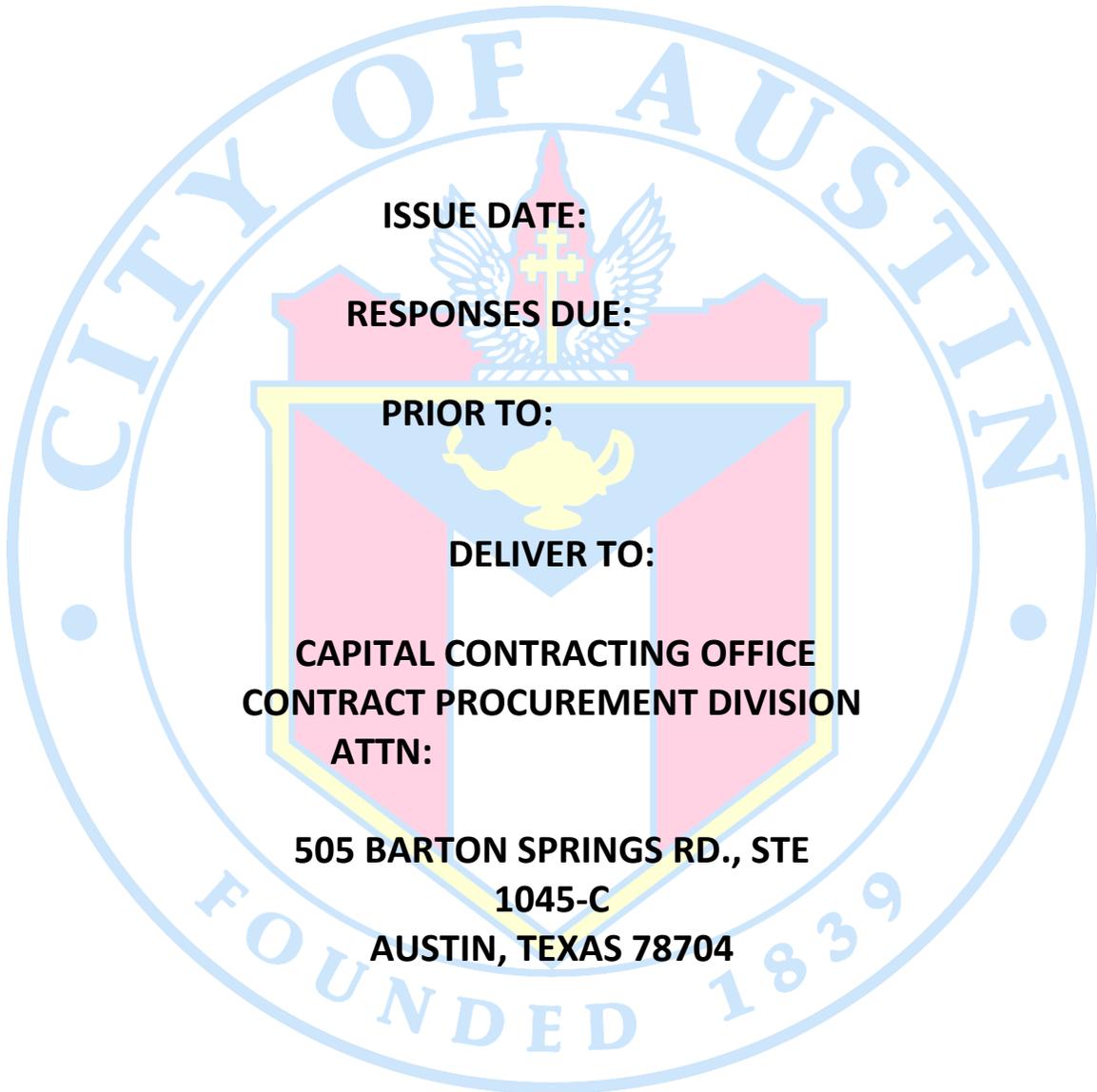


REQUEST FOR QUALIFICATIONS

FOR



ISSUE DATE:

RESPONSES DUE:

PRIOR TO:

DELIVER TO:

**CAPITAL CONTRACTING OFFICE
CONTRACT PROCUREMENT DIVISION**

ATTN:

**505 BARTON SPRINGS RD., STE
1045-C**

AUSTIN, TEXAS 78704



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CONTRACT TEMPLATE

The professional service agreement template can be obtained at the following website:

<http://www.austintexas.gov/department/professional-service-agreements>



City of Austin

Founded by Congress, Republic of Texas, 1839
Capital Contracting Office, PO Box 1088, Austin, Texas 78767 Telephone 512/974-7181

July 19, 2016

Re: Announcement
Request for Statements of Qualifications (RFQ) for Providing Professional Engineering Services: Walnut Creek WWTP Optimization and Facility Plan
Solicitation Number: CLMP203

The City of Austin, through Austin Water Utility and its Capital Contracting Office, is requesting statements of qualifications for the selection of a professional engineering firm for the above-noted project. Statement of qualifications will be due **PRIOR to 3:00 p.m., Wednesday, August 24th, 2016**, at 505 Barton Springs Road, Suite 1045-C, Austin, TX 78704. All SOQs not received and stamped prior to the date and time set forth above **will not be accepted for consideration.** The time stamp clock in the Suite 1045-C Reception Area is the time of record and is verified with www.time.gov, the Official U.S. time. The selection process for this project is anticipated to be completed for City Council action in November 2016 or December 2016.

A pre-response meeting will be held beginning at 2:30 PM, Tuesday, July 26th, 2016, One Texas Center, 505 Barton Springs Road, 3rd floor, Room 325, Austin, TX 78704. The purpose of the meeting will be to respond to consultants' questions about the project and the procurement process. Attendance at the meeting is not a requirement for selection; however, meeting minutes will not be issued.

All prime firms and subconsultants must be registered to do business with the City of Austin prior to the contract award. Prime firms are responsible for ensuring that their subconsultants are registered as vendors with the City of Austin. You may register through the City of Austin's online Vendor Registration system. Log on to www.austintexas.gov/financeonline/vendor_connection/index.cfm and follow the directions.

A Request for Statements of Qualifications (RFQ) for these services is available which provides project background and requirements for submittal. For a copy of the RFQ, log on to the City's Vendor Connection at www.austintexas.gov/financeonline/vendor_connection/index.cfm. The complete RFQ packet is located as an attachment under the solicitation CLMP203. The authorized contact persons for this solicitation are Charles Celauro, Supervising Engineer, charles.celauro@austintexas.gov, 512-972-0208 or Lynn Rich, Buyer II, lynn.rich@austintexas.gov, 512-974-7009. Please contact Charles Celauro for all project related questions and me for any RFQ procurement process questions.

Sincerely,

Lynn Rich, Buyer II
Contract Procurement Division
Capital Contracting Office

cc: Charles Celauro, Austin Water Utility



REQUEST FOR QUALIFICATIONS

Solicitation Number: CLMP203

Project Name: Walnut Creek WWTP Optimization and Facility Plan

The following is a summary of information for this Solicitation. The Consultant is cautioned to refer to other sections of this Request for Qualifications (RFQ) packet for further details.

The City of Austin, through its Capital Contracting Office, is requesting Statements of Qualifications (SOQs) for the selection of engineering services for the above-noted project.

Submittals will be received at 505 Barton Springs Road, Suite 1045-C, Austin, TX 78704, Capital Contracting Office.

ALL SUBMITTALS ARE DUE ON: Wednesday, August 24, 2016 PRIOR TO 3:00 pm

ATTENTION: Lynn Rich

ALL SUBMITTALS NOT RECEIVED PRIOR TO THE DATE AND TIME SET FORTH ABOVE WILL NOT BE ACCEPTED FOR CONSIDERATION. The time stamp clock in the **Suite 1045-C** Reception Area is the time of record and is verified with www.time.gov, the Official U.S. time. The qualification statement evaluation criteria for this project are included in this packet for your information. The selection process for this project is anticipated to be complete for City Council action in December 2016. Contract execution is anticipated for January 2017.

All prime firms and subconsultants must be registered to do business with the Owner prior to the contract award. Prime firms are responsible for ensuring that their subconsultants are registered as vendors with the City of Austin. You may register through the Owner's on-line Vendor Registration system. Log on to the following link and follow the directions:
https://www.austintexas.gov/financeonline/vendor_connection/index.cfm.

All City procurements are subject to the City's Minority-Owned and Women-Owned Business Enterprise Procurement Program (Chapter 2-9-B of the MBE/WBE Ordinance, revised June 15, 2006). The program provides Minority-Owned and Women-Owned Business Enterprises (MBEs/WBEs) opportunity to participate in all City contracts. Information on achieving the MBE/WBE participation goals or documenting good faith efforts to achieve the goals is contained in the MBE/WBE Procurement Program Package included in this RFQ packet. Entities submitting statements of qualifications are required to complete and return the MBE/WBE Compliance Plan with their response.

The selected consultant will be required to execute a standard City of Austin professional services agreement. Prior to contract execution, the selected firm must submit either their existing or an updated personnel policy (on letterhead) documenting conformity with City Code, 5-4, § 5-4-2. If the Consultant does not submit a copy of their personnel policy incorporating the non-discrimination policy, the company will not be in compliance and the City will exercise its option to cease contract negotiations.

The selected consultant shall carry insurance in the following types and amounts for the duration of the Agreement, and furnish certificates of insurance along with copies of policy declaration pages and policy endorsements as evidence thereof:

- Workers' Compensation and Employers' Liability Insurance with coverage consistent with statutory benefits outlined in the Texas Workers' Compensation Act (Section 401). The minimum policy limits for Employers' Liability Insurance are \$100,000 bodily injury each accident, \$500,000 bodily injury by disease policy limit and \$100,000 bodily injury by disease each employee. The firm's policy shall apply to the State of Texas and include these endorsements in favor of the City of Austin:
 - (a) Waiver of Subrogation, form WC 420304.
 - (b) 30 day Notice of Cancellation, form WC 420601.
- Commercial General Liability Insurance with a minimum combined bodily injury and property damage per occurrence limit of \$500,000 for coverage A & B. The policy shall contain the following provisions:
 - (a) Contractual liability coverage for liability assumed under the Agreement and all contracts relative to this project.
 - (b) Products/Completed Operations Liability for the duration of the warranty period.
 - (c) If the project involves digging or drilling, Explosion, Collapse, and Underground (XCU) coverage
 - (d) Independent Contractors coverage (Contractors/ Subcontractors work).The policy shall contain the following endorsements in favor of the City of Austin:
 - (a) Waiver of Subrogation, endorsement CG 2404.
 - (b) 30 day Notice of Cancellation, endorsement CG 0205.
 - (c) Additional Insured, endorsement CG 2010.
- Business Automobile Liability Insurance for all owned, non-owned and hired vehicles with a minimum combined single limit of \$500,000 per occurrence for bodily injury and property damage. Alternate acceptable limits are \$250,000 bodily injury per person, \$500,000 bodily injury per occurrence and at least \$100,000 property damage liability per accident. The policy shall contain the following endorsements in favor of the City of Austin:
 - (a) Waiver of Subrogation, endorsement CA 0444.
 - (b) 30 day Notice of Cancellation, endorsement CA 0244.
 - (c) Additional Insured, endorsement CA 2048.
- Professional Liability Insurance with a minimum limit of \$ 500,000 per claim and in aggregate to pay on behalf of the assured all sums which the assured shall become legally obligated to pay as damages by reason of any negligent act, error, or omission committed or alleged to have been committed with respect to estimates, schedules, analyses, reports, surveys, designs or specifications prepared or alleged to have been prepared by the assured. Coverage, including any renewals, shall have a retroactive date coincident with or prior to the date of the Agreement. The consultant shall provide the City of Austin annually with a certificate of insurance as evidence of such insurance. The policy shall provide for 30 day notice of cancellation in favor of the City of Austin. The consultant shall provide a

discovery period on professional liability policies that is commensurate with the warranty period of the project.

Should you have any questions concerning the information included in this RFQ, **please attend a pre-response meeting on Tuesday, July 26, 2016 at 2:30 pm in One Texas Center, 505 Barton Springs Road, 3rd floor, Room 325, Austin, Texas.** Attendance at the meeting is not required; however, meeting minutes will not be issued.

Thank you for requesting the RFQ and your interest in the City of Austin. For information about other professional services procurement actions of this office, please visit us at https://www.austintexas.gov/financeonline/vendor_connection/index.cfm.

AUTHORIZED CONTACT PERSONS

BUYER II: Lynn Rich

Telephone: (512) 974-7009

Email: lynn.rich@austintexas.gov

PROJECT MANAGER: Charles Celauro

Telephone: (512) 972-0208

Email: charles.celauro@austintexas.gov

END



INSTRUCTIONS TO CONSULTANTS

Solicitation Number: CLMP203

Project Name: Walnut Creek WWTP Optimization and Facility Plan

I. Preparation of Response

- a. **Request for Qualifications (RFQ) Response Forms.** Enclosed are the RFQ response forms which are to be completed and returned as part of your firm's response. Please use the enclosed current forms and organize your response in the order in which the forms are presented in the Table of Contents. **Forms may be recreated; however, all requested information must be included.**
- b. **Statement of Qualifications (SOQ):** Please submit **one (1) original, stamped "ORIGINAL" and one (1) electronic copy on CD or flash drive** of the RFQ response. Wherever used, "page" refers to single-sided, single-spaced, 10 point minimum font printed on 8 ½ x 11 inch pages. Sections should be divided by tabs for ease of reference.

Responses sent to the City of Austin are subject to disclosure pursuant to the Public Information Act, Government Code, Chapter 552.

- c. **Disclosure of Proprietary Information.** All materials submitted to OWNER become public property and are subject to the Texas Public Information Act, Government Code Chapter 552, upon receipt. If Consultant does not desire proprietary information in the Proposal to be disclosed, each page must be identified and marked proprietary at time of submittal. OWNER will, to the extent allowed by law, endeavor to protect such information from disclosure. The final decision as to what information must be disclosed, however, lies with the Texas Attorney General. Failure to identify proprietary information will result in all unmarked sections being deemed non-proprietary and available upon public request.
- d. **Further Information.** Information may be secured by contacting the authorized contact persons listed in the RFQ. Persons desiring further information or interpretation of the solicitation requirements shall make a written request for such information to OWNER no later than seven (7) working days before submittal due date and time. Interpretation of Solicitation Documents will be made by Addendum or Clarification and a copy of each document will be emailed to each person to whom has obtained a RFQ packet. The addendum or clarification will also be available through the City's Vendor Connection.
- e. **Anti-Lobbying and Procurement.** Entities submitting statements of qualifications, including their agents and representatives, shall not undertake any activities or actions to promote or advertise their statement of qualifications to any member of the Austin City Council or City staff except in the course of City-sponsored inquiries, briefings, interviews, or presentations between the statement of qualifications submission date and award by City Council. Any violation of this provision may result in disqualification

of the entity. Entity shall execute by signature the following Entity's Affidavit of Non-Collusion, Non-Conflict of Interest, and Anti-Lobbying and return the signed affidavit with their statement of qualifications. The Affidavit form is Form 4 under Proposal Forms. Article 6, Chapter 2-7, Austin City Code, prohibits lobbying activities or representations by the Consultant between the date that the Request for Qualifications (RFQ) is issued and the date of contract execution. The text of the pertinent City Ordinance may be viewed at the following link:

<http://www.cityofaustin.org/edims/document.cfm?id=161145>.

- f. **Certificate of Interested Parties.** As required by Section 2252.908 of the Texas Government Code, the Consultant who is awarded the contract is required to submit to the OWNER a complete Form 1295 "Certificate of Interested Parties" that is signed and notarized prior to contract execution. This form must be completed and printed on the Texas Ethics Commission website and returned to Contract Developer at the time of execution of the contract. Information and instructions on completing the form can be found at the following website:

https://www.ethics.state.tx.us/whatsnew/elf_info_form1295.htm

(1) Definitions

- (A) "Authorized Contact Person" means the Project Manager listed in the Cover Letter of the RFQ, or other persons specifically named and designated in the RFQ as the contact for questions and comments regarding the RFQ.
- (B) "No-Contact Period" means the period of time from the date the RFQ is issued until a contract is executed. If the City withdraws the RFQ or rejects all responses with the stated intention to reissue the same or a similar RFQ for the same or similar project, the no-contact period continues during the time period between the withdrawal and reissue.
- (C) "Response" means a statement of qualifications.
- (D) "Respondent" means a person responding to a City solicitation including a bidder, a quoter, responder, or a proposer. The term "respondent" also includes:
- (i) an owner, board member, officer, employee, contractor, subsidiary, joint enterprise, partnership, agent, lobbyist, or other representative of a respondent;
 - (ii) a person or representative of a person that is involved in a joint venture with the respondent, or a subconsultant in connection with the respondent's response; and
 - (iii) a respondent who has withdrawn a Response or who has had a Response rejected or disqualified by the City.

- (E) "Representation" means a communication related to a response to a council member, official, employee, or City representative that is intended to or that is reasonably likely to:
- (i) provide information about the Response;
 - (ii) advance the interests of the Respondent;
 - (iii) discredit the Response of any other respondent;
 - (iv) encourage the City to withdraw the RFQ;
 - (v) encourage the City to reject all of the responses;
 - (vi) convey a complaint about a particular response; or
 - (vii) directly or indirectly ask, influence, or persuade any City official, City employee, or body to favor or oppose, recommend or not recommend, vote for or against, consider or not consider, or take action or refrain from taking action on any vote, decision, or agenda item regarding the solicitation.
- (F) "City" means Owner.

(2) Restrictions on Contacts

- (A) During a no-contact period, a Respondent shall make a representation only through the authorized contact person.
- (B) During the no-contact period, a Respondent may not make a representation to a City official or to a City employee other than to the authorized contact person. This prohibition also applies to a vendor that communicates and then becomes a Respondent.
- (C) The prohibition of representation during the no-contact period applies to a representation initiated by a Respondent, and to a representation made in response to a representation initiated by a City official or a City employee other than the Authorized Contact Person.
- (D) If the City withdraws an RFQ or rejects all Responses with a stated intention to reissue the same or similar RFQ for the same or similar project, the no-contact period shall expire after the ninetieth day after the date the RFQ is withdrawn or all Responses are rejected if the RFQ has not been reissued during the 90-day period.
- (E) For a single vendor award, the no-contact period shall expire when the first of the following occurs: contract is executed or solicitation is cancelled
- (F) For a multiple vendor award, the no-contact period shall expire when the last of the following occurs: all contracts are executed, negotiations have been fully terminated, or the ninetieth day after the solicitation is cancelled.
- (G) The purchasing officer or the director may allow respondents to make representations to city employees or city representatives in addition to the

authorized contact person for a solicitation that the purchasing officer or the director finds must be conducted in an expedited manner; an expedited solicitation is one conducted for reasons of health or safety under the shortest schedule possible with no extensions. The purchasing officer's or director's finding and additional city employees or city representative who may be contacted must be included in the solicitation documents.

- (H) Representation to an independent contractor hired by the City to conduct or assist with a solicitation will be treated as representations to a City employee.
- (I) A current employee, director, officer, or member of a respondent, or a person related within the first degree of consanguinity or affinity to a current employee, director, officer or member of a respondent, is presumed to be an agent of the respondent for purposes of making a representation. This presumption is rebuttable by a preponderance of the evidence as determined by the purchasing officer or director.
- (J) A respondent's representative is a person or entity acting on a respondent's behalf with the respondent's request and consent. For example, a respondent may email their membership list and ask members to contact council members on the respondent's behalf. The members are then acting per respondent's request and with their consent, and the members have become respondent representatives.

(3) Permitted Representations

- (A) If City seeks additional information from respondent, the Respondent shall submit the representation in writing **only** to the authorized contact person. The contact person will then distribute the written representation in accordance with the terms of the RFQ. A Respondent cannot amend or add information to a Response after the Response deadline.
- (B) If respondent wishes to send a complaint to the City, the respondent shall submit the complaint in writing only to the authorized contact person. The authorized contact person will then distribute a complaint regarding the process to members of the City Council or members of the City board, to the director of the department that issued the solicitation, and to all respondents of the RFQ. However the director shall not permit distribution of any complaint that promotes or disparages the qualifications of a respondent, or that amends or adds information to a response. A determination what constitutes promoting or disparaging the qualifications of a respondent or constitutes amending or adding information is at the director's sole discretion.
- (C) If a Respondent submits a written inquiry regarding an RFQ, the authorized contact person will provide a written answer and distribute both the inquiry and answer to all Respondents on the RFQ.
- (D) If a Respondent does not receive a response from the authorized contact person, the Respondent may contact the director as appropriate.

- (E) A respondent may ask a purely procedural question, for example a question regarding the time or location of an event or where information may be obtained, of a City employee other than the authorized contact person. No suggestions or complaints about the contract process that constitute a representation to a City employee is allowed. A respondent may not ask a procedural question to a Council member, a council member's aide, or of a City board member except in a meeting held under the Texas Government Code, Chapter 551 (Open Meetings Act).
- (F) The Anti-Lobbying ordinance allows representations:
- (1) made at a meeting convened by the authorized contact person, including meetings to evaluate responses or negotiate a contract;
 - (2) required by protest procedures for vendors;
 - (3) made at a protest hearing;
 - (4) provided to the Small & Minority Business Resources Department in order to obtain compliance with the MBE/WBE Procurement Program Ordinance;
 - (5) made to the City Risk Management coordinator about insurance requirements for a solicitation;
 - (6) made public at a meeting held under the Open Meetings Act; or
 - (7) made from a respondent's attorney to an attorney in the Law Department in compliance with Texas Disciplinary Rules of Professional Conduct.
- (G) Nothing in the Anti-Lobbying Ordinance prohibits communications regarding the solicitation between or among City official or City employees acting in their official capacity.
- (H) A contribution or expenditure defined in Chapter 2-2 (Campaign Finance) is not a representation.
- (4) Contract Voidable. If a contract is awarded to a Respondent who has violated these Anti-Lobbying & Procurement provisions, the contract is voidable by the Owner.
- (5) Debarment. If a Respondent has been disqualified under these provisions more than two times in a sixty month period the purchasing officer shall debar the responder from responding for a period not to exceed three years, provided the Respondent is given written notice and a hearing in advance of the debarment.

II. Rejection of Proposals

OWNER reserves the right to reject any or all responses received for this RFQ and to waive any minor informality in any submittal or solicitation procedure (a minor informality is one that does not affect the competitiveness of the Consultants).

