>1/29/2025</u> (Date Signed)
<u>Freese and Nichols, Inc.</u> (Name of Offeror/Prime Contractor)	 (Signature of Authorized Representative)	<u>817-735-7332</u> (Phone Number)	<u>2/3/2025</u> (Date Signed)

CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105

(Note: In accordance with 49 CFR (Code of Federal Regulations) Part 26 and Board policy, DBE firms participating in Capital Metro's DBE Program must have "current" certification status with a TUCP Certifying Agency (see Exhibit D Paragraph 6) by the due date established for this SOQ.

1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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) Noise & Vibration Services

and at the following price \$ TBD and/or 0.5 % of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE anticipates that TBD % of the dollar value of this subcontract will be sublet and/or awarded to other contractors. Any and all subcontractors that a DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

Harris Miller Miller & Hanson Inc.
(Name of DBE Firm)


(Signature of Authorized Representative)

781-229-0707
(Phone Number)

1/30/2025
(Date Signed)

Freese and Nichols, Inc.
(Name of Offeror/Prime Contractor)


(Signature of Authorized Representative)

817-735-7332
(Phone Number)

2/3/2025
(Date Signed)

CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105

(Note: In accordance with 49 CFR (Code of Federal Regulations) Part 26 and Board policy, DBE firms participating in Capital Metro's DBE Program must have "current" certification status with a TUCP Certifying Agency (see Exhibit D Paragraph 6) by the due date established for this SOQ.

- 1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
- 2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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) provide environmental drilling services

and at the following price \$ _____ and/or 2 % of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE 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 DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

MagnaCore Drilling and Environmental Services, Inc.		(214) 207-8993	1/21/25
(Name of DBE Firm)	(Signature of Authorized Representative)	(Phone Number)	(Date Signed)
Freese and Nichols, Inc.		817-735-7332	2/3/2025
(Name of Offeror/Prime Contractor)	(Signature of Authorized Representative)	(Phone Number)	(Date Signed)

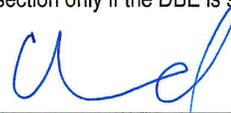
CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105

(Note: In accordance with 49 CFR (Code of Federal Regulations) Part 26 and Board policy, DBE firms participating in Capital Metro's DBE Program must have "current" certification status with a TUCP Certifying Agency (see Exhibit D Paragraph 6) by the due date established for this SOQ.

1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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 Surveying Services

and at the following price \$ _____ and/or 0.5 % of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE 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 DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

<u>McGray & McGray Land Surveyors, Inc.</u> (Name of DBE Firm)	 (Signature of Authorized Representative)	<u>(512) 451-8591</u> (Phone Number)	<u>1/21/2025</u> (Date Signed)
<u>Freese and Nichols, Inc.</u> (Name of Offeror/Prime Contractor)	 (Signature of Authorized Representative)	<u>817-735-7332</u> (Phone Number)	<u>2/3/2025</u> (Date Signed)

CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105

(Note: In accordance with 49 CFR (Code of Federal Regulations) Part 26 and Board policy, DBE firms participating in Capital Metro's DBE Program must have "current" certification status with a TUCP Certifying Agency (see Exhibit D Paragraph 6) by the due date established for this SOQ.

- 1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
- 2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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) Environmental consulting services

and at the following price \$ _____ and/or 0.5 % of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE 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 DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

<u>Targus Environmental, LLC</u> (Name of DBE Firm)	<u>Jodi Johnson</u> (Signature of Authorized Representative)	<u>972-247-7229</u> (Phone Number)	<u>1/25/2025</u> (Date Signed)
<u>Freese and Nichols, Inc.</u> (Name of Offeror/Prime Contractor)	<u>Kimberly Buckley</u> (Signature of Authorized Representative)	<u>817-735-7332</u> (Phone Number)	<u>2/3/2025</u> (Date Signed)

CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105

(Note: In accordance with 49 CFR (Code of Federal Regulations) Part 26 and Board policy, DBE firms participating in Capital Metro's DBE Program must have "current" certification status with a TUCP Certifying Agency (see Exhibit D Paragraph 6) by the due date established for this SOQ.

- 1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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) endangered species compliance (karst)

and at the following price \$ and/or 0.5 % of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE 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 DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

Zara Environmental LLC (Name of DBE Firm) [Signature] (512) 291-4555 (Phone Number) 24 January 2025 (Date Signed)
Freese and Nichols, Inc. (Name of Offeror/Prime Contractor) [Signature] 817-735-7332 (Phone Number) 2/3/2025 (Date Signed)



City of Austin

*Small & Minority Business Resources Department, 811 Barton Springs Rd. Suite 805, Austin, TX 78704
Mailing Address: PO Box 1088, Austin, Texas 78767, Certification Division Telephone (512) 974-7645*



March 27, 2024

Acacia Heritage Consulting
Attn: Rachel Jane Feit
4907 Finley Dr
Austin, TX 78731

RE: DBE ANNUAL REVIEW COMPLETE

Dear Ms. Feit:

Congratulations!

This letter is to inform Acacia Heritage Consulting that the March 27, 2024 annual review has been completed. This review **confirms the continued eligibility** of the firm as a Disadvantaged Business Enterprise (DBE) for purposes of the US Department of Transportation's (DOT) Disadvantaged Business Enterprise (DBE) Program. The City of Austin is a member of the Texas Unified Certification Program (TUCP) and adheres to the DOT standards set forth in 49 CFR Part 26 and Part 23.

This DBE certification is valid at any Texas entity that receives DOT funds and has a DBE Program for the following NAICS Code(s):

**NAICS 541720: HISTORIC AND CULTURAL PRESERVATION RESEARCH AND DEVELOPMENT SERVICES
NAICS 541720: ARCHEOLOGICAL RESEARCH AND DEVELOPMENT SERVICES**

As a DBE you must provide to the recipient (SMBR), every year on the anniversary of the date of your certification, an affidavit sworn to by the firm's owner(s) before a person who is authorized by state law to administer oaths or an unsworn declaration executed under penalty of perjury of the laws of the United States. This affidavit must affirm that there have been no changes in the firm's circumstances affecting its ability to meet size, disadvantaged status, ownership, or control requirements of this part or any material changes in the information provided in its application form, except for changes about which you have notified the recipient under paragraph (i) of this section. The affidavit shall specifically affirm that your firm continues to meet SBA business size criteria and the overall gross receipts cap of this part, documenting this affirmation with supporting documentation of your firm's size and gross receipts. If you fail to provide this affidavit in a timely manner, you will be deemed to have failed to cooperate under §26.109(c).

This firm's next Annual Review documents are due prior to April 30, 2025.

YOU MAY SUBMIT YOUR ANNUAL DOCUMENTS ON OUR ONLINE PORTAL AT THIS LINK:

<https://austintexas.mwdbe.com/>

If you are a City of Austin registered vendor, you are responsible for maintaining accurate information on your vendor profile. You are asked to update **any** changes related to your business in the City's Vendor Connection system at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm. You can perform these changes daily from 7:00AM to 7:00PM. If you need assistance making changes, please contact Vendor Registration at (512) 974-2018 or by email at vendorreg@austintexas.gov.

Thank you for your interest in the program and we wish you continued success. Please contact the City of Austin's Certification Division at (512) 974-7645 if you need further information.

Michelle Meadows
Business Development Supervisor
512-974-7811 or Michelle.Meadows@austintexas.gov



City of Austin

*Small & Minority Business Resources Department, 811 Barton Springs Rd. Suite 805, Austin, TX 78704
Mailing Address: PO Box 1088, Austin, Texas 78767, Certification Division Telephone (512) 974-7645*



June 27, 2023

Rachel Jane Feit
Acacia Heritage Consulting
4907 Finley Dr
Austin, TX 78731

RE: RECERTIFICATION APPROVAL

Dear Ms. Rachel Jane Feit,

Congratulations!

Acacia Heritage Consulting has been recertified as Women Business Enterprise (WBE) to participate in the City of Austin's Minority and Women-Owned Business Enterprise (MBE/WBE) Procurement Program.

MBEs and WBEs are required to seek recertification upon the fourth year anniversary of their initial certification and upon the fourth anniversary of all subsequent certifications. Failure of the firm to seek recertification by filing the necessary documentation with SMBR within 60 calendar days from the date of receipt of written notification from SMBR may result in decertification of the firm. The recertification review is completed through thorough examination of the sworn affidavit and supporting documentation to determine your continued eligibility as outlined in the City Ordinance Code: § 2-9A-D-15.

You must report any change(s) in circumstances that affect your firm's size, social/economic disadvantage status, management, ownership or control to SMBR within thirty (30) calendar days. Failure to report such change(s) may result in the denial of continued certification or recertification. Additionally, a MBE/WBE on-site review may be conducted by SMBR as needed.

This firm's next Annual Review documents are due prior to April 30, 2027.

Please submit your update to the following link: <https://austintexas.mwdbe.com/>.

To confirm the current status of all certified firms, prime contractors, vendors and interested parties are to visit the City of Austin's Certified Vendor Directory at:

https://www.austintexas.gov/financeonline/account_services/search/vendors/certvendor.cfm

All statuses will be confirmed through the Certified Vendor Directory as noted above and the Certified Vendor Availability List provided by SMBR.

As a City of Austin registered vendor, you are responsible for maintaining accurate information on your vendor profile. You are asked to update any changes related to your business in the City's Vendor Connection system at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm. You can perform these changes daily from 7:00AM to 7:00PM. If you need assistance making changes, please contact Vendor Registration at (512) 974-2018 or by email at vendorreg@austintexas.gov.

Thank you for your interest in the program and we wish you continued success. If you have any questions please contact the Certification Division at (512) 974-7645 or email at SMBRCertification@austintexas.gov.

Mariza Aldrete
Business Development Counselor II
512-974-7053 or Mariza.aldrete@austintexas.gov



City of Austin

*Small & Minority Business Resources Department, 811 Barton Springs Rd. Suite 805, Austin, TX 78704
Mailing Address: PO Box 1088, Austin, Texas 78767, Certification Division Telephone (512) 974-7645*



June 17, 2024

Jeremy Arias
Arias & Associates, Inc. DBA Arias
142 Chula Vista
San Antonio, TX 78232

RE: RECERTIFICATION APPROVAL

Dear Mr. Jeremy Arias,

Congratulations!

Arias & Associates, Inc. DBA Arias has been recertified as Minority Business Enterprise (MBE) to participate in the City of Austin's Minority and Women-Owned Business Enterprise (MBE/WBE) Procurement Program.

MBEs and WBEs are required to seek recertification upon the fourth year anniversary of their initial certification and upon the fourth anniversary of all subsequent certifications. Failure of the firm to seek recertification by filing the necessary documentation with SMBR within 60 calendar days from the date of receipt of written notification from SMBR may result in decertification of the firm. The recertification review is completed through examination of the sworn affidavit and supporting documentation to determine your continued eligibility as outlined in the City Ordinance Code: § 2-9A-D-15.

You must report any change(s) in circumstances that affect your firm's size, social/economic disadvantage status, management, ownership or control to SMBR within thirty (30) calendar days. Failure to report such change(s) may result in the denial of continued certification or recertification. Additionally, a MBE/WBE on-site review may be conducted by SMBR as needed.

This firm's next Annual Review documents are due prior to May 31, 2028.

Please submit your update to the following link: <https://austintexas.mwdbe.com/>.

To confirm the current status of all certified firms, prime contractors, vendors and interested parties are to visit the City of Austin's Certified Vendor Directory at:

https://www.austintexas.gov/financeonline/account_services/search/vendors/certvendor.cfm

All statuses will be confirmed through the Certified Vendor Directory as noted above and the Certified Vendor Availability List provided by SMBR.

As a City of Austin registered vendor, you are responsible for maintaining accurate information on your vendor profile. You are asked to update any changes related to your business in the City's Vendor Connection system at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm. You can perform these changes daily from 7:00AM to 7:00PM. If you need assistance making changes, please contact Vendor Registration at (512) 974-2018 or by email at vendorreg@austintexas.gov.

Thank you for your interest in the program and we wish you continued success. If you have any questions please contact the Certification Division at (512) 974-7645 or email at SMBRCertification@austintexas.gov.

Cynthia Trevino-Cabrera
Business Development Counselor II
512-974-7053 or cynthia.trevino-cabrera@austintexas.gov



South Central Texas Regional Certification Agency
Your unified certification source
www.sctrca.org



Jeremy Arias
Arias & Associates, Inc. DBA Arias
142 Chula Vista
San Antonio, TX 78232

Dear Jeremy Arias:

We are pleased to inform you that your application for certification in our Disadvantaged Business Enterprise Program has been approved with the South Central Texas Regional Certification Agency (SCTRCA) and with the State of Texas Unified Certification Program (TUCP). In accordance with U.S. Department of Transportation (USDOT) DBE certification eligibility requirements promulgated at 49 CFR, Part 26 and/or Part 23 and is currently certified as a:

***DBE**

Certification Number: **224021761**
Certification Anniversary: **February 28, 2025**

Providing the following products or services:
NAICS 541330: ENGINEERING SERVICES
NAICS 541380: GEOTECHNICAL TESTING LABORATORIES OR SERVICES

This certification shall remain valid, unless and until it has been removed in accordance with procedures set fourth in 49 CFR §26.87. In order to remain certified, it is your obligation to submit an Annual Update and Affidavit ("No Change Affidavit") annually on or before the anniversary of your DBE certification. A No Change Affidavit is a sworn affidavit affirming that there have been no changes in the firm's circumstances affecting its size, disadvantage status, ownership or the control requirements of the regulation, or any material change in the information provided in its application for DBE certification, including the support documentation. Please note that the SCTRCA reserves the right to request any other documentation that may be necessary to make a certification determination.

Please notify this office within thirty (30) days of any changes affecting the size, ownership, control requirements, or any material change in the information provided in the submission of the certification application. Failure to provide these changes could result in your firm being removed from the certified vendor database. The SCTRCA and/or the TUCP reserve the right to re-evaluate a firm's certification status at anytime that they determine such re-evaluation is warranted.

Thank you for your participation in the SCTRCA DBE Certification Program.

[lb|SCTRCA|Signature|HTML3]



Minority Business Enterprise (MBE)
Arias & Associates, Inc. DBA Arias / Arias
Geoprofessionals

Arias & Associates, Inc. DBA Arias / Arias Geoprofessionals

has filed with the Agency an Affidavit as defined by NCTRCA Minority Business Enterprise (MBE) Policies & Procedures and is hereby certified to provide service(s) in the following areas:

NAICS 541330: ENGINEERING SERVICES
NAICS 541380: TESTING LABORATORIES AND SERVICES

This Certification commences April 6, 2023 and supersedes any registration or listing previously issued. This certification must be updated every two years by submission of an Annual Update Affidavit. At any time there is a change in ownership, control of the firm or operation, notification must be made immediately to the North Central Texas Regional Certification Agency for eligibility evaluation.

Certification Expiration: April 30, 2025
Issued Date: April 6, 2023
CERTIFICATION NO. HMMB17091N0425

Certification Administrator

January 8, 2024

Diana Wasiuk
Harris Miller Miller & Hanson Inc. DBA HMMH INC.
700 District Avenue, Suite 800
Burlington, MA 01803
Certification #24-1-13018
Dear Diana Wasiuk:

CONGRATULATIONS! Your application for certification as a City of Houston Disadvantaged Business Enterprise (DBE) is approved. The approval is contingent upon your firm maintaining certification eligibility and cooperation with the annual update process on each anniversary date.

We have certified Harris Miller Miller & Hanson Inc. DBA HMMH INC., only for Environmental & Capacity Planning Including Noise Vibration Control, Program Management, Air Quality Analysis & Airport & Airspace Planning & Climate & Energy Solutions. You are being listed in the Directory of certified M/W/S/DBE, in the following Directory Capability listing:

NAICS: NAICS 541611: ADMINISTRATIVE MANAGEMENT AND GENERAL MANAGEMENT CONSULTING SERVICES
NAICS 541620: ENVIRONMENTAL CONSULTING SERVICES
NAICS 541690: OTHER SCIENTIFIC AND TECHNICAL CONSULTING SERVICES
NAICS 541715: RESEARCH AND DEVELOPMENT IN THE PHYSICAL, ENGINEERING, AND LIFE SCIENCES (EXCEPT NANOTECHNOLOGY AND BIOTECHNOLOGY)
NAICS 541990: ALL OTHER PROFESSIONAL, SCIENTIFIC, AND TECHNICAL SERVICES

The certification covers only the company, that is listed in this letter and on the attached certificate, not any other company with which you may be associated, and only for those specific functions mentioned herein.

Now that you are certified, the adventure begins. You will also receive emails on upcoming contracting opportunities, networking events, and free training. Check our website at www.houstontx.gov/obo/index.html for valuable resource information.

Here is important information that you need to know:

Each year, one month prior to the anniversary date of your certification, you will receive instructions on how to complete the Annual Update Form and Affidavit. This form must be completed and returned along with a signed copy your Business Income Tax (Form 1120, 1065 or 1040 All Schedules including Schedule C). Please note that for Tax Returns not yet filed under an extension of time to file, a copy of the extension will suffice. If you do not complete and return the above items, your certification may be revoked.

Also, failure to report company changes to us such as (ownership changes, address, phone number, business structure changes, etc.), or any subsequently discovered material misrepresentation in the certification application or in the execution of a contract, will be reason for revocation of certification for up to a five-year period.

