

REQUEST FOR QUALIFICATIONS

FOR

ISSUE DATE:

RESPONSES DUE:

PRIOR TO:

DELIVER TO:

**FSD-CP-CAPITAL CONTRACTING
PROFESSIONAL SERVICES**

ATTN:

**505 BARTON SPRINGS RD.,
STE 365
AUSTIN, TEXAS 78704**



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

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



REQUEST FOR QUALIFICATIONS

Solicitation Number: CLMP345

Project Name: Infrastructure Energy Savings Assessment and Retrofit

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 Financial Services Department (FSD) Capital Contracting division, is requesting Statements of Qualifications (SOQs) for the selection of engineering services for the above-noted project.

Submittals may be turned in at the FSD-Capital Contracting located at 505 Barton Springs Road, Suite 365, Austin, TX 78704, or submitted electronically (see Attachment 1 Submitting Offers Using eResponse).

ALL SUBMITTALS ARE DUE ON: January 5, 2023 @ 2:00 PM CST

IN PERSON SUBMITTALS WILL BE RECEIVED AT 505 BARTON SPRINGS ROAD, SUITE 365 BETWEEN 10:00AM AND 2:00PM CST ATTENTION: DURRELL MCDANIEL, SUBMITTALS MUST BE AT SUITE 365, PRIOR TO 2:00PM CST. IF FIRMS CHOOSE TO USE A COURIER SERVICE, SAME REQUIREMENTS APPLY.

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 365** Reception Area is the time of record and is verified with www.time.gov, the Official U.S. time. *The time of record for those electronically submitted is the time received in Austin Finance Online.* 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 April 2023. Contract execution is anticipated for June 2023.

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://financeonline.austintexas.gov/afo/afo_content.cfm?s=17

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, or this non-discrimination and non-retaliation policy, which has been adopted by the consultant for all purposes may be considered the consultant's non-discrimination and non-retaliation policy without the requirement of a separate submittal.

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 \$500,000.00 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 Thursday, December 8, 2022 at 10:00 CST via MS Teams [CLICK THE LINK TO ACCESS THE MEETING](#) or conference number (512-831-7858), Conference ID: 179-828-113#**. 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 required; however, meeting minutes will not be issued.

Thank you for your interest in this RFQ, for more information about this solicitation or others issued by this office, please visit us at:

https://financeonline.austintexas.gov/afo/afo_content.cfm?s=17

To obtain the complete RFQ packet, look for CLMP**345** under open solicitations and view the attachments.

AUTHORIZED CONTACT PERSONS

Procurement Specialist IV: Durrell McDaniel

Telephone: 512-974-2642

Email: durrell.mcdaniel@austintexas.gov

MBE/WBE Business Development Counselor: Veronica Hawkins

Telephone: 512-974-7639

Email: Veronica.Hawkins@austintexas.gov

Project Manager: Marrilee Archer

Telephone: 512-974-2011

Email: Marrilee.Archer@austintexas.gov

END



ATTACHMENT 1

Capital Contracting Office

How to Submit Offers Online

eResponse Instructions

Revised: 09/21/2021

Submitting Offers online using eResponse

(Only available for IFB, RFP and RFQS Solicitations)

Internet Explorer is not supported – please use Chrome, Edge or Firefox

1. **Create an eResponse.** Find the Solicitation you wish to respond to in Austin Finance Online (AFO), located at: https://financeonline.austintexas.gov/afo/account_services/solicitation/solicitations.cfm. If the Solicitation includes the “eResponse” function, it will have a “My Response” section in the Solicitation’s Detail page. Click on “Create Response” to start an eResponse (Fig. 1).

SOLICITATION DETAILS

Type: Invitation For Bids (IFB)
Status: Open
Solicitation Number: IFB 2200 WJT1006
Description: Fire Hydrant Repair Parts
Summary: The City of Austin (City) seeks to establish a contract with a qualified Contractor(s) to provide fire hydrant repair parts. The repair parts shall be utilized for repair of fire hydrants throughout the City.

My eResponse

To begin creating a Response to this Solicitation, click the "Create Response" button below.

See the Solicitation documents in the Attachments section below for further instructions on developing and submitting your Response.

Create Response

(Fig. 1)

- a. To create, edit, or submit an eResponse, you must be logged in to your vendor account as the primary contact.

You are eligible to submit an eResponse after creating a user account and providing the business information of your organization. If selected for award, you must complete and submit your registration for approval.

Register Here: https://financeonline.austintexas.gov/afo/afo_content.cfm?s=17

If you are not the primary contact of your account, the Create Response button will not appear after you have logged in. Please contact Vendor Registration for assistance at vendor@austintexas.gov, and inform them that you are unable to submit an eResponse.

- b. If you click on “Create Response” but you have not yet logged into AFO, the system will redirect you to a login screen (Fig. 2). Once you have logged into AFO, the system will take you back to the Solicitation.



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How to Submit Offers Online

eResponse Instructions

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AUSTIN FINANCE ONLINE

FINANCIAL DOCUMENTS STRATEGIC PLAN CHECKBOOK UNCLAIMED PROPERTY PROCUREMENT

ACCOUNT LOGIN

Username

Password

Login

Don't remember your username? [Retrieve your username](#)

Forgot your password? [Reset your password](#)

Don't have an account yet? [Create an account](#)

(Fig. 2)

- c. Once you click “Create Response”, you will now see a Response ID, Vendor Name, the date and time that you created your eResponse, the date and time you last revised your eResponse and the status of your eResponse, which should be “DRAFT” initially. The field at the top of the section will be shaded red and will list the types of documents that are required to submit your eResponse. Please refer to the solicitation instructions for a list of all required documents for that solicitation. If you make a mistake or attempt to add an unsupported file, an error message will appear in this red field (Fig. 3).

My eResponse

- Price Offer document is required.
- Offer and Certifications document is required.

| Response ID | Vendor | Created | Last Revised | Status |
|-------------|-------------------|----------------------|----------------------|--------|
| 740 | TEST VENDOR2 - TC | 05/14/2020, 02:06 PM | 05/14/2020, 02:06 PM | DRAFT |

+ Add Files

Filename Type

Delete eResponse

(Fig. 3)