I. The following **will** cause your firm to be deemed non-responsive:

- Form 2 – Affidavit of Authentication is not included with original signature and notarized.
- Form 3a– Prime Firm’s EEO Program is not included with original signature certifying firm conforms to City Code 5-4-2.
- Form 4 - Affidavit of Non-Collusion, Non-Conflict of Interest, and Anti-Lobbying is not included with original signature and notarized.

- The required Key Personnel do not have a current license/registration in the State of Texas at the time of submittal.
- The required Key Personnel are not employed by the prime firm as stated in the evaluation criteria.
- Failure to submit MBE/WBE or DBE Compliance Plan (or other MBE/WBE Procurement Program documents) in accordance with the MBE/WBE Procurement Program Package or DBE Procurement Program Package.
- Failure to have an authorized agent of the Proposer attend the mandatory Pre-Response Meeting, if applicable.
- Statement of Qualifications (SOQs) received from a Proposer who has been debarred or suspended by OWNER’s Purchasing Officer.
- SOQs received from a Proposer when Proposer or principals are currently debarred or suspended by Federal, State or City governmental agencies.

II. The following **may** cause your firm to be deemed non-responsive:

- Failure to provide a SOQ stamped “ORIGINAL”.
- Failure to provide the correct number of “COPY” SOQs.
- Failure to provide an electronic version on CD or Flash Drive of your complete SOQ.
- Form 3b – Title VI Assurances is not included with original signature.
- Form 5 - Affidavit of Availability is not included with original signature and notarized.
- Form 6 – Affidavit of Contract Execution is not included with original signature and notarized.
- Failure to provide a response to one or more of the Consideration Items.
- Response failed to show the prime firm performing the plurality of the services.

- Prime firm and/or subconsultants did not provide the number of projects required for an evaluation criteria item.
- Exceeding the maximum number of page limitations in any of the sections designated.
- Including projects that have not been completed within the specified time period.
- Combining forms.
- Failure to use the current City of Austin forms.
- Failure to acknowledge receipt of Addenda on Form 1 – Prime Firm General Information.
- Listing a subconsultant’s qualifications in the body of the SOQ, yet failing to list the subconsultant on the compliance plan.

III. Release of Information

Under Texas law, information relating to this Solicitation may be kept confidential until a contract has been executed. OWNER shall not release information relative to this Solicitation during the proposal evaluation process or prior to contract execution, except as otherwise required by law.

IV. Award and Execution of Contract

Capital Contracting Director shall submit recommendation for award to the City Council for those project awards requiring City Council action. Contract will be signed by City Manager or his/her designee after award and submission of required documentation by consultant. Contract will not be binding upon OWNER until it has been executed by both parties. OWNER will process the Contract expeditiously. However, OWNER will not be liable for any delays prior to the award or execution of Contract. The consultant must adhere to the terms stated in Form 6 – Affidavit of Contract Execution.

Upon contract award, the selected consultant must submit either their existing or an updated personnel policy (on letterhead) documenting conformity with City Code, Chapter 5-4, § 5-4-2. If the company does not submit a copy of their personnel policy incorporating the non-discrimination policy, the company will not be in compliance and will not receive a contract award.

V. Protest Procedures

The OWNER’s Capital Contracting Director has the authority to settle or resolve any claim of an alleged deficiency or protest. The procedures for notifying the City of an alleged deficiency or filing a protest are listed below. If you fail to comply with any of these requirements, the Capital Contracting Director may dismiss your complaint or protest.

Prior to Solicitation Due Date: If you are a prospective Respondent and you become aware of the facts regarding what you believe is a deficiency in the solicitation process before the Solicitation is due, you must notify the City in writing, through the authorized contact person, of the alleged deficiency before that date, giving the City an opportunity to resolve the situation prior to the Solicitation Due Date.

After Solicitation Due Date: If you submit a response to the City and you believe that there has been a deficiency in the solicitation process or the award, you have the opportunity to protest the solicitation process or the recommended award as follows:

1. You must file written notice of your intent to protest within four (4) calendar days of the date that you know or should have known of the facts relating to the protest. If you do not file a written notice of intent within this time, you have waived all rights to protest the solicitation process or the award.
2. You must file your written protest within fourteen (14) calendar days of the date that you know or should have known of the facts relating to the protest unless you know of the facts before the Solicitation was due. If you know of the facts before that date, you must notify the City as stated above.
3. You must submit your protest in writing, through the authorized contact person, and must include the following information:
 - a. your name, address, telephone, and fax number;
 - b. the solicitation number and the CIP number, if applicable;
 - c. a detailed statement of the factual grounds for the protest, including copies of any relevant documents.
4. Your protest must be concise and presented logically and factually to help with the City's review.
5. When the City receives a timely written protest, the Capital Contracting Director will determine whether the grounds for your protest are sufficient. If the Capital Contracting Director decides that the grounds are sufficient, the Capital Contracting Office will schedule a protest hearing, usually within five (5) working days. If the Capital Contracting Director determines that your grounds are insufficient, you will be notified of that decision in writing.
6. The protest hearing is informal and is not subject to the Open Meetings Act. The purpose of the hearing is to give you a chance to present your case, it is not an adversarial proceeding. Those who may attend from the City are: representatives from the department that requested the purchase, the Law Department, the Capital Contracting Office and other appropriate City staff. You may bring a representative or anyone else that will present information to support the factual grounds for your protest with you to the hearing.
7. A decision will usually be made within fifteen (15) calendar days after the hearing.

8. The Capital Contracting Director will send you a copy of the hearing decision after the appropriate City staff have reviewed the decision.
9. When a protest is filed, the City usually will not make an award until a decision on the protest is made. However, the City will not delay an award if the City Manager or the Capital Contracting Director determines that:
 - a. The City urgently requires the supplies or services to be purchased, or
 - b. Failure to make an award promptly will unduly delay delivery or performance.

In those instances, the Capital Contracting Office will notify you and make every effort to resolve your protest before the award.

10. The protest or notice of intent and the protest shall be submitted in writing to the following address:

P.O. Address for U.S. Mail:

City of Austin
ATTN: Capital Contracting Officer
P.O. Box 1088
Austin, Texas 78767-0845

Street Address for Hand Delivery/Courier Service:

City of Austin
ATTN: Capital Contracting Officer
505 Barton Springs Road, Suite 1045-A
Austin, Texas 78704

PHONE: (512) 974-7181

END



SCOPE OF SERVICES

Solicitation Number: CLMP203

Project Name: Walnut Creek WWTP Optimization and Facility Plan

PROJECT FOR:

CITY OF AUSTIN, AUSTIN WATER, THROUGH ITS CAPITAL CONTRACTING OFFICE

PROJECT TITLE:

Walnut Creek WWTP Optimization and Facility Plan

OBJECTIVES OF THE PROJECT:

The purpose of the Walnut Creek WWTP Optimization and Facility Plan is to assist Austin Water (AW) in developing a plan to optimize current treatment processes, maximize existing and untapped treatment capacity, and identify strategic capacity additions or modifications that optimize site development of the Walnut Creek Wastewater Treatment Plant (WWTP) property while meeting the environmental, regulatory, social and financial requirements. In developing plant process and capacity recommendations, the consultant team shall assess the related environmental, social and economic impacts of the alternatives proposed. Namely, this assessment will account for AW's long-range financial plan and Walnut Creek WWTP's current and future place within the community. Recommended improvements shall be compliant with the Texas Pollutant Discharge Elimination System (TPDES) permit and address anticipated regulations. The Walnut Creek WWTP Optimization and Facility Plan will be the ultimate deliverable for this project, which will allow Austin Water to plan for and initiate future improvement projects, as needed.

***The selected consultant shall be required to comply with Austin Water Utility Facility Security Procedure SP-1070 (see Attachment A-1).**

BACKGROUND:

The Walnut Creek Wastewater Treatment Plant (WWTP) has a rated capacity of 75 million gallons per day (MGD), a rated 2-hour peak flow of 165 MGD, and is currently treating approximately 62 MGD average daily flow for 2016. Walnut Creek WWTP's discharge and reuse permit limits are:

Discharge Permit

5 mg/l CBOD
5 mg/l TSS
2 mg/l ammonia
126/100 ml *E. coli*
6 mg/l DO

Reuse Type 1 Permit

5 mg/l CBOD
3 NTUs Turbidity
126/100 ml *E. coli*
126/100 ml *E. coli* (Single Grab)

Walnut Creek WWTP includes six individual treatment trains, built in three phases. Each train consists of an aeration basin, a flocculation basin, a secondary clarifier, a chlorine contact basin, and the pumps, piping, and electrical equipment required to operate each train.

The first phase was constructed 1977 with a rated capacity of 18 MGD. This phase included Activated Sludge Complex 1, comprised of trains 1 and 2. The Thickener Building was built in 1982.

Activated Sludge Complex 2, comprised of trains 3 and 4, was constructed in 1987 and increased the capacity of the WWTP to 40 MGD.

In 1990, Activated Sludge Complex 3, comprised of trains 5 and 6, was constructed in 1990 to meet new permitting requirements passed in 1988 from 20 mg/l BOD; 20 mg/l TSS to a more stringent permit limit of 10 mg/l BOD; 15 mg/l TSS; 2 mg/l ammonia. This included modifying Activated Sludge Complex 1 and 2 to double the aeration basin volume and installing fine bubble diffusers. The capacity of the plant was increased to a rated capacity of 60 MGD with a 2-hour peak of 140 MGD peak.

In 1990 Annual Permit limits were added to the discharge permit to include 5 mg/l BOD, 5 mg/l TSS, and 2 mg/l ammonia.

The 75 MGD Expansion was constructed in 2005 with an influent wastewater characteristic of 160 mg/l BOD concentration with a peak 2-hour flow of 165 MGD.

Due to population growth and increased flow prior to the completion of the 1987 expansion, an Interim Plant with a capacity of 13.5 MGD was constructed in 1985 with a discharge limit of 10 mg/l BOD and 15 mg/l TSS. The Interim Plant includes aeration basins, clarifiers and pumping. The Interim Plant was used until the 1987 expansion was completed.

Treated effluent is utilized to serve the Wastewater Reclaimed Initiative (WRI) system and the non-potable water (NPW) for the treatment plant. The excess is discharged to the Colorado River. Until the mid-1990's, Walnut Creek WWTP discharged its effluent directly into Walnut Creek, which borders the treatment plant to the west, and eventually empties into the Colorado River. Due to the increasing volumes of effluent, the outfall was relocated south so the plant could directly discharge into the Colorado River. A new 96-inch effluent pipe, which was put in place to convey the effluent to the new outfall on the Colorado River, runs parallel to Walnut Creek.

Walnut Creek WWTP is located entirely within zip code 78724 in the City of Austin's District 1.

ANTICIPATED SERVICES:

Specific objectives for the project include:

- Evaluate existing hydraulic and organic loadings and compare to current treatment plant capacity.

-
- Review and comment on future projected hydraulic, organic and nutrient loading capacity requirements based on current growth.
 - Review and comment on plausible future effluent permit requirements from the Texas Commission of Environmental Quality (TCEQ) and the US Environmental Protection Agency (EPA).
 - Evaluate existing treatment process equipment and piping for effectiveness and efficiency.
 - Identify alternatives and/or options of various WWTP modification and process treatments with existing and plausible future effluent permit requirements.
 - Provide conceptual facilities modification alternatives and recommend optimal build out alternatives within the existing site boundaries.
 - Provide budgetary construction and engineering costs.
 - Provide implementation strategy consistent with AW's long-range financial plan.
 - Assess the related environmental, social and economic impacts of the alternatives proposed.

The following is intended as a guide to the general nature of services that will be provided based on the Major Scopes of Work described herein.

1. Preliminary Data Collection

- A. Collect and review existing and historical flow and loading data.
- B. Collect and review existing TPDES permit requirements and compliance data, plant operations data, existing facility design criteria, and all other pertinent information.
- C. Collect and review previous engineering reports and designs prepared for Walnut Creek WWTP.

2. Evaluate Existing Hydraulic, Organic, Ammonia, and Nutrient Loadings

- A. Evaluate current and plausible future loadings and the resulting impacts to the current and future treatment plant facilities.
- B. Using available information, compare existing treatment plant facilities to actual flows, loadings and treatment efficiencies, determine and document remaining capacities.
- C. Evaluate source of loadings and identify cost-effective treatment strategies.

3. Determine Effectiveness and Efficiency of Existing Treatment Process for Future Use

- A. Evaluate the headworks, aeration basin, flocculation basins, secondary clarifiers, aeration equipment, return activated sludge equipment, waste activated sludge equipment, chlorine contact, sludge thickening, sludge dewatering, septage station, Interim Plant, odor control facilities and all associated appurtenances for remaining treatment capacity and improvement requirements.
- B. Evaluate and rate the current use of the equipment for treatment capacity and analyze for additional treatment capacity.

4. Identify, Select and Recommend Various Wastewater Treatment Plant Modification Alternatives

- A. The consultant shall research and present various treatment option alternatives including modification, expansion, side stream, or off-site treatments for meeting future flows, future loadings and future plausible TPDES permit requirements including nutrients.
- B. The consultant shall recommend which existing treatment process structures and appurtenances could continue to be used in the future or be modified to meet treatment requirements.
- C. The consultant shall indicate implementation strategy and construction cost for WWTP modification alternatives and optimal sequential expansion for optimal build out within the existing site boundaries.
- D. The consultant shall assess the related environmental, social and economic impacts of the alternatives proposed.

5. Provide Conceptual Facilities Modifications

- A. The consultant shall define sizing, configuration, and construction and engineering cost estimates for the alternative facility modifications. The cost estimate shall utilize a life cycle cost estimate for any facility modifications.
- B. The consultant shall suggest implementation strategy for future modifications consistent with AW's long-range financial plan.

PROPOSED PROJECT SCHEDULE:

Optimization and Facility Plan 18 Months

PROPOSED PROCUREMENT SCHEDULE

RFQ Issue Date: July 19, 2016
 Pre-Response Meeting: July 26, 2016
 RFQ Due Date: Wednesday, August 24, 2016
 Interviews (if necessary): week of October 18, 2016
 Tentative Council Date: December 1, 2016

COST ESTIMATE:

Estimated Consultant Project Cost \$ 2 million

MAJOR AND OTHER SCOPES OF WORK:

Below is a list of the major scopes of work that the City has identified for this project. ****There must be representation for all major scopes of work listed in the prime's statement of qualifications. The experience of the firms listed to perform the Major Scopes of Work,***

whether a subconsultant or prime firm, will be evaluated under Consideration Item 6 – Major Scopes of Work – Comparable Project Experience.

In addition, the City has identified Other Scopes of work that MAY materialize during the course of the project. The City does not guarantee that the scopes listed under Other Scopes of work will materialize on this contract. If the prime consultant intends to enter into a subconsulting agreement on a scope of work not listed below, the prime consultant is required to contact SMBR and request an updated availability list of certified firms in each of the scopes of work for which the prime consultant intends to utilize a subconsultant.

*** Major Scopes of Work**

Desalinization (Process & Facilities) Engineering
Electrical Engineering
Environmental Engineering

Other Scopes of Work

Civil Engineering
Structural Engineering

Notes:

- Construction Inspection and Public Information and Communications are **NOT** subconsultant opportunities. These services will be performed in-house or under a separate contract, if needed, and will be determined when project assignment is made.
- If the City determines that a conflict of interest exists at the prime or subconsultant level, the City reserves the right to replace/remove the prime or instruct the prime consultant to remove the subconsultant with the conflict of interest and to instruct the prime consultant to seek a post-award change to the prime consultant's compliance plan as described in City Code § 2-9B-23. Such substitutions will be dealt with on a case-by-case basis and will be considered for approval by Small and Minority Business Resources (SMBR) in the usual course of business. The City's decision to remove a prime or subconsultant because of a conflict of interest shall be final.
- A consultant performance evaluation will be performed on all professional services contracts. This evaluation will be conducted at the end of each Preliminary, Design and Construction phase.



EVALUATION CRITERIA STAND ALONE SOLICITATIONS

Solicitation Number: CLMP203

Project Name: Walnut Creek WWTP Optimization and Facility Plan

The following is a description of items to receive consideration in the evaluation of responses for providing professional engineering/architectural/planning services to the City of Austin. Following each description are the evaluation points associated with the item. TOTAL POSSIBLE POINTS EQUALS 100 (plus 15 points for interviews, if conducted). Wherever used, "prime firm" denotes a single firm or a joint venture responding as the prime consultant. Wherever used, "page" refers to single-sided, single spaced, 10-point minimum font printed 8-1/2 x 11-inch pages. The prime firm shall perform the largest share of the assignment (on an estimated percentage of total agreement basis). Responses failing to show the prime firm performing the plurality of the services shall be rejected as non-responsive.

Limitations on volume of requested information apply equally to single firms and joint ventures regardless of the number of firms partnering in the joint venture. Responses with excess volume or which do not include information for the evaluation of all consideration items may not be thoroughly reviewed or may be rejected as non-responsive.

All prime firms and subconsultants must be registered to do business with the Owner prior to contract award. Prime firms are responsible for ensuring that their subconsultants are registered as vendors with the City of Austin. You may register through the Owner's on-line Vendor Registration system. Log on to the link below and follow the directions: https://www.ci.austin.tx.us/financeonline/vendor_connection/index.cfm

NOTES:

- ❖ Firms and individuals, who are proposed as staff on this RFQ, must adhere to the requirements of Subchapter A of the Texas Professional Engineering Practice Act regarding the use of the term "engineer". The full text of the Texas Professional Engineering Act may be found at: <http://www.engineers.texas.gov>.
- ❖ Firms and individuals who are proposed as staff on this RFQ, must adhere to the requirements of Subchapter A of the Texas Architecture Practice Act regarding the use of the term "Architect". The full text of the Texas Architecture Practice Act may be found at: <http://www.statutes.legis.state.tx.us/Docs/OC/word/OC.1051.doc>

DEFINITIONS:

The following definitions are meant to assist the prime firm in determining the appropriate key team members for this project. These definitions are not exhaustive and are meant only as a guide.

1. “Completed Project” - The City will consider a project complete when:
 - a) The specified discipline for which you are working has been completed; or,
 - b) All phases or scopes of work have been completed.

2. “Project Manager”: The COA defines a project manager as an individual in the prime firm who:
 - ◆ Sets deadlines, assigns responsibilities and monitors and summarizes progress of project.
 - ◆ Has the responsibility of the planning, execution and closing of a project.
 - ◆ Responsible for accomplishing the stated project objectives and deliverables.
 - ◆ Leads project meetings to collect and disseminate information pertaining to the project.
 - ◆ Coordinates the collection and dissemination of information between/within the company and COA.
 - ◆ Manages all aspects of the project, including subconsultants.

3. “Project Principal”: The COA defines a project principal as an individual in the prime firm who:
 - ◆ Has executive oversight of projects.
 - ◆ Has the authority to remove the PM and/or Project Professional (PE or PA) assigned to this project.
 - ◆ Has the authority to secure additional resources to the project.

4. “Project Professional”: The COA defines a project professional as an individual in the prime firm who:
 - ◆ Serves as lead Engineer, Architect, Landscape Architect, Planner or other professional on the proposed team who designs and develops project specifications.
 - ◆ Creates, reviews and provides resolution of technical specifications.
 - ◆ Directs other professional activities.
 - ◆ Is responsible for the preparation of probable construction cost estimates.
 - ◆ Has all required licenses, certifications or registrations from the State of Texas at the time of submittal.

CONSIDERATION ITEM 1
MBE/WBE PROCUREMENT PROGRAM

Were Goals achieved or did response indicate that a Good Faith Effort was made to achieve the Goals?

- No** - Response **will not** be evaluated.
Yes - Evaluation of the response will continue.

Attach the following:

- **MBE/WBE Compliance Plan**
- **Letters from subconsultants confirming contact/commitment to the project.**

CONSIDERATION ITEM 2
TURNED IN ALL REQUIRED DOCUMENTS

Did respondent turn in the requested documents as required by this Consideration Item and the forms and submittal requirements for all other consideration items?

- No** - Response **will not** be evaluated.
- Yes** - Evaluation of the response will continue.

Respondent must attach the following to Consideration Item 2:

- **Form 1 – Prime Firm General Information**
- **Form 2 – Affidavit of Authentication**
- **Form 3A - Prime Firm’s EEO Program**
- **Form 3B - Title VI Assurances**
- **Form 4 - Affidavit of Non-Collusion, Non-Conflict of Interest, and Anti-Lobbying**
- **Form 5 - Affidavit of Availability**
- **Form 6 - Affidavit of Contract Execution**

NOTE: Other forms and submittal documents required in the remaining consideration items should be attached to that respective consideration item.

CONSIDERATION ITEM 3a
TEAM’S STRUCTURE
10 Points Maximum

City is interested in team's organizational structure. Identify project leadership, reporting responsibilities, how prime firm will interface with City's project manager, and how subconsultants will work within the team structure. Describe the roles of the key individuals proposed to work on this project.

The proposed staff must include individual(s) with experience in sustainable design and capable of designing and managing the project during construction to provide a facility that meets the requirements of the Council Resolutions 20071129-045 & 20071129-046. The City has established a process for implementation of sustainable principles in design and construction of

buildings and site development projects. The resolutions can be downloaded from the City's website by accessing the following:

[20071129-045, Resolution http://www.cityofaustin.org/edims/document.cfm?id=110795](http://www.cityofaustin.org/edims/document.cfm?id=110795)

[20071129-046, Resolution http://www.cityofaustin.org/edims/document.cfm?id=110796](http://www.cityofaustin.org/edims/document.cfm?id=110796)

- **Provide an organizational chart and brief narrative. The total number of pages should not exceed three (3) pages. Indicate activities, responsibilities and key personnel on the organizational chart. Organizational chart may be submitted on 11 x 17 paper. Response should align with team's proposed MBE/WBE Compliance Plan provided in Consideration Item 1 above.**
-

CONSIDERATION ITEM 3b

TEAM'S PROJECT APPROACH

20 Points Maximum

City is interested in team's overall understanding of the project scope and issues. Describe any significant project issues and the team's approach in addressing those issues. Reference issues seen on similar scoped projects, and the overall approach to mitigate those and other issues. Describe your team's methods to successfully complete the work; your team's understanding of the techniques and sequencing required; and how the prime firm will interface with the City's appointed representative. Please describe the major subconsultants' placement in the overall approach to the project.