It is your responsibility to periodically monitor the online M/W/S/DBE Directory at <https://houston.mwdb.com/VendorSearch.asp> to ensure the accuracy of your contact information and profile. Attached is a copy of your firm's certification profile. If there are any changes to your firm's contact information (name, address, phone, fax, email), please contact our office immediately at (832) 393-0600 so that the appropriate adjustments can be made.

I want to emphasize several important facts for your consideration:

First, we are here to assist you with any question or problems about how the City's M/W/S/DBE program works. We are also here to assist you with any problems on a City contract.

Second, never allow a company to submit your name unless you will, through your own efforts, be doing the work. The

following practices are violations of the City's M/W/S/DBE program and will result in the revocation of certification for a five-year period.

1. Allowing your company's name to be submitted toward satisfying the M/W/S/DBE goal for a scope of work for which you are not certified;
2. Brokering or passing-through supply orders, wherein your contract includes dollars for supplies which you would only order from distributor or manufacturer;
3. Hiring members of the prime contractor's workforce;
4. Allowing your company's name to be submitted toward satisfying the M/W/S/DBE goal, but not actually performing, through your own workforce, the exact scope of work submitted in the prime's contract documents;
5. Requesting or allowing the prime contractor to "advance" dollars or otherwise meet payroll for your employees.

Third, after you sign a Letter of Intent or contract with a prime contractor to provide services or supplies on a City contract, should you experience ANY problems with actually getting or completing the contract, or being paid, please call us immediately to file a complaint. We cannot know whether you have actually been given the contract, or working on a project as reported to City Council, unless you tell us.

Fourth, the M/W/S/DBE Directory is available online at www.houstontx.gov. It is used internally by City Procurement Representation, externally by prime contractors and vendors as they attempt to meet M/W/S/DBE goals assigned to City contracts. Our directory is also used by several other agencies and corporations in their search for legitimate M/W/S/DBE companies. You must maintain an accurate mailing address, a working telephone number, and a person or device for accepting your messages. It is essential that you return solicitation calls immediately. The accomplishment of the spirit and intent of our program is seriously affected when MWBE's cannot be reached. Those interested in contracting must be able to reach you quickly and consistently.

Fifth, please notify us immediately if you are ever, by action or inaction, discouraged from bidding on any City project, by a prime contractor or subcontractor, or any employee of the City. Our program requires that all information on a contract be given to you in a time frame, which will give you an opportunity to develop your bid.

Sixth, your certification has value, so your Certification Number should be guarded carefully. We suggest that you not give your Certification Number to people who call and those who express an interest in doing business with you. Rather, we suggest you wait until your bid is accepted and you have a contract or signed Letter of Intent before releasing your Certification Number. They may call us for verification.

Seventh, Be advised that the percentage of M/W/S/DBE goal credit for Material Supply will depend on the method used on each particular project. If you do not alter the product or use your firm's storage facilities/distribution equipment, then the M/W/S/DBE goal credit will be reduced.

The City M/W/S/DBE program's focus is to open the competitive process, and to afford you an opportunity to actually perform work or provide services/goods related to City taxpayers' projects. This program is working! Our FY 2015 figures are among the highest in the nation--\$288.0 million earned by minority and women owned companies. We hope that in next year's figures we can count contracts you have received.

Finally, be sure to register as a vendor. All suppliers and contractors interested in registering with the City of Houston and/or bidding on products and services procured by the City of Houston, must first register with the City's Strategic Procurement Division for an online web account by accessing the following web-link:
http://purchasing.houstontx.gov/registration_form.aspx

Once a user name and a password are obtained, you may then proceed to place bids, update your company profile and complete and submit a Supplier Registration Form to enroll on the City of Houston's registered supplier list. New supplier registration is incomplete until an IRS W-9 form is sent via email to houstonpurchasing@houstontx.gov. The information on this form must be the same as listed on the request for Taxpayer Identification Number as required by the Internal Revenue Service.

Again, congratulations. We welcome your participation, and wish you every success.

Very truly yours,

Marsha Murray
Director
The Office of Business Opportunity

Please note: If you received this approval letter due to the completion of your firm's ACDBE/DBE annual certification update and you have also received a proposed ACDBE/DBE decertification notification, this approval letter does not void or overrule that notification.



City of Austin

Small & Minority Business Resources Department, 811 Barton Springs Rd, Suite 805, Austin, TX 78704
Mailing Address: PO Box 1088, Austin, Texas 78767, Certification Division Telephone (512) 974-7645

September 26, 2023

Harris Miller Miller & Hanson Inc. DBA HMMH

Diana Wasiuk
700 District Ave Suite 800
Burlington, MA 01803

RE: NEW MBE AND/OR WBE CERTIFICATION

Dear Ms. Diana Wasiuk:

Congratulations!

We are pleased to inform you that City of Austin's Small & Minority Business Resources Department (SMBR) has certified your business as a Women Business Enterprise (WBE).

The status of your MBE/WBE certification shall be reviewed by SMBR. Prior to reaching your next certification anniversary you will be asked to complete the "MBE/WBE Recertification Affidavit" and supporting documentation. The review is completed through examination of the sworn affidavit and supporting documentation to determine your continued eligibility as outlined in the City Ordinance Code: § 2-9B-15. Additionally, a MBE/WBE on-site review may be conducted by SMBR as needed. **It is important that you report any change(s) in circumstances that affect your firm's size, social/economic disadvantage status, management, ownership or control to SMBR within thirty (30) calendar days. Failure to report such change(s) may result in the denial of continued certification or recertification.**

This firm's Recertification documents are due prior to September 30, 2027.

You may submit your documentation to the following link: <https://austintexas.mwdbe.com/>.

MBEs and WBEs are required to seek recertification upon the fourth anniversary of their initial certification and upon the fourth anniversary of all subsequent certifications.

As a City of Austin registered vendor, you are responsible for maintaining accurate information on your vendor profile. You are asked to update **any changes** related to your business in the City's Vendor Connection system at https://www.austintexas.gov/financeonline/account_services/search/vendors/certvendor.cfm You can perform these changes daily from 7:00AM to 7:00PM. If you need assistance making changes, please contact Vendor Registration at (512) 974-2018 or by email at VendorReg@austintexas.gov.

If you have any questions regarding your certification, you may contact the City of Austin's Certification Division at 512-974-7645 or email SMBRCertification@austintexas.gov.

Sincerely,

Tamela Saldana, Ph.D.
Assistant Director
City of Austin, SMBR



Disadvantaged Business Enterprise (DBE)
MagnaCore Drilling and Environmental
Services, Inc

MagnaCore Drilling and Environmental Services, Inc

has filed with the Agency an Affidavit as defined by NCTRCA Disadvantaged Business Enterprise (DBE) 49 CFR Part 26 and is hereby certified to provide service(s) in the following areas:

NAICS 238990: ALL OTHER SPECIALTY TRADE CONTRACTORS
NAICS 541620: ENVIRONMENTAL CONSULTING SERVICES
NAICS 541990: ALL OTHER PROFESSIONAL, SCIENTIFIC, AND TECHNICAL SERVICES

This Certification commences December 26, 2024 and supersedes any registration or listing previously issued. This certification must be updated annually by submission of an Annual Update Affidavit. At any time there is a change in ownership, control of the firm or operation, notification must be made immediately to the North Central Texas Regional Certification Agency for eligibility evaluation.

Issued Date: December 26, 2024
CERTIFICATION NO. HMDB28455N1225



Certification Administrator



City of Austin

Small & Minority Business Resources Department, 811 Barton Springs Rd. Suite 805, Austin, TX 78704
Mailing Address: PO Box 1088, Austin, Texas 78767, Certification Division Telephone (512) 974-7645



March 1, 2024

MCGRAY & MCGRAY LAND SURVEYORS INC
Attn: Ashley Conrad
3301 Hancock Drive, Ste. #6
Austin, TX 78731-5441

RE: DBE ANNUAL REVIEW COMPLETE

Dear Ms. Conrad:

Congratulations!

This letter is to inform MCGRAY & MCGRAY LAND SURVEYORS INC that the **2024 DBE ANNUAL UPDATE REVIEW** has been completed. This review **confirms the continued eligibility** of the firm as a Disadvantaged Business Enterprise (DBE) for purposes of the US Department of Transportation's (DOT) Disadvantaged Business Enterprise (DBE) Program. The City of Austin is a member of the Texas Unified Certification Program (TUCP) and adheres to the DOT standards set forth in 49 CFR Part 26 and Part 23.

This DBE certification is valid at any Texas entity that receives DOT funds and has a DBE Program for the following NAICS Code(s):

NAICS 541370: SURVEYING AND MAPPING (EXCEPT GEOPHYSICAL) SERVICES
NAICS 541360: GEOPHYSICAL SURVEYING AND MAPPING SERVICES

As a DBE you must provide to the recipient (SMBR), every year on the anniversary of the date of your certification, an affidavit sworn to by the firm's owner(s) before a person who is authorized by state law to administer oaths or an unsworn declaration executed under penalty of perjury of the laws of the United States. This affidavit must affirm that there have been no changes in the firm's circumstances affecting its ability to meet size, disadvantaged status, ownership, or control requirements of this part or any material changes in the information provided in its application form, except for changes about which you have notified the recipient under paragraph (i) of this section. The affidavit shall specifically affirm that your firm continues to meet SBA business size criteria and the overall gross receipts cap of this part, documenting this affirmation with supporting documentation of your firm's size and gross receipts. If you fail to provide this affidavit in a timely manner, you will be deemed to have failed to cooperate under §26.109(c).

This firm's next Annual Review documents are due prior to March 31, 2025.

YOU MAY SUBMIT YOUR ANNUAL DOCUMENTS ON OUR ONLINE PORTAL AT THIS LINK:

<https://austintexas.mwdbe.com/>

If you are a City of Austin registered vendor, you are responsible for maintaining accurate information on your vendor profile. You are asked to update **any** changes related to your business in the City's Vendor Connection system at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm. You can perform these changes daily from 7:00AM to 7:00PM. If you need assistance making changes, please contact Vendor Registration at (512) 974-2018 or by email at vendorreg@austintexas.gov.

Thank you for your interest in the program and we wish you continued success. Please contact the City of Austin's Certification Division at (512) 974-7645 if you need further information.

Elton Price
Certification Division Manager
512-974-7725 or elton.price@austintexas.gov



*The City of Austin
Small & Minority Business Resources Department affirms that*

McGray & McGray Land Surveyors, Inc.

is certified as a

Disadvantaged Business Enterprise

The City of Austin adheres to the U.S. Department of Transportation (DOT) DBE standards set forth in 49 CFR Part 26 and Part 23. Your DBE certification shall be valid at any Texas entity that receives DOT funds and has a DBE program.

NAICS Code(s): **541370; 541360**

Veronica Briseño Lara, Director
Small & Minority Business Resources Department

VENDOR CODE: **MCG3115750**

Certification is contingent upon the City receiving an affidavit of continued eligibility each year. Verification of certification status can be obtained by calling (512) 974-7645.



Disadvantaged Business Enterprise (DBE)
Targus Associates, LLC DBA Targus
Associates

Targus Associates, LLC DBA Targus Associates

has filed with the Agency an Affidavit as defined by NCTRCA Disadvantaged Business Enterprise (DBE) 49 CFR Part 26 and is hereby certified to provide service(s) in the following areas:

**NAICS 531390: OTHER ACTIVITIES RELATED TO REAL ESTATE
NAICS 541620: ENVIRONMENTAL CONSULTING SERVICES
NAICS 562910: REMEDIATION SERVICES**

This Certification commences February 7, 2024 and supersedes any registration or listing previously issued. This certification must be updated annually by submission of an Annual Update Affidavit. At any time there is a change in ownership, control of the firm or operation, notification must be made immediately to the North Central Texas Regional Certification Agency for eligibility evaluation.

Issued Date: February 7, 2024
CERTIFICATION NO. HFDB29171N0225



Certification Administrator



City of Austin

*Small & Minority Business Resources Department, 811 Barton Springs Rd. Suite 805, Austin, TX 78704
Mailing Address: PO Box 1088, Austin, Texas 78767, Certification Division Telephone (512) 974-7645*



July 11, 2023

Jodi Johnson
Targus Associates, LLC DBA Targus Associates
3333 Earhart Drive, Ste 210
Carrollton, TX 75006

RE: RECERTIFICATION APPROVAL

Dear Ms. Johnson,

Congratulations!

Targus Associates, LLC DBA Targus Associates has been recertified as Women Business Enterprise (WBE) to participate in the City of Austin's Minority and Women-Owned Business Enterprise (MBE/WBE) Procurement Program.

MBEs and WBEs are required to seek recertification upon the fourth year anniversary of their initial certification and upon the fourth anniversary of all subsequent certifications. Failure of the firm to seek recertification by filing the necessary documentation with SMBR within 60 calendar days from the date of receipt of written notification from SMBR may result in decertification of the firm. The recertification review is completed thorough examination of the sworn affidavit and supporting documentation to determine your continued eligibility as outlined in the City Ordinance Code: § 2-9A-D-15.

You must report any change(s) in circumstances that affect your firm's size, social/economic disadvantage status, management, ownership or control to SMBR within thirty (30) calendar days. Failure to report such change(s) may result in the denial of continued certification or recertification. Additionally, a MBE/WBE on-site review may be conducted by SMBR as needed.

This firm's next Annual Review documents are due prior to August 31, 2027.

Please submit your update to the following link: <https://austintexas.mwdbe.com/>.

To confirm the current status of all certified firms, prime contractors, vendors and interested parties are to visit the City of Austin's Certified Vendor Directory at:

https://www.austintexas.gov/financeonline/account_services/search/vendors/certvendor.cfm

All statuses will be confirmed through the Certified Vendor Directory as noted above and the Certified Vendor Availability List provided by SMBR.

As a City of Austin registered vendor, you are responsible for maintaining accurate information on your vendor profile. You are asked to update any changes related to your business in the City's Vendor Connection system at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm. You can perform these changes daily from 7:00AM to 7:00PM. If you need assistance making changes, please contact Vendor Registration at (512) 974-2018 or by email at vendorreg@austintexas.gov.

Thank you for your interest in the program and we wish you continued success. If you have any questions please contact the Certification Division at (512) 974-7645 or email at SMBRCertification@austintexas.gov.

Elton Price
Certification Division Manager
512-974-7725 or elton.price@austintexas.gov



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February 12, 2024

Zara Environmental LLC
Attn: Krista McDermid
2104 Hunter Rd.
San Marcos, TX 78666-5101

RE: DBE ANNUAL REVIEW COMPLETE

Dear Ms. McDermid:

Congratulations!

This letter is to inform Zara Environmental LLC that the 2024 **DBE ANNUAL UPDATE REVIEW** has been completed. This review confirms the continued eligibility of the firm as a Disadvantaged Business Enterprise (DBE) for purposes of the US Department of Transportation's (DOT) Disadvantaged Business Enterprise (DBE) Program. The City of Austin is a member of the Texas Unified Certification Program (TUCP) and adheres to the DOT standards set forth in 49 CFR Part 26 and Part 23.

This DBE certification is valid at any Texas entity that receives DOT funds and has a DBE Program for the following NAICS Code(s):

NAICS 541620: ENVIRONMENTAL CONSULTING SERVICES

NAICS 541690: OTHER SCIENTIFIC AND TECHNICAL CONSULTING SERVICES

As a DBE you must provide to the recipient (SMBR), every year on the anniversary of the date of your certification, an affidavit sworn to by the firm's owner(s) before a person who is authorized by state law to administer oaths or an unsworn declaration executed under penalty of perjury of the laws of the United States. This affidavit must affirm that there have been no changes in the firm's circumstances affecting its ability to meet size, disadvantaged status, ownership, or control requirements of this part or any material changes in the information provided in its application form, except for changes about which you have notified the recipient under paragraph (i) of this section. The affidavit shall specifically affirm that your firm continues to meet SBA business size criteria and the overall gross receipts cap of this part, documenting this affirmation with supporting documentation of your firm's size and gross receipts. If you fail to provide this affidavit in a timely manner, you will be deemed to have failed to cooperate under §26.109(c).

This firm's next Annual Review documents are due prior to March 31, 2025.

YOU MAY SUBMIT YOUR ANNUAL DOCUMENTS ON OUR ONLINE PORTAL AT THIS LINK:

<https://austintexas.mwdbe.com/>

If you are a City of Austin registered vendor, you are responsible for maintaining accurate information on your vendor profile. You are asked to update **any** changes related to your business in the City's Vendor Connection system at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm. You can perform these changes daily from 7:00AM to 7:00PM. If you need assistance making changes, please contact Vendor Registration at (512) 974-2018 or by email at vendorreg@austintexas.gov.

Thank you for your interest in the program and we wish you continued success. Please contact the City of Austin's Certification Division at (512) 974-7645 if you need further information.

Elton Price
Certification Division Manager
512-974-7725 or elton.price@austintexas.gov

EXHIBIT H – AUTHORIZATION OF WORK PRODUCT

DESCRIPTION: Environmental Engineering and Planning Services
CONTRACT NO.: To be determined following contract award

Authority's Contracting Officer (CO)

- A. The CO for administration of this Contract is Jeffery Yeomans
- B. Phone: 512-389-7727
- C. Email: jeffery.yeomans@capmetro.org

The Contracting Officer is responsible for the general administration of the Contract, negotiation of any changes, and issuance of written modifications, task order revisions, or Change Orders (as it pertains to Construction Contracts Only and results in a Contract modification – see below) to the Contract. If the parties desire to modify the Contract, or revise the Task Order of the Contract, in any way, only the Contracting Officer is authorized to issue a written modification for authorized signatures.