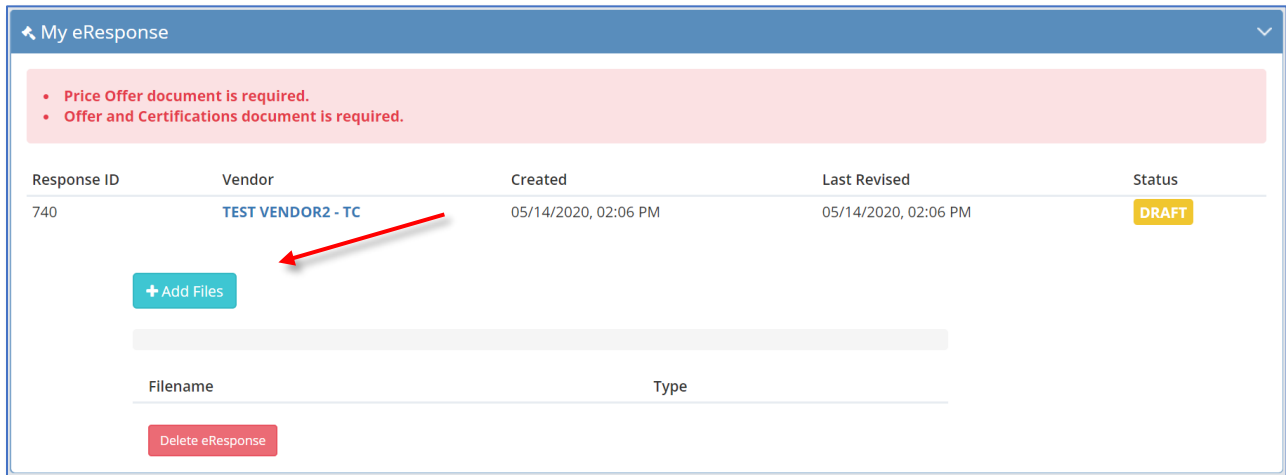
Capital Contracting Office

How to Submit Offers Online

eResponse Instructions

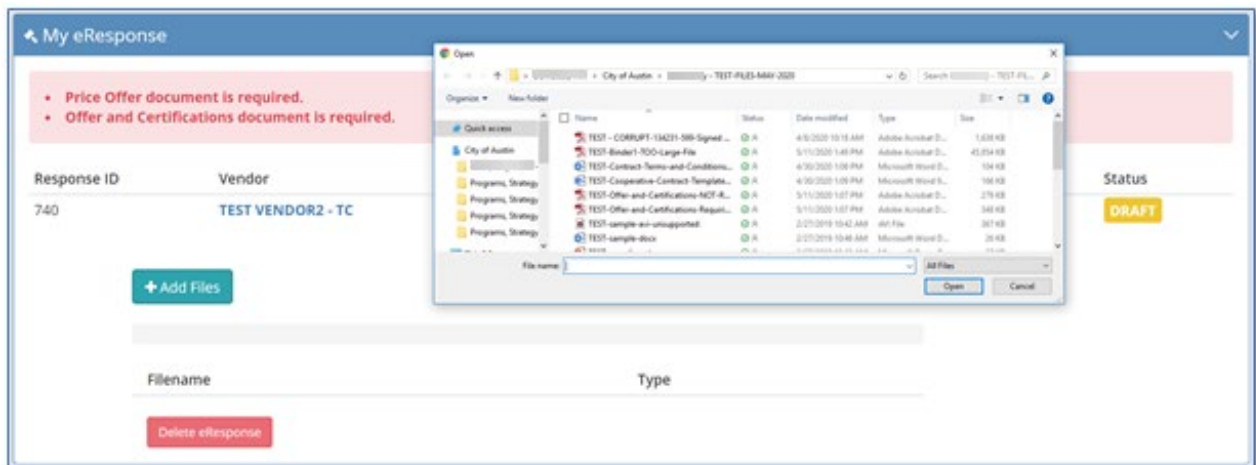
Revised: 09/21/2021

2. **Adding Files to Your eResponse.** To upload files to your eResponse, click on the blue “+ Add Files” button (Fig. 4).



(Fig. 4)

- a. After clicking the “+ Add Files” button, a pop-up window will open displaying files on your computer (Fig. 5).



(Fig. 5)

- b. Navigate on your computer to where your files are located. Select the file or files you wish to upload and click “Open”. The blue indicator bar moving from left to right will show your file being uploaded (Fig. 6)



Capital Contracting Office

How to Submit Offers Online

eResponse Instructions

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The screenshot shows the 'My eResponse' interface. At the top, a red notice box contains two bullet points: 'Price Offer document is required.' and 'Offer and Certifications document is required.' Below this is a table with columns: Response ID, Vendor, Created, Last Revised, and Status. A single row is visible for Response ID 740, Vendor TEST VENDOR2 - TC, Created 05/14/2020, 02:06 PM, Last Revised 05/14/2020, 02:23 PM, and Status DRAFT. Below the table, there is a '+ Add Files' button, a progress bar for '74% TEST-Offer-and-Certifications-Requiring-Council-Approval.pdf', and a 'Delete eResponse' button.

(Fig. 6)

c. Repeat this step to add additional files to your eResponse.

3. **File Types Accepted.** The eResponse functionality in AFO accepts the following electronic file types (Fig. 7). Please note that your Price Offer cannot be in a .ZIP file format. It is recommended that your Price Offer be in a .XLS or .XLSX file format.

| | | |
|-------|------|-------|
| .PDF | .DOC | .DOCX |
| .TXT | .ZIP | .XLS |
| .XLSX | | |

(Fig. 7)

- a. **Only use numbers, letters, underscore, period, spaces and hyphens in your file names. No special characters. A warning message will display in the red notice box and the file will not be accepted.**
4. **Number and Size of Files Allowable.** AFO accepts no more than twenty five (25) files in an eResponse. eResponse will not accept a single file greater than 40 MB.
5. **eResponse Only Accepts One Submission per Vendor per Solicitation.** If alternate offers are being accepted, you will need to submit those along with your primary submission. Alternates can be multiple pages in a single "Price Offer" file or uploaded as a separate document by selecting "Other" from the drop down.
6. **Identify Your Files.** As you add files, you will see a dropdown menu to the right of the Filename, under "Type". Use this dropdown menu to select the appropriate type of file. (Fig. 8).

Your "DRAFT" response must be changed to "SUBMITTED" in the eResponse system prior to the date and time stated in the solicitation documents. Do not wait until the last few minutes to submit your Response as it takes time for the "DRAFT" to go through and be accepted as "SUBMITTED" by the system. Responses that are still in "DRAFT" status by the Solicitation's Due Date and Time will not be received by the City.



Capital Contracting Office

How to Submit Offers Online

eResponse Instructions

Revised: 09/21/2021

- a. **For Invitations for Bids (IFB) and Indefinite Deliverable Indefinite Quantities (IDIQ) solicitations, the following files must be included:**
- Select the "Offer and Certifications" type for the file which contains a copy of your **Bid Guaranty**. You can only identify one (1) file as your "Offer and Certifications."
 - Select "Price Offer" type to identify the file that includes your **Total Bid Form** submission. The Total Bid Form is included in the solicitation documents, referenced in the solicitation Table of Contents, and is also available at: <http://www.austintexas.gov/page/bid-docs>. You can only identify one (1) file as your "Price Offer." **Please only submit the Total Bid Form with your "Price Offer" and do not submit any other documents for this category. Everything submitted in this category will be displayed on eResponse and will be accessible to the public after the bid due date and time.**
 - Select "Compliance Plan" type to identify the file that includes your **MBE/WBE or DBE Compliance Plan and any Good Faith Effort documentation**. You can identify multiple files as "Compliance Plan" types.
 - Select the "Technical Offer" type to identify the file that includes a copy of your **signed Section 00300 Bid Form**.
 - You will not be able to submit your eResponse if you have not identified at least one file as "Offer and Certification" and another as "Price Offer". Once you do, the red warning bar across the top of the My eResponse section will turn blue and read "Your eResponse is ready for submission".
- b. **For Competitive Sealed Proposals (CSP) solicitations, the following files must be included:**
- Select the "Offer and Certifications" type for the file which contains a copy of your **Proposal Guaranty**. You can only identify one (1) file as your "Offer and Certifications."
 - Select "Price Offer" type to identify the file that includes your **Total Proposal Form** submission. The Total Proposal Form is included in the solicitation documents as referenced in the solicitation Table of Contents. You can only identify one (1) file as your "Price Offer." **Please only submit the Total Proposal Form with your "Price Offer" and do not submit any other documents for this category. Everything submitted in this category will be displayed on eResponse and will be accessible to the public after the proposal due date and time.**
 - Select "Compliance Plan" type to identify the file that includes your **MBE/WBE or DBE Compliance Plan and any Good Faith Effort documentation (Section 00101CSP Evaluation Criteria Item 1)**. You can identify multiple files as "Compliance Plan" types.
 - Select the "Technical Offer" type to identify the file that includes a copy of your **Proposal Responses to Section 00101CSP Evaluation Criteria Items 2-12**.



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How to Submit Offers Online

eResponse Instructions

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- v. You will not be able to submit your eResponse if you have not identified at least one file as "Offer and Certification" and another as "Price Offer". Once you do, the red warning bar across the top of the My eResponse section will turn blue and read "Your eResponse is ready for submission".
- i.

c. For Construction Manager at Risk Requests for Proposals (RFP), the following files must be included:

- i. Select the "Offer and Certifications" type for the file which contains your signed Request for Proposal. You can only identify one (1) file as your "Offer and Certifications." Your Request for Proposal include all required documents in Section 00101CMR.
- ii. Select "Price Offer" type to identify your price submission. You can only identify one (1) file as your "Price Offer." *Please note, this submission becomes publicly available on the Closed Solicitations page of Austin Finance Online once solicitations have been opened. Any documents that are not related to your price submission should not be included in the same document file as your "Price Offer". For this reason, your Price Offer cannot be in a .ZIP file format. It is recommended that your Price Offer be in a .XLS or .XLSX file format. Please provide all non-price related documents in a separate upload from your "Price Offer" and categorize it appropriately. The City of Austin is not responsible for the inadvertent release of any proprietary information included in a Price Offer document.
- iii. Select "Compliance Plan" type to identify the file that includes your compliance plan and any Good Faith Effort documentation. You can identify multiple files as "Compliance Plan" types.
- iv. You will not be able to submit your eResponse if you have not identified at least one file as "Offer and Certification" and another as "Price Offer". Once you do, the red warning bar across the top of the My eResponse section will turn blue and read "Your eResponse is ready for submission".

d. For Professional Services Agreements (PSA) Requests for Qualifications Statements (RFQS), the following files must be included:

- i. Select the "Offer and Certifications" type for the file which contains your signed Statement of Qualifications. You can only identify one (1) file as your "Offer and Certifications". Your Statement of Qualifications includes all required documents in the Request for Qualifications Section of the solicitation including signed Form 1 and responses to each of the Evaluation Criteria Items, including Forms 5-9.
- ii. Select "Compliance Plan" type to identify the file that includes your compliance plan and any Good Faith Effort documentation. You can identify multiple files as "Compliance Plan" types.
- iii. You will not be able to submit your eResponse if you have not identified at least one file as "Offer and Certification" and another as "Price Offer". Once you do, the red warning bar across the top of the My eResponse section will turn blue and read "Your eResponse is ready for submission".