- **Provide a narrative not to exceed five (5) pages.**
-

CONSIDERATION ITEM 4

EXPERIENCE OF PROJECT MANAGER, PROJECT PROFESSIONAL, AND PROJECT PRINCIPAL (past 10 Years)

20 Points Maximum

(Project Manager – 10 points; Project Professional – 6 points; Project Principal – 4 points)

City is interested in the experience of the Project Manager, Project Professional, and Project Principal that demonstrates history and success with projects of similar programs, budgets, and/or clients as the project described in this solicitation. Points will be awarded as indicated above. Only one individual per job responsibility should be designated. The prime consultant must employ the Project Manager, Project Professional, and Project Principal. The Project Manager, Project Professional, and Project Principal may be the same individual. The Project Manager, Professional and Principal must be licensed as professional engineers in the State of Texas at the time of submittal.

EVALUATION CRITERIA – STAND ALONE

List three (3) projects meeting these criteria which have been completed in the past ten (10) years for each individual.

- **Complete Form 7 – Experience of Project Manager. Please provide no more than one (1) page per project.**
 - **Complete Form 8 – Experience of Project Professional. Please provide no more than one (1) page per project.**
 - **Complete Form 9 – Experience of Project Principal. Please provide no more than one (1) page per project.**
 - **Attach a resume of no more than two (2) pages for each individual.**
-

CONSIDERATION ITEM 5

PRIME FIRM'S COMPARABLE PROJECT EXPERIENCE (past 5 years)

15 points maximum

City is interested in the prime firm's history and success with projects of similar programs, budgets, and/or clients as the project described in this solicitation. List three (3) projects meeting these criteria which have been completed in the past five years. In addition, City may consider history of firm in complying with project programs, schedules, and budgets on previous City projects.

- **Provide a narrative not to exceed one (1) page. Complete Form 10 and provide no more than one (1) page per project.**
-

CONSIDERATION ITEM 6

MAJOR SCOPES OF WORK - COMPARABLE PROJECT EXPERIENCE (past 5 years)

15 points maximum

The City has identified Major Scopes of Work to be provided for this project, which are included in the Scope of Services. Each scope of work can be accomplished through subcontracting other firms or utilizing the prime firm. The City is interested in the history and success of the firm proposed to perform the scope of work (subconsultant or prime), with projects of similar programs, budgets, and/or clients as the areas identified. List three (3) projects per Major Scope of Work meeting these criteria which have been completed in the past five years. In addition, City may consider history of firms in complying with project programs, schedules, and budgets based on previous City projects. If more than one firm is listed for a particular Major Scope of Work, the City expects the work will be divided evenly among them. If more than one firm is

listed for a particular Major Scope of Work, list three (3) projects per firm per scope of work. Provide no more than one page per firm per scope.

- **Complete Form 11 for each Major Scope of Work listed in the Scope of Services. Provide no more than one page per Major Scope of Work, per firm. All major subconsultants listed in this item must also be included in your MBE/WBE compliance plan.**
-

CONSIDERATION ITEM 7

TEAM’S EXPERIENCE WITH AUSTIN ISSUES

10 Points Maximum

City is interested in team’s (including subconsultants) experience with Austin issues, as may be evidenced by work in the Austin area during the past five (5) years. Briefly describe experience in the following areas and reference projects relating to that experience:

- ◆ City of Austin site development and/or building permit requirements.
 - ◆ Austin area construction in the public right-of-way.
 - ◆ Austin area construction costs and practices.
 - ◆ Austin environmental community, conditions and constraints.
 - ◆ Responsiveness due to proximity of projects to local office. (if applicable)
- **Provide a brief narrative of no more than four (4) pages.**
-

CONSIDERATION ITEM 8

CITY OF AUSTIN’S EXPERIENCE WITH PRIME FIRM (past 5 years)

10 Points Maximum

The City will consider the history of the firm in complying with project programs, schedules, and budgets on previous City of Austin projects within the last five (5) years. Firms with previous projects with the City of Austin and have had no issues will receive 10 points. Points will be deducted if the City has had negative experience with the prime firm’s performance on City projects. Deductions are based on Consultant Evaluations completed by Project Managers at the end of each phase of the project.

Specific consideration items by phase may include:

- ◆ Timely completion of projects and timeliness of performance per PSA and authorized amendments.
- ◆ Timely, accurate, and complete payment applications and payments to subconsultants.
- ◆ Deliverables met criteria established in contract / resolution of significant issues in

- writing.
- ◆ Compliance with City ordinances on substitution/addition/deletion of subconsultants.
 - ◆ Compliance with Minority and Women-Owned Business Procurement Program.
 - ◆ Compliance with City standards, including regulatory compliance and permitting requirements.
 - ◆ Conformance to City budget/cost requirements.
 - Preliminary, Design, and Bid/Award - estimates were within Fixed Construction Budget.
 - Construction - dollar value of change orders were $\leq 5\%$ of construction contract amount.
 - ◆ Quality of work performed.

Firms who have had no previous projects with the City of Austin will receive a score equal to the average of all Engineering firms in the data base with previous City projects.

CONSIDERATION ITEM 9
INTERVIEWS (OPTIONAL)
15 Points Maximum

The City may determine that it is necessary to interview short-listed firms prior to making a recommendation to the City Council. Staff intends to use the following guidelines for the optional interview process:

- ◆ The point difference between the first and second ranked firm is less than three points.
- ◆ The number of firms interviewed will depend on the closeness of the scores following evaluation of the written proposals.
- ◆ Staff will consider significant gaps in point separation between the top ranked firms in determining the number of firms to be interviewed.
- ◆ Only firms that are considered qualified to perform the work, on the basis of their written proposal, will be invited for interviews.
- ◆ No more than five firms will be interviewed.
- ◆ Staff may conduct interviews in other cases where staff believes it is in the best interest of the City.
- ◆ The City reserves the right to determine whether an interview will be conducted for every solicitation/project.

CITY OF AUSTIN



CITY CODE CHAPTER 2-9B MBE/WBE PROCUREMENT PROGRAM PROFESSIONAL SERVICES

Project Name:

Project/Solicitation Number:

Date:

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MBE/WBE GOALS

Annual/Project Participation Goals:		Annual/Project Participation Subgoals:	
MBE	%	African American	%

WBE	%	OR	Hispanic
_____			%
		Asian/Native American	%

		WBE	%

OVERVIEW

This document should be read in conjunction with the City of Austin’s Minority-owned and Women-owned Business Enterprise Procurement Program Ordinance for Professional Services (Chapter 2-9B of the Austin City Code) and the Small and Minority Business Resources Department (SMBR) Rules. The definitions contained in Chapter 2-9B apply to this document. The City Code and Rules are amended from time to time and the Proposer is responsible for ensuring they have the most up to date version. The City Code and Rules are incorporated into this document by reference. Copies of Chapter 2-9B and SMBR Rules may be obtained online at <http://www.austintexas.gov/department/small-and-minority-business/about> or from SMBR, 4201 Ed Bluestein, Austin, Texas 78721 (512) 974-7600.

Firms or individuals submitting responses to this Request for Bid agree to abide by the City’s Minority-owned and Women-owned Business Enterprise (MBE/WBE) Procurement Program and Rules. The City’s MBE/WBE Program is intended (1) to promote and encourage MBEs and WBEs to participate in business opportunities with the City of Austin; (2) to afford MBEs and WBEs an equal opportunity to compete for work on City contracts; and (3) to encourage contractors to provide subcontracting opportunities to certified MBEs and WBEs by soliciting such Firm for subcontracting opportunities. The City of Austin and its contractors shall not discriminate on the basis of race, color, national origin, disability, or gender in the award and performance of contracts.

The City encourages Proposers to achieve the MBE/WBE participation goals and subgoals for this contract. However, Proposers may comply with the City Code and Rules without achieving the participation goals so long as they make and document Good Faith Efforts that would allow MBE and WBE participation per Section 2-9B-21 of the City Code and Section 9.1 of the Rules. Proposers that do not meet the project’s goals and subgoals are subject to Good Faith Efforts review.

Prior to the due date and time specified in the City’s solicitation documents, all Proposers (including those Firms certified as MBE/WBEs) shall submit: (1) an *MBE/WBE Compliance Plan* (Appendix A); and (2) if it is anticipated the project goals will not be met, all appropriate documentation to demonstrate Good Faith Efforts to meet the project goals. Any questions regarding preparation of the *Compliance Plan* should be directed to SMBR at SMBRComplianceDocuments@austintexas.gov. Such contact will not be a violation of the Anti-Lobbying Ordinance.

The City has implemented Anti-Lobbying Ordinance (Chapter 2-7 of the Austin City Code). Under Chapter 2-7, there is a “no-contact” period from the date the City issues a solicitation until the contract is executed. During the

“no-contact” period, a person responding to a City solicitation can speak only to the contract’s authorized contact person regarding their solicitation response. Chapter 2-7 allows certain exceptions; for instance, a person responding to a City solicitation may speak to SMBR regarding this *Compliance Plan*. See the full language of the City Code or solicitation documents for further details.

If the *Compliance Plan* and Good Faith Efforts documentation are not submitted prior to the due date specified in the solicitation documents, the bid will be deemed non-responsive and not be accepted for consideration.

COMPLIANCE PLAN INSTRUCTIONS

(See Appendix A)

SMBR may request written clarification of items listed on the *Compliance Plan*. However, there will be no further opportunity for the Proposer to augment the MBE/WBE participation originally listed in the *Compliance Plan* or to demonstrate Good Faith Efforts that were not made prior to the submission of the *Compliance Plan*. Changes to the *Compliance Plan* are permitted only after contract execution and only with prior written approval of SMBR.

Please type or clearly print all information, use “none” or “N/A” where appropriate, and sign and date the *Compliance Plan* as indicated. ***Compliance Plans not complying with the Compliance Plan Instructions shall be rejected as non-responsive. Submissions not utilizing the forms provided with the solicitation may render the submission nonresponsive or noncompliant.***

Section I Project Identification and Goals

This section includes the pre-printed Project Name, Project/Solicitation Number, and goals and/or subgoals. The Proposer does not need to fill in any information under Section I.

Section II Proposer Information

The Proposer should complete this section with its information and sign in the space provided. The portion of Section II marked as “Reserved for City of Austin SMBR Only” should be left blank.

Section III *Compliance Plan Summary*

This section is a summary of subconsultant participation in this solicitation. Proposers should complete Sections IV-VII, described below, before attempting to complete Section III. After completing Sections IV-VII, calculate the percentage of MBE/WBE participation for each goal and enter the information in the blanks provided. Because Section III is a summary, if there are any inconsistencies between Sections IV-VII and Section III, the calculations contained in Sections IV-VII will prevail. If the Proposer indicates that they do not anticipate meeting the goals with certified MBE/WBE firms, then the Proposer shall submit documentation detailing their Good Faith Efforts to meet the established MBE/WBE goals. The Compliance Plan will be reviewed and approved by the Small and Minority Business Resources Department.

Section IV Disclosure of MBE and WBE Participation

Please list all certified MBE/WBEs subconsultants, using the legal name under which they are registered to do business with the City of Austin, to be used in the performance of this contract. Please list the percentage of the overall contract that corresponds with the value of the work the subconsultants will be performing themselves. Do not include the value of work that the MBE/WBEs subconsultants will be subcontracting to second-level subconsultants.

By listing certified MBE and WBE Firms on the Compliance Plan, the Proposer indicates that both parties acknowledge the price and scope of work and that they are prepared to contract for that price and scope if the City awards the project to the Proposer. A Letter of Intent (LOI) does not replace a binding contract between a prime consultant and a subconsultant.

Before completing Section IV of the Compliance Plan, please read the following instructions regarding how to count MBE/WBE participation:

(A) Only the value of the work actually performed by the MBE/WBE shall be counted toward the goals. This includes:

- (1) work performed by the MBE/WBE's own forces;
- (2) the cost of supplies, materials, or equipment purchased, leased, or otherwise obtained by the MBE/WBE for the work of the contract (except that supplies, materials, and equipment purchased or leased from the prime consultant or its affiliate may not be counted toward the goal); and
- (3) fees or commissions charged by an MBE/WBE for providing a bona fide service, such as professional, technical, consultant, or managerial services, or for providing bonds or insurance specifically required for the performance of a contract, provided the fee is reasonable and not excessive as compared with fees customarily allowed for similar services.

(B) When a Proposer purchases supplies, materials, or equipment from an MBE/WBE, the cost of those supplies, materials, or equipment shall be counted toward the goals as follows:

- (1) If the supplies, materials, or equipment are obtained from an MBE/WBE that is a Manufacturer or Regular Dealer, 100 percent of the payment for the supplies, materials, or equipment shall be counted toward the goals.
- (2) If the supplies, materials, or equipment are obtained from an MBE/WBE that is neither a Manufacturer nor a Regular Dealer, the cost of the materials and supplies themselves shall not be counted toward the goals. However, fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on a job site, may be counted toward the goals if the payment of such fees is a customary industry practice and such fees are reasonable and not excessive as compared with fees customarily allowed for similar services.

(C) When an MBE/WBE subconsultant listed on the Compliance Plan subcontracts part of the work of its contract to another Firm, the value of that second-level subcontracted work may not be counted toward the goals based on the initial subconsultant's MBE/WBE certification. Please see Section VI for an explanation of how to count the value of second-level subconsultants' work.

(D) A Firm owned by a minority woman may be certified as both an MBE and a WBE (dual certified). On a single contract, the value of the work performed by a dual certified subconsultant may not be counted toward both the MBE and the WBE goals. The Proposer must decide whether to designate the dual certified subconsultant as an MBE or a WBE in the Compliance Plan for the purpose of meeting the goals set for that contract. That designation may not be changed for the duration of the contract.

(E) When an MBE/WBE performs as a participant in a certified Joint Venture, only the portion of the contract value that is the result of the distinct, clearly defined portion of the work that the MBE/WBE performs with its own forces and for which it is at risk shall be counted towards the project goals. For more specific information regarding requirements and evaluations of certified MBE/WBE Joint Ventures, please see the City's MBE/WBE Procurement Program Rules or contact SMBR's Certification Division.

(F) Only expenditures to an MBE/WBE contractor that is performing a Commercially Useful Function shall be counted toward the project goals. If SMBR makes an initial determination that an MBE/WBE is not performing a Commercially Useful Function given the type of work involved and normal industry practices, the MBE/WBE may present evidence to rebut this presumption.

(G) To be counted toward project goals, MBE/WBEs must be certified by SMBR prior to the due date to submit the Compliance Plan as specified in the City's solicitation documents. A Firm that is certified as an MBE/WBE at the time that the Compliance Plan is filed may cease to be a certified Firm before the contract is completed. Only the value of the work performed by such a Firm while it is certified may be counted toward the project goals.

Section V Disclosure of Non-Certified Subconsultants

Please list all known non-certified subconsultants, using the legal name under which they are registered to do business with the City of Austin, to be used in the performance of this contract. If Proposer will not use any non-certified Firms, please write "N/A" in the first box on this page. If Proposer is not completing this *Compliance Plan* in response to a Rotation List solicitation, please list the percentage of the overall contract that corresponds with the value of the work the subconsultants will be performing themselves. Do not include the value of work that the MBE/WBE subconsultants will be subcontracting to second-level subconsultants. **If Proposer is completing this *Compliance Plan* in response to a Rotation List solicitation, do not list the percentages.**

If additional scopes of work are identified in this section as available for subcontracting beyond those identified in the availability lists provided, Proposer must contact SMBR to request an availability list of certified Firms for those additional scopes of work.

The scopes of work indicated in Section V will be considered subcontracting opportunities for MBEs and WBEs, unless it is demonstrated that certified MBEs or WBEs are unavailable or do not possess the requirements in the technical portion of the solicitation to perform the work involved. If Proposer did not meet the project goals, Proposer must explain in the space provided why MBEs/WBEs were not used as subconsultants. If Proposer did meet the project goals, please write "Goals Met" in the space provided.

Section VI Disclosure of Second-Level Subconsultants

Please complete this section if Proposer knows that one or more of Proposer's subconsultants will subcontract part of the work of their contracts to second-level subconsultants. In the last line of each entry box, please write the name of the first-level subconsultant that will be subcontracting work to the second-level subconsultant. Identify second-level contractors by the legal name under which they will be registered to do business with the City. The first-level subconsultant should be listed in Section IV or Section V. If Proposer is not aware of any second-level subconsultants, please write "N/A" in the first box on this page.

If Proposer is not completing this *Compliance Plan* in response to a Rotation List solicitation, please list the percentage of the overall contract that corresponds with the value of the work the second-level subconsultants will be performing themselves. **If Proposer is completing this *Compliance Plan* in response to a Rotation List solicitation, do not list the percentages.**

As discussed in Section IV above, when an MBE/WBE subconsultant subcontracts part of the work of its contract to another Firm, the value of that second-level subcontracted work may not be counted toward the goals based on the initial subconsultant's MBE/WBE certification. The value of the second-level subcontracted work may be counted toward the project goals only based on the second-level subconsultant's own MBE/WBE certification, if any. Work that an MBE/WBE subcontracts to a non-certified Firm does not count toward the goals. Work that an MBE/WBE subconsultant contracts to another certified Firm shall not be counted twice towards the goal.

Section VII MBE/WBE *Compliance Plan* Check Sheet

Please complete the MBE/WBE *Compliance Plan* Check Sheet with the information requested.

GOOD FAITH EFFORTS INSTRUCTIONS

(See Appendices B and D)

The Proposer has a responsibility to make a portion of the work available to MBE/WBE subconsultants so as to facilitate meeting the goals or subgoals. If the Proposer cannot achieve the goals or subgoals, documentation of the Proposer's Good Faith Efforts to achieve the goals or subgoals must be submitted at the same time as the *Compliance Plan*. The SMBR Director will review the documentation provided and determine if the Proposer made sufficient Good Faith Efforts. That there may be some additional costs involved in soliciting and using MBEs and WBEs is not a sufficient reason for a Proposer's failure to meet the goals and subgoals, as long as such costs are reasonable. However, a Proposer is not required to accept a higher quote from a subconsultant order to meet a goal or subgoal.

Contacting Potential MBE/WBE Subconsultants

The City has determined the scopes of work for this project and provided an Availability List of all the MBE and WBE firms certified to perform those scopes. The Availability List is found at Appendix D and has two sections: *Vendors Within the Significant Local Business Presence (SLBP) Area* and *Vendors Outside the Significant Local Business Presence (SLBP) Area*. As part of Good Faith Efforts, Proposers **must** contact **all** firms listed in the *Vendors Within the SLBP Area* section. Please note that every firm on the Availability List – outside the SLBP – is City-certified as an MBE or WBE for purposes of meeting the project goals, and Proposers are encouraged to contact all the firms. If a Proposer identifies an additional scope of work for this project not identified in the solicitation, the Proposer must request from SMBR an Availability List for that scope of work and contact all firms, if any, on such list. The SMBR Director determines whether the Proposer has made sufficient Good Faith Efforts if goals or subgoals are not met.

The City neither warrants the capacity or availability of any Firm, nor does the City guarantee the performance of any Firm indicated on the availability list.

The availability list is sorted in numerical sequence by National Institute of Governmental Purchasing (NIGP) Commodity Code. It includes all certified MBE/WBE vendors for the scopes of work identified by the City as being potentially applicable to this project. However, the availability list is not a comprehensive identification of all areas of potential subconsulting opportunities. If a Proposer identifies one or more work areas that are appropriate subconsulting opportunities that not included on the availability list, the Proposer shall contact SMBR to request the availability list for MBE and WBE Firms in those areas. Requests for supplemental availability lists will be evaluated as a part of the Proposer's Good Faith Efforts to meet the goals.

If the Proposer believes any of the work areas on the availability list are not applicable to the project's scope of work or if the Proposer believes that the lists are inaccurate, the Proposer shall notify the authorized contact person of the concern immediately and prior to submission of the response to the solicitation. All Proposers will be notified in writing of any inaccuracy by addendum to the solicitation. Concerns about a particular MBEs/WBE's certification status may be addressed to SMBR at SMBRComplianceDocuments@austintexas.gov. If the Proposer wants to use a certified subconsultant that does not appear on this list, Proposer may either request the certified subconsultant to furnish proof of certification and the specific work areas for which it has been certified or request such information from SMBR.

Appendix B shows the format for collecting required information from the subconsultants on the *Vendors Within SLBP Area* availability list. The information must be obtained at least seven (7) business days prior to the submission of the *Compliance Plan*; alternate formats may be acceptable as long as they gather the same required information. Attached to the Subconsultant Vendor List at Appendix D is a list containing the names and addresses of all these MBE/WBE Firms in alphabetical order. This list is in label format and is designed to facilitate the printing of mailing labels.

The following codes are used on the availability lists:

G	Gender code	LOC	A firm's two-digit location code (e.g., SL or TX)
F	Female	AU	Austin
M	Male	SL	Significant Local Business Presence (SLBP)
		TX	Outside SLBP
MBE	A firm certified as a Minority-owned Business Enterprise	WBE	A firm certified as a Woman-owned Business Enterprise
MWB	A firm certified as both a Minority-owned & Woman-owned Business Enterprise	WMB	A firm certified as both a Woman-owned & Minority-owned Business Enterprise
MWDB	A firm certified as a Minority-owned, Woman-owned, and Disadvantaged Business Enterprise	WMDB	A firm certified as a Woman-owned, Minority-owned, and Disadvantaged Business Enterprise

Good Faith Efforts Review

If goals are not met, SMBR will examine the *Compliance Plan* and the Good Faith Efforts documentation submitted with the *Compliance Plan* to ensure that the Proposer made Good Faith Efforts to meet the project goals or subgoals. In determining whether the Proposer has made Good Faith Efforts, SMBR will consider, at a minimum, the Proposer's efforts to do the following:

- (A) Solicit certified MBE/WBE subconsultants with a Significant Local Business Presence (SLBP) and request a response from those interested subconsultants who believe they have the capability to perform the work of the contract through at least two reasonable, available, and verifiable means. The Proposer must solicit this interest more than seven (7) business days prior to submission of the Compliance Plan to allow sufficient time for the MBEs or WBEs to respond. (The date bids/proposals are due to the City should not be included in the seven day solicitation criteria.) The Proposer must state a specific and verifiable reason for not contacting each certified Firm with a significant local business presence.
- (B) Provide interested MBEs/WBEs with adequate information about the plans, specifications, and requirements of the contract, including addenda, in a timely manner, to assist them in responding and submitting a proposal.
- (C) Negotiate in good faith with interested MBEs/WBEs that have submitted bids/proposals to the Proposer. An MBE/WBE that has submitted a bid to a Proposer but has not been contacted within five (5) business days of submission of the bid may contact SMBR to request a meeting with the Proposer. Evidence of good faith negotiation includes the names, addresses, and telephone numbers of MBEs/WBEs that were considered; a description of the information provided regarding the plans and specifications for the work selected for subconsulting; and evidence as to why additional agreements could not be reached for MBEs/WBEs to perform the work. Bid shopping is prohibited.
- (D) Select portions of the work to be performed by MBEs/WBEs in order to increase the likelihood that the MBE/WBE goals or subgoals will be met. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate MBE/WBE participation, even when the Proposer might otherwise prefer to perform these work items with its own forces.