Authority's Project Manager (PM)

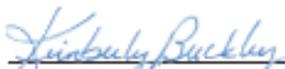
- A. The PM for this Contract is Barbara Price
- B. Phone: 512-389-7438
- C. Email: Barbara.price@capmetro.org

The Authority's PM for this Contract is responsible for the overall management and coordination of this Contract and will act as the central point of contact for the Authority. The PM has full authority to act for the Authority in the performance of any project connected to the Contract. However, the PM cannot authorize, in writing or orally, to commence any work. The PM shall meet with Contractor's PM to discuss problems as they occur. Any changes, including changes pursuant to the Changes clause in the Contract, will be handled solely by the CO. As needed, the Authority's PM may assist with development of Change Orders and Contract modifications with the Authority's CO.

Field Change Orders (Construction Contracts Only) – The Authority's PM is permitted to authorize work when an event occurs in the field during construction which requires immediate action. Immediately, but no later than three (3) business days following such action, the Authority's PM must provide a signed Change Order to the CO along with any other required procurement documentation in order to memorialize the Change Order in a task order revision or Contract modification.

The Contractor understands that should Contractor perform any work prior to written authorization by the Authority's CO, Contractor is not allowed to invoice for any additional cost or fee for services or goods under the Contract, nor is the Authority liable for any payment for any unauthorized work.

SIGNED and DATED


Contractor – *must sign and return with Offer*

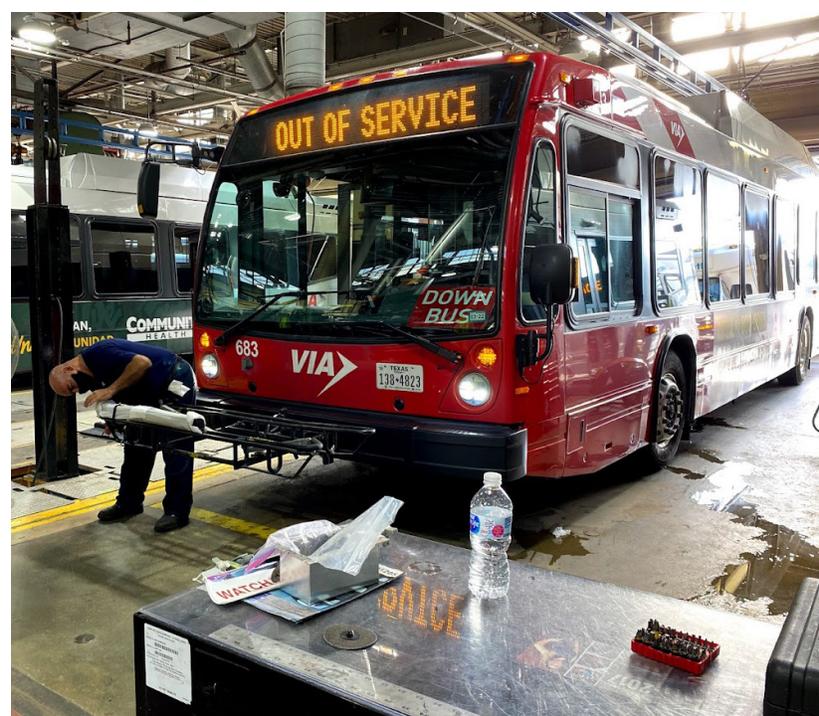
02/03/2025
Date

to be signed by the Authority following contract award
Authority's Project Manager (PM)

Date

to be signed by the Authority following contract award
Authority's Contracting Officer (CO)

Date



STATEMENT OF QUALIFICATIONS

Capital Metro Transportation Authority

Environmental Engineering and Planning Services – No. 806105

February 3, 2025

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

AMENDMENT OF SOLICITATION

1. SOQ 806105	2. AMENDMENT NO.: 1	3. ISSUED: 1/10/2025
4. ISSUED BY: Jeffery Yeomans, Contract Administrator III		5. NUMBER OF AMENDMENT PAGES: 1
<p>6. <u>AMENDMENT OF SOLICITATION:</u></p> <p>The solicitation identified in Block 1, is hereby amended as described in Block 9. Except as provided herein, all other provisions of the solicitation, as hereto amended, shall remain unchanged and in full force and effect.</p>		
<p>7. <u>REQUIREMENT TO ACKNOWLEDGE AMENDMENT:</u></p> <p>Failure of offeror to acknowledge receipt of this Amendment may result in bid/proposal being deemed nonresponsive. Offerors must sign at Block 8 and acknowledge Amendment(s) to this solicitation in accordance with the ACKNOWLEDGEMENT OF AMENDMENTS section of Exhibit C-Revised-1.</p> <p>It is the responsibility of the bidder/proposer to check the solicitation package accessible through "Bid Opportunities" at https://www.planetbids.com/portal/portal.cfm?CompanyID=39494 for any amendments to the solicitation.</p>		
<p>8. <u>OFFEROR'S ACKNOWLEDGEMENT OF AMENDMENT:</u></p> <p>Name & Title: <u>Kimberly Buckley, PG Vice President/Principa</u> Signature: <u></u></p> <p>Offeror: <u>Freese and Nichols, Inc.</u> Date: <u>02/03/2025</u></p>		
<p>9. <u>DESCRIPTION OF THE AMENDMENT:</u></p> <p>This Amendment is issued to make changes to the above referenced solicitation as detailed below:</p> <ol style="list-style-type: none"> 1. Refer to <u>Cover Page</u>. Cover Page shall be replaced in its entirety with Cover Page – Revised-1, attached hereto and made a part hereof for all pertinent purposes. 2. Refer to <u>Table of Contents</u>. Table of Contents shall be replaced in its entirety with Table of Contents – Revised-1, attached hereto and made a part hereof for all pertinent purposes. 3. Refer to <u>Exhibit C, Solicitation Instructions and Conditions</u>. Exhibit C shall be replaced in its entirety with Exhibit C - Revised-1, attached hereto and made a part hereof for all pertinent purposes. 4. Refer to <u>Exhibit G – Past Performance Questionnaire</u>. Exhibit G shall be replaced in its entirety with Exhibit G-Revised-1, attached hereto and made a part hereof for all pertinent purposes. (If original Exhibit G has been sent, it is not necessary to resend this one.) <p align="center">THE DUE DATE HAS BEEN CHANGED TO FEBRUARY 3, 2025</p> <p align="center">[END OF AMENDMENT 1]</p>		

SOQ 806105

Amendment #1

(9/8/2023)

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

**EXHIBIT A
SCHEDULE
SOQ 806105**

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)	Freese and Nichols, Inc.		
Address	10431 Morado Circle, Building 5, Suite 300		
City, State, Zip	Austin, Texas 78759		
Phone, Fax, Email	512-617-3100	N/A	kimberly.buckley@freese.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)	Kimberly Buckley, PG		
Signature and Date			02/03/2025

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. DBE GOAL (TO BE COMPLETED UPON AWARD BY CAPITAL METRO)

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

7.5	%
-----	---

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

The Authority hereby accepts this offer.

Authorized Agent Name and Title (Printed)	
Signature and Date	
Accepted as to:	

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

6. DOCUMENTS ENCLOSED WITH THE SUBMITTAL

Submittals shall be submitted electronically via the Authority's PB System™ by PlanetBids ("PlanetBids"). See Exhibit C, Solicitation Instructions and Conditions, Section 4, PREPARATION OF SUBMITTALS and Section 8. SUBMISSION OF SUBMITTALS, for instructions on registering with, and submitting submittals on, PlanetBids.

Mark X each box below, to indicate that the submittals have been included in the offer. See Exhibit C, Solicitation Instructions and Conditions, Section 5, CONTENTS OF STATEMENT OF QUALIFICATIONS for a description of the required submittal format.

- Exhibit A – Schedule (pricing not requested until after selecting most qualified)**
- Exhibit B – Representations and Certifications**
- Exhibit C-1 - Exceptions and Assumptions Form**
- Exhibit D – Schedule C of Subcontractor Participation & Intent to Perform**
- Exhibit H- Authorization of Work Product**
- Firm Financial Data, as described in Exhibit C, Contents of Statement of Qualifications**
- W-9 Form**

Note: Failure to submit the required submittals along with the offer may result in rejection of the offer.

Remainder of page left blank intentionally

Signature of Authorized Agent: _____



Date: _____

02/03/2025

EXHIBIT B
REPRESENTATIONS AND CERTIFICATIONS
(FEDERALLY ASSISTED 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 _____

(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 dominate 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:

██████████

(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:

N/A

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:

(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 Kimberly Buckley, PG [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)(1)(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 and part 1200, subpart C, the offeror certifies to the best of the offeror's knowledge and belief, that it and its principals for this covered transaction:

(1) are not presently excluded or disqualified (which may include being 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 (i) the commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public or private agreement or transaction; (ii) violation of Federal or State antitrust statutes, including those proscribing price fixing between competitors, allocation of customers between competitors, and bid rigging; (iii) commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, receiving stolen property, making false claims, or obstruction of justice; or (iv) commission of any other offense indicating a lack of business integrity or business honesty that seriously and directly affects your present responsibility.

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

(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 its offer/bid/quote/qualifications statement.

(c) For any proposed subcontractor at any tier where the subcontract is expected to equal or exceed \$25,000:

(1) The offeror certifies that it has obtained a certification identical to (a) from such subcontractor.

(2) Where the prospective lower tier participant is unable to certify to (a), 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, the Authority's contractors or consultants) regarding this solicitation, except as described below:

Individual's Name	Date/Subject of Communication
N/A	N/A

(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. PREVIOUS CONTRACTS AND COMPLIANCE REPORTS

The offeror represents as part of its offer that it (mark one):

- has
- has not

participated in a previous contract or subcontract subject either to Executive Order 11246 and its related regulations; and it (mark one):

- N/A has
- has not

filed all required compliance reports.

9. AFFIRMATIVE ACTION COMPLIANCE

(a) The offeror represents as part of its offer that it has a workforce of (indicate below the number of employees including temporary, full-time, or part-time employees):

1,267

(b) The offeror:

has developed an Affirmative Action Plan at each establishment as required by the rules and regulations of the Secretary of Labor (41 C.F.R. parts 60-1 and 60-2) and **has on file**. The offeror will submit the Affirmative Action Plan to the Authority within ten (10) days of the date of the Notice of Award (NOA).

has not developed an Affirmative Action Plan at each establishment as required by the rules and regulations of the Secretary of Labor (41 C.F.R. parts 60-1 and 60-2) and **does not have on file**. The offeror will submit the Affirmative Action Plan to the Authority within one hundred and twenty (120) days of the date of the Notice to Proceed (NTP).

(c) The offeror:

- N/A has
- has not

previously had contracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor.

10. DISADVANTAGED BUSINESS ENTERPRISE (DBE) 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, DBE and non-DBE) and an executed Intent to Perform as a DBE Subcontractor form for each DBE 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 “Disadvantaged Business Enterprise Program” and will meet the goal as established in any ensuing contract.

11. CLEAN AIR AND WATER CERTIFICATION

Applicable if the offer exceeds \$150,000, or the Authority believes that orders under an indefinite contract in any year will exceed \$150,000 or a facility to be used has been the subject of a conviction under the Air Act [42 U.S.C. §

7413(c)(1)] or the Water Act [33 U.S.C. § 1319(c)] and is listed by the Environmental Protection Agency (EPA) as a violating facility, and the acquisition is not otherwise exempt.

By submission of this offer, the offeror certifies that:

(a) any facility to be used in the performance of this proposed contract (mark one):

- is
 is not

listed on the EPA List of Violating Facilities;

(b) it will immediately notify the Authority, before award, of the receipt of any communication from the EPA Administrator, or a designee of the EPA, indicating that any facility which it proposes to use for the performance of the contract is under consideration to be listed on the EPA List of Violating Facilities; and

(c) it will include a certification substantially the same as this certification, including this paragraph (c), in every subcontract not otherwise exempt by law.

12. CERTIFICATION OF NON-SEGREGATED FACILITIES

(a) By the submission of this offer, the offeror certifies that it does not and will not maintain or provide for its employees any segregated facilities at any of its establishments, and that it does not and will not permit its employees to perform their services at any location under its control, where segregated facilities are maintained.

(b) The offeror agrees that a breach of this certification is a violation of the Civil Rights and Equal Opportunity Clause in Exhibit E of the contract.

(c) Definitions: For the purpose of this Certification of Non-Segregated Facilities, the following definitions shall apply:

(1) "segregated facilities" means any waiting rooms, work areas, restrooms and washrooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees that are segregated by explicit directive or are in fact segregated on the basis of race, color, religion, sex, sexual orientation, gender identity or national origin, because of written or oral policies or employee custom. The term does not include separate or single-user restrooms or necessary dressing or sleeping areas provided to assure privacy between the sexes.

(2) "gender identity" refers to one's internal sense of one's own gender; it may or may not correspond to the sex assigned to a person at birth, and may or may not be made visible to others.

(3) "sexual orientation" refers to an individual's physical, romantic, and/or emotional attraction to people of the same and/or opposite gender; examples of sexual orientations include "straight" (or heterosexual), lesbian, gay, and bisexual.

(d) It further certifies that (except where it has obtained identical certifications from proposed subcontracts for specific time periods) it will:

(1) obtain identical certifications from proposed subcontractors before the award of subcontracts under which the subcontractor will be subject to the Equal Opportunity provision in Exhibit E of the contract; and

(2) retain such certifications in its files.

13. CERTIFICATION OF RESTRICTIONS ON LOBBYING

This Certification is applicable if the offer exceeds \$100,000.

(a) By submission of this offer, the offeror certifies to the best of the offeror's knowledge or belief that no Federal appropriated funds have been paid, or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients and subcontractors shall certify and disclose accordingly.

(d) This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by Section 1352, Title 31, U.S.C. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 or not more than \$100,000 for each such failure.

14. 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. Questions regarding the form should be directed to the Texas Ethics Commission.

15. 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.

16. 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.

17. 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.

18. BOYCOTT OF ENERGY COMPANIES PROHIBITED

Pursuant to Chapter 2276 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 2276.002 of the Texas Government Code, or

(b) the verification required by Section 2276.002 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.

19. CRITICAL INFRASTRUCTURE PROHIBITION

Pursuant to Chapter 2275 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 2275 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.

20. CERTIFICATION OF PRIME CONTRACTOR PARTICIPATION

(a) The Prime Contractor shall perform no less than thirty percent (**30%**) of the work with his or her 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, and articles, and the arrangement and titles of project drawings shall not control the Prime Contractor in dividing the work among subcontractors or in establishing the extent of work to be performed by any trade.

(c) The offeror hereby certifies that the **Schedule C of Subcontractor Participation** form submitted with the Exhibit D, Disadvantaged Business Enterprise (DBE) portion of this offer represents no more than seventy percent (**70%**) of the work will be done by subcontractors.

21. 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.

22. CERTIFICATION OF NO ORGANIZATIONAL CONFLICT OF INTEREST

(a) Offeror certifies that there is no real or apparent organizational conflict of interest (“Organizational Conflict”). An Organizational Conflict exists when (a) the Offeror is unable, or potentially unable, to provide impartial and objective assistance or advice to the Authority due to other activities, relationships, contracts, or circumstances; (b) the Offeror has an unfair competitive advantage through receipt of or obtaining access to nonpublic information; or (c) during the performance of an earlier contract or the conduct of a procurement, the Offeror has established the ground rules for this procurement by developing specifications, evaluation factors, or similar documents.

(b) If the Offeror is unable to certify to the above (in (a)), the Offeror, certifies that it has attached an explanation disclosing any real or apparent Organizational Conflict. Such attachment includes all relevant facts concerning any past, present, or currently planned interests that may present an Organizational Conflict.

23. FEDERAL TAX LIABILITY AND RECENT FELONY CONVICTIONS

(a) Offeror certifies that it:

(1) Does not have any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and

(2) Was not convicted of the felony criminal violation under any Federal law within the preceding 24 months.

(b) If the Offeror is unable to certify to the above (in (a)), the Offeror certifies that it has attached an explanation stating to what part of (a) the Offeror is unable to certify.

(c) The Offeror certifies that it has required any subcontractors identified in its offer to certify to (a) or has attached a statement explaining why such identified subcontractor is unable to certify to (a).

24. LIMITATION ON CERTAIN ROLLING STOCK PROCUREMENTS

(a) *Prohibition.* This Contract is subject to Section 7613 of the National Defense Authorization Act for Fiscal Year 2020 (NDAA 2020), Public Law 116-92 (Dec. 20, 2019) and 49 U.S.C. § 5323(u) which prohibit using financial assistance made available under Chapter 53 of Title 49 U.S. Code to award a contract or subcontract to an entity for the procurement of rolling stock for use in public transportation if the manufacturer of the rolling stock:

(1) is incorporated in or has manufacturing facilities in the United States; and

CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

(2) is owned or controlled by, is a subsidiary of, or is otherwise related legally or financially to a corporation based in a country that -

(i) is identified as a nonmarket economy country (as defined in section 771(18) of the Tariff Act of 1930 (19 U.S.C. 1677(18))) as of the date of enactment of this subsection;

(ii) was identified by the United States Trade Representative in the most recent report required by section 182 of the Trade Act of 1974 (19 U.S.C. 2242) as a foreign country included on the priority watch list defined in subsection (g)(3) of that section; and

(iii) is subject to monitoring by the Trade Representative under section 306 of the Trade Act of 1974 (19 U.S.C. 2416).