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How to Submit Offers Online

eResponse Instructions

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- e. For Design Build (DB) Requests for Qualifications Statements (RFQS), the following files must be included:
- Select the “Offer and Certifications” type for the file which contains your signed Statement of Qualifications. You can only identify one (1) file as your “Offer and Certifications”. Your Statement of Qualifications includes all required documents in Section 00101DB.
 - Select “Compliance Plan” type to identify the file that includes your compliance plan and any Good Faith Effort documentation. You can identify multiple files as “Compliance Plan” types.
 - You will not be able to submit your eResponse if you have not identified at least one file as “Offer and Certification”. Once you do, the red warning bar across the top of the My eResponse section will turn blue and read “Your eResponse is ready for submission”.

The screenshot shows the 'My eResponse' interface. At the top, there is a blue header bar with the text 'My eResponse' and a dropdown arrow. Below the header, a red warning bar contains two bullet points: 'Price Offer document is required.' and 'Offer and Certifications document is required.' Below the warning bar, there is a table with the following columns: Response ID, Vendor, Created, Last Revised, and Status. The table contains one row with the following data: Response ID 1562, Vendor AMS TEST VENDOR, Created 08/05/2020, 08:12 AM, Last Revised 08/05/2020, 08:16 AM, and Status DRAFT. Below the table, there is a '+ Add Files' button. Below the button, there is a list of files with columns for File Name and Type. The files are: Addendum.docx, Compliance-Plan.pdf, Offer-and-Certifications.doc, and Price-Offer.doc. The Type column for each file has a dropdown menu. The dropdown menu for Price-Offer.doc is open, showing the following options: Price Offer, Offer and Certifications, Compliance Plan, Technical Offer, and Other. The Price Offer option is highlighted in blue. Below the list of files, there is a 'Delete eResponse' button.

| Response ID | Vendor | Created | Last Revised | Status |
|-------------|-----------------|----------------------|----------------------|--------|
| 1562 | AMS TEST VENDOR | 08/05/2020, 08:12 AM | 08/05/2020, 08:16 AM | DRAFT |

| File Name | Type |
|------------------------------|-----------------|
| Addendum.docx | Technical Offer |
| Compliance-Plan.pdf | Technical Offer |
| Offer-and-Certifications.doc | Technical Offer |
| Price-Offer.doc | Price Offer |

(Fig. 8)

7. **Submitting your eResponse.** Once you have uploaded and identified the types of all the files you need to for your eResponse, the field at the top of the section will turn blue and read “**Your eResponse is ready for submission**”. Click the “Submit eResponse” button (Fig. 9).



Capital Contracting Office

How to Submit Offers Online

eResponse Instructions

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My eResponse

Your eResponse is ready for submission.

| Response ID | Vendor | Created | Last Revised | Status |
|-------------|-----------------|----------------------|----------------------|--------|
| 1562 | AMS TEST VENDOR | 08/05/2020, 08:12 AM | 08/05/2020, 08:20 AM | DRAFT |

+ Add Files

| File Name | Type |
|------------------------------|--------------------------|
| Addendum.docx | Other |
| Compliance-Plan.pdf | Compliance Plan |
| Offer-and-Certifications.doc | Offer and Certifications |
| Price-Offer.doc | Price Offer |

Submit eResponse Delete eResponse

(Fig. 9)

- a. After you click the “Submit eResponse” button, the field at the top of the section will turn green and it will display your unique eResponse submission number and the date and time your eResponse was submitted. This field will also display two links to the “My eResponse page” and to a PDF copy of your submission receipt (Fig.10). An automated confirmation email will be sent to you with your eResponse information (Fig. 11).

My eResponse

eResponse 1562 submitted 08/05/2020 08:23 AM

My eResponse Receipt
Visit my eResponse history page.

| Response ID | Vendor | Created | Last Revised | Status |
|-------------|-----------------|----------------------|---------------------|-----------|
| 1562 | AMS TEST VENDOR | 08/05/2020, 08:12 AM | 08/05/2020 08:23 AM | SUBMITTED |

| File Name | Type |
|------------------------------|--------------------------|
| Addendum.docx | Other |
| Compliance-Plan.pdf | Compliance Plan |
| Offer-and-Certifications.doc | Offer and Certifications |
| Price-Offer.doc | Price Offer |

Edit / Withdraw eResponse

(Fig. 10)



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eResponse Instructions

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IFB 7400 TEST9915 : Your Response Has Been Submitted



eresponse@austintexas.gov
To [redacted]

Reply Reply All Forward ...

Fri 10/9/2020 12:25 PM

IFB 7400 TEST9915

Your response to IFB 7400 TEST9915 has been submitted. Your eResponse ID is 2356.

| Details | |
|--------------------------|------------------------------|
| Solicitation ID | 134841 |
| eResponse ID | 2356 |
| Submitted | 10/09/2020 12:25 PM |
| Vendor Name | TEST VENDOR2 |
| Vendor Customer Code | TES8304588 |
| File List | |
| Price Offer | Price-Offer.doc |
| Offer and Certifications | Offer-and-Certifications.doc |
| Other | Addendum.docx |

For assistance please email vendor@austintexas.gov and visit [Vendor Help](#).

(Fig. 11)

- b. You can return to the Solicitation or your eResponse through the Response History page, or by navigating directly to the solicitation through the Open Solicitations page in AFO. When you return to the Solicitation, you will notice that your Status (upper right corner of the My eResponse section) will say "SUBMITTED". Your Last Revised date and time will update to the date and time you clicked on the "Submit" button.
 - c. If you start an eResponse and don't click "Submit eResponse", your eResponse will stay in "DRAFT" status. Before the Solicitation's Due Date and Time, you can navigate back to your draft eResponse and submit it.
 - d. eResponses that are still in "DRAFT" status at the Solicitation's Due Date and Time will not be received by the City.
- 8. Withdrawing or changing an eResponse after it has been submitted.** Prior to the Solicitation's Due Date and Time, you may withdraw or modify your eResponse. Click on the "Edit/Withdraw eResponse" button (Fig. 12). A pop-up window will appear listing your eResponse ID number and asking if you are sure you want to move your eResponse back to draft. You may select "Yes / Withdraw" to move your eResponse back to draft, or "No / Cancel" to leave your eResponse submitted (Fig. 13).



Capital Contracting Office

How to Submit Offers Online

eResponse Instructions

Revised: 09/21/2021

My eResponse

eResponse 1562 submitted 08/05/2020 08:23 AM

My eResponse Receipt
 Visit my eResponse history page.

| Response ID | Vendor | Created | Last Revised | Status |
|-------------|-----------------|----------------------|---------------------|-----------|
| 1562 | AMS TEST VENDOR | 08/05/2020, 08:12 AM | 08/05/2020 08:23 AM | SUBMITTED |

| File Name | Type |
|------------------------------|--------------------------|
| Addendum.docx | Other |
| Compliance-Plan.pdf | Compliance Plan |
| Offer-and-Certifications.doc | Offer and Certifications |
| Price-Offer.doc | Price Offer |

[Edit / Withdraw eResponse](#)

(Fig. 12)

eResponse Withdrawal

You are withdrawing eResponse No. **1562**

In doing so you are moving your eResponse back into DRAFT status, where you may edit, submit or delete your eResponse. If you intend to submit your eResponse later, you must do so before the solicitation's due date and time. eResponses that are still in in DRAFT status at the solicitation's due date and time cannot be edited, submitted or deleted, and will not be considered. Are you sure you want to withdraw your eResponse?

[Yes / Withdraw](#) [No / Cancel](#)

(Fig. 13)