- (E) Publish solicitation notice in a local publication (i.e. newspaper, trade association publication, or via electronic/social media).
- (F) Use the services of available community organizations; minority persons/women consultants' or groups in the applicable field for the type of work described in this solicitation; local, state, and federal minority persons/women business assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of MBEs/WBEs.
- (G) Seek guidance from SMBR on any questions regarding compliance with this section.

The following factors may also be considered by SMBR in determining compliance through good faith efforts; however, they are not intended to be a mandatory checklist, nor are they intended to be exclusive or exhaustive:

- (A) Whether the Proposer made efforts to assist interested MBEs/WBEs in obtaining bonding, lines of credit, or insurance as required by the City or consultant.
- (B) Whether the Proposer made efforts to assist interested MBEs/WBEs in obtaining necessary equipment, supplies, materials, or related assistance or services.

In assessing minimum good faith efforts, SMBR may consider whether the Proposer sought assistance from SMBR on any questions related to compliance with this section. In addition, SMBR may also consider the performance of other Proposers successfully meeting the goals.

The ability or desire of a Proposer to perform the work of a contract with its own organization does not relieve the Proposer of the responsibility to make Good Faith Efforts.

Proposers may reject MBE/WBEs as unqualified only following thorough investigation of their capabilities. The MBE/WBE's membership or lack of membership in specific groups, organizations, or associations, and political or social affiliations (for example union or non-union employee status), are not legitimate causes for the rejection or non-solicitation of bids/proposals in the Proposer's efforts to meet the project goals or subgoals.

At a minimum, the following should be submitted to support Good Faith Effort documentation (documentation is not limited to this list):

- Fax logs, emails, and/or copies of documents sent to firms within the SLBP area.
- Copies of written correspondence to certified firms (include names, addresses, and other identifying information).
- Phone logs with responses (*Phone contacts, alone, will not be sufficient.*).
- Lists and copies of letters sent by mail, hand delivered, or e-mailed.
- Breakdown of negotiations made with certified firms.
- Copies of advertisements with local newspapers, trade associations, Chambers of Commerce and/or any other public media.
- Other communications regarding contacts with trade associations and Chambers of Commerce.

The following additional Good Faith Efforts factors may also be considered

- Copies of emails or phone logs regarding assistance in bonding, lines of credit, or insurance (as required by City or Consultant).
- Copies of emails or phone logs regarding assistance in obtaining equipment, supplies, materials, or services.
- Copies of all proposals received in response to Proposer contacting other Firms.

POST-AWARD INSTRUCTIONS

(See Appendix C)

Confirmation Letters

All Proposers are required to include copies of the confirmation letters received from subconsultants, confirming the Subconsultants' willingness to provide services should the contract be awarded.

Changes to the *Compliance Plan* including additions, deletions, contract changes, or substitutions of subconsultants are permitted only after contract execution and only with prior written approval of SMBR. Request for changes to the *Compliance Plan* must be submitted on the *Request for Change of Compliance Plan Form* for all levels of subconsulting and must be approved by the SMBR Director prior to adding, deleting, changing or substituting any subconsultant.

Post-Award Monitoring

The City will monitor post-award compliance information regarding the use of certified MBE/WBE Firm(s) listed on the *Compliance Plan*. The Consultant will be required to submit post award reports detailing the utilization of all subconsultants. The reports and other information regarding post-award compliance will be discussed with the successful Proposer. The following information on Payment Verification, Change Order/Contract Amendments, and Progressive Sanctions provides an overview of some of the post-award monitoring process.

▪ Payment Verification

Proposers are advised that the contract resulting from this solicitation includes a subconsultant payments clause. This clause requires all subconsultants to be paid within ten (10) calendar days from the date that the Proposer has been paid by the City for invoices submitted by subconsultants.

The Consultant shall submit a *Subconsultant/Supplier Awards and Expenditures Report* to the project manager and/or contract administrator at the time specified by the managing department. The report shall be in the format required by the City and shall include all awards and payments to subconsultants for goods and services provided under the contract during the previous month. This report may be used by the City to verify utilization of and payment to MBEs and WBEs.

The Consultant and/or any subconsultant whose subcontracts are being counted toward the MBE/WBE requirements shall allow the City access to records relating to the contract, including but not limited to, subcontracts, payroll records, tax information, and accounting records, for the purpose of determining whether the MBEs/WBEs are performing the scheduled subcontract work.

In determining achievement of MBE/WBE goals, the participation of an MBE/WBE subconsultant shall not be counted until the amount being counted toward the goal has been paid.

▪ Change Order/Contract Amendments

The goals on this contract shall also apply to change orders that require work beyond the scope(s) of trades originally required to accomplish the project. The Proposer is required to make Good Faith Efforts to obtain MBE/WBE participation for additional scopes of work.

Change orders that do not alter the type of trades originally required to accomplish the project may be undertaken using the subconsultants already under contract to the Consultant. Project managers will have automatic SMBR

approval to authorize any change order that **increases** the contract amount for an **existing** certified subconsultant and is **within** the existing scope being performed by that subconsultant.

▪ **Progressive Sanctions**

The successful Proposer's *Compliance Plan* will be incorporated into the resulting contract with the City and shall be considered part of the consultant's performance requirements. Progressive sanctions may be imposed for failure to comply with Chapter 2-9B of the City Code, including:

- Providing false or misleading information in Good Faith Efforts documentation, post award compliance, or other Program operations;
- Substituting Subconsultants without first receiving approval for such substitutions, which may include the addition of an unapproved Subconsultant and failure to use a Subconsultant listed in the approved *Compliance Plan*; and
- Failure to comply with the approved *Compliance Plan* without an approved Request for Change, an approved Change Order, or other approved change to the Contract.

Please refer to Section 2-9B-25 of the City Code and SMBR Rule 11.5 for additional information.

MBE/WBE COMPLIANCE PLAN

All sections (I-VII) must be completed and submitted prior to the due date in the solicitation documents

Section I — Project Identification and Goals

Project Name	
Solicitation Number	

Project Goals or Subgoals	
MBE	%
African American	%
Hispanic	%
Asian/Native American	%
WBE	%

Section II — Proposer Company Information

Name of Company	
Vendor Code	
Address	
City, State Zip	
Phone	
Fax & E-Mail	
Name of Contact Person	
Is your company registered on Vendor Connection?	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>If yes, provide Vendor ID #:</i> _____ If No, please note: All vendors and subconsultants/consultants must register with COA's Vendor Connect prior to award. See Link for registration information at https://www.ci.austin.tx.us/financeonline/finance/index.cfm
Is your company COA M/WBE certified?	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>If yes, please indicate:</i> MBE <input type="checkbox"/> WBE <input type="checkbox"/> MBE/WBE Joint Venture <input type="checkbox"/>

I certify that the information included in this *Compliance Plan* is true and complete to the best of my knowledge and belief. I further understand and agree that this *Compliance Plan* shall become a part of my contract with the City of Austin.

Name and Title of Authorized Representative

Signature

Date

For SMBR Use Only:	
<i>I have reviewed this compliance plan and found that the Proposer HAS <input type="checkbox"/> or HAS NOT <input type="checkbox"/> complied as per the City Code Chapter 2-9B.</i>	
Reviewing Counselor _____	Date _____
<i>I have reviewed this compliance plan and Concur <input type="checkbox"/> or Do Not Concur <input type="checkbox"/> with recommendation.</i>	
Director/Assistant Director _____	Date _____

Section III — Compliance Plan Summary

Note:

- Fill in all the blanks.
- For project participation numbers use an EXACT number. DO NOT USE: approximate, plus or minus (+ -), up to, to be determined (TBD), < >, or any other qualifying language.
- Compliance plans not complying with these requirements shall be rejected as non-responsive.

Total Base Bid (if applicable): \$ _____

Goals: Proposed Participation		
MBE	\$	%
WBE	\$	%
Non-Certified	\$	%

SubGoals: Proposed Participation		
African American	\$	%
Hispanic	\$	%
Native/Asian American	\$	%
WBE	\$	%
Non-Certified	\$	%

Proposer's own participation in base bid (less any amount subcontracted):

Amount: \$ _____ **Percentage:** _____%

Are the stated goals or subgoals of the solicitation met? *(If no, attach documentation of Good Faith Efforts)*

Yes No

For SMBR Use Only:

Verified Goals OR Subgoals:

MBE _____ % WBE _____ % Prime _____ % Non-Certified _____ %

African-American _____ % Hispanic _____ % Native/Asian American _____ %; WBE _____ %

**Section IV — Disclosure of MBE and WBE Participation
Duplicate As Needed**

Note:

- Fill in all the blanks.
- Compliance plans not complying with these requirements shall be rejected as non-responsive.
- Fill in names of MBE/WBE Certified Firms as registered with Vendor Connection.
- Select either MBE or WBE for dually certified firms to indicate which certification will count towards the MBE or WBE goal.
- Contact SMBR to request an availability list of certified Firms for additional scopes of work that were not included on the original availability list.

Name of MBE/WBE Certified Firm	
City of Austin Certified	MBE <input type="checkbox"/> WBE <input type="checkbox"/> Gender/ Ethnicity:
Vendor Code	
Address/ City / State / Zip	
Contact Person & Phone #	
Fax & Email Address	
Commodity codes/describe services	
Percent of Subcontract	%

Name of MBE/WBE Certified Firm	
City of Austin Certified	MBE <input type="checkbox"/> WBE <input type="checkbox"/> Gender/ Ethnicity:
Vendor Code	
Address/ City / State / Zip	
Contact Person & Phone #	
Fax & Email Address	
Commodity codes/describe services	
Percent of Subcontract	%

Name of MBE/WBE Certified Firm	
City of Austin Certified	MBE <input type="checkbox"/> WBE <input type="checkbox"/> Gender/ Ethnicity:
Vendor Code	
Address/ City / State / Zip	
Contact Person & Phone #	
Fax & Email Address	
Commodity codes/describe services	
Percent of Subcontract	%

Name of MBE/WBE Certified Firm	
City of Austin Certified	MBE <input type="checkbox"/> WBE <input type="checkbox"/> Gender/ Ethnicity:
Vendor Code	
Address/ City / State / Zip	
Contact Person & Phone #	
Fax & Email Address	
Commodity codes/describe services	
Percent of Subcontract	%

**Section V — Disclosure of Non-Certified Subconsultants
Duplicate As Needed**

Note:

- Fill in all the blanks.
- Compliance plans not complying with these requirements shall be rejected as non-responsive.
- Fill in names of Non-Certified Subconsultants as registered with the City of Austin.

Are Goals Met? Yes No If no, state reason(s) below and attach documentation:

Subconsultant	
Vendor Code	
Address/ City / State / Zip	
Contact Person & Phone #	
Fax & Email Address	
Percent of Subcontract	%
Commodity codes/describe services	
Reason MBE/WBE not used	

Subconsultant	
Vendor Code	
Address/ City / State / Zip	
Contact Person & Phone #	
Fax & Email Address	
Percent of Subcontract	%
Commodity codes/describe services	
Reason MBE/WBE not used	

Subconsultant	
Vendor Code	
Address/ City / State / Zip	
Contact Person & Phone #	
Fax & Email Address	
Percent of Subcontract	%
Commodity codes/describe services	
Reason MBE/WBE not used	

Subconsultant	
Vendor Code	
Address/ City / State / Zip	
Contact Person & Phone #	
Fax & Email Address	
Percent of Subcontract	%
Commodity codes/describe services	
Reason MBE/WBE not used	

**Section VI — Disclosure of Second-Level Non-Certified Subconsultants
Duplicate As Needed**

Note:

- Fill in all the blanks.
- Compliance plans not complying with these requirements shall be rejected as non-responsive.
- Fill in names of Non-Certified Subconsultants as registered with the City of Austin.

Second-Level Subconsultant	
City of Austin Certified?	No <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Gender/Ethnicity:
Vendor Code	
Address/ City / State / Zip	
Contact Person & Phone #	
Fax & Email Address	
Percent of Subcontract	%
Commodity codes/describe services	
First-Level Subconsultant	

Second-Level Subconsultant	
City of Austin Certified?	No <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Gender/Ethnicity:
Vendor Code	
Address/ City / State / Zip	
Contact Person & Phone #	
Fax & Email Address	
Percent of Subcontract	%
Commodity codes/describe services	
First-Level Subconsultant	

Second-Level Subconsultant	
City of Austin Certified?	No <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Gender/Ethnicity:
Vendor Code	
Address/ City / State / Zip	
Contact Person & Phone #	
Fax & Email Address	
Percent of Subcontract	%
Commodity codes/describe services	
First-Level Subconsultant	

Second-Level Subconsultant	
City of Austin Certified?	No <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Gender/Ethnicity:
Vendor Code	
Address/ City / State / Zip	
Contact Person & Phone #	
Fax & Email Address	
Percent of Subcontract	%
Commodity codes/describe services	
First-Level Subconsultant	

Section VII — MBE/WBE Compliance Plan Check List

The MBE/WBE *Compliance Plan* must be completed and submitted by the time specified in the solicitation documents. If the goals or subgoals were not achieved, Good Faith Efforts documentation must be submitted with the MBE/WBE *Compliance Plan*. All questions in Section VII **must** be completed and submitted with the *Compliance Plan* if goals or subgoals are not met.

-
1. Were written notices sent to all MBE/WBEs from the Significant Local Business Presence (SLBP) availability list at least seven (7) business days prior to the submission of this *Compliance Plan*? Yes No
2. Were two separate methods used to contact all MBE/WBEs from the SLBP availability list at least seven (7) business days prior to the submission of this *Compliance Plan*? Please list the two methods used to contact MBE/WBEs. (*i.e. fax, email, mail, and/or phone*)
List Methods: _____ Yes No
3. Were steps taken to follow up with interested MBE/WBEs? Yes No
4. Were advertisements placed with a local publication? (*i.e. newspaper, minority or women organizations, or electronic/social media*)? **If no, please attach.** Yes No
5. Were written notices sent to Minority or Women organizations? **If no, please attach.** Yes No
6. Were additional elements of work identified to achieve the goals or subgoals?
If yes, please explain: _____ Yes No
7. Was SMBR contacted for assistance? Yes No
- If yes, complete following:
Contact Person: _____
Date of Contact: _____
Summary of Request: _____
8. Were Minority or Women organizations contacted for assistance? Yes No
- If yes, complete following:
Organization(s): _____
Date of Contact: _____
Summary of Request: _____
9. Is the following documentation attached to support good faith effort requirements to achieve goals or subgoals? (**Documentation is not limited to this list.**)
- Copy of written solicitation sent to MBE/WBEs in SLBP area Yes No
- Two separate methods of notices sent to MBE/WBEs in SLBP area (fax transmittals, emails, and/or phone log). Yes No
- Copy of advertisements Yes No
- Copy of notices sent to Minority and Women organizations Yes No
- Documentation that demonstrates efforts made to reach agreements with the MBE/WBEs who responded to Proposer's written notice? (*i.e. copy of bids/proposals, spreadsheet breakdown of MBE/WBEs considered follow-up emails/phone logs and/or correspondence between Proposer and interested MBE/WBEs*) Yes No

CONFIRMATION LETTER

(Printed on Subconsultant Letterhead)

Date

Contact Name
Business Name
Street Address
City, State Zip

Re: Solicitation # _____

Dear (Contact Name):

This letter is to confirm that (insert Subcontractor name here) is pleased to provide (insert Prime Contractor name here) (insert service here) for the above-referenced project.

We understand that we will be completing ___% of the work on this project and look forward to working with you and the City of Austin should your team be awarded the project.

Sincerely,

(insert signature)

Contact Name
Title
Business Name

City of Austin Subcontract Vendor List - VCRCVS

Solicitation No.: RFQS 6100 CLMP203 Walnut Creek WWTP Optimization and Facility Plan

Version No.: 1

Phase: 1

C Code & Description	Vend Code/Adr	Phone/Fax/Email	W/MB Code	G/E	LCTN
Vendors Within the SLBP Area					
92517 Civil Engineering					
V00000907236 360 Professional Services, Inc. P.O. Box 3639 Cedar Park Tx 78630		512-354-4682 103 tammy.foster@360psinc.com	WDB	F/Caucasian	SL
AGU8313738 AGUIRRE & FIELDS LP 12708 Riata Vista Circle Ste A-109 Austin Tx 78727		5126091507 5126108903 dave.lubitz@aguirre-fields.com	MDB	M/Hispanic	AU
ALL7111300 ALLIANCE-TEXAS ENGINEERING COMPANY 11500 Metric Blvd Bldg M1, Ste 150 Austin Tx 78758		512-821-2081 512-821-2085 GHEATH@EMAILATG.COM	WDB	F/Caucasian	AU
ROD8321224 ANDREW A RODRIGUEZ 8137 Osborne Dr Austin Tx 78729-8074		512-989-3336 512-989-9192 RODZENG@AOL.COM	MDB	M/Hispanic	AU
AXI8316197 AXIOM ENGINEERS INC 13276 Research Blvd Ste 208 Austin Tx 78750		512-506-9335 512-506-9377 NCF@AXIOMTEXAS.COM	WDB	F/Caucasian	AU
BAE7086810 BAER ENGINEERING & ENVIRONMENTAL CONSULTING INC 7756 Northcross Dr Ste 211 Austin Tx 78757-1725		512-453-3733 512-453-3316 tbaer@BaerEng.com	WDB	F/Caucasian	AU
CAS7170685 CAS CONSULTING & SVCS INC 7908 Cameron Rd Austin Tx 78754		512-836-2388 512-836-4515 channys@casengineers.com	MDB	M/Asian	AU
VC0000102500 CIVIL LAND GROUP LLC 206 W Main St Ste 101 Round Rock Tx 78664		512-992-0118 512-246-1856 BFRYE@CIVLNDGRP.COM	MWB	F/Hispanic	SL
CLO8320728 CLOTTEY ENGINEERING INC 210 N Kings Canyon Dr Cedar Park Tx 78613-3043		512-996-9020 512-996-9520 CCLOTTEY@CLOTTEYENGINEERING.COM	MDB	M/African American	AU
V00000930698 CONVEYANCE/PROVIDENCE (JOINT VENTURE) 112 Las Colinas Drive Georgetown Tx 78628		5126580628 providenceenvironmental@suddenlink.net	WB	F/Caucasian	SL

City of Austin Subcontract Vendor List - VCRCVS

Solicitation No.: RFQS 6100 CLMP203 Walnut Creek WWTP Optimization and Facility Plan

Version No.: 1

Phase: 1

C Code & Description	Vend Code/Adr	Phone/Fax/Email	W/MB Code	G/E	LCTN
CRE7038055 CRESPO CONSULTING SERVICES INC 4131 Spicewood Springs Rd #B2 Austin Tx 78759-8658		512-343-6404 512-343-8120 SSTECHER@CRESPOINC.COM	MDB	M/Hispanic	AU
VS0000011100 Castleberry Engineering & Consulting, P.L.L.C. P.O. Box 40546 Austin Tx 78704		512-751-9272 c.castleberry@castleberryengineering.com	WDB	F/Caucasian	AU
V00000908664 Cook-Joyce, Inc. 812 W. 11th Street Austin Tx 78701		512-474-9097 2494 elizabeth.rabaey@cook-joyce.com	WB	F/Caucasian	AU
V00000905281 Corsair Consulting LLC 9442 Capital Of Texas Hwy N Plaza One, Suite 500 Austin Tx 78759		512-342-8877 clinharris@corsairus.com	MDB	M/Asian	AU
V00000904121 D. F. Noble Consulting, LLC 1185 Taylor Ranch Road Wimberley Tx 78676		512-809-8226 txdotnoble@yahoo.com	MWDB	F/Hispanic	SL
DAT8307094 DATUM GOJER ENGINEERS L L C 5929 Balcones Dr Ste 100 Austin Tx 78731		512-469-9490 erikap@datumengineers.com	MB	M/Hispanic	AU
DAV1449500 DAVCAR INC 1010 Land Creek Cove Ste 200 Austin Tx 78746		512-328-4428 512-306-8330 david@davcar.com	MDB	M/Hispanic	AU
VC0000101365 ELECTRIC POWER ENGINEERS INC 13001 W Highway 71, Suite G100 Austin Tx 78738		512-382-6700 866-265-0827 hballouz@epeconsulting.com	WB	F/Caucasian	SL
ENC1735650 ENCOTECH ENGINEERING CONSULTANTS INC 8500 Bluffstone Cove, #B-103 Austin Tx 78759		512-338-1101 101 512-338-1160 ali.khataw@eec-tx.com	MB	M/Asian	AU
VC0000102911 FAYEZ S KAZI 1210 Rosewood Ave Austin Tx 78702		512-761-6161 5127616167 fayez@civiltitude.com	MDB	M/Asian	AU
FRA8312411 FRANK LAM & ASSOC INC 508 W 16th St Austin Tx 78701-1502		512-476-2717 512-476-2714 FRANK@FRANKLAMINC.COM	MDB	M/Asian	AU

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C Code & Description	Vend Code/Adr	Phone/Fax/Email	W/MB Code	G/E	LCTN
V00000915371 G Sylva, LLC 9712 Indina Hills Dr. Austin Tx 78717		512-934-3860 gilbert.sylva@gsylva.com	MDB	M/Hispanic	AU
GLE7011195 GLENROSE ENGINEERING INC Po Box 1948 Austin Tx 78767-1948		512-326-8880 LAUREN@GLENROSE.COM	WDB	F/Caucasian	AU
VS0000008581 GLOBAL ENGINEERS INC 4219 Pebblestone Trl Round Rock Tx 78665-5027		512-417-3172 512-246-2212 munirmkhan@gmail.com	MDB	M/Asian	AU
V00000907852 Garza EMC L.L.C. 7708 Rialto Blvd Suite 125 Austin Tx 78735		512-298-3284 5122982592 rgarza@garzaemc.com	MB	M/Hispanic	AU
HAR8321937 HARKINS ENGINEERING INC 3300 Lost Oasis Hollow Austin Tx 78739-7603		512-291-8219 512-280-1462 VHARKINS@HARKINSENGINEERING.COM	WDB	F/Caucasian	AU
HUR2455500 HARUTUNIAN ENGINEERING INC 305 E Huntland Dr Ste 500 Austin Tx 78752-3730		512-454-2788 512-454-6434 PROCURE@HEIWORLD.COM	WB	F/Caucasian	AU
HOL2400500 HOLT ENGINEERING INC 2220 Barton Skyway Austin Tx 78704-5737		512-447-8166 512-447-0852 l.holt@holteng.com	WB	F/Caucasian	AU
ITG8318552 I T GONZALEZ ENGINEERS 3501 Manor Rd Austin Tx 78723-5815		512-447-7400 11 512-447-6389 itgonz@swbell.net	MDB	M/Hispanic	AU
JON8316038 JONES MCMULLEN ENGINEERING INC 1412 Payton Falls Dr Austin Tx 78754		512-914-4793 catherinemcmullen99@yahoo.com	WDB	F/Caucasian	AU
GUE2157000 JOSE I GUERRA INC 2401 S Ih-35 Ste 210 Austin Tx 78741-3823		512-445-2090 512-445-2099 RGUERRA@GUERRA.COM	MDB	M/Hispanic	AU
KFR8309453 K FRIESE & ASSOC INC 1120 S Capital Of Texas Hwy, Cityview 2 Ste 100 Austin Tx 78746		512-338-1704 512-338-1784 kfriese@kfriese.com	WDB	F/Caucasian	AU