(a “Restricted Manufacturer”). For purposes of this provision, the term “otherwise related legally or financially” does not include a minority relationship or investment.

(b) *Procedures.* The Offeror shall review the relevant statutes to ascertain if the Offeror or any subcontractor or supplier is a Restricted Manufacturer.

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

(1) It

- is
- is not

a Restricted Manufacturer; and

(2) It has obtained representations from all relevant subcontractors or suppliers, and that the subcontractors or suppliers—

- are
- are not

Restricted Manufacturers.

(d) *Disclosures.* Disclosure for the representation in paragraph (c) of this provision: If the Offeror has responded “is” in the representation in paragraph (c)(1) of this provision, the Offeror shall provide a statement providing all information reflecting the basis for its certification. If the Offeror has responded “are” in the representation in paragraph (c)(2) of this provision, the Offeror shall provide a statement identifying the subcontractor(s) or supplier(s) and all information reflecting the basis for the certification.

25. 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.

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

(e) 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. In addition, under 18 U.S.C. §. 1001, a false statement may result in a fine of up to \$10,000 or imprisonment for up to five (5) years, or both.

Name of Offeror:

Freese and Nichols, Inc.

Type/Print Name of Signatory:

Kimberly Buckley, PG

Title of Signatory:

Vice President/Principal

Signature:



Date:

February 3, 2025

**CAPITAL METRO
Schedule C of Subcontractor Participation**

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) Status as a DBE or non-DBE, 5) Ethnic Code of firm, 6) Age of the firm, 7) Annual gross receipts of the firm, 8) % or \$ amount of Total Contract. Those subcontractors which are listed on this form as DBEs must have current certification as a DBE with a participating TUCP certifying agency (see Exhibit D paragraph 6). The DBE certification must be complete by the time the proposals are submitted. Additionally, those subcontractors which are listed on this form as DBEs must complete an Intent to Perform as a DBE Subcontractor agreeing to the information listed here.

Name of Prime Contractor (Offeror): Freese and Nichols, Inc.
Project Name: Environmental Engineering and Planning Services
SOQ Number: 806105

Ethnic Code: A) African-American Male B) African American Female C) Asian- Indian Male D)Asian- Indian Female E) Asian –Pacific Male G) Asian-Pacific Female H) Hispanic Male I) Hispanic Female J) Native American Male K) Native American Female L) White Female M) Other

1) Name of Subcontractor	2) Address, Telephone # of DBE Firm (including name of contact person)	3) Description of Work, Services Provided. Where applicable, specify "supply" or "retail" or both.	4) DBE or non-DBE	5) Ethnic Code	6) Age of Firm	7) Annual Gross Receipts	8) DBE % or \$ amount of Total Contract
Acacia Heritage Consulting	4907 Finley Drive, Austin, TX 78731 512-923-6409 Rachel Feist	Cultural Resources Services	DBE	H	6	\$1.9M	1%
Arias & Associates, Inc.	13581 Pond Springs Rd., Suite 305, Austin, TX 78729 512-428-5550 Alexandros Sioritis	Geotechnical Engineering Services	DBE	H	29	\$5M+	0.5%
Environmental Research Group, LLC	6049 Falls Road, Baltimore, MD 21209 410-366-5170 Lisa Oney	Cultural Resources Services	DBE	L	24	\$19M	2%
Harris Miller Miller & Hanson Inc.	700 District Avenue, Suite 800, Burlington, MA 01803 781-229-0707 Diana B. Wasink	Noise & Vibration Consulting Services	DBE	L	43	\$15M	0.5%
MagnaCore Drilling and Environmental Services, Inc.	2605 Fitzgerald Ave McKinney, TX 75071 214-207-8993 Cedric Cuccio	Environmental Drilling Services	DBE	HI	28	\$500k	2%
McGray & McGray Land Surveyors, Inc.	3301 Hancock Drive, Suite 6, Austin, TX 78731 512-451-8591 Chris Conrad	Surveying Services	DBE	L	43	\$14M	0.5%
San Antonio Testing Laboratory, LLC	1610 S. Laredo Street San Antonio, TX 78207 210-229-9920 Marcela Hank	Analytical Testing	non-DBE	C	38	\$3M	N/A
Targas Associates	3333 Eubank Drive, Suite 210, Carrollton, Texas 75006 972-528-4683 Jodi Johnson	Environmental Consulting Services	DBE	I	15	\$3M	0.5%

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

**CAPITAL METRO
Schedule C of Subcontractor Participation**

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) Status as a DBE or non-DBE, 5) Ethnic Code of firm, 6) Age of the firm, 7) Annual gross receipts of the firm, 8) % or \$ amount of Total Contract. These subcontractors which are listed on this form as DBEs must have current certification as a DBE with a participating TUCP certifying agency (see Exhibit D paragraph 6). The DBE certification must be complete by the time the proposals are submitted. Additionally, those subcontractors which are listed on this form as DBEs must complete an Intent to Perform as a DBE Subcontractor agreeing to the information listed here.

Name of Prime Contractor (Offeror): Freese and Nichols, Inc.
Project Name: Environmental Engineering and Planning Services
SDQ Number: 806105

Ethnic Code: A) African-American Male B) African American Female C) Asian- Indian Male
 D)Asian- Indian Female E) Asian –Pacific Male G) Asian-Pacific Female H) Hispanic Male
 I) Hispanic Female J) Native American Male K) Native American Female L) White Female M) Other

1) Name of Subcontractor	2) Address, Telephone # of DBE Firm (including name of contact person)	3) Description of Work, Services Provided. Where applicable, specify "supply" or "install" or both.	4) DBE or non-DBE	5) Ethnic Code	6) Age of Firm	7) Annual Gross Receipts	8) DBE % or \$ amount of Total Contract
Zaca Environmental LLC	2104 Hunter Road, San Marcos, Texas 78666 512-291-4555 Krista McDevitt	Environmental Support	DBE	L	21	\$2.5M	0.5%

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

The undersigned will enter into a formal agreement with DBE contractors for work listed in this schedule upon execution of a contract with Capital Metro. The contractor agrees to the terms of this schedule by signing below and submitting the Intent to Perform as completed by the DBE subcontractors. The contractor also certifies that no more than 70% of the work for this project will be subcontracted.



 Signature of Authorized Representative of Offeror

02/03/2025

 Date Signed

CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105

(Note: In accordance with 49 CFR (Code of Federal Regulations) Part 26 and Board policy, DBE firms participating in Capital Metro's DBE Program must have "current" certification status with a TUCP Certifying Agency (see Exhibit D Paragraph 6) by the due date established for this SOQ.

- 1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
- 2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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) cultural resources compliance and consulting

and at the following price \$ _____ and/or 2 % of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE 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 DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

<u>Acacia Heritage Consulting</u>		<u>512-923-6409</u>	<u>01/22/2025</u>
(Name of DBE Firm)	(Signature of Authorized Representative)	(Phone Number)	(Date Signed)
<u>Freese and Nichols, Inc.</u>		<u>817-735-7332</u>	<u>2/3/2025</u>
(Name of Offeror/Prime Contractor)	(Signature of Authorized Representative)	(Phone Number)	(Date Signed)

CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105

(Note: In accordance with 49 CFR (Code of Federal Regulations) Part 26 and Board policy, DBE firms participating in Capital Metro's DBE Program must have "current" certification status with a TUCP Certifying Agency (see Exhibit D Paragraph 6) by the due date established for this SOQ.

1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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) Provide geotechnical engineering services

and at the following price \$ _____ and/or 0.5 % of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE 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 DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

Arias & Associates, Inc.
(Name of DBE Firm)


(Signature of Authorized Representative)

512-428-5550
(Phone Number)

1/17/2025
(Date Signed)

Freese and Nichols, Inc.
(Name of Offeror/Prime Contractor)


(Signature of Authorized Representative)

817-735-7332
(Phone Number)

2/3/2025
(Date Signed)

CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105

(Note: In accordance with 49 CFR (Code of Federal Regulations) Part 26 and Board policy, DBE firms participating in Capital Metro's DBE Program must have "current" certification status with a TUCP Certifying Agency (see Exhibit D Paragraph 6) by the due date established for this SOQ.

- 1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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) Cultural Resources Support

and at the following price \$ and/or 2% of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE 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 DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

Table with 4 columns: Name of DBE Firm, Signature of Authorized Representative, Phone Number, Date Signed. Rows include Environmental Research Group, LLC and Freese and Nichols, Inc.

**CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105**

(Note: In accordance with 49 CFR (Code of Federal Regulations) Part 26 and Board policy, DBE firms participating in Capital Metro's DBE Program must have "current" certification status with a TUCP Certifying Agency (see Exhibit D Paragraph 6) by the due date established for this SOQ.

1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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) Noise & Vibration Services

and at the following price \$ TBD and/or 0.5 % of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE anticipates that TBD % of the dollar value of this subcontract will be sublet and/or awarded to other contractors. Any and all subcontractors that a DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

Harris Miller Miller & Hanson Inc.		781-229-0707	1/30/2025
(Name of DBE Firm)	(Signature of Authorized Representative)	(Phone Number)	(Date Signed)
Freese and Nichols, Inc.		817-735-7332	2/3/2025
(Name of Offeror/Prime Contractor)	(Signature of Authorized Representative)	(Phone Number)	(Date Signed)

CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105

(Note: In accordance with 49 CFR (Code of Federal Regulations) Part 26 and Board policy, DBE firms participating in Capital Metro's DBE Program must have "current" certification status with a TUCP Certifying Agency (see Exhibit D Paragraph 6) by the due date established for this SOQ.

- 1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
- 2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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) provide environmental drilling services

and at the following price \$ _____ and/or 2 % of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE 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 DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

<u>MagnaCore Drilling and Environmental Services, Inc.</u> (Name of DBE Firm)	 (Signature of Authorized Representative)	<u>(214) 207-8993</u> (Phone Number)	<u>1/21/25</u> (Date Signed)
<u>Freese and Nichols, Inc.</u> (Name of Offeror/Prime Contractor)	 (Signature of Authorized Representative)	<u>817-735-7332</u> (Phone Number)	<u>2/3/2025</u> (Date Signed)

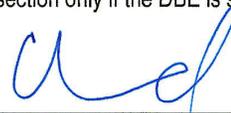
CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105

(Note: In accordance with 49 CFR (Code of Federal Regulations) Part 26 and Board policy, DBE firms participating in Capital Metro's DBE Program must have "current" certification status with a TUCP Certifying Agency (see Exhibit D Paragraph 6) by the due date established for this SOQ.

1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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 Surveying Services

and at the following price \$ _____ and/or 0.5 % of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE 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 DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

<u>McGray & McGray Land Surveyors, Inc.</u> (Name of DBE Firm)	 (Signature of Authorized Representative)	<u>(512) 451-8591</u> (Phone Number)	<u>1/21/2025</u> (Date Signed)
<u>Freese and Nichols, Inc.</u> (Name of Offeror/Prime Contractor)	 (Signature of Authorized Representative)	<u>817-735-7332</u> (Phone Number)	<u>2/3/2025</u> (Date Signed)

CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105

(Note: In accordance with 49 CFR (Code of Federal Regulations) Part 26 and Board policy, DBE firms participating in Capital Metro's DBE Program must have "current" certification status with a TUCP Certifying Agency (see Exhibit D Paragraph 6) by the due date established for this SOQ.

- 1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
- 2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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) Environmental consulting services

and at the following price \$ _____ and/or 0.5 % of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE 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 DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

<u>Targus Environmental, LLC</u> (Name of DBE Firm)	<u>Jodi Johnson</u> (Signature of Authorized Representative)	<u>972-247-7229</u> (Phone Number)	<u>1/25/2025</u> (Date Signed)
<u>Freese and Nichols, Inc.</u> (Name of Offeror/Prime Contractor)	<u>Kimberly Buckley</u> (Signature of Authorized Representative)	<u>817-735-7332</u> (Phone Number)	<u>2/3/2025</u> (Date Signed)

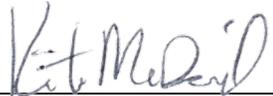
CAPITAL METRO
Intent to Perform as a DBE Contractor/DBE Subcontractor
SOQ 806105

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- 1. TO: (name of Offeror/Prime Contractor) Freese and Nichols, Inc.
- 2. The undersigned is either currently certified under the Texas Unified Certification Program (TUCP) as a DBE 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) endangered species compliance (karst)

and at the following price \$ _____ and/or 0.5 % of the total contract amount (should be the same \$ or % found on Schedule C).

With respect to the proposed subcontract described above, the undersigned DBE 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 DBE subcontractor uses must be listed in Schedule C-1 and must also be DBE certified. (The DBE subcontractor should complete this section only if the DBE is subcontracting any portion of its subcontract.)

<u>Zara Environmental LLC</u> (Name of DBE Firm)	 (Signature of Authorized Representative)	<u>(512) 291-4555</u> (Phone Number)	<u>24 January 2025</u> (Date Signed)
<u>Freese and Nichols, Inc.</u> (Name of Offeror/Prime Contractor)	 (Signature of Authorized Representative)	<u>817-735-7332</u> (Phone Number)	<u>2/3/2025</u> (Date Signed)



City of Austin

*Small & Minority Business Resources Department, 811 Barton Springs Rd. Suite 805, Austin, TX 78704
Mailing Address: PO Box 1088, Austin, Texas 78767, Certification Division Telephone (512) 974-7645*



March 27, 2024

Acacia Heritage Consulting
Attn: Rachel Jane Feit
4907 Finley Dr
Austin, TX 78731

RE: DBE ANNUAL REVIEW COMPLETE

Dear Ms. Feit:

Congratulations!

This letter is to inform Acacia Heritage Consulting that the March 27, 2024 annual review has been completed. This review **confirms the continued eligibility** of the firm as a Disadvantaged Business Enterprise (DBE) for purposes of the US Department of Transportation's (DOT) Disadvantaged Business Enterprise (DBE) Program. The City of Austin is a member of the Texas Unified Certification Program (TUCP) and adheres to the DOT standards set forth in 49 CFR Part 26 and Part 23.

This DBE certification is valid at any Texas entity that receives DOT funds and has a DBE Program for the following NAICS Code(s):

NAICS 541720: HISTORIC AND CULTURAL PRESERVATION RESEARCH AND DEVELOPMENT SERVICES

NAICS 541720: ARCHEOLOGICAL RESEARCH AND DEVELOPMENT SERVICES

As a DBE you must provide to the recipient (SMBR), every year on the anniversary of the date of your certification, an affidavit sworn to by the firm's owner(s) before a person who is authorized by state law to administer oaths or an unsworn declaration executed under penalty of perjury of the laws of the United States. This affidavit must affirm that there have been no changes in the firm's circumstances affecting its ability to meet size, disadvantaged status, ownership, or control requirements of this part or any material changes in the information provided in its application form, except for changes about which you have notified the recipient under paragraph (i) of this section. The affidavit shall specifically affirm that your firm continues to meet SBA business size criteria and the overall gross receipts cap of this part, documenting this affirmation with supporting documentation of your firm's size and gross receipts. If you fail to provide this affidavit in a timely manner, you will be deemed to have failed to cooperate under §26.109(c).

This firm's next Annual Review documents are due prior to April 30, 2025.

YOU MAY SUBMIT YOUR ANNUAL DOCUMENTS ON OUR ONLINE PORTAL AT THIS LINK:

<https://austintexas.mwdbec.com/>

If you are a City of Austin registered vendor, you are responsible for maintaining accurate information on your vendor profile. You are asked to update **any** changes related to your business in the City's Vendor Connection system at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm. You can perform these changes daily from 7:00AM to 7:00PM. If you need assistance making changes, please contact Vendor Registration at (512) 974-2018 or by email at vendorreg@austintexas.gov.

Thank you for your interest in the program and we wish you continued success. Please contact the City of Austin's Certification Division at (512) 974-7645 if you need further information.

Michelle Meadows
Business Development Supervisor
512-974-7811 or Michelle.Meadows@austintexas.gov



City of Austin

*Small & Minority Business Resources Department, 811 Barton Springs Rd. Suite 805, Austin, TX 78704
Mailing Address: PO Box 1088, Austin, Texas 78767, Certification Division Telephone (512) 974-7645*



June 27, 2023

Rachel Jane Feit
Acacia Heritage Consulting
4907 Finley Dr
Austin, TX 78731

RE: RECERTIFICATION APPROVAL

Dear Ms. Rachel Jane Feit,

Congratulations!

Acacia Heritage Consulting has been recertified as Women Business Enterprise (WBE) to participate in the City of Austin's Minority and Women-Owned Business Enterprise (MBE/WBE) Procurement Program.

MBEs and WBEs are required to seek recertification upon the fourth year anniversary of their initial certification and upon the fourth anniversary of all subsequent certifications. Failure of the firm to seek recertification by filing the necessary documentation with SMBR within 60 calendar days from the date of receipt of written notification from SMBR may result in decertification of the firm. The recertification review is completed through thorough examination of the sworn affidavit and supporting documentation to determine your continued eligibility as outlined in the City Ordinance Code: § 2-9A-D-15.

You must report any change(s) in circumstances that affect your firm's size, social/economic disadvantage status, management, ownership or control to SMBR within thirty (30) calendar days. Failure to report such change(s) may result in the denial of continued certification or recertification. Additionally, a MBE/WBE on-site review may be conducted by SMBR as needed.