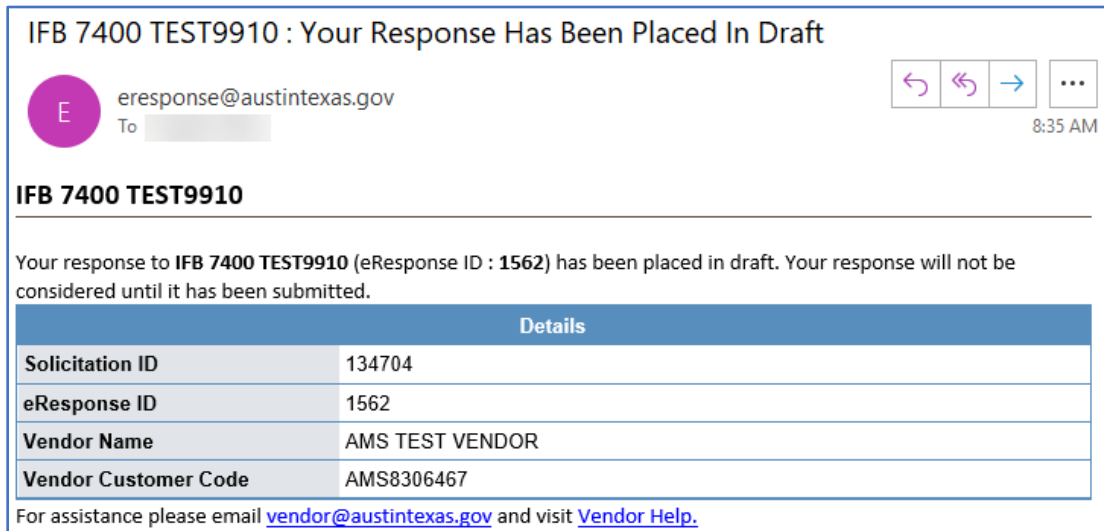
Capital Contracting Office

How to Submit Offers Online

eResponse Instructions

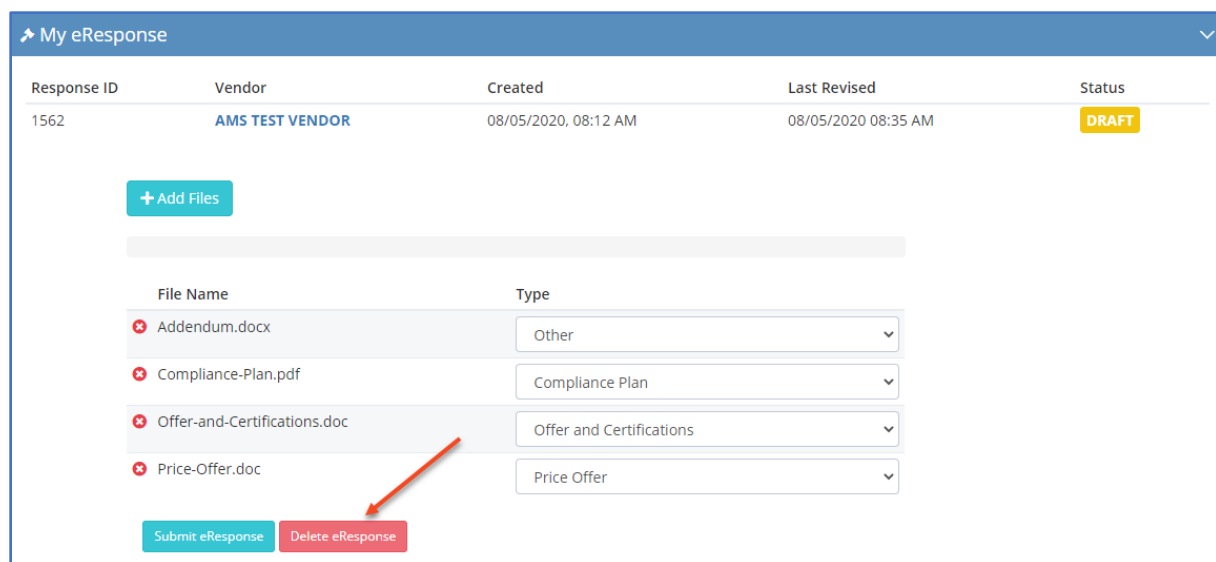
Revised: 09/21/2021

- a. If you select “Yes / Withdraw”, then you will receive an automated confirmand email indicating that your eResponse will not be considered until it has been submitted (Fig. 14).



(Fig. 14)

- b. While your eResponse is in draft, you can add files, delete individual files or delete the entire eResponse.
- To delete the entire eResponse, click the red “Delete eResponse” button at the bottom of the “My eResponse” section. A pop-up window will appear listing your eResponse ID number and asking if you are sure you want to delete. You may select “Cancel” to leave your eResponse in draft, or “Delete” to delete your eResponse permanently (Fig. 15).



(Fig. 15)



Capital Contracting Office

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eResponse Instructions

Revised: 09/21/2021

- ii. To delete individual files within an eResponse, click the red circle with the white "X" to the left of the file you wish to delete (Fig. 16).

My eResponse

| Response ID | Vendor | Created | Last Revised | Status |
|-------------|-----------------|----------------------|---------------------|--------|
| 1562 | AMS TEST VENDOR | 08/05/2020, 08:12 AM | 08/05/2020 08:35 AM | DRAFT |

[+ Add Files](#)

| File Name | Type |
|--|--------------------------|
| X Addendum.docx | Other |
| X Compliance-Plan.pdf | Compliance Plan |
| X Offer-and-Certifications.doc | Offer and Certifications |
| X Price-Offer.doc | Price Offer |

[Submit eResponse](#) [Delete eResponse](#)

(Fig. 16)

8. **Response History Page.** You can access your "Response History" page anytime from User Dashboard. Click on your username in the upper right corner of AFO. A pop-up window will appear. Click on "Home". From this page, select "Response History" from the menu on the left. You can see the eResponse ID; Solicitation Number; Solicitation Description; Last Revised date; Close Date and; Status of each solicitation for which you have created an eResponse. By clicking on the link in the solicitation number you can return to the Solicitation Details page and, if the solicitation has not closed, make edits to your eResponse (Fig. 17).

AUSTIN FINANCE ONLINE

FINANCIAL DOCUMENTS | STRATEGIC PLAN | CHECKBOOK | UNCLAIMED PROPERTY | PROCUREMENT | HOTEL/STR

RESPONSE HISTORY

AMS8306467
AMS8306467

Account

- Home
- Contact/Password
- Vendor Information
- Business
- Response History**
- Addresses
- NAICS Codes

Online Responses

| eResponse ID | Solicitation Number | Solicitation Description | Last Revised | Close Date | Status | Receipt |
|--------------|---------------------|--|---------------------|---------------------|-----------|---------|
| 1562 | IFB 7400 TEST9910 | TEST SOLICITATION - IFB | 08/05/2020 08:42 AM | 08/18/2020 12:00 AM | Submitted | |
| 1249 | RFQS 1100 TVN4000 | Impartial Hearing Examiner for 2020 Rate Case | 06/17/2020 10:46 AM | 06/30/2020 12:00 AM | Expired | |
| 967 | RFQS 7400 TEST7702 | TEST SOLICITATION - RFQS | 05/17/2020 05:56 PM | 05/29/2020 12:00 AM | Expired | |
| 645 | IFB 7400 TEST9907 | TEST SOLICITATION | 04/09/2020 03:25 PM | 04/10/2020 12:00 AM | Submitted | |
| 641 | IFB 1100 JMF1008 | Industrial Gases, Pressure Vessels, & Pressure Vessel Maint. | 04/09/2020 03:05 PM | 04/30/2020 12:00 AM | Expired | |
| 634 | IFB 7400 TEST9906 | TEST SOLICITATION | 04/08/2020 09:50 AM | 04/10/2020 12:00 AM | Submitted | |
| 569 | IFB 7400 TEST9905 | TEST SOLICITATION 1/3 | 04/01/2020 01:28 PM | 04/01/2020 12:00 AM | Submitted | |
| 282 | IFB 7400 TEST9895 | TEST SOLICITATION 1/1 - SEPTEMBER | 10/03/2019 10:17 AM | 10/04/2019 12:00 AM | Expired | |
| 244 | IFB 7400 TEST9893 | TEST SOLICITATION 1/1 - AUGUST | 09/09/2019 03:12 PM | 09/13/2019 12:00 AM | Expired | |
| 64 | IFB 7400 TEST9876 | TEST SOLICITATION 7/16 | 03/08/2019 02:21 PM | 03/08/2019 12:00 AM | Submitted | |
| 49 | IFB 7400 TEST9877 | TEST SOLICITATION 8/16 | 03/08/2019 11:33 AM | 03/08/2019 12:00 AM | Submitted | |
| 47 | IFB 7400 TEST9875 | TEST SOLICITATION 6/16 | 03/08/2019 11:35 AM | 03/08/2019 12:00 AM | Submitted | |

(Fig. 17)