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V00000907693 LEAP Structures, PLLC 3001 S. Lamar Blvd Suite 230 Austin Tx 78704		512-298-3999 1 tchu@leapstructures.com	MDB	M/Asian	AU
VS0000031993 LOC Consultants Civil Division, Inc. 1715 E 7th Street Austin Tx 78702		5125877236 sergio@loccivil.com	MB	M/Hispanic	AU
V00000929188 LeStella S Valley 400 Wimberley Oaks Drive Wimberley Tx 78676		5128478780 lestella@sunstarservices.guru	WB	F/Caucasian	SL
V00000929980 Longaro & Clarke / Civiltude JV 1701 Directors Blvd., Suite 400 Austin Tx 78744		5127616161 candace@civiltude.com	MB	M/Asian	AU
MAR8305101 MARTHA FERRERO JUCH P E INC 1706 Walsh Dr Round Rock Tx 78681-1434		5126334183 mfjuch@austin.rr.com	WDB	F/Caucasian	SL
MAR3044500 MWM DESIGNGROUP INC 305 E Huntland Dr Ste 200 Austin Tx 78752		512-453-0767 512-453-1734 juliah@mwminc.com	WDB	F/Caucasian	AU
VS0000011481 Maldonado-Burkett Intelligent Transportation Systems, LLP 2205 Western Trails Blvd. Ste B Austin Tx 78745-1638		512-916-1386 ramon@mbitsgroup.com	MDB	M/Hispanic	AU
V00000929649 NICOLE FRANCOIS CONSULTING 1008 Sundance Ridge Dripping Springs Tx 78620		5129658887 nfranconsulting@gmail.com	WDB	F/Caucasian	SL
VS0000014928 Nellor Environmental Associates, Inc 4024 Walnut Clay Dr Austin Tx 78731		512-374-9330 margie@nellorenvironmental.com	WDB	F/Caucasian	AU
VS0000037698 PROFESSIONAL STRUCIVIL ENGINEERS INC 12710 Research Blvd. Suite 390 Austin Tx 78759		512-238-6422 psce@psceinc.com	MDB	M/Asian	AU

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PRO8301100 PROVIDENCE ENVIRONMENTAL CONSULTING INC 112 Las Colinas Dr Georgetown Tx 78628-1019		512-863-3492 512-869-0576 providenceenvironmental@suddenlink.net	WDB	F/Caucasian	SL
VS0000004650 RGT Engineering, Inc. 1000 Heritage Center Circle Round Rock Tx 78664		512-689-2341 512-382-6851 rgonzalez@rgtengineering.com	MDB	M/Hispanic	SL
ROD7082460 RODRIGUEZ TRANSPORTATION GROUP INC 11211 Taylor Draper Ln Ste 100 Austin Tx 78759		512-231-9544 512-231-9133 mrodriguez@rtg-texas.com	MDB	M/Hispanic	AU
V00000901562 Regional Engineering Inc. 818 Wagon Trail Suit # 102 Austin Tx 78758		512-507-9355 5126708915 reiaustx@gmail.com	MDB	M/Asian	AU
VS0000026253 Rios Engineering, LLC 609 Irma Dr Austin Tx 78752		512-944-3023 ed@riosengineering.com	MDB	M/Hispanic	AU
VS0000015805 Rogers Moore Engineers, LLC 221 West 6th Street Suite 826 Austin Tx 78701		512-330-1282 512-330-1295 utuladhar@rogersmoorellc.com	WB	F/Caucasian	AU
STA8322362 STANSBERRY ENGINEERING CO. Po Box 309 Manchaca Tx 78652-0309		512-292-8000 512-292-7270 INFO@STANSBERRYENGINEERING.COM	WDB	F/Caucasian	AU
STR8322676 STRUCTURESPE L L P 6926 N. Lamar Austin Tx 78752		512-499-0919 512-320-8521 jerry@structurestx.com	MDB	M/Hispanic	AU
SUN4499350 SUNLAND GROUP INC 1033 La Posada Drive Suite 370 Austin Tx 78752		512-590-7951 512-494-0406 cthompson@sunlandgrp.com	WDB	F/Caucasian	AU
VC0000103065 SUSAN ROTH CONSULTING LLC 4111 Tablerock Dr Austin Tx 78731		512-796-6692 SUSAN@SROTHCONSULTING.COM	WDB	F/Caucasian	AU

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VS0000030160 Seiler/Lankes Group 901 Round Rock Avenue Suite C100 Round Rock Tx 78681		512-785-8564 glankes@slg-eng.com	MDB	M/Hispanic	SL
V00000925313 Smith Turrieta, PLLC Po Box 5902 Austin Tx 78763		5125699022 susan@smithturrieta.com	WDB	F/Caucasian	AU
ARI0290800 THE ARIZPE GROUP INC 6330 E Hwy 290 Ste 375 Austin Tx 78723-1156		512-339-3707 512-339-3709 Robert.Arizpe@Arizpe.com	MDB	M/Hispanic	AU
VS0000022046 THOMPSON-HAMILTON ENGINEERING LLC 283 Catalina Lane Austin Tx 78737		5127911175 512-350-2641 admin@atlasdgn.com	MDB	M/Hispanic	SL
TRA8311787 TRANSTEC GROUP INC 6111 Balcones Dr Austin Tx 78731		512-451-6233 512-451-6234 dan@thetranstecgroup.com	MDB	M/Hispanic	AU
TRI4738850 TRICIA ALTAMIRANO Consulting Engineer Inc 1101 S Cap Of Tx Hwy Ste 210d Austin Tx 78746-6438		512-328-2203 512-327-2947 taltamirano@austin.rr.com	WB	F/Caucasian	AU
VS0000022197 Texas Engineering Solutions, LLC 5000 Bee Caves Rd Suite 206 Austin Tx 78746		512-904-0505 205 512-904-0509 sdelgado@txengs.com	MDB	M/Hispanic	AU
UNI8318182 UNINTECH CONSULTING ENGINEERS INC 3737 Executive Center Dr Ste 101 Austin Tx 78731		512-579-0722 210-641-8279 echan@unintech.com	MWDB	F/Asian	AU
V00000928407 URBAN DESIGN GROUP PC 3660 Stoneridge Rd Ste E101 Austin Tx 78746		5123470040 107 5123471311 ltoups@udg.com	WDB	F/Caucasian	AU
URB7038110 UTE CONSULTANTS INC 2007 S 1st Street Austin Tx 78704		512-789-5018 joan@uteconsultants.com	WDB	F/Caucasian	AU
VIC7091950 VICKREY & ASSOC INC 1717 W 6th St Ste 260, Hartland Plaza Austin Tx 78703		512-494-8014 512-494-8054 austin@vickreyinc.com	WDB	F/Caucasian	AU

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C Code & Description	Vend Code/Adr	Phone/Fax/Email	W/MB Code	G/E	LCTN
	WAY5080500 WAY CONSULTING ENGINEERS INC 11615 Angus Rd Ste 119 Austin Tx 78759-4004	512-343-0766 512-343-9103 way@wayengineering.com	MB	M/Asian	AU
92524 Desalinization (Process and Facilities)/Engineerin					
	V00000908664 Cook-Joyce, Inc. 812 W. 11th Street Austin Tx 78701	512-474-9097 2494 elizabeth.rabaey@cook-joyce.com	WB	F/Caucasian	AU
	HUR2455500 HARUTUNIAN ENGINEERING INC 305 E Huntland Dr Ste 500 Austin Tx 78752-3730	512-454-2788 512-454-6434 PROCURE@HEIWORLD.COM	WB	F/Caucasian	AU
	V00000925313 Smith Turrieta, PLLC Po Box 5902 Austin Tx 78763	5125699022 susan@smithturrieta.com	WDB	F/Caucasian	AU
92531 Electrical Engineering					
	V00000925196 A-PLUS POWER CONSULTING, LLC 12305 Pleasant Hill Ct Austin Tx 78738	5127314468 apluspowerconsulting@aol.com	MB	M/Asian	SL
	V00000921397 APTUS ENGINEERING LLC 3400 Tavistock Dr Austin Tx 78748	5128504770 sujay@aptuseng.com	MDB	M/Asian	AU
	V00000909871 ARCHE LLC 5700 North Hampton Rd Austin Tx 78723	512-350-4845 cescamilla@archeeng.com	MWB	F/Hispanic	AU
	VS0000015522 AYS Engineering, LLC 203 E. Main Street Ste 204 Round Rock Tx 78664	512-961-6835 raleman@ayseng.com	MB	M/Hispanic	SL
	VC0000101538 DOROTHY M BOTHNE 14201 Sandy Meadow Circle Leander Tx 78641	512-259-8476 512-259-8781 DBOTHNE@AUSTIN.RR.COM	WB	F/Caucasian	SL
	VC0000101365 ELECTRIC POWER ENGINEERS INC 13001 W Highway 71, Suite G100 Austin Tx 78738	512-382-6700 866-265-0827 hballouz@epeconsulting.com	WB	F/Caucasian	SL

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	ENC1735650 ENCOTECH ENGINEERING CONSULTANTS INC 8500 Bluffstone Cove, #B-103 Austin Tx 78759	512-338-1101 101 512-338-1160 ali.khataw@eec-tx.com	MB	M/Asian	AU
	HUR2455500 HARUTUNIAN ENGINEERING INC 305 E Huntland Dr Ste 500 Austin Tx 78752-3730	512-454-2788 512-454-6434 PROCURE@HEIWORLD.COM	WB	F/Caucasian	AU
	JAS2584500 JASMINE ENGINEERING INC 401 Congress Ave., Suite 1540 Austin Tx 78701	512-326-2900 512-326-2906 jasmine@jasmineengineering.com	WDB	F/Caucasian	AU
	GUE2157000 JOSE I GUERRA INC 2401 S Ih-35 Ste 210 Austin Tx 78741-3823	512-445-2090 512-445-2099 RGUERRA@GUERRA.COM	MDB	M/Hispanic	AU
	VS0000011481 Maldonado-Burkett Intelligent Transportation Systems, LLP 2205 Western Trails Blvd. Ste B Austin Tx 78745-1638	512-916-1386 ramon@mbitsgroup.com	MDB	M/Hispanic	AU
	POW8300999 POWER QUALITY ENGINEERING INC 3061 Woodall Dr Bldg A Cedar Park Tx 78613-7225	512-267-6656 512-267-0989 vbloom@pqeinc.com	MWB	F/Hispanic	AU
	V00000917037 Quality Power, LLC 407 Hurst Creek Rd. Lakeway Tx 78734	5122940885 basheerm@qualitypowerllc.com	MB	M/Asian	AU
	ARI0290800 THE ARIZPE GROUP INC 6330 E Hwy 290 Ste 375 Austin Tx 78723-1156	512-339-3707 512-339-3709 Robert.Arizpe@Arizpe.com	MDB	M/Hispanic	AU
	VS0000011064 Texas Energy Engineering Services, Inc. 1301 S. Capital Of Texas Highway Suite B-325 Austin Tx 78746	512-328-2533 201 512-328-2544 Saleem@teesi.com	MDB	M/Asian	AU
	VS0000035423 W&D Enterprises, L.L.C. 1747 Fort Grant Dr. Round Rock Tx 78665	512-563-1720 vwinston@mavaengineering.com	MDB	M/African American	AU

92535 Environmental Engineering

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V00000907236 360 Professional Services, Inc. P.O. Box 3639 Cedar Park Tx 78630		512-354-4682 103 tammy.foster@360psinc.com	WDB	F/Caucasian	SL
AXI8316197 AXIOM ENGINEERS INC 13276 Research Blvd Ste 208 Austin Tx 78750		512-506-9335 512-506-9377 NCF@AXIOMTEXAS.COM	WDB	F/Caucasian	AU
BAE7086810 BAER ENGINEERING & ENVIRONMENTAL CONSULTING INC 7756 Northcross Dr Ste 211 Austin Tx 78757-1725		512-453-3733 512-453-3316 tbaer@BaerEng.com	WDB	F/Caucasian	AU
CAS7170685 CAS CONSULTING & SVCS INC 7908 Cameron Rd Austin Tx 78754		512-836-2388 512-836-4515 channys@casengineers.com	MDB	M/Asian	AU
CRE7038055 CRESPO CONSULTING SERVICES INC 4131 Spicewood Springs Rd #B2 Austin Tx 78759-8658		512-343-6404 512-343-8120 SSTECHER@CRESPOINC.COM	MDB	M/Hispanic	AU
VS0000011100 Castleberry Engineering & Consulting, P.L.L.C. P.O. Box 40546 Austin Tx 78704		512-751-9272 c.castleberry@castleberryengineering.com	WDB	F/Caucasian	AU
V00000908664 Cook-Joyce, Inc. 812 W. 11th Street Austin Tx 78701		512-474-9097 2494 elizabeth.rabaey@cook-joyce.com	WB	F/Caucasian	AU
GLE7011195 GLENROSE ENGINEERING INC Po Box 1948 Austin Tx 78767-1948		512-326-8880 LAUREN@GLENROSE.COM	WDB	F/Caucasian	AU
HAR8321937 HARKINS ENGINEERING INC 3300 Lost Oasis Hollow Austin Tx 78739-7603		512-291-8219 512-280-1462 VHARKINS@HARKINSENGINEERING.COM	WDB	F/Caucasian	AU
SAN2347000 HICKS & CO ENVIRONMENTAL/ARCHEOLOGICAL CONSULTANTS 1504 W 5th St Austin Tx 78703-5157		512-478-0858 512-474-1849 HICKS@HICKSENV.COM	WDB	F/Caucasian	AU
JON8316038 JONES MCMULLEN ENGINEERING INC 1412 Payton Falls Dr Austin Tx 78754		512-914-4793 catherinemcmullen99@yahoo.com	WDB	F/Caucasian	AU

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V00000929980 Longaro & Clarke / Civiltude JV 1701 Directors Blvd., Suite 400 Austin Tx 78744		5127616161 candace@civiltude.com	MB	M/Asian	AU
VS0000014928 Nellor Environmental Associates, Inc 4024 Walnut Clay Dr Austin Tx 78731		512-374-9330 margie@nellorenvironmental.com	WDB	F/Caucasian	AU
VS0000037698 PROFESSIONAL STRUCIVIL ENGINEERS INC 12710 Research Blvd. Suite 390 Austin Tx 78759		512-238-6422 psce@psceinc.com	MDB	M/Asian	AU
PRO8301100 PROVIDENCE ENVIRONMENTAL CONSULTING INC 112 Las Colinas Dr Georgetown Tx 78628-1019		512-863-3492 512-869-0576 providenceenvironmental@suddenlink.net	WDB	F/Caucasian	SL
VS0000004650 RGT Engineering, Inc. 1000 Heritage Center Circle Round Rock Tx 78664		512-689-2341 512-382-6851 rgonzalez@rgtengineering.com	MDB	M/Hispanic	SL
VC0000103065 SUSAN ROTH CONSULTING LLC 4111 Tablerock Dr Austin Tx 78731		512-796-6692 SUSAN@SROTHCONSULTING.COM	WDB	F/Caucasian	AU
V00000925313 Smith Turrieta, PLLC Po Box 5902 Austin Tx 78763		5125699022 susan@smithturrieta.com	WDB	F/Caucasian	AU
ARI0290800 THE ARIZPE GROUP INC 6330 E Hwy 290 Ste 375 Austin Tx 78723-1156		512-339-3707 512-339-3709 Robert.Arizpe@Arizpe.com	MDB	M/Hispanic	AU
V00000915347 The Thrival Company LLC 5732 Gorham Glen Lane Austin Tx 78739		512-656-7518 elizabeth@thrivalschool.com	WDB	F/Caucasian	AU
V00000928407 URBAN DESIGN GROUP PC 3660 Stoneridge Rd Ste E101 Austin Tx 78746		5123470040 107 5123471311 ltoups@udg.com	WDB	F/Caucasian	AU
URB7038110 UTE CONSULTANTS INC 2007 S 1st Street Austin Tx 78704		512-789-5018 joan@uteconsultants.com	WDB	F/Caucasian	AU

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	VS0000022768 Zander Engineering and Consulting, Inc. 12713 Belcara Place Austin Tx 78732	512-779-3459 martha@zander-ec.com	MWB	F/Hispanic	AU
92588 Structural Engineering					
	AGU8313738 AGUIRRE & FIELDS LP 12708 Riata Vista Circle Ste A-109 Austin Tx 78727	5126091507 5126108903 dave.lubitz@aguirre-fields.com	MDB	M/Hispanic	AU
	V00000909871 ARCHE LLC 5700 North Hampton Rd Austin Tx 78723	512-350-4845 cescamilla@archeeng.com	MWB	F/Hispanic	AU
	BAE7086810 BAER ENGINEERING & ENVIRONMENTAL CONSULTING INC 7756 Northcross Dr Ste 211 Austin Tx 78757-1725	512-453-3733 512-453-3316 tbaer@BaerEng.com	WDB	F/Caucasian	AU
	CAS7170685 CAS CONSULTING & SVCS INC 7908 Cameron Rd Austin Tx 78754	512-836-2388 512-836-4515 channys@casengineers.com	MDB	M/Asian	AU
	CLO8320728 CLOTTEY ENGINEERING INC 210 N Kings Canyon Dr Cedar Park Tx 78613-3043	512-996-9020 512-996-9520 CLOTTEY@CLOTTEYENGINEERING.COM	MDB	M/African American	AU
	DAT8307094 DATUM GOJER ENGINEERS L L C 5929 Balcones Dr Ste 100 Austin Tx 78731	512-469-9490 erikap@datumengineers.com	MB	M/Hispanic	AU
	ENC1735650 ENCOTECH ENGINEERING CONSULTANTS INC 8500 Bluffstone Cove, #B-103 Austin Tx 78759	512-338-1101 101 512-338-1160 ali.khataw@eec-tx.com	MB	M/Asian	AU
	VS0000031778 ENGINEERED EXTERIORS, PLLC 13740 Research Blvd. Suite C2 Austin Tx 78750	5125713530 jen@engineeredexteriors.com	WB	F/Caucasian	AU
	FRA8312411 FRANK LAM & ASSOC INC 508 W 16th St Austin Tx 78701-1502	512-476-2717 512-476-2714 FRANK@FRANKLAMINC.COM	MDB	M/Asian	AU

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V00000915371 G Sylva, LLC 9712 Indina Hills Dr. Austin Tx 78717		512-934-3860 gilbert.sylva@gsylva.com	MDB	M/Hispanic	AU
GUE2157000 JOSE I GUERRA INC 2401 S Ih-35 Ste 210 Austin Tx 78741-3823		512-445-2090 512-445-2099 RGUERRA@GUERRA.COM	MDB	M/Hispanic	AU
VS0000033389 JQ+TSEN LLC 1608 West 6th St Suite 200 Austin Tx 78703		5124744001 5124749179 stsen@jqtsen.com	MWB	F/Asian	AU
VS0000037916 LAM+DCI, LLC 508 W 16th St Austin Tx 78701		512-476-2717 512-476-2714 franklam@franklaminc.com	MDB	M/Asian	AU
V00000907693 LEAP Structures, PLLC 3001 S. Lamar Blvd Suite 230 Austin Tx 78704		512-298-3999 1 tchu@leapstructures.com	MDB	M/Asian	AU
V00000929980 Longaro & Clarke / Civilitude JV 1701 Directors Blvd., Suite 400 Austin Tx 78744		5127616161 candace@civilitude.com	MB	M/Asian	AU
V00000927152 Martinez Engineering, LLC 106 East Sixth Street Suite 841 Austin Tx 78701		5123223970 ruben@martinezengeeringllc.com	MDB	M/Hispanic	AU
VS0000029260 Oakhill Engineering, LLC 5705 Janabyrd Lane Austin Tx 78749		512-497-5256 512-747-8916 dchen@oakhillengineering.com	MDB	M/Asian	AU
PES8307381 P E STRUCTURAL CONSULTANTS INC 8436 Spicewood Springs Rd Austin Tx 78759-6050		512-250-5200 512-250-5222 LPOWELL@PESTRUCTURAL.COM	WDB	F/Caucasian	AU
VS0000037698 PROFESSIONAL STRUCIVIL ENGINEERS INC 12710 Research Blvd. Suite 390 Austin Tx 78759		512-238-6422 psce@psceinc.com	MDB	M/Asian	AU

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	VS0000015805 Rogers Moore Engineers, LLC 221 West 6th Street Suite 826 Austin Tx 78701	512-330-1282 512-330-1295 utuladhar@rogersmoorellc.com	WB	F/Caucasian	AU
	STE8305142 STEINMAN LUEVANO STRUCTURES LLP 5901 Old Fredericksburg Rd B101 Austin Tx 78749	512-891-6766 512-891-6966 john@slstructures.com	MDB	M/Hispanic	AU
	STR8322676 STRUCTURESPE L L P 6926 N. Lamar Austin Tx 78752	512-499-0919 512-320-8521 jerry@structurestx.com	MDB	M/Hispanic	AU
	UNI8318182 UNINTECH CONSULTING ENGINEERS INC 3737 Executive Center Dr Ste 101 Austin Tx 78731	512-579-0722 210-641-8279 echan@unintech.com	MWDB	F/Asian	AU
	WAY5080500 WAY CONSULTING ENGINEERS INC 11615 Angus Rd Ste 119 Austin Tx 78759-4004	512-343-0766 512-343-9103 way@wayengineering.com	MB	M/Asian	AU