This firm's next Annual Review documents are due prior to April 30, 2027.

Please submit your update to the following link: <https://austintexas.mwdbe.com/>.

To confirm the current status of all certified firms, prime contractors, vendors and interested parties are to visit the City of Austin's Certified Vendor Directory at:

https://www.austintexas.gov/financeonline/account_services/search/vendors/certvendor.cfm

All statuses will be confirmed through the Certified Vendor Directory as noted above and the Certified Vendor Availability List provided by SMBR.

As a City of Austin registered vendor, you are responsible for maintaining accurate information on your vendor profile. You are asked to update any changes related to your business in the City's Vendor Connection system at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm. You can perform these changes daily from 7:00AM to 7:00PM. If you need assistance making changes, please contact Vendor Registration at (512) 974-2018 or by email at vendorreg@austintexas.gov.

Thank you for your interest in the program and we wish you continued success. If you have any questions please contact the Certification Division at (512) 974-7645 or email at SMBRCertification@austintexas.gov.

Mariza Aldrete
Business Development Counselor II
512-974-7053 or Mariza.aldrete@austintexas.gov



City of Austin

*Small & Minority Business Resources Department, 811 Barton Springs Rd. Suite 805, Austin, TX 78704
Mailing Address: PO Box 1088, Austin, Texas 78767, Certification Division Telephone (512) 974-7645*



June 17, 2024

Jeremy Arias
Arias & Associates, Inc. DBA Arias
142 Chula Vista
San Antonio, TX 78232

RE: RECERTIFICATION APPROVAL

Dear Mr. Jeremy Arias,

Congratulations!

Arias & Associates, Inc. DBA Arias has been recertified as Minority Business Enterprise (MBE) to participate in the City of Austin's Minority and Women-Owned Business Enterprise (MBE/WBE) Procurement Program.

MBEs and WBEs are required to seek recertification upon the fourth year anniversary of their initial certification and upon the fourth anniversary of all subsequent certifications. Failure of the firm to seek recertification by filing the necessary documentation with SMBR within 60 calendar days from the date of receipt of written notification from SMBR may result in decertification of the firm. The recertification review is completed through examination of the sworn affidavit and supporting documentation to determine your continued eligibility as outlined in the City Ordinance Code: § 2-9A-D-15.

You must report any change(s) in circumstances that affect your firm's size, social/economic disadvantage status, management, ownership or control to SMBR within thirty (30) calendar days. Failure to report such change(s) may result in the denial of continued certification or recertification. Additionally, a MBE/WBE on-site review may be conducted by SMBR as needed.

This firm's next Annual Review documents are due prior to May 31, 2028.

Please submit your update to the following link: <https://austintexas.mwdbe.com/>.

To confirm the current status of all certified firms, prime contractors, vendors and interested parties are to visit the City of Austin's Certified Vendor Directory at:

https://www.austintexas.gov/financeonline/account_services/search/vendors/certvendor.cfm

All statuses will be confirmed through the Certified Vendor Directory as noted above and the Certified Vendor Availability List provided by SMBR.

As a City of Austin registered vendor, you are responsible for maintaining accurate information on your vendor profile. You are asked to update any changes related to your business in the City's Vendor Connection system at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm. You can perform these changes daily from 7:00AM to 7:00PM. If you need assistance making changes, please contact Vendor Registration at (512) 974-2018 or by email at vendorreg@austintexas.gov.

Thank you for your interest in the program and we wish you continued success. If you have any questions please contact the Certification Division at (512) 974-7645 or email at SMBRCertification@austintexas.gov.

Cynthia Trevino-Cabrera
Business Development Counselor II
512-974-7053 or cynthia.trevino-cabrera@austintexas.gov



South Central Texas Regional Certification Agency
Your unified certification source
www.sctrca.org



Jeremy Arias
Arias & Associates, Inc. DBA Arias
142 Chula Vista
San Antonio, TX 78232

Dear Jeremy Arias:

We are pleased to inform you that your application for certification in our Disadvantaged Business Enterprise Program has been approved with the South Central Texas Regional Certification Agency (SCTRCA) and with the State of Texas Unified Certification Program (TUCP). In accordance with U.S. Department of Transportation (USDOT) DBE certification eligibility requirements promulgated at 49 CFR, Part 26 and/or Part 23 and is currently certified as a:

***DBE**

Certification Number: **224021761**
Certification Anniversary: **February 28, 2025**

Providing the following products or services:
NAICS 541330: ENGINEERING SERVICES
NAICS 541380: GEOTECHNICAL TESTING LABORATORIES OR SERVICES

This certification shall remain valid, unless and until it has been removed in accordance with procedures set fourth in 49 CFR §26.87. In order to remain certified, it is your obligation to submit an Annual Update and Affidavit ("No Change Affidavit") annually on or before the anniversary of your DBE certification. A No Change Affidavit is a sworn affidavit affirming that there have been no changes in the firm's circumstances affecting its size, disadvantage status, ownership or the control requirements of the regulation, or any material change in the information provided in its application for DBE certification, including the support documentation. Please note that the SCTRCA reserves the right to request any other documentation that may be necessary to make a certification determination.

Please notify this office within thirty (30) days of any changes affecting the size, ownership, control requirements, or any material change in the information provided in the submission of the certification application. Failure to provide these changes could result in your firm being removed from the certified vendor database. The SCTRCA and/or the TUCP reserve the right to re-evaluate a firm's certification status at anytime that they determine such re-evaluation is warranted.

Thank you for your participation in the SCTRCA DBE Certification Program.

[lb|SCTRCA|SignatureHTML3]



Minority Business Enterprise (MBE)
Arias & Associates, Inc. DBA Arias / Arias
Geoprofessionals

Arias & Associates, Inc. DBA Arias / Arias Geoprofessionals

has filed with the Agency an Affidavit as defined by NCTRCA Minority Business Enterprise (MBE) Policies & Procedures and is hereby certified to provide service(s) in the following areas:

NAICS 541330: ENGINEERING SERVICES
NAICS 541380: TESTING LABORATORIES AND SERVICES

This Certification commences April 6, 2023 and supersedes any registration or listing previously issued. This certification must be updated every two years by submission of an Annual Update Affidavit. At any time there is a change in ownership, control of the firm or operation, notification must be made immediately to the North Central Texas Regional Certification Agency for eligibility evaluation.

Certification Expiration: April 30, 2025
Issued Date: April 6, 2023
CERTIFICATION NO. HMMB17091N0425

Certification Administrator

January 8, 2024

Diana Wasiuk
Harris Miller Miller & Hanson Inc. DBA HMMH INC.
700 District Avenue, Suite 800
Burlington, MA 01803
Certification #24-1-13018
Dear Diana Wasiuk:

CONGRATULATIONS! Your application for certification as a City of Houston Disadvantaged Business Enterprise (DBE) is approved. The approval is contingent upon your firm maintaining certification eligibility and cooperation with the annual update process on each anniversary date.

We have certified Harris Miller Miller & Hanson Inc. DBA HMMH INC., only for Environmental & Capacity Planning Including Noise Vibration Control, Program Management, Air Quality Analysis & Airport & Airspace Planning & Climate & Energy Solutions. You are being listed in the Directory of certified M/W/S/DBE, in the following Directory Capability listing:

NAICS: NAICS 541611: ADMINISTRATIVE MANAGEMENT AND GENERAL MANAGEMENT CONSULTING SERVICES
NAICS 541620: ENVIRONMENTAL CONSULTING SERVICES
NAICS 541690: OTHER SCIENTIFIC AND TECHNICAL CONSULTING SERVICES
NAICS 541715: RESEARCH AND DEVELOPMENT IN THE PHYSICAL, ENGINEERING, AND LIFE SCIENCES (EXCEPT NANOTECHNOLOGY AND BIOTECHNOLOGY)
NAICS 541990: ALL OTHER PROFESSIONAL, SCIENTIFIC, AND TECHNICAL SERVICES

The certification covers only the company, that is listed in this letter and on the attached certificate, not any other company with which you may be associated, and only for those specific functions mentioned herein.

Now that you are certified, the adventure begins. You will also receive emails on upcoming contracting opportunities, networking events, and free training. Check our website at www.houstontx.gov/obo/index.html for valuable resource information.

Here is important information that you need to know:

Each year, one month prior to the anniversary date of your certification, you will receive instructions on how to complete the Annual Update Form and Affidavit. This form must be completed and returned along with a signed copy your Business Income Tax (Form 1120, 1065 or 1040 All Schedules including Schedule C). Please note that for Tax Returns not yet filed under an extension of time to file, a copy of the extension will suffice. If you do not complete and return the above items, your certification may be revoked.

Also, failure to report company changes to us such as (ownership changes, address, phone number, business structure changes, etc.), or any subsequently discovered material misrepresentation in the certification application or in the execution of a contract, will be reason for revocation of certification for up to a five-year period.

It is your responsibility to periodically monitor the online M/W/S/DBE Directory at <https://houston.mwdb.com/VendorSearch.asp> to ensure the accuracy of your contact information and profile. Attached is a copy of your firm's certification profile. If there are any changes to your firm's contact information (name, address, phone, fax, email), please contact our office immediately at (832) 393-0600 so that the appropriate adjustments can be made.

I want to emphasize several important facts for your consideration:

First, we are here to assist you with any question or problems about how the City's M/W/S/DBE program works. We are also here to assist you with any problems on a City contract.

Second, never allow a company to submit your name unless you will, through your own efforts, be doing the work. The

following practices are violations of the City's M/W/S/DBE program and will result in the revocation of certification for a five-year period.

1. Allowing your company's name to be submitted toward satisfying the M/W/S/DBE goal for a scope of work for which you are not certified;
2. Brokering or passing-through supply orders, wherein your contract includes dollars for supplies which you would only order from distributor or manufacturer;
3. Hiring members of the prime contractor's workforce;
4. Allowing your company's name to be submitted toward satisfying the M/W/S/DBE goal, but not actually performing, through your own workforce, the exact scope of work submitted in the prime's contract documents;
5. Requesting or allowing the prime contractor to "advance" dollars or otherwise meet payroll for your employees.

Third, after you sign a Letter of Intent or contract with a prime contractor to provide services or supplies on a City contract, should you experience ANY problems with actually getting or completing the contract, or being paid, please call us immediately to file a complaint. We cannot know whether you have actually been given the contract, or working on a project as reported to City Council, unless you tell us.

Fourth, the M/W/S/DBE Directory is available online at www.houstontx.gov. It is used internally by City Procurement Representation, externally by prime contractors and vendors as they attempt to meet M/W/S/DBE goals assigned to City contracts. Our directory is also used by several other agencies and corporations in their search for legitimate M/W/S/DBE companies. You must maintain an accurate mailing address, a working telephone number, and a person or device for accepting your messages. It is essential that you return solicitation calls immediately. The accomplishment of the spirit and intent of our program is seriously affected when MWBE's cannot be reached. Those interested in contracting must be able to reach you quickly and consistently.

Fifth, please notify us immediately if you are ever, by action or inaction, discouraged from bidding on any City project, by a prime contractor or subcontractor, or any employee of the City. Our program requires that all information on a contract be given to you in a time frame, which will give you an opportunity to develop your bid.

Sixth, your certification has value, so your Certification Number should be guarded carefully. We suggest that you not give your Certification Number to people who call and those who express an interest in doing business with you. Rather, we suggest you wait until your bid is accepted and you have a contract or signed Letter of Intent before releasing your Certification Number. They may call us for verification.

Seventh, Be advised that the percentage of M/W/S/DBE goal credit for Material Supply will depend on the method used on each particular project. If you do not alter the product or use your firm's storage facilities/distribution equipment, then the M/W/S/DBE goal credit will be reduced.

The City M/W/S/DBE program's focus is to open the competitive process, and to afford you an opportunity to actually perform work or provide services/goods related to City taxpayers' projects. This program is working! Our FY 2015 figures are among the highest in the nation--\$288.0 million earned by minority and women owned companies. We hope that in next year's figures we can count contracts you have received.

Finally, be sure to register as a vendor. All suppliers and contractors interested in registering with the City of Houston and/or bidding on products and services procured by the City of Houston, must first register with the City's Strategic Procurement Division for an online web account by accessing the following web-link:
http://purchasing.houstontx.gov/registration_form.aspx

Once a user name and a password are obtained, you may then proceed to place bids, update your company profile and complete and submit a Supplier Registration Form to enroll on the City of Houston's registered supplier list. New supplier registration is incomplete until an IRS W-9 form is sent via email to houstonpurchasing@houstontx.gov. The information on this form must be the same as listed on the request for Taxpayer Identification Number as required by the Internal Revenue Service.

Again, congratulations. We welcome your participation, and wish you every success.

Very truly yours,

Marsha Murray
Director
The Office of Business Opportunity

Please note: If you received this approval letter due to the completion of your firm's ACDBE/DBE annual certification update and you have also received a proposed ACDBE/DBE decertification notification, this approval letter does not void or overrule that notification.



City of Austin

Small & Minority Business Resources Department, 811 Barton Springs Rd, Suite 805, Austin, TX 78704
Mailing Address: PO Box 1088, Austin, Texas 78767, Certification Division Telephone (512) 974-7645

September 26, 2023

Harris Miller Miller & Hanson Inc. DBA HMMH

Diana Wasiuk
700 District Ave Suite 800
Burlington, MA 01803

RE: NEW MBE AND/OR WBE CERTIFICATION

Dear Ms. Diana Wasiuk:

Congratulations!

We are pleased to inform you that City of Austin's Small & Minority Business Resources Department (SMBR) has certified your business as a Women Business Enterprise (WBE).

The status of your MBE/WBE certification shall be reviewed by SMBR. Prior to reaching your next certification anniversary you will be asked to complete the "MBE/WBE Recertification Affidavit" and supporting documentation. The review is completed through examination of the sworn affidavit and supporting documentation to determine your continued eligibility as outlined in the City Ordinance Code: § 2-9B-15. Additionally, a MBE/WBE on-site review may be conducted by SMBR as needed. **It is important that you report any change(s) in circumstances that affect your firm's size, social/economic disadvantage status, management, ownership or control to SMBR within thirty (30) calendar days. Failure to report such change(s) may result in the denial of continued certification or recertification.**

This firm's Recertification documents are due prior to September 30, 2027.

You may submit your documentation to the following link: <https://austintexas.mwdbe.com/>.

MBEs and WBEs are required to seek recertification upon the fourth anniversary of their initial certification and upon the fourth anniversary of all subsequent certifications.

As a City of Austin registered vendor, you are responsible for maintaining accurate information on your vendor profile. You are asked to update **any changes** related to your business in the City's Vendor Connection system at https://www.austintexas.gov/financeonline/account_services/search/vendors/certvendor.cfm You can perform these changes daily from 7:00AM to 7:00PM. If you need assistance making changes, please contact Vendor Registration at (512) 974-2018 or by email at VendorReg@austintexas.gov.

If you have any questions regarding your certification, you may contact the City of Austin's Certification Division at 512-974-7645 or email SMBRCertification@austintexas.gov.

Sincerely,

Tamela Saldana, Ph.D.
Assistant Director
City of Austin, SMBR



Disadvantaged Business Enterprise (DBE)
MagnaCore Drilling and Environmental
Services, Inc

MagnaCore Drilling and Environmental Services, Inc

has filed with the Agency an Affidavit as defined by NCTRCA Disadvantaged Business Enterprise (DBE) 49 CFR Part 26 and is hereby certified to provide service(s) in the following areas:

NAICS 238990: ALL OTHER SPECIALTY TRADE CONTRACTORS
NAICS 541620: ENVIRONMENTAL CONSULTING SERVICES
NAICS 541990: ALL OTHER PROFESSIONAL, SCIENTIFIC, AND TECHNICAL SERVICES

This Certification commences December 26, 2024 and supersedes any registration or listing previously issued. This certification must be updated annually by submission of an Annual Update Affidavit. At any time there is a change in ownership, control of the firm or operation, notification must be made immediately to the North Central Texas Regional Certification Agency for eligibility evaluation.

Issued Date: December 26, 2024
CERTIFICATION NO. HMDB28455N1225



Certification Administrator



City of Austin

Small & Minority Business Resources Department, 811 Barton Springs Rd. Suite 805, Austin, TX 78704
Mailing Address: PO Box 1088, Austin, Texas 78767, Certification Division Telephone (512) 974-7645



March 1, 2024

MCGRAY & MCGRAY LAND SURVEYORS INC
Attn: Ashley Conrad
3301 Hancock Drive, Ste. #6
Austin, TX 78731-5441

RE: DBE ANNUAL REVIEW COMPLETE

Dear Ms. Conrad:

Congratulations!

This letter is to inform MCGRAY & MCGRAY LAND SURVEYORS INC that the **2024 DBE ANNUAL UPDATE REVIEW** has been completed. This review **confirms the continued eligibility** of the firm as a Disadvantaged Business Enterprise (DBE) for purposes of the US Department of Transportation's (DOT) Disadvantaged Business Enterprise (DBE) Program. The City of Austin is a member of the Texas Unified Certification Program (TUCP) and adheres to the DOT standards set forth in 49 CFR Part 26 and Part 23.