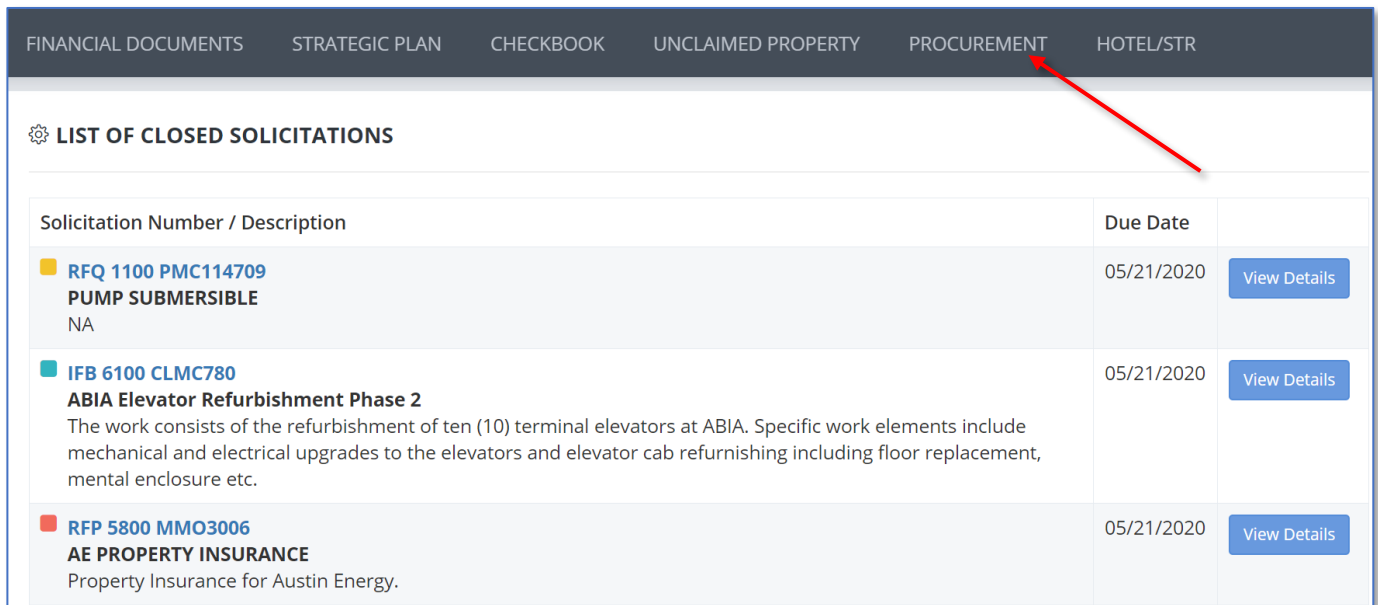
Capital Contracting Office




How to Submit Offers Online

eResponse Instructions

Revised: 09/21/2021

9. **Bid Opening – Closed Solicitation Page.** The “Closed Solicitation” page serves as the bid opening for all eResponse Submissions. Vendors who submit through eResponse will not hear their name called during the Purchasing Office’s live bid opening webcast. Instead, they should navigate to the “Closed Solicitations” page to see a list of vendors who responded. The “Closed Solicitations” page is accessible through the Procurement dropdown of the AFO menu bar (Fig. 18).



| FINANCIAL DOCUMENTS STRATEGIC PLAN CHECKBOOK UNCLAIMED PROPERTY PROCUREMENT HOTEL/STR | | |
|---|------------|------------------------------|
| LIST OF CLOSED SOLICITATIONS | | |
| Solicitation Number / Description | Due Date | |
|  RFQ 1100 PMC114709 PUMP SUBMERSIBLE NA | 05/21/2020 | View Details |
|  IFB 6100 CLMC780 ABIA Elevator Refurbishment Phase 2 The work consists of the refurbishment of ten (10) terminal elevators at ABIA. Specific work elements include mechanical and electrical upgrades to the elevators and elevator cab refurbishing including floor replacement, mental enclosure etc. | 05/21/2020 | View Details |
|  RFP 5800 MMO3006 AE PROPERTY INSURANCE Property Insurance for Austin Energy. | 05/21/2020 | View Details |

(Fig. 18)

- a. A list of responding vendors will be visible on the “Closed Solicitation” page approximately one hour after the solicitation closes. For IFB solicitations, the Price Offer documents for each vendor will also be visible (Fig. 19).



| Responses | | |
|----------------------------------|-------------------|--------------------------------------|
| Vendor Name | Doing Business As | File Name |
| SEFBO Pipeline Bridge, Inc. | | Price Offer Document |
| MUNIZ CONCRETE & CONTRACTING INC | | Price Offer Document |
| Ayan Tayo Ayanlola | TAA GROUP | Price Offer Document |

(Fig. 19)

For assistance with the eResponse system please email Vendor@austintexas.gov



INSTRUCTIONS TO CONSULTANTS

Solicitation Number: CLMP345

Project Name: Infrastructure Energy Savings Assessment and Retrofit

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):

Proposals may be submitted electronically in Austin Finance Online. Refer to attached "eResponse, Attachment 1 Submitting Proposals in Austin Finance Online".

OR

Please submit **one (1) original, stamped "ORIGINAL" and one (1) electronic copy on flash drive** of the RFQ response. Sections should be divided by tabs for ease of reference. The City 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".

Wherever used, "page" refers to single-sided, single-spaced, 10 point minimum font on 8 ½ x 11 inch pages.

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

- b. **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.
- c. **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. References to Purchasing Officer in these instructions are referring to the City's Chief Procurement Officer.

- d. Anti-Lobbying and Procurement.** Article 6, Chapter 2-7, City Code, repealed and replaced effective on June 25, 2018, prohibits lobbying activities or representations by respondents or offerors during the No Lobbying Period as defined in the Ordinance. The text of the City Ordinance is posted on the Internet at:

https://assets.austintexas.gov/purchase/downloads/New_ALO_Ordinance_No_20180614-056.pdf

1. FINDINGS; PURPOSE.

- (A) The council finds that persons who enter a competitive process for a city contract voluntarily agree to abide by the terms of the competitive process, including the provisions of this article.
- (B) The council finds that it is in the City's interest:
 - (i) to provide the most fair, equitable, and competitive process possible for selection among potential vendors in order to acquire the best and most competitive goods and services; and
 - (ii) to further compliance with State law procurement requirements.
- (C) The council intends that:
 - (i) each response is considered on the same basis as all others; and
 - (ii) respondents have equal access to information regarding a solicitation, and the same opportunity to present information regarding the solicitation for consideration by the City.

2. APPLICABILITY.

- (A) This article applies to all solicitations except:
 - (i) City social service funding;
 - (ii) City cultural arts funding;
 - (iii) federal, state or City block grant funding;
 - (iv) the sale or rental of real property;
 - (v) interlocal contracts or agreements; and
 - (vi) solicitations specifically exempted from this article by council.
- (B) Absent an affirmative determination by the council, the purchasing officer has the discretion to apply this article to any other competitive process.
- (C) City Code Section 1-1-99 (*Offenses; General Penalty*) does not apply to this article.

3. DEFINITIONS.

In this article:

- (A) AGENT means a person authorized by a respondent to act for or in place of

the respondent in order to communicate on behalf of that respondent. Each of the following is presumed to be an agent:

- (i) a current full-time or part-time employee, owner, director, officer, member, or manager of a respondent;
- (ii) a person related within the first degree of consanguinity or affinity to a current fulltime or part-time employee, owner, director, officer, member, or manager of a respondent;
- (iii) a person related within the first degree of consanguinity or affinity to the respondent, if a respondent is an individual person; and Section 0200 V2, Solicitation Instructions 4 Rev. 06-26-2018
- (iv) a lobbyist, attorney, or other legal representative of the respondent that has been retained by the respondent with respect to the subject matter of either the solicitation or the respondent's response to the solicitation.

(B) AUTHORIZED CONTACT PERSON means a City employee designated in a City solicitation as the point of contact for all purposes for that solicitation.

(C) CITY EMPLOYEE is defined in Section 2-7-2 (*Definitions*), and further includes an independent contractor hired by the City with respect to the solicitation.

(D) CITY OFFICIAL is defined in Section 2-7-2 (*Definitions*).

(E) NO-LOBBYING PERIOD means the period of time beginning at the date and time a solicitation is published and continuing through the earliest of the following:

- (i) the date the last contract resulting from the solicitation is signed;
- (ii) 60 days following council authorization of the last contract resulting from the solicitation; or
- (iii) cancellation of the solicitation by the City

(F) PURCHASING OFFICER means the City employee authorized to carry out the purchasing and procurement functions and authority of the City.

(G) RESPONSE means a written offer or submission in reply to a solicitation.

(H) RESPONDENT means a person or entity that has timely submitted or subsequently timely submits a response to a City solicitation, even if that person subsequently withdraws its response or has been disqualified by the City for any reason. Respondent includes:

- (i) a subsidiary or parent of a respondent;
- (ii) a joint enterprise, joint venture, or partnership with an interest in a response and in which a respondent is a member or is otherwise involved, including any partner in such joint enterprise, joint venture, or partnership; and
- (iii) a subcontractor to a respondent in connection with that respondent's response.

(I) SOLICITATION means an opportunity to compete to conduct business with the City that requires council approval under City Charter Article VII Section 15 (*Purchase Procedure*), and includes, without limitation:

- (i) an invitation for bids;

- (ii) a request for proposals;
- (iii) a request for qualifications;
- (iv) a notice of funding availability; and
- (v) any other competitive solicitation process for which the purchasing officer, in the purchasing officer's sole discretion, affirmatively determines this article should apply in accordance with Section 2-B.

4. RESTRICTION ON LOBBYING.

Subject to the exclusions in Section 5 (*Permitted Communications*), during a no-lobbying period,

(A) a respondent or an agent shall not communicate directly with a City official or a City employee, or both in order to:

- (i) provide substantive information about any respondent or response with respect to the solicitation to which the communication relates;
- (ii) encourage the City to reject one or more of the responses to the solicitation to which the communication relates;
- (iii) convey a complaint about the solicitation to which the communication relates; or
- (iv) ask any City official or City employee 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 to which the communication relates.