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Vendors Outside the SLBP Area					
92517 Civil Engineering					
	AVI0530500 AVIATION ALLIANCE INC Po Box 799 Colleyville Tx 76034-0799	817-498-0388 817-281-1867 Shirley@AviationAllianceInc.com	WDB	F/Caucasian	TX
	VC0000103077 BRIONES CONSULTING & ENGINEERING LTD 8118 Broadway San Antonio Tx 78209	210-828-1431 210-828-1432 RBRIONES@BRIONESENGINEERING.COM	MDB	M/Hispanic	TX
	VS0000022641 Chica & Associates, Inc 505 Orleans Suite 106 Beaumont Tx 77701	409-833-4343 409-833-8326 twallace@chicaandassociates.com	MDB	M/Hispanic	TX
	VS0000014891 Eckermann Engineering, Inc. 202 Spring Ho Avenue Lampasas Tx 76550	512-556-8160 5125565122 derrek@eckermannengineering.com	MB	M/Native American	TX
	V00000904921 Fivengineering LLC 3535 Briarpark, Suite 210 Houston Tx 77042	713-775-7701 liz@5engineering.com	WDB	F/Caucasian	TX
	HVJ2459750 HVJ ASSOCIATES INC 6120 S Dairy Ashford Houston Tx 770072	512-447-9081 281-933-7293 HJOHNSON@HVJ.COM	MDB	M/African American	TX
	VS0000023267 Hayden Consultants, Inc. 5005 Greenville Ave Suite 100a Dallas Tx 75206	214-753-8100 214-750-9329 bhart@haydenconsultants.com	WB	F/Caucasian	TX
	IBA7153325 IBARRA CONSULTING ENGINEERS INC 3131 Turtle Creek Blvd #1151 Dallas Tx 75219-5445	214-219-1030 214-219-1035	MWDB	F/Hispanic	TX
	VS0000019943 JQ INFRASTRUCTURE LLC 100 Glass Street Suite 201 Dallas Tx 75201	972-392-7340 214-550-2536 rmehta@jqiang.com	MDB	M/Asian	TX
	VS0000025710 LDP Consultants, Inc. 2115 Chantilly Ln Houston Tx 77018	832-489-9928 linda.pechacek@sbcglobal.net	WB	F/Caucasian	TX

City of Austin Subcontract Vendor List - VCRCVS

Solicitation No.: RFQS 6100 CLMP203 Walnut Creek WWTP Optimization and Facility Plan

Version No.: 1

Phase: 1

C Code & Description	Vend Code/Adr	Phone/Fax/Email	W/MB Code	G/E	LCTN
V00000911438 Lamb-Star Engineering, LP Suite 1000 Plano Tx 75093		214-440-3600 2144403601 john.lamb@lamb-star.com	MDB	M/Native American	TX
MAE8319636 MAESTAS & ASSOCIATES INC 11550 Ih 10 W Ste 350 San Antonio Tx 78230		210-366-1988 210-366-1980 almaestas@maesce.com	MDB	M/Hispanic	TX
V00000914457 MHR Engineering, LLC. 16845 Blanco Road, Suite 106 San Antonio Tx 78232		210-641-0734 2104972227 hrashid@mhreng.com	MDB	M/Asian	TX
V00000915161 Mendez Engineering, PLLC 2342 Mountain Fall San Antonio Tx 78258-4912		830-438-0337 8304381135 rmendez@mendezengineering.com	MDB	M/Hispanic	TX
POZ8319072 POZNECKI-CAMARILLO INC 5835 Callaghan Rd Ste 200 San Antonio Tx 78228-1224		210-349-3273 210-349-4395 fcamarillo@pozcam.com	MDB	M/Hispanic	TX
VS0000011185 RODS Subsurface Utility Engineering, Inc. 6810 Lee Road Suite 300 Spring Tx 77379		713-560-6933 hilda@rodssue.cc	MWDB	F/Hispanic	TX
VS0000034345 SE3, LLC 230 Sw Main St. Suite 213 Lees Summit Mo 64063		630-464-9900 708 469-2566 mspires@se3.us	MDB	M/African American	OS
V00000933388 T. SMITH INSPECTION AND TESTING, LLC Suite 101 Irving Tx 75062		9725736083 9725736089 acotton@tsitservices.com	MDB	M/African American	TX
V00000917428 TLC Engineering Inc. 8204 Westglen Drive Houston Tx 77063		713-868-6900 7138680001 tonycouncil@tlceng.com	MDB	M/African American	TX
V00000908152 The Rios Group, Inc. 7400 Sand St. Fort Worth Tx 76118		817-345-7500 8173457505 rnavejar@rios-group.com	MWB	F/Hispanic	TX
V00000924928 Urban Infrastructure Group, Inc. Po Box 729 Donna Tx 78537		9564644710 9564644714 cgonzalez@uigtexas.com	MB	M/Hispanic	TX

City of Austin Subcontract Vendor List - VCRCVS

Solicitation No.: RFQS 6100 CLMP203 Walnut Creek WWTP Optimization and Facility Plan

Version No.: 1

Phase: 1

C Code & Description	Vend Code/Adr	Phone/Fax/Email	W/MB Code	G/E	LCTN
	VAC8317945 V&A CONSULTING ENGINEERS INC 155 Grand Ave Ste 700 Oakland Ca 94612-3592	510-903-6600 510-903-6001 KBell@vaengineering.com	MDB	M/Hispanic	OS
	V00000912661 Verdunity, Inc. Suite #110 Dallas Tx 75248	214-729-8733 kristin@verdunity.com	WDB	F/Caucasian	TX
	VS0000028307 Watearth, Inc. P.O. Box 10194 Houston Tx 77206-0194	832-444-0663 8005193774 jwalker@watearth.com	WB	F/Caucasian	TX
92524 Desalinization (Process and Facilities)/Engineerin					
	V00000904851 MS ENGINEERING, LLC. 208 Chattington Ct. San Antonio Tx 78213	210-885-9270 2103204191 msquire@msengineeringus.com	MWDB	F/Asian	TX
	VAC8317945 V&A CONSULTING ENGINEERS INC 155 Grand Ave Ste 700 Oakland Ca 94612-3592	510-903-6600 510-903-6001 KBell@vaengineering.com	MDB	M/Hispanic	OS
92531 Electrical Engineering					
	V00000928344 ARK Engineer and Consultants, Inc. 2214 Whirlaway Drive Stafford Tx 77477	8322367165 8322189181 jharvey@arkengineer.com	MDB	M/African American	TX
	AVI0530500 AVIATION ALLIANCE INC Po Box 799 Colleyville Tx 76034-0799	817-498-0388 817-281-1867 Shirley@AviationAllianceInc.com	WDB	F/Caucasian	TX
	VS0000020957 Azcarate & Associates Consulting Engineers, LLC 7920 Belt Line Road, Suite 350 Dallas Tx 75254	2142179993 razcarate@aace-eng.com	MDB	M/Hispanic	TX
	CNG8321131 CNG ENGINEERING P L L C 1917 N New Braunfels Ave Ste 201 San Antonio Tx 78208-1419	210-224-8841 210-224-8824 TRAVIS.WILTSHIRE@CNGENGINEERING.COM	MDB	M/African American	TX
	VS0000022827 Ferguson Consulting, Inc. 37602 Tournament Lane Magnolia Tx 77355	281-252-9232 281-252-5355 lferguson@fci-engr.com	WDB	F/Caucasian	TX

City of Austin Subcontract Vendor List - VCRCVS

Solicitation No.: RFQS 6100 CLMP203 Walnut Creek WWTP Optimization and Facility Plan

Version No.: 1

Phase: 1

C Code & Description	Vend Code/Adr	Phone/Fax/Email	W/MB Code	G/E	LCTN
	GUP7149060 GUPTA & ASSOC INC 13717 Neutron Road Dallas Tx 75244	972-490-7661 972-490-7125 vkgupta@gaiconsulting.com	MB	M/Asian	TX
	VS0000014377 Mbroh Engineering Inc. 12830 Hillcrest Road Suite 111 Dallas Tx 75230	972-364-9090 972-364-9091 ambroh@mbroh.com	MDB	M/African American	TX
	VS0000037668 PGA Engineers, Inc. 13201 Northwest Freeway, Suite 800 Houston Tx 77040	713-269-3182 rpayne@pgaengineers.com	MWDB	F/Asian	TX
	V00000907873 REED FIRE PROTECTION ENGINEERING LLC 14135 Midway Road Ste. G260 Addison Tx 75001	214-638-7599 102 2146384710 droberts@reedfire.com	MDB	M/Hispanic	TX
	VS0000035278 RGM Engineering, LLC 700 N Saint Marys Suite 1225 San Antonio Tx 78205	210-299-4522 204 210-299-4525 elizabeth@rgmengineering.net	MB	M/Hispanic	TX
	SWA8303727 SWAYZER ENGINEERING INC 3102 Maple Ave Ste 450 Dallas Tx 75201-1261	2148807929 2148809005 michele.swayzer@swayzer.com	MWDB	F/African American	TX
	V00000917428 TLC Engineering Inc. 8204 Westglen Drive Houston Tx 77063	713-868-6900 7138680001 tonycouncil@tlceng.com	MDB	M/African American	TX
	V00000928317 Universal Service Enterprises LLC 1101 Arwine Court Suite 100 Eules Tx 76040	2143154786 sidnaeimi@useengineering.com	MDB	M/Asian	TX
	V00000924928 Urban Infrastructure Group, Inc. Po Box 729 Donna Tx 78537	9564644710 9564644714 cgonzalez@uigtexas.com	MB	M/Hispanic	TX
92535 Environmental Engineering	AVI0530500 AVIATION ALLIANCE INC Po Box 799 Colleyville Tx 76034-0799	817-498-0388 817-281-1867 Shirley@AviationAllianceInc.com	WDB	F/Caucasian	TX

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	VC0000103077 BRIONES CONSULTING & ENGINEERING LTD 8118 Broadway San Antonio Tx 78209	210-828-1431 210-828-1432 RBRIONES@BRIONESENGINEERING.COM	MDB	M/Hispanic	TX
	GRE8308847 GREEN ENVIRONMENTAL CONSULTING INC 202 Vanderpool Lane Houston Tx 77024	713-932-8950 713-932-8950 info@green-envi.com	WB	F/Caucasian	TX
	GRE8304338 GREEN PLANET INC 6371 Hwy 276 W Royse City Tx 75189-5204	972-636-1515 972-636-3948 HAICHA@GREENPLANETINC.COM	WDB	F/Caucasian	TX
	VS0000008262 Gainco, Inc. P.O. Box 309 Portland Tx 78374	361-643-4378	WB	F/Caucasian	TX
	VS0000025710 LDP Consultants, Inc. 2115 Chantilly Ln Houston Tx 77018	832-489-9928 linda.pechacek@sbcglobal.net	WB	F/Caucasian	TX
	V00000904851 MS ENGINEERING, LLC. 208 Chattington Ct. San Antonio Tx 78213	210-885-9270 2103204191 msquire@msengineeringus.com	MWDB	F/Asian	TX
	V00000915700 Signature Automation, LLC Suite 205 Addison Tx 75001	469-619-1241 101 4696191242 hjhidalgo@sig-auto.com	MDB	M/Hispanic	TX
	V00000917428 TLC Engineering Inc. 8204 Westglen Drive Houston Tx 77063	713-868-6900 7138680001 tonycouncil@tlceng.com	MDB	M/African American	TX
	V00000924928 Urban Infrastructure Group, Inc. Po Box 729 Donna Tx 78537	9564644710 9564644714 cgonzalez@uigtexas.com	MB	M/Hispanic	TX
92588 Structural Engineering					
	AVI0530500 AVIATION ALLIANCE INC Po Box 799 Colleyville Tx 76034-0799	817-498-0388 817-281-1867 Shirley@AviationAllianceInc.com	WDB	F/Caucasian	TX

City of Austin Subcontract Vendor List - VCRCVS

Solicitation No.: RFQS 6100 CLMP203 Walnut Creek WWTP Optimization and Facility Plan

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C Code & Description	Vend Code/Adr	Phone/Fax/Email	W/MB Code	G/E	LCTN
	VC0000103077 BRIONES CONSULTING & ENGINEERING LTD 8118 Broadway San Antonio Tx 78209	210-828-1431 210-828-1432 RBRIONES@BRIONESENGINEERING.COM	MDB	M/Hispanic	TX
	IBA7153325 IBARRA CONSULTING ENGINEERS INC 3131 Turtle Creek Blvd #1151 Dallas Tx 75219-5445	214-219-1030 214-219-1035	MWDB	F/Hispanic	TX
	VS0000019943 JQ INFRASTRUCTURE LLC 100 Glass Street Suite 201 Dallas Tx 75201	972-392-7340 214-550-2536 rmehta@jqeng.com	MDB	M/Asian	TX
	V00000919663 OUTLIER ENGINEERING INC 240 Oak Court New Braunfels Tx 78132	830-625-5947 amys@outliereng.com	WDB	F/Caucasian	TX
	VS0000035278 RGM Engineering, LLC 700 N Saint Marys Suite 1225 San Antonio Tx 78205	210-299-4522 204 210-299-4525 elizabeth@rgmengineering.net	MB	M/Hispanic	TX
	V00000917428 TLC Engineering Inc. 8204 Westglen Drive Houston Tx 77063	713-868-6900 7138680001 tonycouncil@tlceng.com	MDB	M/African American	TX
	V00000924928 Urban Infrastructure Group, Inc. Po Box 729 Donna Tx 78537	9564644710 9564644714 cgonzalez@uigtexas.com	MB	M/Hispanic	TX

Total in SLBP: 130

Total Outside SLBP: 58

360 Professional Services, Inc.
P.O. Box 3639
Cedar Park Tx 78630

A-Plus Power Consulting, Llc
12305 Pleasant Hill Ct
Austin Tx 78738

Aguirre & Fields Lp
12708 Riata Vista Circle Ste A-109
Austin Tx 78727

Alliance-Texas Engineering Company
11500 Metric Blvd Bldg M1, Ste 150
Austin Tx 78758

Andrew A Rodriguez
8137 Osborne Dr
Austin Tx 78729-8074

Aptus Engineering Llc
3400 Tavistock Dr
Austin Tx 78748

Arche Llc
5700 North Hampton Rd
Austin Tx 78723

Ark Engineer And Consultants, Inc.
2214 Whirlaway Drive
Stafford Tx 77477

Aviation Alliance Inc
Po Box 799
Colleyville Tx 76034-0799

Axiom Engineers Inc
13276 Research Blvd Ste 208
Austin Tx 78750

Ays Engineering, Llc
203 E. Main Street Ste 204
Round Rock Tx 78664

Azcarate & Associates Consulting Engineers,
Llc
7920 Belt Line Road, Suite 350
Dallas Tx 75254

Baer Engineering & Environmental Consulting
Inc
7756 Northcross Dr Ste 211
Austin Tx 78757-1725

Briones Consulting & Engineering Ltd
8118 Broadway
San Antonio Tx 78209

Cas Consulting & Svcs Inc
7908 Cameron Rd
Austin Tx 78754

Civil Land Group Llc
206 W Main St Ste 101
Round Rock Tx 78664

Clotey Engineering Inc
210 N Kings Canyon Dr
Cedar Park Tx 78613-3043

Cng Engineering P L L C
1917 N New Braunfels Ave Ste 201
San Antonio Tx 78208-1419

Conveyance/Providence (Joint Venture)
112 Las Colinas Drive
Georgetown Tx 78628

Crespo Consulting Services Inc
4131 Spicewood Springs Rd #B2
Austin Tx 78759-8658

Castleberry Engineering & Consulting, P.L.L.C.
P.O. Box 40546
Austin Tx 78704

Chica & Associates, Inc
505 Orleans Suite 106
Beaumont Tx 77701

Cook-Joyce, Inc.
812 W. 11th Street
Austin Tx 78701

Corsair Consulting Llc
9442 Capital Of Texas Hwy N Plaza One, Suite
500
Austin Tx 78759

D. F. Noble Consulting, Llc
1185 Taylor Ranch Road
Wimberley Tx 78676

Datum Gojer Engineers L L C
5929 Balcones Dr Ste 100
Austin Tx 78731

Davcar Inc
1010 Land Creek Cove Ste 200
Austin Tx 78746

Dorothy M Bothne
14201 Sandy Meadow Circle
Leander Tx 78641

Electric Power Engineers Inc
13001 W Highway 71, Suite G100
Austin Tx 78738

Encotech Engineering Consultants Inc
8500 Bluffstone Cove, #B-103
Austin Tx 78759

Engineered Exteriors, Pllc
13740 Research Blvd. Suite C2
Austin Tx 78750

Eckermann Engineering, Inc.
202 Spring Ho Avenue
Lampasas Tx 76550

Fayez S Kazi
1210 Rosewood Ave
Austin Tx 78702

Frank Lam & Assoc Inc
508 W 16th St
Austin Tx 78701-1502

Ferguson Consulting, Inc.
37602 Tournament Lane
Magnolia Tx 77355

Fivengineering LlC
3535 Briarpark, Suite 210
Houston Tx 77042

G Sylva, LlC
9712 Indina Hills Dr.
Austin Tx 78717

Glenrose Engineering Inc
Po Box 1948
Austin Tx 78767-1948

Global Engineers Inc
4219 Pebblestone Trl
Round Rock Tx 78665-5027

Green Environmental Consulting Inc
202 Vanderpool Lane
Houston Tx 77024

Green Planet Inc
6371 Hwy 276 W
Royse City Tx 75189-5204

Gupta & Assoc Inc
13717 Neutron Road
Dallas Tx 75244

Gainco, Inc.
P.O. Box 309
Portland Tx 78374

Garza Emc L.L.C.
7708 Rialto Blvd Suite 125
Austin Tx 78735

Harkins Engineering Inc
3300 Lost Oasis Hollow
Austin Tx 78739-7603

Harutunian Engineering Inc
305 E Huntland Dr Ste 500
Austin Tx 78752-3730

Hicks & Co Environmental/Archeological
Consultants
1504 W 5th St
Austin Tx 78703-5157

Holt Engineering Inc
2220 Barton Skyway
Austin Tx 78704-5737

Hvj Associates Inc
6120 S Dairy Ashford
Houston Tx 770072

Hayden Consultants, Inc.
5005 Greenville Ave Suite 100a
Dallas Tx 75206

I T Gonzalez Engineers
3501 Manor Rd
Austin Tx 78723-5815

Ibarra Consulting Engineers Inc
3131 Turtle Creek Blvd #1151
Dallas Tx 75219-5445

Jasmine Engineering Inc
401 Congress Ave., Suite 1540
Austin Tx 78701

Jones Mcmullen Engineering Inc
1412 Payton Falls Dr
Austin Tx 78754

Jose I Guerra Inc
2401 S lh-35 Ste 210
Austin Tx 78741-3823

Jq Infrastructure LlC
100 Glass Street Suite 201
Dallas Tx 75201

Jq+Tsen LlC
1608 West 6th St Suite 200
Austin Tx 78703

K Friese & Assoc Inc
1120 S Capital Of Texas Hwy, Cityview 2 Ste
100
Austin Tx 78746

Lam+Dci, LlC
508 W 16th St
Austin Tx 78701

Ldp Consultants, Inc.
2115 Chantilly Ln
Houston Tx 77018

Leap Structures, Pllc
3001 S. Lamar Blvd Suite 230
Austin Tx 78704

Loc Consultants Civil Division, Inc.
1715 E 7th Street
Austin Tx 78702

Lamb-Star Engineering, Lp
5700 W. Plano Parkway Suite 1000
Plano Tx 75093

Lestella S Valley
400 Wimberley Oaks Drive
Wimberley Tx 78676

Longaro & Clarke / Civiltude Jv
1701 Directors Blvd., Suite 400
Austin Tx 78744

Maestas & Associates Inc
11550 Ih 10 W Ste 350
San Antonio Tx 78230

Martha Ferrero Juch P E Inc
1706 Walsh Dr
Round Rock Tx 78681-1434

Mhr Engineering, Llc.
16845 Blanco Road, Suite 106
San Antonio Tx 78232

Ms Engineering, Llc.
208 Chattington Ct.
San Antonio Tx 78213

Mwm Designgroup Inc
305 E Huntland Dr Ste 200
Austin Tx 78752

Maldonado-Burkett Intelligent Transportation
Systems, Llp
2205 Western Trails Blvd. Ste B
Austin Tx 78745-1638

Martinez Engineering, Llc
106 East Sixth Street Suite 841
Austin Tx 78701

Mbroh Engineering Inc.
12830 Hillcrest Road Suite 111
Dallas Tx 75230

Mendez Engineering, Pllc
2342 Mountain Fall
San Antonio Tx 78258-4912

Nicole Francois Consulting
1008 Sundance Ridge
Dripping Springs Tx 78620

Nellor Environmental Associates, Inc
4024 Walnut Clay Dr
Austin Tx 78731

Outlier Engineering Inc
240 Oak Court
New Braunfels Tx 78132

Oakhill Engineering, Llc
5705 Janabyrd Lane
Austin Tx 78749

P E Structural Consultants Inc
8436 Spicewood Springs Rd
Austin Tx 78759-6050

Pga Engineers, Inc.
13201 Northwest Freeway, Suite 800
Houston Tx 77040

Power Quality Engineering Inc
3061 Woodall Dr Bldg A
Cedar Park Tx 78613-7225

Poznecki-Camarillo Inc
5835 Callaghan Rd Ste 200
San Antonio Tx 78228-1224

Professional Strucivil Engineers Inc
12710 Research Blvd. Suite 390
Austin Tx 78759

Providence Environmental Consulting Inc
112 Las Colinas Dr
Georgetown Tx 78628-1019

Quality Power, Llc
407 Hurst Creek Rd.
Lakeway Tx 78734

Reed Fire Protection Engineering Llc
14135 Midway Road Ste. G260
Addison Tx 75001

Rgm Engineering, Llc
700 N Saint Marys Suite 1225
San Antonio Tx 78205

Rgt Engineering, Inc.
1000 Heritage Center Circle
Round Rock Tx 78664

Rodriguez Transportation Group Inc
11211 Taylor Draper Ln Ste 100
Austin Tx 78759

Rods Subsurface Utility Engineering, Inc.
6810 Lee Road Suite 300
Spring Tx 77379