This DBE certification is valid at any Texas entity that receives DOT funds and has a DBE Program for the following NAICS Code(s):

NAICS 541370: SURVEYING AND MAPPING (EXCEPT GEOPHYSICAL) SERVICES
NAICS 541360: GEOPHYSICAL SURVEYING AND MAPPING SERVICES

As a DBE you must provide to the recipient (SMBR), every year on the anniversary of the date of your certification, an affidavit sworn to by the firm's owner(s) before a person who is authorized by state law to administer oaths or an unsworn declaration executed under penalty of perjury of the laws of the United States. This affidavit must affirm that there have been no changes in the firm's circumstances affecting its ability to meet size, disadvantaged status, ownership, or control requirements of this part or any material changes in the information provided in its application form, except for changes about which you have notified the recipient under paragraph (i) of this section. The affidavit shall specifically affirm that your firm continues to meet SBA business size criteria and the overall gross receipts cap of this part, documenting this affirmation with supporting documentation of your firm's size and gross receipts. If you fail to provide this affidavit in a timely manner, you will be deemed to have failed to cooperate under §26.109(c).

This firm's next Annual Review documents are due prior to March 31, 2025.

YOU MAY SUBMIT YOUR ANNUAL DOCUMENTS ON OUR ONLINE PORTAL AT THIS LINK:

<https://austintexas.mwdbe.com/>

If you are a City of Austin registered vendor, you are responsible for maintaining accurate information on your vendor profile. You are asked to update **any** changes related to your business in the City's Vendor Connection system at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm. You can perform these changes daily from 7:00AM to 7:00PM. If you need assistance making changes, please contact Vendor Registration at (512) 974-2018 or by email at vendorreg@austintexas.gov.

Thank you for your interest in the program and we wish you continued success. Please contact the City of Austin's Certification Division at (512) 974-7645 if you need further information.

Elton Price
Certification Division Manager
512-974-7725 or elton.price@austintexas.gov



*The City of Austin
Small & Minority Business Resources Department affirms that*

McGray & McGray Land Surveyors, Inc.

is certified as a

Disadvantaged Business Enterprise

The City of Austin adheres to the U.S. Department of Transportation (DOT) DBE standards set forth in 49 CFR Part 26 and Part 23. Your DBE certification shall be valid at any Texas entity that receives DOT funds and has a DBE program.

NAICS Code(s): **541370; 541360**

Veronica Briseño Lara, Director
Small & Minority Business Resources Department

VENDOR CODE: **MCG3115750**

Certification is contingent upon the City receiving an affidavit of continued eligibility each year. Verification of certification status can be obtained by calling (512) 974-7645.



Disadvantaged Business Enterprise (DBE)
Targus Associates, LLC DBA Targus
Associates

Targus Associates, LLC DBA Targus Associates

has filed with the Agency an Affidavit as defined by NCTRCA Disadvantaged Business Enterprise (DBE) 49 CFR Part 26 and is hereby certified to provide service(s) in the following areas:

NAICS 531390: OTHER ACTIVITIES RELATED TO REAL ESTATE
NAICS 541620: ENVIRONMENTAL CONSULTING SERVICES
NAICS 562910: REMEDIATION SERVICES

This Certification commences February 7, 2024 and supersedes any registration or listing previously issued. This certification must be updated annually by submission of an Annual Update Affidavit. At any time there is a change in ownership, control of the firm or operation, notification must be made immediately to the North Central Texas Regional Certification Agency for eligibility evaluation.

Issued Date: February 7, 2024
CERTIFICATION NO. HFDB29171N0225



Certification Administrator



City of Austin

*Small & Minority Business Resources Department, 811 Barton Springs Rd. Suite 805, Austin, TX 78704
Mailing Address: PO Box 1088, Austin, Texas 78767, Certification Division Telephone (512) 974-7645*



July 11, 2023

Jodi Johnson
Targus Associates, LLC DBA Targus Associates
3333 Earhart Drive, Ste 210
Carrollton, TX 75006

RE: RECERTIFICATION APPROVAL

Dear Ms. Johnson,

Congratulations!

Targus Associates, LLC DBA Targus Associates has been recertified as Women Business Enterprise (WBE) to participate in the City of Austin's Minority and Women-Owned Business Enterprise (MBE/WBE) Procurement Program.

MBEs and WBEs are required to seek recertification upon the fourth year anniversary of their initial certification and upon the fourth anniversary of all subsequent certifications. Failure of the firm to seek recertification by filing the necessary documentation with SMBR within 60 calendar days from the date of receipt of written notification from SMBR may result in decertification of the firm. The recertification review is completed thorough examination of the sworn affidavit and supporting documentation to determine your continued eligibility as outlined in the City Ordinance Code: § 2-9A-D-15.

You must report any change(s) in circumstances that affect your firm's size, social/economic disadvantage status, management, ownership or control to SMBR within thirty (30) calendar days. Failure to report such change(s) may result in the denial of continued certification or recertification. Additionally, a MBE/WBE on-site review may be conducted by SMBR as needed.

This firm's next Annual Review documents are due prior to August 31, 2027.

Please submit your update to the following link: <https://austintexas.mwdbe.com/>.

To confirm the current status of all certified firms, prime contractors, vendors and interested parties are to visit the City of Austin's Certified Vendor Directory at:

https://www.austintexas.gov/financeonline/account_services/search/vendors/certvendor.cfm

All statuses will be confirmed through the Certified Vendor Directory as noted above and the Certified Vendor Availability List provided by SMBR.

As a City of Austin registered vendor, you are responsible for maintaining accurate information on your vendor profile. You are asked to update any changes related to your business in the City's Vendor Connection system at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm. You can perform these changes daily from 7:00AM to 7:00PM. If you need assistance making changes, please contact Vendor Registration at (512) 974-2018 or by email at vendorreg@austintexas.gov.

Thank you for your interest in the program and we wish you continued success. If you have any questions please contact the Certification Division at (512) 974-7645 or email at SMBRCertification@austintexas.gov.

Elton Price
Certification Division Manager
512-974-7725 or elton.price@austintexas.gov



City of Austin

*Small & Minority Business Resources Department, 811 Barton Springs Rd. Suite 805, Austin, TX 78704
Mailing Address: PO Box 1088, Austin, Texas 78767, Certification Division Telephone (512) 974-7645*



February 12, 2024

Zara Environmental LLC
Attn: Krista McDermid
2104 Hunter Rd.
San Marcos, TX 78666-5101

RE: DBE ANNUAL REVIEW COMPLETE

Dear Ms. McDermid:

Congratulations!

This letter is to inform Zara Environmental LLC that the 2024 **DBE ANNUAL UPDATE REVIEW** has been completed. This review confirms the continued eligibility of the firm as a Disadvantaged Business Enterprise (DBE) for purposes of the US Department of Transportation's (DOT) Disadvantaged Business Enterprise (DBE) Program. The City of Austin is a member of the Texas Unified Certification Program (TUCP) and adheres to the DOT standards set forth in 49 CFR Part 26 and Part 23.

This DBE certification is valid at any Texas entity that receives DOT funds and has a DBE Program for the following NAICS Code(s):

NAICS 541620: ENVIRONMENTAL CONSULTING SERVICES

NAICS 541690: OTHER SCIENTIFIC AND TECHNICAL CONSULTING SERVICES

As a DBE you must provide to the recipient (SMBR), every year on the anniversary of the date of your certification, an affidavit sworn to by the firm's owner(s) before a person who is authorized by state law to administer oaths or an unsworn declaration executed under penalty of perjury of the laws of the United States. This affidavit must affirm that there have been no changes in the firm's circumstances affecting its ability to meet size, disadvantaged status, ownership, or control requirements of this part or any material changes in the information provided in its application form, except for changes about which you have notified the recipient under paragraph (i) of this section. The affidavit shall specifically affirm that your firm continues to meet SBA business size criteria and the overall gross receipts cap of this part, documenting this affirmation with supporting documentation of your firm's size and gross receipts. If you fail to provide this affidavit in a timely manner, you will be deemed to have failed to cooperate under §26.109(c).

This firm's next Annual Review documents are due prior to March 31, 2025.

YOU MAY SUBMIT YOUR ANNUAL DOCUMENTS ON OUR ONLINE PORTAL AT THIS LINK:

<https://austintexas.mwdbe.com/>

If you are a City of Austin registered vendor, you are responsible for maintaining accurate information on your vendor profile. You are asked to update **any** changes related to your business in the City's Vendor Connection system at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm. You can perform these changes daily from 7:00AM to 7:00PM. If you need assistance making changes, please contact Vendor Registration at (512) 974-2018 or by email at vendorreg@austintexas.gov.

Thank you for your interest in the program and we wish you continued success. Please contact the City of Austin's Certification Division at (512) 974-7645 if you need further information.

Elton Price
Certification Division Manager
512-974-7725 or elton.price@austintexas.gov

EXHIBIT H – AUTHORIZATION OF WORK PRODUCT

DESCRIPTION: Environmental Engineering and Planning Services
CONTRACT NO.: To be determined following contract award

Authority's Contracting Officer (CO)

- A. The CO for administration of this Contract is Jeffery Yeomans
- B. Phone: 512-389-7727
- C. Email: jeffery.yeomans@capmetro.org

The Contracting Officer is responsible for the general administration of the Contract, negotiation of any changes, and issuance of written modifications, task order revisions, or Change Orders (as it pertains to Construction Contracts Only and results in a Contract modification – see below) to the Contract. If the parties desire to modify the Contract, or revise the Task Order of the Contract, in any way, only the Contracting Officer is authorized to issue a written modification for authorized signatures.

Authority's Project Manager (PM)

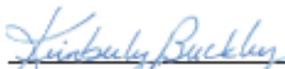
- A. The PM for this Contract is Barbara Price
- B. Phone: 512-389-7438
- C. Email: Barbara.price@capmetro.org

The Authority's PM for this Contract is responsible for the overall management and coordination of this Contract and will act as the central point of contact for the Authority. The PM has full authority to act for the Authority in the performance of any project connected to the Contract. However, the PM cannot authorize, in writing or orally, to commence any work. The PM shall meet with Contractor's PM to discuss problems as they occur. Any changes, including changes pursuant to the Changes clause in the Contract, will be handled solely by the CO. As needed, the Authority's PM may assist with development of Change Orders and Contract modifications with the Authority's CO.

Field Change Orders (Construction Contracts Only) – The Authority's PM is permitted to authorize work when an event occurs in the field during construction which requires immediate action. Immediately, but no later than three (3) business days following such action, the Authority's PM must provide a signed Change Order to the CO along with any other required procurement documentation in order to memorialize the Change Order in a task order revision or Contract modification.

The Contractor understands that should Contractor perform any work prior to written authorization by the Authority's CO, Contractor is not allowed to invoice for any additional cost or fee for services or goods under the Contract, nor is the Authority liable for any payment for any unauthorized work.

SIGNED and DATED


Contractor – *must sign and return with Offer*

02/03/2025
Date

to be signed by the Authority following contract award
Authority's Project Manager (PM)

Date

to be signed by the Authority following contract award
Authority's Contracting Officer (CO)

Date



Mission

Innovative approaches
Practical results
Outstanding service

Vision

Be the firm of choice
for clients and
employees

Values



-  **L** LEARN CONTINUOUSLY
-  **E** ENGAGE AS FAMILY
-  **A** ACT WITH INTEGRITY
-  **D** DELIVER QUALITY
-  **S** SERVE ALWAYS



CAPITAL METROPOLITAN TRANSPORTATION AUTHORITY

AMENDMENT OF SOLICITATION

1. SOQ 806105	2. AMENDMENT NO.: 1	3. ISSUED: 1/10/2025
4. ISSUED BY: Jeffery Yeomans, Contract Administrator III		5. NUMBER OF AMENDMENT PAGES: 1
<p>6. <u>AMENDMENT OF SOLICITATION:</u></p> <p>The solicitation identified in Block 1, is hereby amended as described in Block 9. Except as provided herein, all other provisions of the solicitation, as hereto amended, shall remain unchanged and in full force and effect.</p>		
<p>7. <u>REQUIREMENT TO ACKNOWLEDGE AMENDMENT:</u></p> <p>Failure of offeror to acknowledge receipt of this Amendment may result in bid/proposal being deemed nonresponsive. Offerors must sign at Block 8 and acknowledge Amendment(s) to this solicitation in accordance with the ACKNOWLEDGEMENT OF AMENDMENTS section of Exhibit C-Revised-1.</p> <p>It is the responsibility of the bidder/proposer to check the solicitation package accessible through "Bid Opportunities" at https://www.planetbids.com/portal/portal.cfm?CompanyID=39494 for any amendments to the solicitation.</p>		
<p>8. <u>OFFEROR'S ACKNOWLEDGEMENT OF AMENDMENT:</u></p> <p>Name & Title: _____ Signature: _____</p> <p>Offeror: _____ Date: _____</p>		
<p>9. <u>DESCRIPTION OF THE AMENDMENT:</u></p> <p>This Amendment is issued to make changes to the above referenced solicitation as detailed below:</p> <ol style="list-style-type: none"> 1. Refer to <u>Cover Page</u>. Cover Page shall be replaced in its entirety with Cover Page – Revised-1, attached hereto and made a part hereof for all pertinent purposes. 2. Refer to <u>Table of Contents</u>. Table of Contents shall be replaced in its entirety with Table of Contents – Revised-1, attached hereto and made a part hereof for all pertinent purposes. 3. Refer to <u>Exhibit C, Solicitation Instructions and Conditions</u>. Exhibit C shall be replaced in its entirety with Exhibit C - Revised-1, attached hereto and made a part hereof for all pertinent purposes. 4. Refer to <u>Exhibit G – Past Performance Questionnaire</u>. Exhibit G shall be replaced in its entirety with Exhibit G-Revised-1, attached hereto and made a part hereof for all pertinent purposes. (If original Exhibit G has been sent, it is not necessary to resend this one.) <p align="center">THE DUE DATE HAS BEEN CHANGED TO FEBRUARY 3, 2025</p> <p align="center">[END OF AMENDMENT 1]</p>		



STATEMENT OF QUALIFICATIONS – Revised-1

NO. 806105

ENVIRONMENTAL ENGINEERING AND PLANNING SERVICES

SOQ Issued:	12/19/2024
Pre-Submittal Conference (via Teams Live Event):	01/06/2025 11:00 a.m.
Written Questions/Clarifications Due:	01/07/2025 3:00 p.m.
Response to Written Questions/ Requests for Clarifications:	01/09/2025
Submittals Due:	01/21/2025 02/03/2025 Prior to 3:00:00 p.m.
DBE Goal:	6%
Point of Contact:	Jeffery Yeomans 512-369-7277 jeffery.yeomans@capmetro.org

NOTICE TO BIDDERS: ANY FURTHER INFORMATION OR AMENDMENTS TO THIS SOLICITATION WILL BE POSTED TO THE CAPITAL METRO WEBSITE UNDER "BID OPPORTUNITIES" AT <https://www.planetbids.com/portal/portal.cfm?CompanyID=39494>. AMENDMENTS WILL NOT BE EMAILED OR MAILED. IT IS THE SUBMITTERS RESPONSIBILITY TO CHECK THE WEBSITE FOR ANY SOLICITATION CHANGES DURING THE SOQ RESPONSE TIME.

Amendment 1

SOQ 806105
TABLE OF CONTENTS – Revised 1
ENVIRONMENTAL ENGINEERING AND PLANNING SERVICES

EXHIBIT	DESCRIPTION	RETURN WITH THE OFFER?
A	SCHEDULE	YES
B	REPRESENTATIONS AND CERTIFICATIONS	YES
C	SOLICITATION INSTRUCTIONS AND CONDITIONS – Revised-1	NO
C-1	EXCEPTIONS AND ASSUMPTIONS	YES
D	DISADVANTAGED BUSINESS ENTERPRISE PROGRAM (*Required if Prime is a DBE Firm, or Subcontractors DBE or Non-DBE are used)	YES*
E	CONTRACTUAL TERMS AND CONDITIONS	NO
E-1	ADDENDUM TO CONTRACTUAL TERMS AND CONDITIONS FEDERALLY ASSISTED CONTRACTS	NO
E-2	TASK ORDER INVOICE REQUIREMENTS	NO
F	SCOPE OF SERVICES	NO
G	PAST PERFORMANCE QUESTIONNAIRE – Revised-1	NO
H	AUTHORIZATION OF WORK PRODUCT	YES

EXHIBIT C – Revised-1

**SOLICITATION INSTRUCTIONS AND CONDITIONS
(STATEMENT OF QUALIFICATIONS)**

1. INTRODUCTION

(a) Capital Metropolitan Transportation Authority (“CapMetro” 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.

(b) CapMetro began in January 1985 and assumed operation of the transit services provided by the city-owned Austin Transit System which served only within Austin’s city limits. The Authority’s current service area encompasses a total of approximately 500 square miles with operating and capital expenses funded through a one-cent local sales tax, federal and state grants and fare box and other revenue.

(c) The Authority is seeking submittals from qualified and experienced offerors to provide **ENVIRONMENTAL ENGINEERING AND PLANNING SERVICES**, as described in Exhibit F, Scope of Services, in this solicitation.

(d) This procurement will be conducted in accordance with the Professional Services Procurement Act, Texas Government Code Title 10, Chapter 2254.

2. SOLICITATION SCHEDULE

(a) The following schedule applies to this solicitation. Note that all times are prevailing local time, Austin, Texas.