(B) a City official shall not contact or communicate with a respondent regarding a response or the solicitation to which the no-lobbying period applies;

(C) a City employee, other than the authorized contact person, shall not contact or communicate with a respondent regarding a response or the solicitation to which the no-lobbying period applies.

5. PERMITTED COMMUNICATIONS.

The following communications are permitted under this article at any time:

(A) any communication between a respondent or agent and any authorized contact person, including, without limitation and in accordance with regulation, any complaint concerning the solicitation;

(B) any communication between a respondent or agent and any person to the extent the communication relates solely to an existing contract between a respondent and the City, even when the scope, products, or services of the current contract are the same or similar to those contained in an active solicitation;

(C) any communication between a respondent or an agent and a City employee to the extent the communication relates solely to a non-substantive, procedural matter related to a response or solicitation;

(D) any communication required by or made during the course of a formal protest hearing related to a solicitation;

- (E) any communication between a respondent or an agent and the City's Small & Minority Business Resources Department, that solely relates to compliance with Chapters 2-9A through 2-9D (*Minority-Owned and Women-Owned Business Enterprise Procurement Program*) of the City Code;
- (F) any communication between an attorney representing a respondent and an attorney authorized to represent the City, to the extent the communication is permitted by the Texas Disciplinary Rules of Professional Conduct;
- (G) any communication made by a respondent or an agent to the applicable governing body during the course of a meeting properly noticed and held under Texas Government Code Chapter 551 (*Open Meetings Act*);
- (H) any communication between a respondent or an agent and a City employee whose official responsibility encompasses the setting of minimum insurance requirements for the solicitation to which the communication relates, to the extent the communication relates solely to the insurance requirements established by the City in the solicitation; and
- (I) any contribution or expenditure as defined in Chapter 2-2 (*Campaign Finance*).

6. MODIFICATION OF RESTRICTION.

The purchasing officer may waive, modify, or reduce the requirements in Section 4 (*Restrictions on Lobbying*) in order to allow respondents to communicate with a City employee or a City official other than the authorized contact person when the purchasing officer determines, in writing, that the solicitation must be conducted in an expedited manner, including but not limited to a solicitation conducted for reasons of health or safety under the shortest schedule possible with no extensions. Any such modification authorized by the purchasing officer shall be stated in the solicitation.

7. NOTICE.

(A) Each solicitation shall include a notice advising respondents and prospective respondents:

- (i) of the requirements of this article;
- (ii) that any communication initiated by a City employee or City official, other than the authorized contact person, during the no-lobbying period regarding a response or the solicitation may result in a violation of Section 4(A) if the respondent subsequently lobbies that City employee or City official.

(B) The purchasing officer, or a City employee designated by the purchasing officer, shall provide weekly written notice, accessible to all City employees and City officials, of each solicitation for which the no-lobbying period is in effect.

8. DISCLOSURE OF VIOLATION.

A City official or a City employee other than the authorized contact person that becomes aware of a violation of Section 4 (*Restrictions on Lobbying*) shall notify the authorized contact person in writing as soon as practicable.

9. ENFORCEMENT.

- (A) A respondent that has been disqualified pursuant to Section 10(A) (*Disqualification; Contract Voidable*) may appeal such disqualification to a subcommittee that is less than a quorum of the Ethics Review Commission established in Chapter 2-7, Article 2 (*Ethics Review Commission*), whose decision on appeal shall be final and binding. Any appeal must be filed in the manner prescribed by the Ethics Review Commission within 5 calendar days of the notice given by the purchasing officer pursuant to Section 10(B).
- (B) The purchasing officer shall waive a violation of Section 4(A) if the violation was solely the result of communications initiated by a City official or a City employee other than the authorized contact person.
- (C) The purchasing officer has the authority to enforce this article through rules promulgated in accordance with Chapter 1-2 (*Adoption of Rules*), which at a minimum shall include a notice and protest process for respondents disqualified pursuant to Section 10 (*Disqualification; Contract Voidable*), including:
 - (1) written notice of the disqualification imposed pursuant to Section 10 (*Disqualification; Contract Voidable*);
 - (2) written notice of the right to protest the disqualification imposed; and
 - (3) written notice of the right to request an impartial hearing process.

10. DISQUALIFICATION; CONTRACT VOIDABLE.

- (A) If the purchasing officer finds that a respondent has violated Section 2-7-104(1), the respondent is disqualified from participating in the solicitation to which the violation related.
- (B) The purchasing officer shall promptly provide written notice of disqualification to a disqualified respondent.
- (C) If a respondent is disqualified from participating in a solicitation as a result of violating Section 2-7-104(1) and the solicitation is cancelled for any reason, that respondent is also disqualified from submitting a response to any reissue of the same or similar solicitation for the same or similar project. For the purposes of this section, the purchasing officer may determine whether any particular solicitation constitutes a “same or similar solicitation for the same or similar project”.
- (D) If a respondent violates Section 104(1) and is awarded a contract resulting from the solicitation to which the violation relates, the City may void that contract.
- (E) Respondents that violate Section 2-7-104(1) three or more times during a five year period may be subject to debarment from participating in any new contracts with the City for a period of up to three years.

- e. **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
- f. The City of Austin, in accordance with the provisions of Title VI of the Civil Rights Act of 1964 (78 Stat. 252, 42 U.S.C. §§ 2000d to 2000d-4) and the Regulations, hereby notifies all respondents that it will affirmatively ensure that any contract entered into pursuant to this solicitation, disadvantaged business enterprises will be afforded full and fair opportunity to submit responses to this solicitation and will not be discriminated against on the grounds of race, color, or national origin in consideration for an award.
- g. **Documentation Showing Legal Status of Respondent, Signature Authority.** The response and any subsequent supporting documents and the Contract must be executed in the respondent's full name and legal entity status by an authorized representative of the respondent and a response must be accompanied by sufficient documentation to clearly indicate not only the legal name and entity status of respondent, but also the capacity and authority of the person signing on behalf of respondent. Accordingly, along with its response, a partnership/joint venture must submit its partnership/joint venture agreement, a corporation must submit its articles and bylaws, a limited liability company must submit its certificate of organization and article of organization and regulations, and a limited partnership must submit not only its limited partnership agreement and the certificate of limited partnership, but also the documentation for its general partner, or such limited portion of such documents reasonably establishing legal status and signature authority. In addition, a respondent must submit a copy of any assumed name certificate.

A respondent submitting a response as a joint venture must identify itself as a joint venture in its initial response. A joint venture respondent is required to submit its joint venture agreement with its response. The joint venture agreement must, at a minimum, address the following: joint venture's management and control, liability, fiduciary responsibilities, authority to legally bind the joint venture to its response, as well as a detailed breakdown of the roles and responsibilities of the parties to the joint venture with regard to the work to be performed under the Contract. A response submitted by a joint venture or by one of the parties to a prospective joint venture, that does not include the required documentation concerning the respondent's joint venture arrangement with its response, will be rejected as nonresponsive. The joint venture must provide its tax identification number and certificate of insurance prior to execution of the agreement as provided in the solicitation.

II. Rejection of Responses

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** be cause for your firm to be deemed non-responsive:

- The required Key Personnel do not have the required current license/registration in the State of Texas at the time of submittal as stated in the evaluation criteria.
- 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 Respondent attend the mandatory Pre-Response Meeting, if applicable.
- Statement of Qualifications (SOQs) received from a Respondent who has been debarred or suspended by OWNER's Chief Procurement Officer.
- SOQs received from a Respondent when Respondent or principals are currently debarred or suspended by federal, state, city or other local governmental entities or agencies.
- Failure to submit the joint venture agreement with its Response (for joint venture respondents).
- Failure to provide a response to one or more of the Consideration Items as required in the Evaluation Criteria.

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

- Failure to provide a SOQ stamped "ORIGINAL".
- Failure to provide an electronic version on Flash Drive of your complete SOQ.
- 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.
- Failure to sign and submit Form 1 – Prime Firm's General Information

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 Officer 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.

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 Chief Procurement Officer 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 Chief Procurement Officer may dismiss your complaint or protest.

Protest regarding the Solicitation (Pre-Submittal Protest). Any protest regarding the Solicitation by the City shall be filed no later than five (5) days prior to the due date and time for proposals. Any protest filed after that date which raises issues regarding the Solicitation will not be considered.

Protests regarding the evaluation of Proposals. Any protest regarding the evaluation of Proposals by the City shall be filed with the City no later than five (5) days after the notification of award

recommendation is posted on Austin Finance Online, or notification that the protestor's status as an Offeror has changed, such as notification that an Offer has been found to be non-responsive or an Offeror has been found to be non-responsible. Any protest filed after such date which raises issues regarding the evaluation will not be considered. Offerors may only protest the evaluation of their Proposal.