Regional Engineering Inc.
818 Wagon Trail Suit # 102
Austin Tx 78758

Rios Engineering, Llc
609 Irma Dr
Austin Tx 78752

Rogers Moore Engineers, Llc
221 West 6th Street Suite 826
Austin Tx 78701

Se3, Llc
230 Sw Main St. Suite 213
Lees Summit Mo 64063

Stansberry Engineering Co.
Po Box 309
Manchaca Tx 78652-0309

Steinman Luevano Structures Llp
5901 Old Fredericksburg Rd B101
Austin Tx 78749

Structurespe L L P
6926 N. Lamar
Austin Tx 78752

Sunland Group Inc
1033 La Posada Drive Suite 370
Austin Tx 78752

Susan Roth Consulting Llc
4111 Tablerock Dr
Austin Tx 78731

Swayzer Engineering Inc
3102 Maple Ave Ste 450
Dallas Tx 75201-1261

Seiler/Lankes Group
901 Round Rock Avenue Suite C100
Round Rock Tx 78681

Signature Automation, Llc
14679 Midway Road Suite 205
Addison Tx 75001

Smith Turrieta, Pllc
Po Box 5902
Austin Tx 78763

T. Smith Inspection And Testing, Llc
2211 Century Center Blvd. Suite 101
Irving Tx 75062

The Arizpe Group Inc
6330 E Hwy 290 Ste 375
Austin Tx 78723-1156

Thompson-Hamilton Engineering Llc
283 Catalina Lane
Austin Tx 78737

Tlc Engineering Inc.
8204 Westglen Drive
Houston Tx 77063

Transtec Group Inc
6111 Balcones Dr
Austin Tx 78731

Tricia Altamirano
Consulting Engineer Inc 1101 S Cap Of Tx Hwy
Ste 210d
Austin Tx 78746-6438

Texas Energy Engineering Services, Inc.
1301 S. Capital Of Texas Highway Suite B-325
Austin Tx 78746

Texas Engineering Solutions, Llc
5000 Bee Caves Rd Suite 206
Austin Tx 78746

The Rios Group, Inc.
7400 Sand St.
Fort Worth Tx 76118

The Thrival Company Llc
5732 Gorham Glen Lane
Austin Tx 78739

Unintech Consulting Engineers Inc
3737 Executive Center Dr Ste 101
Austin Tx 78731

Urban Design Group Pc
3660 Stoneridge Rd Ste E101
Austin Tx 78746

Ute Consultants Inc
2007 S 1st Street
Austin Tx 78704

Universal Service Enterprises Llc
1101 Arwine Court Suite 100
Eules Tx 76040

Urban Infrastructure Group, Inc.
Po Box 729
Donna Tx 78537

V&A Consulting Engineers Inc
155 Grand Ave Ste 700
Oakland Ca 94612-3592

Vickrey & Assoc Inc
1717 W 6th St Ste 260, Hartland Plaza
Austin Tx 78703

Verdunity, Inc.
17000 Preston Road Suite #110
Dallas Tx 75248

W&D Enterprises, L.L.C.
1747 Fort Grant Dr.
Round Rock Tx 78665

Way Consulting Engineers Inc
11615 Angus Rd Ste 119
Austin Tx 78759-4004

Watearth, Inc.
P.O. Box 10194
Houston Tx 77206-0194

Zander Engineering And Consulting, Inc.
12713 Belcara Place
Austin Tx 78732



FORM 1
Prime Firm General Information

Solicitation Number: CLMP203

Project Name: Walnut Creek WWTP Optimization & Facility Plan

Firm Legal Name: (MUST MATCH VENDOR REGISTRATION AND BE THE EXACT LEGAL NAME)	
Firm Address:	
Headquarter Address if parent company address is different than firm address listed:	
Telephone number:	
Federal Tax ID Number:	
Contact Person (Person City should contact for questions with submittal):	
COA Vendor Registration Number:	
Address of contact person:	
Phone number of contract person:	
E-mail Address of contact person:	
Year of Firm's Registration with the State of Texas	
Firm's Engineering/Architectural Registration Number:	
<i>If submitting as a joint venture, the following information is required for each joint venture firm.</i>	

Firm 1 Legal Name	
Participating Firms Percentage of Control:	
Number of Years in Business:	
Organization Type:	
Date of Organization (MM/YYYY):	
Date of Predecessor Organization:	

Add Additional Joint Venture Firm

Office Personnel

List of Principals and Titles:

Name of Principal	
Title	

Personnel Other Than Principals	
Total number of employees in firm	
Number of registered Environmental Engineers	
Number of Registered Civil Engineers	
Number of other Registered Engineers	
Number of other Professionals	
Number of Support Personnel	

Insurance Information		
Worker's Compensation and Employers' Liability Insurance		
<input type="checkbox"/> Yes	<input type="checkbox"/> No	If "yes", please state limits.
Commercial General Liability Insurance		
<input type="checkbox"/> Yes	<input type="checkbox"/> No	If "yes", please state limits.
Business Automobile Liability Insurance		
<input type="checkbox"/> Yes	<input type="checkbox"/> No	If "yes", please state limits.
Professional Liability Insurance		
<input type="checkbox"/> Yes	<input type="checkbox"/> No	If "yes", please state limits.

SUBCONSULTANT INFORMATION

Complete the MBE/WBE Compliance Plan in the MBE/WBE Procurement Program package. All subconsultant recommendations will be subject to approval by the City. If for any reason an MBE or WBE subconsultant must be replaced, the prime consultant firm will be required to make good faith efforts to replace with another MBE or WBE.

Attach a letter from each subconsultant on the proposed team, confirming that they have been contacted and are prepared to provide services for the project.

The undersigned acknowledges receipt of the following addenda:			
Addendum No.	Date	Received By	
			Add another addendum

OTHER CONSIDERATIONS

Describe the quantity and nature of any work, interest in work, partnership interest, land ownership or other interest in any project, property or business dealing within the proposed project area or past or current business relationship which may give rise to a potential conflict of interest for your firm or associated firms in the execution of this project.

--



FORM 2
AFFIDAVIT OF AUTHENTICATION

Solicitation Number: CLMP203

Project Name: Walnut Creek WWTP Optimization & Facility Plan

Entities submitting qualification statements shall provide authentication that the electronic version (CD or flash drive) of the Statement of Qualifications is an exact duplicate of the 'Original' hard copy submittal. The City of Austin is not responsible for discrepancies between the submitting firm's electronic version and 'Original' hard copy submittal. The City of Austin reserves the right to use the electronic version as an 'Original'.

I hereby certify that the electronic version of the Statement of Qualifications submitted is an exact duplicate of the 'Original' hard copy. I understand if there are discrepancies between the hard copy 'Original' and the electronic version, we may be deemed non-responsive.

Signature: _____

Date: _____

Printed Name: _____

Title: _____

Firm/Entity: _____

Subscribed and sworn to before me this _____ day of _____, 20__.

Notary Public

My Commission Expires _____

END



FORM 3A - PRIME FIRM'S EEO PROGRAM

Solicitation Number: CLMP203

Project Name: Walnut Creek WWTP Optimization & Facility Plan

City of Austin, Texas

NON-DISCRIMINATION AND NON-RETALIATION CERTIFICATION

To: City of Austin, Texas, ("OWNER")

I hereby certify that our firm conforms to the Code of the City of Austin, Section 5-4-2, and the City's Non-Retaliation Policy as reiterated below:

- A. **Chapter 5-4. Discrimination in Employment by City Contractors, Section 4-2:** As an Equal Employment Opportunity (EEO) employer, the Contractor will conduct its personnel activities in accordance with established federal, state and local EEO laws and regulations and agrees:
- (1) Not to engage in any discriminatory employment practice defined in this chapter.
 - (2) To take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without discrimination being practiced against them as defined in this chapter. Such affirmative action shall include, but not be limited to: all aspects of employment, including hiring, placement, upgrading, transfer, demotion, recruitment, recruitment advertising; selection for training and apprenticeship, rates of pay or other form of compensation, and layoff or termination.
 - (3) To post in conspicuous places, available to employees and applicants for employment, notices to be provided by OWNER setting forth the provisions of this chapter.
 - (4) To state in all solicitations or advertisements for employees placed by or on behalf of the Contractor, that all qualified applicants will receive consideration for employment without regard to race, creed, color, religion, national origin, sexual orientation, gender identity, disability, veteran status, sex or age.
 - (5) To obtain a written statement from any labor union or labor organization furnishing labor or service to Contractors in which said union or organization has agreed not to engage in any discriminatory or retaliation employment practices as defined in this chapter and to take affirmative action to implement policies and provisions of this chapter.
 - (6) To cooperate fully with OWNER's Human Rights Commission in connection with any investigation or conciliation effort of said Human Rights Commission to ensure that the purpose of the provisions against discriminatory employment practices are being carried out.
 - (7) To require compliance with provisions of this chapter by all subcontractors having fifteen or more employees who hold any subcontract providing for the expenditure of \$2,000 or more in connection with any contract with OWNER subject to the terms of this chapter.

B. Minimum Standard Non-Discrimination and Non-Retaliation in Employment Policy:
For the purposes of this Offer and any resulting Contract, Contractor adopts the provisions of the City's Minimum Standard Non-Discrimination and Non-Retaliation Policy set forth below.

- (1) *As an Equal Employment Opportunity (EEO) employer, the Contractor will conduct its personnel activities in accordance with established federal, state and local EEO laws and regulations.*
- (2) *The Contractor will not discriminate against any applicant or employee based on race, creed, color, national origin, sex, age, religion, veteran status, gender identity, disability, or sexual orientation. This policy covers all aspects of employment, including hiring, placement, upgrading, transfer, demotion, recruitment, recruitment advertising, selection for training and apprenticeship, rates of pay or other forms of compensation, and layoff or termination.*
- (3) *The Contractor agrees to prohibit retaliation, discharge or otherwise discrimination against any employee or applicant for employment who has inquired about, discussed or disclosed their compensation.*

Further, employees who experience discrimination, retaliation, sexual harassment, or another form of harassment should immediately report it to their supervisor. If this is not a suitable avenue for addressing their complaint, employees are advised to contact another member of management or their human resources representative. No employee shall be discriminated against, harassed, intimidated, nor suffer any reprisal as a result of reporting a violation of this policy. Furthermore, any employee, supervisor, or manager who becomes aware of any such discrimination or harassment should immediately report it to executive management or the human resources office to ensure that such conduct does not continue.

Contractor agrees that to the extent of any inconsistency, omission, or conflict with its current non-discrimination and non-retaliation employment policy, the Contractor has expressly adopted the provisions of the City's Minimum Non-Discrimination Policy contained in Section 5-4-2 of the City Code and set forth above, as the Contractor's Non-Discrimination Policy or as an amendment to such Policy and such provisions are intended to not only supplement the Contractor's policy, but will also supersede the Contractor's policy to the extent of any conflict.

UPON CONTRACT AWARD, THE CONTRACTOR SHALL PROVIDE A COPY TO THE CITY OF THE CONTRACTOR'S NON-DISCRIMINATION AND NON-RETALIATION POLICIES ON COMPANY LETTERHEAD, WHICH CONFORMS IN FORM, SCOPE, AND CONTENT TO THE CITY'S MINIMUM NON-DISCRIMINATION AND NON-RETALIATION POLICIES, AS SET FORTH HEREIN, **OR** THIS NON-DISCRIMINATION AND NON-RETALIATION POLICY, WHICH HAS BEEN ADOPTED BY THE CONTRACTOR FOR ALL PURPOSES (THE FORM OF WHICH HAS BEEN APPROVED BY THE CITY'S EQUAL EMPLOYMENT/FAIR HOUSING OFFICE), WILL BE CONSIDERED THE CONTRACTOR'S NON-DISCRIMINATION AND NON-RETALIATION POLICY WITHOUT THE REQUIREMENT OF A SEPARATE SUBMITTAL.

C. Sanctions:

Our firm understands that non-compliance with Chapter 5-4 and the City's Non-Retaliation Policy may result in sanctions, including termination of the contract and suspension or debarment from participation in future City contracts until deemed compliant with the requirements of Chapter 5-4 and the Non-Retaliation Policy.



FORM 3B - APPENDIX A OF TITLE VI ASSURANCES

Solicitation Number : CLMP203

Project Name : Walnut Creek WWTP Optimization and Facility Plan

During the performance of this contract, the contractor, for itself, its assignees and successors in interest (hereinafter referred to as the "contractor" agrees as follows:

1. Compliance with Regulations: The contractor shall comply with the Regulations relative to nondiscrimination in Federally-assisted programs of the Department of Transportation (hereinafter, "DOT") Title 49, Code of Federal Regulations, Part 21, as they may be amended from time to time, (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.
2. Nondiscrimination: The contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor shall not participate either directly or indirectly in the discrimination prohibited by section 21.5 of the Regulations, including employment practices when the contract covers a program set forth in Appendix B of the Regulations.
3. Solicitations for Subcontracts, Including Procurements of Materials and Equipment: In all solicitations either by competitive bidding or negotiation made by the contract for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under this contract and the Regulations relative to nondiscrimination on the grounds of race, color, or national origin.
4. Information and Reports: The contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto, and shall permit access to its book, records, accounts, other sources of information, and its facilities as may be determined by the Recipient or the Texas Department of Transportation to be pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish this information the contractor shall so certify to the Recipient, or the Texas Department of Transportation as appropriate, and shall set forth what efforts it has made to obtain the information.
5. Sanctions for Noncompliance: In the event of the contractor's noncompliance with the nondiscrimination provisions of this contract, the Recipient shall impose such contract sanctions as it or the Texas Department of Transportation may determine to be appropriate, including, but not limited to:
 - (a) withholding of payments to the contractor under the contract until the contractor complies, and or
 - (b) cancellation, termination or suspension of the contract, in whole or in part.

D. Term:

The Contractor agrees that this Non-Discrimination and Non-Retaliation Certificate of the Contractor's separate conforming policy, which the Contractor has executed and filed with the Owner, will remain in force and effect for one year from the date of filing. The Contractor further agrees that, in consideration of the receipt of continued Contract payment, the Contractor's Non-Discrimination and Non-Retaliation Policy will automatically renew from year-to-year for the term of the underlying Contract.

Dated this _____ day of _____, _____

CONTRACTOR _____

Authorized
Signature _____

Title _____

END

6. Incorporation of Provisions: The contractor shall include the provisions of paragraphs (1) through (6) in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations, or directives issued pursuant thereto. The contractor shall take such action with respect to any subcontract or procurement as the Recipient or the Texas Department of Transportation may direct as a means of enforcing such provisions including sanctions for non-compliance: 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 Recipient to enter into such litigation to protect the interests of the Recipient, and, in addition, the contractor may request the United States to enter into such litigation to protect the interests of the United States. (DOT 1050.2, 08/24/71)

Signature:

Printed Name:

Title:

Company:

Date:

END



FORM 4

AFFIDAVIT OF NON-COLLUSION, NON-CONFLICT OF INTEREST AND ANTI-LOBBYING

Solicitation Number: CLMP203

Project Name: Walnut Creek WWTP Optimization & Facility Plan

State of Texas

County of Travis

The undersigned "Affiant" is a duly authorized representative of the Responder for the purpose of making this Affidavit, and, after being first duly sworn, has deposed and stated and hereby deposes and states, to the best of his or her personal knowledge and belief as follows:

The term "Respondent", as used herein, includes the individual or business entity submitting the response and for the purpose of this Affidavit includes the directors, officers, partners, managers, members, principals, owners, agents, representatives, employees, other parties in interest of the Respondent, and anyone or any entity acting for or on behalf of the Respondent, including a subconsultant in connection with this response.

The terms "City" and "Owner" are synonymous.

1. **Anti-Collusion Statement.** The Respondent has not and will not in any way directly or indirectly:
 - a. colluded, conspired, or agreed with any other person, firm, corporation, respondent or potential respondent to the amount of this response or the terms or conditions of this response.
 - b. paid or agreed to pay any other person, firm, corporation, respondent or potential respondent any money or anything of value in return for assistance in procuring or attempting to procure a contract or in return for establishing the prices in the attached response or the response of any other respondent.
2. **Preparation of Invitation for Response and Contract Documents .** The Respondent has not received any compensation or a promise of compensation for participating in the preparation or development of the underlying response or contract documents. In addition, the Respondent has not otherwise participated in the preparation or development of the underlying response or contract documents, except to the extent of any comments or questions and responses in the solicitation process, which are available to all respondents, so as to have an unfair advantage over other respondents, provided that the Respondent may have provided relevant product or process information to a consultant in the normal course of its business.
3. **Participation in Decision Making Process.** The Respondent has not participated in the evaluation of responses or proposals or other decision making process for this solicitation, and, if Respondent is awarded a contract hereunder, no individual, agent, representative, consultant or sub contractor or consultant associated with Respondent, who may have been

involved in the evaluation or other decision making process for this solicitation, will have any direct or indirect financial interest in the Contract, provided that the Respondent may have provided relevant product or process information to a contractor or another consultant in the normal course of its business.

4. **Present Knowledge.** Respondent is not presently aware of any potential or actual conflicts of interest regarding this solicitation, which either enabled Respondent to obtain an advantage over other Respondents or would prevent Respondent from advancing the best interests of OWNER in the course of the performance of the Contract.
5. **City Code.** As provided in Sections 2-7-61 through 2-7-65 of the City Code, no individual with a substantial interest in Respondent is a City official or employee or is related to any City official or employee within the first or second degree of consanguinity or affinity.
6. **Chapter 176 Conflict of Interest Disclosure.** In accordance with Chapter 176 of the Texas Local Government Code, the Respondent:
 - a. does not have an employment or other business relationship with any local government officer of OWNER or a family member of that officer that results in the officer of family member receiving taxable income;
 - b. has not given a local government officer of OWNER one or more gifts, other than gifts of food lodging transportation or entertainment accepted as a guest, that have an aggregate value of more than \$250 in the twelve month period preceding the date the officer becomes aware of the execution of the Contract or that OWNER is considering doing business with the Respondent.

As required by Chapter 176, Respondent must have filed a Conflicts of Interest Questionnaire with the Purchasing Department no later than the seventh business day after the commencement of contract discussions or negotiations with the City or the submission of a Response, response to a request for proposals, or other writing related to a potential contract with OWNER. The questionnaire must be updated not later than the seventh day after the date of an event that would make a statement in the questionnaire inaccurate or incomplete. There are statutory penalties for failure to comply with Chapter 176.

7. **Anti-Lobbying Ordinance.** As set forth in Attachment 2 of the solicitation documents, between the date that the Invitation for Response was issued and the date of full execution of the Contract, Respondent has not made and will not make a representation to a member of the City Council, a member of a City Board, or any other official, employee or agent of the City, other than the authorized contact person for the solicitation, except as permitted by the Ordinance

If the Respondent cannot affirmatively swear and subscribe to the forgoing statements, the Respondent shall provide a detailed written explanation in the space provided below or, as necessary, on separate pages to be annexed hereto.

Signature _____ Date:

Printed Name:

Title:

Firm/Entity:

Subscribed and sworn to before me this ____ day of _____, 20__.

_____ My Commission Expires _____

Notary Public

RESPONDENT'S EXPLANATION:

Include the entire Affidavit, Pages 1 – 3.

END



FORM 5 AFFIDAVIT OF AVAILABILITY

Solicitation Number: CLMP203

Project Name Walnut Creek WWTP Optimization & Facility Plan

Entities submitting qualification statements, including prime firms and subconsultants, shall have adequate current staff (including professionals registered in applicable fields, other professionals, and technicians) to competently and efficiently perform the work. The prime firm and subconsultants must commit that staff proposed in this submittal will be available to perform the proposed work within the anticipated project schedule.

In addition, prime firms who list individuals in Consideration Item 4 - Experience of Key Personnel must commit that those individuals are indeed employed by the prime firm and are not contracted employees. Prime firms who use an affiliated firm to hire staff on behalf of the prime firm must inform the City of this fact in its executive summary and explain the affiliated relationship involved between the two firms.

I hereby certify that our staff and the staff of our subconsultants proposed in this submittal are available to perform the proposed work in a competent and efficient manner. In the event an individual proposed in this submittal is not available, I understand that after contract award we will be required to submit a change request with an individual equally or more qualified, which is subject to review and approval by the City. In the event the City does not approve the change request, I understand our firm will no longer be awarded the contract.

I hereby certify that the individuals listed in Consideration Item 4 - Experience of Key Personnel are employed by the prime firm and are not contracted employees.

Signature:

Date:

Printed Name:

Title:

Firm/Entity Name:

Subscribed and sworn to before me
this

day of

,20

My Commission Expires

Notary Public

END



**FORM 6
AFFIDAVIT OF CONTRACT EXECUTION**

Solicitation Number: CLMP203

Project Name: Walnut Creek WWTP Optimization & Facility Plan

Entities submitting qualification statements shall be prepared to be responsive to City staff following Council award in providing documents required for contract execution, including but not limited to insurance, corporate resolution, hourly rate information and non-discrimination policy. The prime firm must commit to meeting schedules and deadlines set by City staff in order to execute the contract in a timely manner. We anticipate contract execution on or before January 2017.

I hereby certify that following Council award, our firm will be responsive to City staff in submitting the required documents by the deadlines set forth by City staff. I understand that if we do not meet this requirement, contract negotiations will cease. I also understand if we do not submit this completed form with our Statement of Qualifications, we may be deemed non-responsive.

Signature: _____

Date: _____

Printed Name: _____

Title: _____

Firm/Entity: _____

Subscribed and sworn to before me this _____ day of _____, 20____.

Notary Public

My Commission Expires _____

END



**FORM 7
EXPERIENCE OF PROJECT MANAGER**

Solicitation Number: CLMP203

Project Name: Walnut Creek WWTP Optimization & Facility Plan

Firm Name:	
*Name of Project Manager:	
Current Years of Experience:	
Registration Number:	
Year of Registration:	

***[If licensed, list name as shown on registration with Texas Board of Professional Engineers (TBPE) or Texas Board of Architectural Examiners (TBAE)]**

(The following information is required for each project. Provide no more than one page per project. Refer to the Evaluation Criteria for the number of projects required and timeframe.)

Project Name/Location:	
Firm Name Work Performed Under:	
Year Completed:	
Construction Cost:	
Name of Client/Owner's Representative:	
Title of Client/Owner's Representative	
Address of Client/Owner's Representative:	
Phone number of Client/Owner's Representative:	
Project Description:	
Work performed by Individual:	
Add Another Project	



**FORM 8
EXPERIENCE OF PROJECT PROFESSIONAL**

Solicitation Number: CLMP203

Project Name: Walnut Creek WWTP Optimization & Facility Plan

Firm Name:	
*Name of Project Architect	
Current Years of Experience:	
Registration Number:	
Year of Registration:	

***[List name as shown on registration with Texas Board of Professional Engineers (TBPE) or Texas Board of Architectural Examiners (TBAE)]**

(The following information is required for each project. Provide no more than one page per project. Refer to the Evaluation Criteria for the number of projects required and timeframe.)