Solicitation Issued	12/19/2024
Pre-Submittal Conference via Live Teams Event	01/06/2025 at 11:00 a.m.
Written Questions Due by	01/07/2025 by 3:00 p.m.
Response to Written Questions	01/09/2025
Submittals Due by	01/21/2025 02/03/2025 prior to 3:00:00 p.m.
Oral Discussions (if requested)	02/24/2025 and 02/25/2025
Final Submittal Revision Due (if requested)	03/06/2025 by 1:00 p.m.
Anticipated Award of Contract	May 2025

(b) The Authority reserves the right to make changes to the above-mentioned schedule. All such changes shall be made by an amendment to the solicitation. Offerors should frequently check the solicitation package accessible through “Bid Opportunities” at <https://pbsystem.planetbids.com/portal/39494/portal-home>, for information concerning this solicitation, including amendments.



(c) References to time of day shall be prevailing local time, Austin, Texas.

(d) The dates and times set for receipt of submittals and final submittal revisions are firm. Late offers will not be considered, except as described in paragraph 9, below.

3. PRE-SUBMITTAL CONFERENCE

- (a) A pre-submittal conference to discuss the requirements of this solicitation shall be held for all interested parties on **January 6, 2025, at 11:00 a.m.** prevailing local time, Austin, Texas. Attendance is highly recommended but is not mandatory.
- (b) The pre-submittal conference will be online [LINK TO PRE-SUBMITTAL TEAMS MEETING.](#)
- (c) Questions relating to the Statement of Qualifications and requests for clarification may be submitted in writing or e-mail to jeffery.yeomans@capmetro.org , at least three (3) days in advance of the conference to allow adequate time for answers to be considered and prepared by the Authority for the conference.

4. PREPARATION OF SUBMITTALS

- (a) Offerors are expected to examine the Solicitation Instructions and Conditions, Contractual Terms and Conditions, any drawings, specifications, the Scope of Services, and all other provisions of, and exhibits to, the solicitation, whether incorporated by reference or otherwise, prior to the submission of offers. Failure to do so shall be at the offeror's risk.
- (b) Each offeror shall furnish the information required by the solicitation. Offerors shall sign and print or type their name on the form provided by the Authority for submitting the statement of qualifications and each continuation sheet on which they make an entry. Erasures or other changes must be initialed by the person signing the offer. Offers signed by an agent of the offeror (other than an officer or a partner of the offeror) are to be accompanied by evidence of the agent's authority (unless such evidence has been previously furnished to the Authority). Any required signatures may be hand signed or authenticated digital signatures, which must be password-protected, encrypted, and bound.
- (c) Following evaluations of the statements of qualifications, pricing for services shall be requested of the highest technically rated offeror and shall be in a format required by the Authority.
- (d) In the event oral discussions are requested, the Authority will notify the selected offerors as to the time and location for the discussions, as well as the content of the discussions.

5. CONTENTS OF STATEMENT OF QUALIFICATIONS

- (a) Offerors shall submit an original qualifications statement, with authenticated signatures. Unnecessarily elaborate submittals and/or lengthy presentations are not desired.

Electronic Delivery of Submittals: Submittals must be submitted electronically via the Authority's PB System™ by PlanetBids ("PlanetBids"). See Section 8 of this Exhibit C for instructions on registering with, and submitting proposals on, PlanetBids.

- (b) Submittals shall be sectionalized as described below. At a minimum, the items described in each section below should be addressed. The combined length of Sections 2 through 5 (not counting the required submittals in Section 1) should not exceed forty (40) pages in length. Submittal sections are as follows:

- (1) **Volume 1: Proposal/Contract Forms**

Exhibits A, B and D Forms are included in this solicitation and must be returned with the offeror's submittal in order to be deemed responsive. The offeror shall not re-format these required forms. Any reformatted forms submitted with the submittal may cause the submittal to be deemed non-responsive.

- (i) Exhibit A
- (ii) Exhibit B, Representations and Certifications

(iii) Exhibit D Forms, Schedule C of Subcontractor Participation and Intent to Perform as a DBE Contractor/DBE Subcontractor

(iv) Exhibit H

(v) Firm Financial Data. The offeror shall submit the offeror's bank reference, including the name, address and phone number of a contact person, or a letter of reference from the bank where the offeror holds a corporate account. The offeror also shall submit the offeror's most recent financial statement covering the past three (3) years of operation, or the most recent audited annual report. Firm Financial Data may be uploaded as part of Volume 1 or Financial Data may be submitted via email directly to Jeffery.Yeomans@capmetro.org. Note that all times are prevailing local time, Austin, Texas.

(vi) Exception to Solicitation Provisions. The offeror should provide all exceptions taken to the Section 1 portion of the solicitation in the form provided and in accordance with Exhibit C-1: Exceptions and Assumptions Form ("Exhibit C-1"). Additional pages may be attached to Exhibit C-1, as necessary. Offeror acknowledges and accepts the following:

(A) CapMetro does not accept blanket exceptions to any or all terms, conditions, or requirements of this solicitation to be negotiated at a later date.

(B) Offeror must submit any additional or supplemental terms, conditions, agreements, or documents with its proposal. Additional or supplemental terms or conditions submitted subsequent to submission of the proposal may not be considered at CapMetro's sole discretion.

(C) If offeror does not take exception to, or make an assumption regarding, any one requirement, term, or condition of the pricing portion of the solicitation, an affirmative statement to that effect shall be provided in this section. If no such statement is made, offeror will be deemed to have accepted all requirements, terms, and conditions of the pricing portion of the solicitation as-is.

(D) ANY EXCEPTION OR ASSUMPTION MADE MAY RESULT IN A CONTRACT NOT BEING AWARDED TO OFFEROR.

(vii) Staff Guarantee. The offeror shall submit a letter from the offeror's chief executive officer guaranteeing the key personnel named in the staffing plan will be assigned to the project unless their employment is terminated. If substitutes or "backup" personnel are planned on a contingency basis, such personnel shall also be reflected in the aforementioned staffing plan.

(viii) W-9 Form

(2) Volume 2: Technical Proposal

(i) Section 1: Introduction of the Offeror. Include an introduction of the offeror. If a joint venture is proposed, introduce all joint venture members. Discuss primary business experience, the overall mission, length of time in business, ownership, location of offices, telephone numbers and other matters offerors deem pertinent and introductory in nature.

(ii) Section 2: Qualifications of the Offeror:

(A) The offeror's experience and history relevant to the Authority's needs should be discussed, including a description of the offeror's direct experience on at least three (3) projects of similar size, scope and complexity completed in the past five years. Offeror shall provide the name, address and telephone numbers of persons who may be contacted as references. Offeror shall also include dates, locations, costs, and project managers for these previous projects. Offerors shall similarly discuss the qualifications of all other offerors proposed to be utilized in the performance of the work if joint venture partners are proposed or if subcontractors are to be used for substantial portions of the work.

(B) The offeror shall send the Past Performance Questionnaire in Exhibit G to at least three (3), but no more than ten (10) current or past customers for which they have provided similar services within the past five (5) years. **Offerors are responsible for completing the information in Section A of the questionnaire prior to mailing the questionnaire to references.** The references are required to submit the questionnaires directly to the Authority, not back to the offeror. The offeror is responsible for ensuring the information in Section A is current. It is not CapMetro's policy to review and confirm the Past Performance Questionnaires received for any firm submitting an offer. We encourage offerors to follow up with their clients directly in order to verify that this information has been submitted.

(C) Offerors shall submit contact names and firm names to which the Past Performance Questionnaires were sent.

(iii) Section 3: Qualifications of Staff: This section shall contain the offeror's staffing plan, and shall identify at a minimum:

(A) the project manager who will be assigned to the project. Discuss the direct qualifications and experience of the project manager as they relate to this project, and include at least one reference with name, address, telephone number and contact person;

(B) a project organization chart clearly identifying the proposed project manager and key project staff including a description describing the qualifications of each staff member; and

(C) the methodology that will be used to provide supplementary staff to replace any staff originally assigned to the project.

(iv) Section 4: Work Plan: This section shall contain a description of how the offeror would organize and perform the work. This section should include a description of how the offeror proposes to accomplish the tasks described in Exhibit F, the Scope of Services, including but not limited to:

(A) implementation plan;

(B) portions of work to be subcontracted and by whom;

(C) identification of critical or problem areas; and

(D) identification of tasks, if any, which must be accomplished by the Authority during contract performance or prior to contract award for the offeror to perform the work.

6. EXPLANATION TO OFFERORS

(a) Any explanation desired by an offeror regarding the meaning or interpretation of the solicitation, drawings, or specifications, must be requested in writing and submitted with sufficient time allowed for a reply to reach offerors before the submission of offers. Oral explanations or instructions given before the award of any contract, at any pre-submittal conferences or otherwise, will not be binding on the Authority. Any information given to an offeror concerning an interpretation of the solicitation will be furnished to all offerors if such information is necessary or if the lack of such information would be prejudicial to uninformed offerors.

(b) Questions shall be submitted in writing by no later than **January 7, 3:00 p.m.**, to allow adequate time for answers to be considered and prepared by the Authority. Note that all times are prevailing local time, Austin, Texas.

7. ACKNOWLEDGMENT OF AMENDMENTS

(a) If this solicitation is amended, then all terms and conditions which are not modified remain unchanged.

(b) It is the responsibility of the offeror to check the solicitation package accessible through "Bid Opportunities" at <https://pbsystem.planetbids.com/portal/39494/portal-home>, for any amendments to the solicitation.

(c) Offerors shall acknowledge receipt of any amendment to this solicitation by: (1) electronically acknowledging the amendment accessible through “Bid Opportunities” at <https://pbsystem.planetbids.com/portal/39494/portal-home>.



(d) The Authority must receive the acknowledgment by the time and method specified for receipt of submittals.

(e) Failure to electronically acknowledge amendments issued after an electronic proposal has been submitted via the Authority’s PB System™ portal will result in electronic proposal being invalid. Log into the Planet Bid System™ online portal: <https://pbsystem.planetbids.com/portal/39494/portal-home>. Search Bid Opportunities to locate the solicitation: **SOQ 806105 – ENVIRONMENTAL ENGINEERING AND PLANNING SERVICES**. Select the Addenda & Emails tab, select and review the addenda, click the “Acknowledge” button. Proposers may acknowledge amendments at any time prior to the submittal due date and time.

8. SUBMISSION OF SUBMITTALS

(a) Submittals must be submitted via PlanetBids <https://pbsystem.planetbids.com/portal/39494/portal-home> no later than **January 21, 2025, February 3, 2025, prior to 3:00 p.m.** prevailing local time, Austin, Texas.

PlanetBids Registration

Offerors will be required to register as a vendor within the Authority’s online portal to download the solicitation and subsequently submit an eBid electronically. Offerors may begin their free registration by proceeding as follows:

1. Go to <https://pbsystem.planetbids.com/portal/39494/portal-home>



2. Click on “Vendor Registration.”
3. Complete the form by navigating through the different tabs and submit.
4. Once registered please go to Bid Opportunities to see the Authority’s current bids and become a prospective bidder by downloading the bid documents.

For assistance with registration or submitting an eBid, please contact PlanetBids directly at <https://pbsystem.planetbids.com/portal/39494/help> or by phone (818) 992-1771 between 9am and 7pm Central.



Placing (Uploading) a Submittal (eBid)

To place (upload) eBids, offerors should log into PlanetBids at <https://pbsystem.planetbids.com/portal/39494/portal-home>. Search Bid Opportunities to locate the solicitation: **SOQ 806105 – ENVIRONMENTAL ENGINEERING AND PLANNING SERVICES**. To place an electronic bid, click “Place eBid” at the lower, right of the page. This button will be available from all tabs.



- (b) eBids are time-date verified via electronic receipt when accepted in the PB System™. Due to potential internet bandwidth limitations and file sizes, time should be allowed for any processing delays.
- (c) Facsimile or email submittals will not be considered.
- (d) If this solicitation contains the submission of a past performance questionnaire and the proposal due date is changed, the due date of the past performance questionnaire also will change and become the same as the proposal due date.

9. LATE SUBMISSIONS, MODIFICATIONS, AND WITHDRAWALS OF SUBMITTALS

- (a) Any offer, modification, or withdrawal of an offer received after the exact time specified for receipt will not be considered unless the offer is the only offer received.
- (b) Notwithstanding (a) of this provision, a late modification of an otherwise successful offer which makes its terms more favorable to the Authority will be considered at any time it is received and may be accepted.
- (c) It is the sole responsibility of the offeror to assure all documentation required to constitute a complete proposal submission is fully uploaded and accepted in the PB System™ prior to the deadline set for receipt of offers. After submission of an eBid, an offeror will receive a confirmation directly from PlanetBids. If all or any portion of an offer submitted is received late, is illegible, or is otherwise non-responsive due to equipment failure or operator error, the offer or the applicable portion of the offer will not be considered. The Authority will not be liable for equipment failure or operator error. It is the offeror's responsibility to confirm all transmissions of information and offeror hereby waives any claim against the Authority for offer transmissions, failures, or delays. A final review of the data contained under the Bid Information, Line Items, Documents/Attachments, Addenda & emails, and Q&A tabs should be made immediately prior to eBid submittal.
- (d) eBids may be withdrawn via the PlanetBids System™. Log into the PB System™ online portal: <https://pbsys-tem.planetbids.com/portal/39494/portal-home>. Search Bid Opportunities to locate the solicitation: **SOQ 806105 – ENVIRONMENTAL ENGINEERING AND PLANNING SERVICES**. Offerors may withdraw eBid at any time prior to closing. Select Place eBid, accept the Terms and Conditions message and then select Withdraw.



10. EVALUATION FACTORS

- (a) The Authority will make a selection of most qualified offeror based on how well the offeror's submittal conforms to the solicitation and represents the best value to the Authority. If the Authority does not choose to make a selection based on initial submittals, the Authority may conduct discussions with those offerors it determines to be within the competitive range, and to allow all such offerors to submit final submittal revisions.
- (b) The evaluation factors listed below are in descending order of importance.
 - (1) Qualifications, experience, and demonstrated past performance of the applicant's firm, on projects of a similar size, scope and complexity and nature. Qualified applicants must have a background in one or more of the environmental engineering services requested, and experience with all applicable local, state and federal regulations.

Applicants must provide information to demonstrate the firm's experience and qualifications in the category of services, and be eligible for participation in Federal Funded projects, programs or activities. Services experience should include, but not limited to, NEPA Documentation, Phase I and II Environmental Site Assessments, and Site Development Permitting.

(2) Qualifications and experience of key professional staff, Geologists, Scientists, Engineers, GIS Analysts, and any subcontractors, to include if degreed and number of years of experience. The capabilities of the proposed project personnel, and any subcontractors, on projects of a similar size, scope, complexity and nature. Experience to include planning, evaluation, design, remediation and compliance with activities related to environmental services. Project personnel's relevant industry, government agency experience and Federal and State experience, is preferred. Designated project personnel, who are licensed to practice in the State of Texas, must have a license in good standing.

(3) Quality and completeness of response to SOQ. Consideration will be given to such matters as contractor integrity, compliance with public policy, record of past performance, including references from previous clients, and financial and technical resources. Services past performance may include record keeping, permitting activities, and coordination efforts with other municipalities or government agencies.

(c) Each of the evaluation factors will be given one of the following ratings:

(i) Excellent: Exceeds evaluation standard in a beneficial way to the Authority, and has a high probability of satisfying the requirements in the scope of services; has no significant weaknesses.

(ii) Acceptable: Meets evaluation standards; has good probability of satisfying the requirements in the scope of services, any weaknesses can be readily corrected.

(iii) Marginal: Fails to meet evaluation standards; has low probability of satisfying the requirements in the scope of services; has significant deficiencies.

(iv) Unacceptable: Fails to meet minimum requirements in the scope of services; deficiency requires a major revision to the submittal to make it acceptable.

(d) In establishing the final rating for an offeror, the Authority may take into consideration information provided during oral discussions and any final submittal revisions.

(e) Oral discussions may be required; however, the most qualified offeror may be selected on the basis of the initial submittal only. If necessary, oral discussions will be held on **February 24, 2025 and February 25, 2025**. Offerors are advised that these dates are firm and should plan accordingly.

(f) The Authority reserves the right to award the contract based on the initial submittal without further discussions.

(g) The Authority will request a price proposal from the most qualified offeror. Pricing shall be in the format required by the Authority.

(h) After the Authority's review of the price proposal, negotiations may be conducted for the purpose of arriving at a fair and reasonable price.

(i) If the Authority is unable to negotiate a mutually agreeable price with the most qualified offeror, negotiations shall be formally ended with that offeror and the Authority shall begin negotiations with the next most qualified offeror until a contract is made or the solicitation is canceled.

(j) The Authority reserves the right to investigate the qualifications of all offerors under consideration and to confirm any part of the information furnished by the offeror, and/or to require other evidence of the managerial, financial, or technical capabilities of the offeror.

11. DISCOUNTS

Prompt payment discounts will not be considered in evaluating offers for award.

12. INDIRECT COST AUDIT

(a) Prime contractors and subcontractors are required to submit an indirect cost rate audit to CapMetro. In order to fulfill this requirement, the audit submitted cannot be for a fiscal year which ended more than eighteen (18) months prior to selection as a contractor.

(b) Prospective contractors may submit the required audit information prior to being selected but must submit it after selection and before contract execution. This information is solely for the use of CapMetro and will only be released with the approval of the contractor or as required by state or federal statute.

(c) Audits of Architectural and Engineering (A&E) services must be carried out under FAR Part 31 cost principles. The indirect cost rate audit must be performed by an independent Certified Public Accountant licensed to practice in the state where the audit will be performed, an agency of the Federal Government, or a state transportation agency. If the audit is performed by an independent Certified Public Accountant, the contractor or subcontractor must assure that the CapMetro Procurement office will be given access to the auditor work papers.