Protest Regarding Award of Contract (Post-Award Protest). Any protest regarding the award of the contract shall be filed no later than ten (10) days after the date of award. Any protest regarding the award of the contract filed after such date will not be considered.

1. You shall submit your protest in writing and it shall include the following information: (i) your name, address, telephone, and email address; (ii) the Solicitation number; (iii) the specific facts and/or law upon which the protest of the Solicitation or the award is based, including all pertinent documents and evidence thereto; and (iv) the form of relief requested.
2. Your protest shall be concise and presented logically and factually to help with the City's review.
3. When the City receives a timely written protest, the Chief Procurement Officer will determine whether the grounds for your protest are sufficient. If the Chief Procurement Officer decides that the grounds are sufficient, the Chief Procurement Officer will schedule a protest hearing, usually within five (5) working days. If the Chief Procurement Officer determines that your grounds are insufficient, the City will notify you of that decision in writing.
4. 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 Department of Law, the Financial Services Department, 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.
5. A decision will usually be made within fifteen (15) calendar days after the hearing.
6. The City will send you a copy of the hearing decision after the appropriate City staff has reviewed the decision.
7. 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 Chief Procurement Officer determines that the City urgently requires the supplies or Services to be purchased, or failure to make an award promptly will unduly delay delivery or performance. In those instances, the City will notify you and make every effort to resolve your protest before the award.

The protest shall be submitted in writing to the Authorized Contact-Procurement Specialist identified in the Request for Qualifications.

END



SCOPE OF SERVICES

Solicitation Number: CLMP345

Project Name: Infrastructure Energy Savings Assessment and Retrofit

PROJECT FOR:

CITY OF AUSTIN, BUILDING SERVICES DEPARTMENT, THROUGH ITS FSD-CAPITAL CONTRACTING

PROJECT TITLE:

Infrastructure Energy Savings Assessment and Retrofit

OBJECTIVES OF THE PROJECT:

The Building Services Department (BSD) has selected approximately seven (7) core facilities within its portfolio that are in need of infrastructure evaluation and equipment replacement. Utilizing an Energy Savings loan, we aim to create an approximate \$5M loan package through The State of Texas' LoanSTAR program whose energy efficiency savings will pay back the principal on the loan.

BACKGROUND:

The City of Austin is requesting a submittal of qualifications to provide prime professional services from Energy Service Companies (ESCOs) that describe their team's Design-Build capabilities to conduct Utility Assessment Reports (UAR), design, installation, and construction management for comprehensive utility conservation retrofit(s). For the purpose of this RFQ, "ESCO" refers to any entity that is qualified to provide a turnkey utility conservation program that includes the services listed in this solicitation and meets the requirements of the State Energy Conservation Office (SECO) LoanSTAR Program. Owner intends to select one or more firms to perform cost-effective utility conservation retrofits for the selected groups of facilities.

The Building Services Department (BSD) maintains and operates City-owned property inventory including office space, warehouse and service facilities, parking garages and surface lots located throughout the City of Austin. BSD provides property management, repair, renovation, routine and deferred maintenance services, and utility services for this inventory. BSD has selected approximately seven (7) core facilities within its portfolio that are in need of infrastructure evaluation and equipment replacement.

BSD has several previously performed studies that may be useful in laying the ground-work for work to be included in the LoanSTAR mandated UAR:

In 2016, BSD had several of its core properties evaluated as candidates for retro-commissioning (RCx). Retrofits and replacements were additionally identified in the RCx evaluations.

In 2018, BSD was the recipient of a “Facility Preliminary Energy Assessment and Recommendations,” provided with grant funds through the SECO.

In 2021 an Investment Grade Audit was completed to determine Energy Conservation Measures (ECMs) to achieve energy and water savings, address resiliency and end of life equipment replacement, address deferred maintenance to reduce operational expenses.

BSD in coordination with the Financial Services Department (FSD) has decided to utilize the LoanSTAR program as its energy savings parameters and fiscal vehicle to move these previous years’ efforts forward.

ANTICIPATED SERVICES:

The consultant should expect to provide:

- Recommendations for best use of LoanSTAR funds package approximating \$5M
- Utility Assessment Report (UAR) as prescribed by State of Texas LoanSTAR standards
- Design specifications for all equipment, RCx, software and any other parameters indicated in UAR
- Selection of subconsultants who will perform work
- Oversight of construction phase of project
- Provide for BSD staff training of any and all new technology such as BAS, HVAC or other building systems
- Hand-off of all necessary paperwork, deliverables, specifications

Loan Application, and Utility Assessment Report Preparation: Services shall be offered with the understanding of full compliance with non-discrimination requirements of the City of Austin (COA). The ESCO will assist COA in securing a Texas LoanSTAR (Saving Taxes and Resources) Revolving Loan and shall provide the UAR to secure the loan. The UAR shall outline all cost and savings for turnkey project completion. The UAR may need to be updated in response to COA and SECO review comments. The ESCO is responsible for all costs and will not be paid unless the UAR is accepted, the loan is approved, and the contract is executed. COA will not be liable for compensation to the ESCO for the UAR if the UAR is rejected by SECO and the loan is not approved.

Contract and Project Funding: COA and the funding source (SECO) shall sign a contract for the loan after acceptance of the UAR. With funding committed, the contract between COA and the ESCO will be executed.

Implementation: Upon SECO’s review and COA’s acceptance of the UAR and execution of the contract, the ESCO shall be given the notice to proceed with the design phase. The ESCO will complete the design under the supervision of COA, and COA’s designated review agent. The ESCO shall submit design documents to SECO at 50 & 100% of design completion phases for review and approval. After the design phase is completed, COA will review and approve the design documents. COA will issue a written Notice to Proceed for the implementation of all approved Utility Cost Reduction Measures (UCRMs) specified for the Project with a construction schedule approved by COA. All construction and commissioning activities will be

coordinated with the Owner's Project Manager. Sufficient training will be provided by the ESCO for building maintenance personnel and occupants to successfully operate all UCRMs at maximum efficiency.

Post Construction Monitoring, Adjusting, and Reviewing of Savings: Where required, for the duration of the contract the ESCO will monitor and adjust all UCRMs implemented during the performance period. The Owner retains the right, at the Owner's discretion, during this phase to discontinue services relieving the ESCO of liability with respect to future savings guarantees.

Third Party Oversight: The project is subject to SECO review (UAR, Design & Construction Phases as per LoanSTAR Guidelines). The ESCO shall cooperate and assist with the SECO assigned third-party review engineer during all phases including, but not limited to, review of the preliminary energy analysis, the UAR, and the design and construction. The Owner, at its discretion, may hire an additional third-party for ongoing evaluation and measurement and verification of the cost savings resulting from the implemented UCRMs.

PROPOSED PROJECT SCHEDULE:

City intends to award contract for full prime professional engineering and energy savings performance contracting services for the term of the project. Services undertaken pursuant to this RFQ will be required to commence within thirty (30) days of delivery of a Notice to Proceed. The contract term for Construction is not to exceed one (1) year, and the contract term for payback is not to exceed fifteen (15) years from final acceptance of construction.

PROPOSED PROCUREMENT SCHEDULE

Issue Date: 12/01/2022

Pre-response Meeting: 12/08/2022

SOQ Due Date: 01/05/2023

Tentative Council Date: April 2023

Contract Execution: June 2023

COST ESTIMATE:

The total LoanSTAR package is expected to be approximately \$5M

The professional services fee is estimated to be \$300,000.00 and the estimated total construction cost is \$5,000,000.00.

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 sub-consulting 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**

- 92567 - Mechanical Engineering
- 92535 - Environmental Engineering
- 92522 - Control Systems Engineering

*** Other Scopes of Work**

- 92534 - Energy Management Engineering
- 93629 - Facility Energy Management Systems Maintenance and Repair
- 90628 - Energy Conservation; New Energy Sources (Solar, etc.)

Notes:

- Construction Inspection and Public Information and Communications are **NOT** a subconsultant opportunity. These services will be performed in-house or under a separate contract, if needed, and will be determined when project assignment is made.
- Participation at the prime or subconsultant level may create a conflict of interest and thus necessitate exclusion from future contracting opportunities with the City.
- 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 Design and Construction phase.

CITY OF AUSTIN PUBLIC PARTICIPATION PRINCIPLES:

Accountability and Transparency

The City will enable the public to participate in decision-making processes by providing clear information on the issues, the ways to participate, and how their participation contributes to the decision.

Fairness & Respect

The City will maintain a safe environment that cultivates and supports respectful public engagement and will expect participants to do so in turn.

Accessibility

The City will respect and encourage participation by providing ample public notice of opportunities and resources and accommodations that enable all to participate.

Predictability & Consistency

The City will prepare the public to participate by providing meeting agendas, discussion guidelines, notes, and information on next steps.