Project Name/Location:	
Firm Name Work Performed Under:	
Year Completed:	
Construction Cost:	
Name of Client/Owner's Representative:	
Title of Client/Owner's Representative:	
Address of Client/Owner's Representative:	
Phone number of Client/Owner's Representative:	
Project Description:	
Work performed by Individual:	
Add Another Project	



**FORM 9
EXPERIENCE OF PROJECT PRINCIPAL**

Solicitation Number: CLMP203

Project Name: Walnut Creek WWTP Optimization & Facility Plan

Firm Name:	
Project Principal	
Current Years of Experience	

(The following information is required for each project. Provide no more than one page per project. Refer to the Evaluation Criteria for the number of projects required and timeframe.)

Project Name/Location:	
Firm Name Work Performed Under:	
Year Completed:	
Construction Cost:	
Name of Client/Owner's Representative:	
Title of Client/Owner's Representative:	
Address of Client/Owner's Representative:	
Phone number of Client/Owner's Representative:	
Project Description:	
Work performed by Project Principal:	
Add Another Project	



FORM 10
PRIME FIRM'S COMPARABLE PROJECT EXPERIENCE

Solicitation Number: CLMP203

Project Name: Walnut Creek WWTP Optimization & Facility Plan

Firm Name:

(The following information is required for each project. Provide no more than one page per project. Refer to the Evaluation Criteria for the number of projects required and timeframe.)

Project 1	
Project Name/Location:	
Date Completed: Month/Year:	
Client or Owner's Representative	
Construction Cost:	
Project Description:	
Services Provided:	
Add Another Project	



FORM 11
MAJOR SCOPES OF WORK - COMPARABLE PROJECT EXPERIENCE

Solicitation Number: CLMP203

Project Name: Walnut Creek WWTP Optimization & Facility Plan

Scope of Work:	
Firm Name:	

(The following information is required for each project. Provide no more than one page per scope of work per firm. Refer to the Evaluation Criteria for the number of projects required and timeframe.)

Project 1	
Project Name/Location:	
Date Completed: Month/Year:	
Name of Client or Owner's Representative	
Construction Cost:	
Project Description:	
Services Provided:	
Add Another Project	

ATTACHMENT A-1



Austin Water Utility

FACILITY SECURITY PROCEDURE FOR CONTRACTORS

SP-1070

**Austin Water Utility
Water and Wastewater Treatment Plants,
Water Pump Stations and Reservoirs, and Lift Stations
Service Centers and Administration Buildings**

Facility Security Procedure for Contractors

SP-1070

Revision Record

Version	Date	Description- Affected Pages	Approved By
1	16 Sept 2014	Updated, included all facilities All pages	Rick Verardi Security Mgr.

FACILITY SECURITY PROCEDURE FOR CONTRACTORS

SP-1070

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1 SECURITY POLICY

Paramount to the Austin Water Utility is:

- The production and delivery of adequate supply of safe drinking water to all customers
- Uninterrupted collection of wastewater, without spills, and
- Adequate processing of wastewater to safely return to the environment.

The Utility shall provide high quality physical security at all its facilities and shall initiate, implement, enforce, and update as needed, specific rules and procedures to protect property, personnel, equipment, and material against unauthorized entry, trespass, damage, sabotage, or other acts that might threaten the security of essential facilities, the quality of the drinking water, or the quality of treated wastewater.

2 SECURITY PROCEDURE

2.1 PURPOSE

The purpose of this Procedure is to provide Contractors and Subcontractors with standard operating methods, directives and instructions in accordance with the Utility's mission to protect its assets.

2.2 SECURITY PROCEDURE MAINTENANCE

The maintenance and updating of this Facility Security Procedure is the responsibility of the Security Manager with input from the Treatment Program Division Managers and Facilities Management.

This Facility Security Procedure will be reviewed and updated at least yearly. A record of all revisions will be maintained at the front of all copies.

2.3 RESTRICTED AREA ACCESS POLICY

2.3.1 Unescorted Access

Unescorted access is granted to those individuals that have completed the "Application for Authorization to Enter Secured Austin Water Utility Facilities" (Appendix B) and clear the background security check. An Austin Water Utility technology badge or badge decal will be issued.

2.3.2 Escorted Access

Escorted access is allowed provided an Austin Water Utility employee, a City employee representing the Utility or the Contractor provides the escort. (The Contractor must have valid unescorted access to the site.) The "Application for Authorization to Enter Secured Austin Water Utility Facilities" (Appendix B) must be submitted at least **five (5) working days** prior to the first day that employee is to work on the secured site to allow for adequate review.

The exception to submitting Appendix B for unescorted access is for those that will be on site for a short period of time, usually under one hour, such as deliver drivers. All others on site must complete Appendix B and have an escort.

2.4 CONTRACTOR'S BASIC SECURITY RESPONSIBILITIES

2.4.1 Read-and-Follow Requirement

All Contractors and Subcontractors shall read and follow this Procedure. The Contractor's Project Manager and Site Superintendent, and all Subcontractors' on-site Supervisors will be required to sign the "" (Appendix A)

attesting to the fact that they have read and understood this Procedure. The “Contractor’s Acknowledgement” signed by the Contractor’s Project Manager and Site Superintendent shall be delivered to the Utility at the Pre-construction Conference, and before any access is permitted to the work site. The “Contractor’s Acknowledgement” signed by the Subcontractors’ Project Managers and Site Supervisors will be delivered to the Utility at least **two (2) weeks** before the Subcontractor requires access to the site.

All Contractor’s and Subcontractors’ employees are expected to be thoroughly knowledgeable in the contents of this Procedure. Contractors and Subcontractors shall instruct their employees on the provisions and requirements of this procedure and shall emphasize the importance of their compliance. Any person’s failure to follow any of the provisions or requirements of this Procedure shall be considered sufficient grounds for their immediate removal from the job site and loss of access privileges.

2.4.2 Basic Security Functions

The basic security functions of Contractors and Subcontractors shall center on the protection of water and wastewater quality, personnel, and the Utility’s and Contractors’ property. These basic functions will involve securing and monitoring the project site, controlling access, preventing unlawful entry, unlocking and locking buildings, and enforcing Utility rules, policies, procedures and directives.

Contractors and Subcontractors shall provide deterrence against fire, theft, vandalism, and trespass and shall assist in the elimination of safety hazards and security breaches. In some cases, Contractors and Subcontractors will be called upon to assist in the detection and detention of persons guilty of trespassing on or committing offenses on Utility property. Uniformed officers from the Austin Police Department and local Sheriffs’ Departments shall provide the enforcement support for criminal acts committed on Utility property.

Contractors and Subcontractors shall accurately report and record all transgressions and incidents.

2.5 APPLICATIONS FOR AUTHORITY TO ENTER FACILITIES, BACKGROUND SECURITY CHECKS AND IDENTIFICATION BADGES

2.5.1 Applications for Authority to Enter Facilities

The Contractor shall submit an “Application for Authorization to Enter Secured Austin Water Utility Facilities” (Appendix B) for each of their employees and their Subcontractors’ employees before that employee is allowed to enter the project site. All information requested on the application shall be provided, including required signatures. Each application submitted shall be an original document. Copies or facsimiles are not acceptable.

For “*Unescorted*” access, each application shall be accompanied by a complete background security check. Each employee’s application and background security check shall be submitted at least **five (5) working days** prior to the first day that employee is to work on the secured site to allow for adequate review of the documents. Each background check submitted shall be an original document. Copies or facsimiles are not acceptable.

2.5.2 Background Security Checks

The Contractor shall submit a “Criminal History Records Check Disqualifying Criminal Offenses” (Appendix C) and provide a current background security check for each of their employees and their Subcontractors’ employees, submitted along with the “Application for Authorization to Enter Secured Austin Water Utility Facilities” (Appendix B). The background check must be performed by either the United States Federal Government (FBI) or the Department of Public Safety from the employee’s home state (the state in which the employee resides and from whom they obtained their driver’s license or identification card). The background security check for a non-US citizen shall be performed by their native country’s national law-enforcement

agency (e.g. a Canadian citizen shall submit a background check performed by the Royal Canadian Mounted Police).

The results of each background check shall be dated and submitted as an original, certified official document from the agency performing the check, and shall bear all appropriate letterheads, seals, and signatures. The background check shall clearly indicate the agency performing the check and include their address and telephone number. Background checks performed less than one year prior to the subject Contract's Notice-to-Proceed will be acceptable. The results of background checks may be audited at any time.

2.5.3 Security Identification Badges

Austin Water Utility utilizes two methods of Security ID Badges

Technology Badge: This badge is issued to contractors working at a facility for a period of time exceeding thirty days (30) days that require "*Unescorted*" access to the buildings. Examples are the cleaning crew, security guards, and long-term non-AWU employees. Badges are given an **expiration date** set to expire at the End of Business on the last day of the contract.

AWU Badge Decal + Contract Company Supplied ID Badge: This combination is used by contractors working at a facility where access to the buildings is not required. Examples are contractors working on construction projects, remodeling projects, lawn service, etc. Security Identification Badges for employees of Contractors and Subcontractors shall be picture badges as approved by Facility or Treatment Program Division Managers and authorized by the Security Manager. Contractors shall provide a Security ID Badge for each of their employees and their Subcontractors' employees who require access to protected Utility facilities to perform their work. The facilities they may access shall be limited to those locations necessary for the performance of their contract. Contractors shall provide clear, plastic badge holders with an appropriate clip or lanyard that will protect the badge and allow it to be worn and displayed safely by employees on the outside of their clothing.

The Security ID Badge shall be made of durable plastic material with minimum dimensions of 2 1/8 inches by 3 3/8 inches, and shall show a clear, photographic image of the bearer, with a vertical facial image no less than 3/4 inches high. Each badge shall clearly display the first and last name of the employee and the Company he/she works for. A space at least 3/4 inch high and one inch wide shall be kept free of information and shall be reserved for the Utility to apply a permanent, access authorization decal.

The Austin Water Utility's Project Manager (or Public Works PM), Plant Division Manager or Superintendent shall supervise and control the application of the permanent decal authorizing the badge bearer to enter protected Utility facilities. Such authorization to enter protected facilities shall require a review of the background security check and approval from Security Management.

The permanent decal is valid for a **two year period**, for example, decals with "14" are valid for the year of 2014 and 2015 no matter when in 2014 or 2015 it was issued. As of January 1, 2016 a new background check is required prior to the issuance of a new decal.



Austin Water Utility 2014 Decal

If the construction project continues past the decals validation date, AND the bearer still requires access, the Utility may apply a new decal to the Security ID Badge without the need of a new background check. Consult with Security Management.

2.5.4 Identification Badge Control and Handling

All personnel on the job site shall wear the Security Identification Badge on the outside of their clothing, in the front, at or above their waist. Arm band ID holders are acceptable.

Security Identification Badge holders will take reasonable cares to protect their badge from unauthorized use. ID badge holders will not allow others to use their badge.

In the event that a Security Identification Badge holder discovers that their badge has been lost, the badge holder shall immediately report the loss to the Contractor's Site Superintendent, who will immediately report the loss to the AWU Project Manager, and to the AWU Plant Superintendent (at treatment plants) or the AWU Operation Manager at the South First Support Center (512-972-0502) (for pump stations and reservoirs).

2.5.5 Revoking Access Authorization

Authorization to enter and/or work on any Austin Water Utility site is at the sole discretion of the Utility and may be revoked at any time.

Authorization to enter secured Utility sites shall be revoked immediately for the following reasons:

- The badge holder ends their employment with the Contractor or Subcontractor
- The badge holder allows another person to use their badge, or the badge holder permits, or allows another person without a badge to enter a secured site.
- The badge holder acts without authorization to defeat any security device at any secured site.
- The badge holder's actions (or inaction) result(s) in damage to Utility facilities or threaten(s) the quality of the drinking water.
- The badge holder has been involved in a criminal action on site and has been determined as a threat to any persons or property at this site.

Personnel in the following positions may revoke Access Authorization:

- AWU Director and Assistant Directors for Treatment and for Engineering
- AWU Division Heads, Plant Superintendents, and Supervisors in the Treatment Program Area
- AWU Security Manager
- AWU and Consultant's Project Managers
- City of Austin Public Works Project Managers
- Contractor's Project Manager and Site Superintendent

If a person in one of the positions listed above ever believes that another person's Access Authorization should be immediately revoked to eliminate or mitigate a threat to site security or the security of the water, they shall contact the Project Manager or the Contractor's Site Superintendent. Any decal authorizing entry to Utility protected facilities shall be removed, and at the discretion of the Contractor, the badge taken from the person. The person shall be escorted from the work site.

2.6 FACILITY SECURITY AND ACCESS CONTROL

2.6.1 Access to Facilities

Access to Utility facilities shall be limited to:

- City of Austin Public Works or Austin Water Utility employees who possess appropriate unescorted access authorization by the Utility and have a valid Security Identification Badge.
- Contractor's and Subcontractors' employees who possess appropriate access authorization(s) and possess and wear a proper Utility-authorized Security Identification Badge. All Contractor's and Subcontractors' employees will follow Utility procedures while on the site.
- Contractor's or Subcontractors' supplier delivery personnel. Delivery personnel may be permitted access to complete material deliveries and will not be required to obtain a Security Identification Badge. Delivery personnel shall be closely escorted within the secured site by the Contractor's Site Superintendent and shall be permitted access only for the time required to unload the material being delivered. Under no circumstances will any delivery personnel be allowed to remain on site for longer than one hour. If delivery of any material or equipment is projected to require more than one hour's time, an "Application for Authorization to Enter Secured Water Treatment Facilities", complete Background Security Check, and Security Identification Badge will be required for all personnel associated with making that delivery.
- Visitors who have been authorized in advance, in writing, by the Plant Superintendent or Division Manager. (Persons who perform work on the site or deliver equipment or materials to the site are not considered to be visitors) Visitors who have been authorized such access will be closely escorted within the Utility facility by either a Utility employee who possesses the appropriate access authorization and Security Identification Badge, or the Contractor's Site Superintendent (who also possesses appropriate access authorization and Security Identification Badge). The Contractor shall maintain a Visitor Register to record all visits. The Visitor Register shall record the name of each visitor, their employer, citizenship, date of the visit, arrival and departure times, the purpose of visit and the name of the escort. This Visitor Register shall be made available at every project progress meeting and shall be delivered to the Utility Project Manager at the end of the project. Visitors do not require an ID badge.

2.6.2 Site Security Requirements

All Utility facilities shall be kept secure at all times. The following provisions, at a minimum shall be maintained:

- An eight-foot high perimeter fence shall be maintained without gaps or holes, with gate(s) locked with a tempered chain and padlock. A security guard may also be employed if desired by the Contractor or required by other sections of the Contract.
- All perimeter door(s) (if present) shall be locked and alarmed.
- Other installed security devices (if present) such as motion detectors, fence monitors and CCTV cameras shall be operational.
- All classified material (if present) within shall be properly stored.

During the Contractor's working hours, the Contractor's Site Superintendent shall maintain an active cellular telephone to enable the Utility's Plant Superintendent or the Central Security Operator to contact him/her in the event that a security alarm is triggered on the job site. If an alarm is triggered and the Plant Superintendent or the Central Security Operator is unable to contact the Contractor's Site Superintendent to ascertain the reason for the alarm, law enforcement officers will be summoned to the site.

At the beginning of each day that the Contractor or a Subcontractor performs work on a pump station or reservoir site, a Supervisor authorized by the Contractor (and previously identified to the pump station or reservoir Central Security Operator) shall open the security gate to the site as follows:

- Place a telephone call to the Central Security Operator (512-972-0502) before unlocking the gate.
- Identify themselves and advise the Central Security Operator that they are at the site entrance, identify where on the site they intend to work, and advise that they are about to open the gate. The Central Security Operator will disarm any alarms that might be triggered by the gate opening or by employees working in the areas identified. The Central Security Operator will advise the Supervisor placing the call when the alarms are disarmed.
- Unlock the gate, enter the site, and lock the gate or post a guard to assure that only authorized personnel wearing required, proper Security Identification Badges may enter.

At the end of every work day at a pump station or reservoir site, when the last employee has left the job site, the Contractor's Site Superintendent shall place a call to the Central Security Operator to advise that everyone has left the site, that the security gate is locked, and that the alarms should be rearmed.

2.6.3 Combinations and Key Controls

Knowledge of the combination of locks and access to any keys will be limited to designated individuals assigned to work in the associated facilities. All combinations will be changed regularly at times designated by the Division Manager, and whenever it is suspected the combination has been compromised.

Facility keys are cut to fit a number of cylinders. If a key shared with the Contractor is lost, all similar lock cylinders, whether present on the site or off the site, will be re-keyed by the Utility, at the expense of the Contractor.

2.6.4 Operation of Access-Controlled Doors at Remote Facilities

Entry to all remote facilities will be coordinated with the Central Security Operator. Many facilities include an access-control door. An access-control door may be used by authorized Security Identification Badge holders for entry and exit using the following procedure:

Entry procedure:

1. Contact the Central Security Operator (512-972-0502) and request permission to enter. Hang up the telephone.
2. The CSO will call back the person requesting to enter (on their previously authorized number) and verify the request.
3. The CSO will unlock the door or request that the person's Security Identification Badge be presented to the exterior card reader.
4. Unlock the deadbolt (if present)
5. Enter PIN
6. Open door
7. Enter
8. Close the door

Exit procedure:

1. Press crash bar
2. Open door
3. Exit
4. Close the door
5. Lock the deadbolt (if present)

6. Contact the CSO and request that the door be locked, advise them that the site's alarms need to be re-armed
7. The CSO shall lock the door and re-arm all alarm devices
8. The CSO shall call back and ask the requestor to verify that the door is locked

2.6.5 Tailgating

Tailgating is the entry of multiple individuals through an access-controlled door or gate without closing the door (or gate) between entries. Tailgating is allowed by authorized ID Badge holders provided that each presents their badge to the card reader or person controlling access prior to entry. Tailgating by unauthorized individuals or anyone not possessing an authorized ID Badge is not allowed.

APPENDIX A:

**CONTRACTOR'S ACKNOWLEDGEMENT
CITY OF AUSTIN WATER UTILITY
FACILITY SECURITY PROCEDURES FOR CONTRACTORS**

PROJECT NAME: _____

CIP/PROJECT NUMBER: _____

By signing this document, I acknowledge that I have received a copy of the Austin Water Utility's **SP-1070 FACILITY SECURITY PROCEDURE FOR CONTRACTORS** and that I have read it and understand its contents. Furthermore, I agree to follow all the provisions contained therein.

CONTRACTOR: _____

PROJECT MANAGER:

_____	_____
Print	Signature

SITE SUPERINTENDENT:

_____	_____
Print	Signature

SUBCONTRACTOR: _____

PROJECT MANAGER:

_____	_____
Print	Signature

SITE SUPERINTENDENT:

_____	_____
Print	Signature

SUBCONTRACTOR: _____

PROJECT MANAGER:

_____	_____
Print	Signature

SITE SUPERINTENDENT:

_____	_____
Print	Signature

APPENDIX C:

Criminal History Records Check Disqualifying Criminal Offenses

An individual has a disqualifying offense if the individual has been convicted of, or found not guilty of by reason of insanity, any of the disqualifying crimes listed in this paragraph in any jurisdiction during the 10 years before the date of the individual’s application for unescorted access authority, or while the individual has unescorted access authority. The disqualifying criminal offenses are as follows:

1	Felony involving burglary.	Yes <input type="checkbox"/>	No <input type="checkbox"/>	13	Murder.	Yes <input type="checkbox"/>	No <input type="checkbox"/>
2	Felony involving theft.	<input type="checkbox"/>	<input type="checkbox"/>	14	Assault with intent to murder.	<input type="checkbox"/>	<input type="checkbox"/>
3	Felony involving dishonesty, fraud, or misrepresentation.	<input type="checkbox"/>	<input type="checkbox"/>	15	Espionage.	<input type="checkbox"/>	<input type="checkbox"/>
4	Felony involving possession or distribution of stolen property.	<input type="checkbox"/>	<input type="checkbox"/>	16	Rape or aggravated sexual abuse.	<input type="checkbox"/>	<input type="checkbox"/>
5	Aggravated assault.	<input type="checkbox"/>	<input type="checkbox"/>	17	Kidnapping or hostage taking.	<input type="checkbox"/>	<input type="checkbox"/>
6	Felony involving bribery.	<input type="checkbox"/>	<input type="checkbox"/>	18	Treason.	<input type="checkbox"/>	<input type="checkbox"/>
7	Terrorist threat.	<input type="checkbox"/>	<input type="checkbox"/>	19	Felony involving dishonesty, fraud, or misrepresentation.	<input type="checkbox"/>	<input type="checkbox"/>
8	Armed or felony unarmed robbery.	<input type="checkbox"/>	<input type="checkbox"/>	20	Class A Criminal Mischief (500 or Above).	<input type="checkbox"/>	<input type="checkbox"/>
9	Felony involving willful destruction of property.	<input type="checkbox"/>	<input type="checkbox"/>	21	Criminal Trespass at Critical Infrastructure Facility.	<input type="checkbox"/>	<input type="checkbox"/>
10	Felony involving importation or manufacture of a controlled substance.	<input type="checkbox"/>	<input type="checkbox"/>	22	Burglary of Vehicle	<input type="checkbox"/>	<input type="checkbox"/>
11	Extortion.	<input type="checkbox"/>	<input type="checkbox"/>	23	Engaging in Organized Criminal Activity	<input type="checkbox"/>	<input type="checkbox"/>
12	Felony arson.	<input type="checkbox"/>	<input type="checkbox"/>	24	Conspiracy or attempt to commit any of the criminal acts listed on this page.	<input type="checkbox"/>	<input type="checkbox"/>

By signing below I certify that I do not have any of the above listed disqualifying criminal offenses.

Also signing below indicates my understanding that I have a continuing obligation under Title 49, CFR, Parts 1542.209 and 1544.229 to disclose to Austin Water Utility within 24 hours if I plead guilty or nolo contendere (“no contest”) to, have an adjudication withheld, have been convicted or found not guilty by reason of insanity to any of the disqualifying crimes listed on this application or the federal security regulations.

Also signing below indicates the information I have provided on this application is true, complete, and correct to the best of my knowledge and belief and is provided in good faith. I understand that a knowing and willful false statement on this application can be punished by fine or imprisonment or both. (See section 1001 of Title 18 United States Code.)

PRINT NAME

SIGNATURE

DATE