(d) For contracts other than A&E contracts, if the third-party contractor or subcontractor does not have an approved Government indirect cost rate agreement, the contract's dollar value should determine how that rate is verified.

(1) Contracts of \$5 Million or Less. The Authority will accept the audit recommendations of the contractor's certified public accountant, or indirect cost information in the contractor's annual statement to their stockholders, shareholders, or owners, or examples of acceptance of their rates by other governmental agencies within the last six (6) months.

(2) Contracts Exceeding \$5 Million. If the contract exceeds \$5 million, then the Defense Contract Audit Agency, another Federal cognizant audit agency, or an accounting firm approved by the Federal Government to perform audits for the Federal Government, must verify the contractor's rates.

The audit report can be submitted prior to contract award but must be submitted after selection. The audit report cannot be for a period which ended more than eighteen (18) months prior to selection. Submit the audit report to Buyer.name@capmetro.org.

The Procurement Department will review the submitted information for completeness and compliance with all regulations and requirements.

13. DISADVANTAGED BUSINESS ENTERPRISE (DBE)

(a) In accordance with the DBE Program, the Authority has established goals for DBE participation in this solicitation, which the offeror will be expected to meet or exceed and/or demonstrate its good faith efforts to meet these goals if the goals are not met. These goals, expressed as a percentage of the total contract price, including any increases that may occur, are:

6% DBE Participation

(b) The Authority's DBE requirements are set forth in Exhibit D of this solicitation. Offerors are advised to carefully review Exhibit D, including the requisite forms attached thereto. Offerors should undertake steps to plan and adequately provide for their compliance with the stated DBE utilization goals well in advance of the date specified for the bid opening or receipt of proposals.

14. PRIME OFFERORS AND SUBCONTRACTORS

An offeror must be named the prime contractor in its proposal and must not be offered as a subcontractor in another offeror's proposal to this solicitation. However, a subcontractor may be offered in one or more prime offerors' proposals.

15. AWARD OF CONTRACT

(a) Before awarding any contract, the Authority will verify, using the [Federal System for Award Management \(SAM\)](#) and the [Texas Comptroller's Debarred Vendor List](#), that the offeror recommended for contract award has no unsatisfactory performance history that would prohibit awarding them a contract.

(b) Multiple contract awards shall be made. **In the event that offeror proposes as the prime contractor and is awarded a contract, offeror cannot be named as a subcontractor on contract award(s) made to another prime.** Task orders will be issued as described in Exhibit E, Contractual Terms and Conditions, and which is summarized below:

(1) Prior to awarding a task order, the Authority will determine evaluation criteria for that task order and will request a technical proposal from all contractors;

(2) The technical proposals will be evaluated by a small team of evaluators using the pre-determined evaluation criteria.

(3) The firm which is deemed most qualified will be requested to submit a price proposal and negotiations will be conducted with that firm if needed.

(4) In the event the Authority is unable to reach an agreement with the most qualified firm, negotiations with that firm will be terminated and a price proposal will be requested from the next most qualified firm.

(5) The process will continue until the Authority reaches an agreement. The task order will then be awarded.

(6) The Contractor is not required to submit a price proposal for every request for proposals. However, failure to respond to a reasonable number of proposal requests during the contract term may result in the Authority not exercising its option to extend the Contract.

(c) The contract will be awarded to the responsible offeror(s) whose offer, conforming to the solicitation, will be most advantageous to the Authority, after a price has been negotiated. A responsible offeror is one who affirmatively demonstrates to the Authority that the offeror has adequate financial resources and the requisite capacity, capability, and facilities to perform the contract within the delivery period or period of performance, has a satisfactory record of performance on other comparable projects, has a satisfactory record of integrity and business ethics, and is otherwise qualified and eligible to receive award under the solicitation and laws or regulations applicable to this procurement.

(d) The Authority reserves the right to reject any or all submittals in part or in total for any reason, to accept any submittal if considered best for its interest, and to waive informalities and minor irregularities in submittals received.

(e) The Authority may accept any item or group of items of any submittal, unless the offeror qualifies the submittal by specific limitations. Unless otherwise provided in the Schedule, submittals may not be submitted for any quantities less than those specified, and the Authority reserves the right to make an award on any item for a unit quantity less than the quantity offered at the unit prices offered unless the offeror specifies otherwise in the submittal.

(f) The Authority's execution of the Contract shall be deemed to result in a binding contract without further action by the offeror.

(g) The Authority may, within the time specified therein, accept any submittal or part thereof, as provided in (c) above, whether or not there are negotiations subsequent to its receipt, unless the submittal is withdrawn by written notice received by the Authority prior to award.

- (h) The Authority may award a contract, based on initial submittals received, without discussion of such submittal.
- (i) Any financial data submitted with any submittal hereunder will not form a part of any resulting contract; provided, however, that if the resulting contract contains a clause providing for price reduction for defective cost or pricing data, the contract price will be subject to reduction if cost or pricing data furnished hereunder is incomplete, inaccurate, or not current.

16. CONFLICT OF INTEREST

Offerors are advised they may be restricted from competing on certain task orders under the resulting contract if the Contracting Officer determines that a conflict of interest exists. This restriction flows down to the Contractor’s sub-contractors. A conflict of interest may exist if the scope of services for the task order would provide the contractor with an unfair advantage due to work on an existing contract with the Authority. Examples of the potential conflicts of interest under the Contract would be Providing systems engineering and technical direction as defined in the Federal Acquisition Regulation (FAR) Part 9.505.1; Preparing specifications or work statements as defined in FAR Part 9.505.2; Providing evaluation services as defined in FAR 9.505.3; and Obtaining access to proprietary information as defined in FAR 9.505.4.

17. AUDIT

The Authority reserves the right to make a pre-award audit of the offeror’s proposed fees, rates, and costs to determine if they are fair and reasonable.

18. RELEASE OF INFORMATION

Information submitted in response to this solicitation shall not be released by the Authority during the submittal evaluation process or prior to contract award. Offerors are advised that the Authority may be required to release submittal information after contract award in accordance with the Texas Public Information Act.

19. COST INCURRED IN RESPONDING

All costs directly or indirectly related to preparation of a response to this solicitation or any oral presentation to supplement and/or clarify a submittal which may be required by the Authority shall be the sole responsibility of and shall be borne by the offeror.

20. INQUIRIES

Inquiries must be submitted in writing. Material information provided to one potential offeror shall be provided equally to all offerors via the solicitation package accessible through “Bid Opportunities” at <https://pbsystem.planet-bids.com/portal/39494/portal-home>. Offerors rely on oral information at their own peril. Failure to adhere to this requirement for relying only on written explanations could render a firm non-responsive. All inquiries shall be directed to Jeffery Yeomans, Procurement Department by e-mail at jeffery.yeomans@capmetro.org.



21. SUBMITTAL ACCEPTANCE PERIOD

All submittals shall be effective for a minimum of one hundred twenty (120) calendar days from the submittal due date or Final Submittal Revision (FSR) date (if applicable), whichever is later.

22. SUBMITTAL INCORPORATION

The contents of the successful submittal, including any Final Submittal Revision, shall become a part of any resultant contract. The terms and conditions specified in this solicitation shall be used as a basis for a contemplated contract. Failure of an offeror to accept these obligations may result in submittal rejection. Any damages accruing to CapMetro as a result of an offeror's failure or refusal to execute a contract may be recovered from the offeror.

23. AUTHORITY FURNISHED PROPERTY

No material, labor, or facilities will be furnished by the Authority unless otherwise provided for in the solicitation.

24. 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.

25. CONFIDENTIAL DATA

Each offeror may clearly mark each page of the offer that contains trade secrets or other confidential commercial or financial information, which the offeror believes should not be disclosed outside the Authority. Disclosure of requested information will be determined in accordance with the Texas Public Information Act.

26. CANCELLATION OF SOLICITATION

This solicitation may be cancelled by the Authority before or after receipt of submittals.

27. PROTEST PROCEDURES

(a) Any interested party who is aggrieved or adversely affected in connection with the solicitation, evaluation, or award of a contract may file a protest with the Chief Contracting Officer of CapMetro (hereinafter called Chief Contracting Officer) and appeal any adverse decision to the President/CEO of CapMetro (hereinafter called President/CEO). Such protest must be in writing and received in the office of the Chief Contracting Officer addressed as follows: CapMetro, Attn: Chief Contracting Officer of Procurement, 2910 East 5th Street, Austin, Texas, 78702.

(b) Protests directed to the terms, conditions or proposed form of procurement action must be received by the Chief Contracting Officer within five (5) business days prior to the date established for the opening of bids or receipt of proposals. Protests concerning award decisions, including bid evaluations, must be received by the Chief Contracting Officer within five (5) business days after such aggrieved person knows, or should have known, of the grounds of the protest. Untimely or late protests will not be considered, unless the Chief Contracting Officer concludes that the issue(s) raised by the protest involves fraud, gross abuse of the procurement process, or otherwise indicates substantial prejudice to the integrity of the procurement system.

(c) Interested Parties: For the purposes of this procedure, "interested parties" shall be defined as follows:

(1) With respect to complaints concerning the terms, conditions or form of a proposed procurement action, any prospective offeror whose direct economic interest would be affected by the award, or failure to award a contract.

(2) With respect to complaints concerning award decisions, only those actual offerors who have submitted a bid or offer in response to a CapMetro solicitation and who, if their complaint is deemed by CapMetro to be meritorious, would be eligible for selection as the successful vendor for award of the contract.

(d) Copies of the protest must be mailed or delivered by the protesting party to all interested parties.

(e) All formal protests must be sworn and reference the following:

- (1) name, address, and telephone number of the interested party.
 - (2) solicitation number and title.
 - (3) specific statutory or regulatory provision(s) that the action under protest is alleged to have violated.
 - (4) specific description of each act alleged to have violated the statutory or regulatory provision(s) identified above.
 - (5) precise statement of facts.
 - (6) identification of the issue(s) to be resolved.
 - (7) argument and authorities in support of the protest.
 - (8) a statement that copies of the protest have been mailed or delivered to all interested parties.
- (f) The Chief Contracting Officer shall have the authority, prior to any appeal to the President/CEO, to settle any dispute and resolve the protest. The Chief Contracting Officer may solicit written responses regarding the protest from other interested parties.
- (g) If the protest is not resolved by mutual agreement, the Chief Contracting Officer will issue a written determination on the protest.
- (1) If the Chief Contracting Officer determines that no violation of rules or statutes has occurred, he/she shall so inform the protesting party, and at his/her discretion, other interested parties by letter which sets forth the reasons for the determination.
 - (2) If the Chief Contracting Officer determines that a violation of the rules or statutes has occurred and a contract has not yet been awarded, he/she shall so inform the protesting party, and at his/her discretion, other interested parties by letter which sets forth the reasons for the determination and the appropriate remedial action.
 - (3) If the Chief Contracting Officer determines that a violation of the rules or statutes has occurred and a contract has been awarded, he/she shall so inform the protesting party, and at his/her discretion, other interested parties by letter which sets forth the reasons for the determination which may include declaring the contract void.
- (h) Appeals: The Chief Contracting Officer's determination on a protest may be appealed to the President/CEO. An appeal to the President/CEO must be received no later than ten (10) business days after the date of the written determination issued by the Chief Contracting Officer, and be addressed to the attention of the President/CEO, at the address listed in Subsection (a). The appeal shall be limited to a review of the determination made by the Chief Contracting Officer. Copies of the appeal must be mailed or delivered by the protesting party to all interested parties consistent with the mailing or delivering of the original protest, and where applicable, CapMetro must be provided with an affidavit that such copies were distributed.
- (i) The Chief Counsel for CapMetro will review the protest, the Chief Contracting Officer's determination, any responses from interested parties, and the appeal, and prepare a written opinion with recommendation to the President/CEO who will issue a written response to the protesting party.
- (j) The President/CEO's response shall be the final administrative action taken by CapMetro.
- (k) Any protest submitted must follow these procedures or it will be returned without action.

MEMORANDUM

FOR PAST PERFORMANCE REFERENCES – Revised-1

FROM: Procurement Department
Capital Metropolitan Transportation Authority
2910 East 5th Street
Austin, TX 78702

RE: Request for Past Performance Information for **SOQ 806105 – Environmental Engineering and Planning Services**

The Capital Metropolitan Transportation Authority is in the process of selecting a firm to provide NEPA, THC, TCEQ, FTA and other compliant environmental engineering services in support of real property acquisition, licensing and leasing, capital projects, real estate development, railroad right-of-way, in support of real estate matters.

In the Instructions to Offerors portion of our request for proposals, we request that this letter and the Past Performance Questionnaire be forwarded to points of contact for similar type services performed by the offeror, or currently in progress. The information contained in your completed questionnaire will be one of the evaluation criteria to base a decision about the relative qualifications of the offeror.

Please have the questionnaire completed by the person(s) most familiar with the contractor's performance on the subject contract. Evaluations should reflect an honest, straightforward, and objective evaluation of the contractor's performance. Evaluations must be based on objective facts supported by program/project and contract management data and reports.

Your knowledge is crucial to our evaluation of the company's past performance, and we request that you provide responses to all questions. A simple "unknown" answer may be appropriate when no evidence is available to you in a particular area. We ask that you indicate based on the definitions provided in the questionnaire, the contractor's performance on the identified contract. Please provide narrative rationales for your answers that are marked other than acceptable or areas where the contractor clearly exceeded contract requirements. Hand written responses, printed clearly, are sufficient.

Please submit your past performance questionnaire directly to the Authority (**not to the company**) no later than **January 24, February 3, 2025, prior to 3:00 p.m.** It may be necessary to call you to discuss questionnaire responses.

If you have any questions concerning this questionnaire please contact *Jeffery Yeomans*, at jeffery.yeomans@capmetro.org. Responses may be submitted to this office as indicated on the cover of the questionnaire. Your time is greatly appreciated, and we thank you for your participation.

Sincerely,



Jeffery Yeomans
Contracts Administrator

Enclosure:
Past Performance Questionnaire

SECTION A. THIS SECTION ONLY TO BE FILLED IN BY THE OFFEROR:

Offeror (Proposing Firm) Contract Number:	
Offeror (Proposing Firm):	
Type of Contract:	
Contract Amount:	
Status:	Active <input type="checkbox"/> Completed: <input type="checkbox"/>
Date of Award:	
Contract Completion Date (Including Extensions):	
Product Description and/or service provided:	
Type and Extent of Subcontracting:	

SECTION B. TO BE FILLED IN BY RESPONDENT:

Please provide information for the primary individual completing this questionnaire.

Name:	
Firm:	
Telephone Number:	
Mailing Address:	
E-Mail Address:	

SECTION C. RATING GUIDELINES:

Use the following descriptions as guidance in providing element ratings. Ratings should only reflect the performance of the contractor in question. For each question, please place an "X" in the box corresponding to the rating.

- Exceptional 1
- Very Good 2
- Satisfactory 3
- Marginal 4
- Unsatisfactory 5
- Unknown 6

CAPITAL METRO

SECTION D. CONTRACT/PAST PERFORMANCE INFORMATION:

Place an X in the appropriate box and provide narrative, if applicable.

1= Exceptional, 2= Very Good, 3= Satisfactory, 4= Marginal, 5= Unsatisfactory, 6= Unknown.

	Question:	1	2	3	4	5	6
1	Did the contractor initiate and support startup and management control?	<input type="checkbox"/>					
2	Timeliness in achieving schedule elements (delivery/performance), taking into account all excusable delays.	<input type="checkbox"/>					
3	Did the contractor accurately and timely attend to and communicate the project status via required reports, inspections etc?	<input type="checkbox"/>					
4	Did the contractor provide qualified management and key personnel throughout the contract performance period?	<input type="checkbox"/>					
5	Did the contractor provide adequate, competent and qualified technical personnel capable of meeting contract requirements throughout the performance period of the contract?	<input type="checkbox"/>					
6	Was the contractor's top management involved and committed to project success?	<input type="checkbox"/>					
7	Rate the contractor's ability to manage and coordinate subcontractors, and please note any subcontracting issues (positive or negative) that impacted the performance of your contract.	<input type="checkbox"/>					
8	How timely and sufficient were the contractor's resources (manning levels, skill mix, equipment, etc.) to meet contract requirements (technical, management, and contractual)?	<input type="checkbox"/>					
9	How well did the contractor work independent of your guidance, oversight and assistance?	<input type="checkbox"/>					
10	Rate the effectiveness of the contractor's program to ensure compliance with federal, state and local regulations.	<input type="checkbox"/>					
11	How timely and effective were the contractor's responses to and resolution of technical problems?	<input type="checkbox"/>					
12	How innovative was the contractor in performing the technical aspects of this contract and resolving problems?	<input type="checkbox"/>					
13	How well did the contractor respond to and act on customer feedback?	<input type="checkbox"/>					
14	How well did the contractor perform the terms of the contract (schedule, scope and budget)?	<input type="checkbox"/>					
15	How would you rate the contractor's overall performance?	<input type="checkbox"/>					
16	What were the contractor's top documented strengths, if any, in performing the contract requirements?						
17	What were the contractor's top documented weaknesses, if any, in performing the contract requirements?						
18	Were there any contract concessions/changes/terminations made due to the contractor's inability to meet contract requirements (Cost schedule/performance)?						
19	Have there been any indications that the contractor has financial concerns that would jeopardize contract performance?						
20	Please provide any additional information you feel is important not covered elsewhere:						