Creativity & Community Collaboration

(Inclusivity and Diversity)

The City will use innovative, proven, and customized engagement solutions that are appropriate to the needs of the projects and the participants.

Stewards of Resources

The City will balance its commitment to provide ample opportunities for public involvement with its commitment to delivering government services efficiently and using City resources wisely.



EVALUATION CRITERIA STAND ALONE SOLICITATIONS

Solicitation Number: CLMP345

Project Name: Infrastructure Energy Savings Assessment and Retrofit

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://financeonline.austintexas.gov/afo/afo_content.cfm?s=17

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.
 - ◆
 - ◆ General experience with Local Government energy assessment in Texas.

EVALUATION CRITERIA – STAND ALONE

- ♦ Experience with utility rates and rebates.

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.
- ♦ General experience with Local Government energy assessment in Texas.

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.
- ♦ Minimum of ten (10) years of demonstrated experience in delivering energy retrofit projects with detailed energy audits/assessments report development (investment grade audits), design, construction, and project implementation services for energy cost reduction measures in existing facilities. This work should be performed based on detailed energy audits in accordance with the Texas State Energy Conservation Office LoanSTAR program guidelines.
- ♦ General experience with Local Government energy assessment in Texas.
- ♦ Experience with utility rates and rebates.
- ♦ 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, as identified in the solicitation, active and in good standing) at time of submittal as identified in the solicitation.
- Experience with utility rates and rebates.
- Experience with measurement and verification utilizing the International Performance Measurement & Verification Protocol (IPMVP) energy baseline and tracking.

| Consideration Item # | Title | Maximum Point Value |
|-------------------------|--|------------------------|
| 1 | MBE/WBE PROCUREMENT PROGRAM | N/A |
| 2 | TURNT IN ALL REQUIRED DOCUMENTS | N/A |
| 3a | TEAM’S STRUCTURE | 10 |
| 3b | TEAM’S PROJECT APPROACH | 20 |
| 4 | EXPERIENCE OF KEY PERSONNEL | 20 |
| 5 | PRIME FIRM’S COMPARABLE PROJECT EXPERIENCE | 15 |
| 6 | MAJOR SCOPES OF WORK – COMPARABLE PROJECT EXPERIENCE | 15 |
| 7 | TEAM’S EXPERIENCE WITH AUSTIN ISSUES | 10 |
| 8 | CITY OF AUSTIN’S EXPERIENCE WITH PRIME FIRM | 10 |
| 9 | INTERVIEWS (OPTIONAL) | 15 |

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?

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

Respondent must attach the following to Consideration Item 2:

- **Joint Venture Agreement (for Joint Venture respondents)**
- **Submittal documents required in the remaining consideration items must be attached to that respective consideration item**
- **Signed Form 1 – acknowledging addenda and Non-Collusion, Non-Conflict of Interest, and Anti-Lobbying**

CONSIDERATION ITEM 3a

TEAM'S STRUCTURE

10 Points Maximum

Describe the roles of the key individuals proposed to work on this project. City is interested in team's (prime and subconsultants) 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. **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.**

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 20210902-042. 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:

<https://www.austintexas.gov/department/city-council/2021/20210902-reg.htm#042>

The successful offeror must demonstrate capabilities, expertise, and experience in the following:

- Assessing energy & water consumption projects for public entities in Texas.
- Assessment of renewable energy sources application for public entities in Texas.
- Experience with evaluation, identification, and implementation of utility cost reduction measures utilizing SECO Texas LoanSTAR program.
- Utility Assessment Reports (UAR) shall be prepared by Engineer with minimum of ten (10) years of experience in preparing Utility Assessment Reports/ Investment Grade Audits.
- All engineering work (UAR, Design, etc.) shall be under the direct supervision of licensed and registered Engineer (in the State of Texas).

- **Provide an organizational chart. (1 page limit)**
 - **Provide a brief narrative. (Narrative should not exceed 3 pages)**
-

CONSIDERATION ITEM 3b

TEAM'S PROJECT APPROACH

20 Points Maximum

City is interested in team's (prime and subconsultants) overall understanding of the project scope and 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;

- understanding of the techniques and sequencing required; and
- how the prime firm will interface with the City's Project Manager.

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 – 6 points; Project Professional – 10 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 Professional must be licensed as a professional engineer in the State of Texas at the time of submittal.

List three (3) projects meeting these criteria which have been completed in the past ten (10) years for each individual with specific details where LoanSTAR, Department of Energy (DOE), and /or Third-party financing were the source of funding.

- **Complete Form 5 – Experience of Project Manager. Please provide no more than one (1) page per project.**
 - **Complete Form 6 – Experience of Project Professional. Please provide no more than one (1) page per project.**
 - **Complete Form 7 – 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 10 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 ten (10) 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 8 and provide no more than one (1) page per project.**
-

CONSIDERATION ITEM 6

MAJOR SCOPES OF WORK - COMPARABLE PROJECT EXPERIENCE (past 10 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 ten 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.

Major Scopes

Control Systems Engineering (5 points) commodity code: 92522

Environmental Engineering (5 points) commodity code: 92535

Mechanical Engineering (5 points) commodity code: 92567

- **Complete Form 9 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 or No Goals Utilization Plan.**
-

CONSIDERATION ITEM 7

TEAM'S EXPERIENCE WITH AUSTIN ISSUES

10 Points Maximum

City is interested in the 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.
- ♦ Responsiveness to emergency and non-emergency warranty related issues during post-construction phase.

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.

Scoring is based on consultant performance evaluations completed by City staff for City projects, considering:

1. Schedule / Timeliness of Performance
2. Budget / Cost Control
3. Quality of Work Performed
4. Invoicing and Payments
5. Compliance with MBE/WBE/DBE Procurement Program(s)
6. Regulatory Compliance and Permitting
7. Adequacy and Availability of Workforce
8. Project and Contract Management
9. Communications, Cooperation, and Business Relations

Firms who have had no previous City of Austin projects relative to the industry or engineering discipline of this solicitation, will receive a score equal to the average of all firms in the database with previous City of Austin projects relative to the industry or engineering discipline of this solicitation.

CONSIDERATION ITEM 9

INTERVIEWS (OPTIONAL)

15 Points Maximum

The City may interview firms prior to making a recommendation to the City Council, if staff determines that it is in the best interest of the City to conduct interviews. The City reserves the right to determine whether interviews will be conducted for this solicitation, and 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. Staff may consider point separation between the top ranked firms in determining the number of firms to be interviewed.

CITY OF AUSTIN



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

Solicitation Name: Infrastructure Energy Savings Assessment and Retrofit

Solicitation Number: RFQS 6100 CLMP345

Issue Date: 12/01/2022

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MBE/WBE GOALS

| Annual/Project Participation Goals | | | Annual/Project Participation Subgoals | | |
|---------------------------------------|-------|---|--|-----------------------|--------------|
| MBE | _____ | % | OR | African American | _____ 0.84 % |
| WBE | _____ | % | | Hispanic | _____ 1.73 % |
| Combined MBE/WBE | _____ | % | | Asian/Native American | _____ 4.10 % |
| | | | | WBE | _____ 2.56 % |

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 SMBRComplianceDocuments@austintexas.gov or from SMBR, 811 Barton Springs Rd, 8th Fl, Suite 805 Austin, Texas 78704 (512) 974-7600.

Firms or individuals submitting responses to this Request for Qualifications 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 subconsulting opportunities to certified MBEs and WBEs by soliciting such Firm for subcontracting opportunities. The City of Austin and its consultants 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/WBE) shall submit: (1) an *MBE/WBE Compliance Plan* and (2) if it is anticipated the project goal(s) will not be met, all appropriate documentation to demonstrate Good Faith Efforts to meet the project goals. Any questions regarding preparation of the *MBE/WBE Compliance Plan* should be directed to SMBR at SMBRComplianceDocuments@austintexas.gov. Such contact is not 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 *MBE/WBE Compliance Plan*. See the full language of the City Code or solicitation documents for further details.

MBE/WBE COMPLIANCE PLAN INSTRUCTIONS

(See Appendix A)

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

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

Please type or clearly print all information, use “none” or “N/A” where appropriate. *MBE/WBE Compliance Plans not complying with the MBE/WBE 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, Goal(s) 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 MBE/WBE Compliance Plan Summary

This section is a summary of Subconsultant participation for this Proposal. Proposer should complete Sections IV-VI, described below, before attempting to complete Section III. After completing Sections IV-VI, total the percentage(s) 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-VI and Section III, the percentages contained in Sections IV-VI 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 MBE/WBE Compliance Plan will be reviewed and approved by the Small and Minority Business Resources Department.

Section IV Disclosure of MBE and WBE Subconsultants

Please list all certified MBE/WBEs Subconsultants using the legal name under which they are registered to do business with the City of Austin and the value of the work they will be performing themselves. Do not include the percentage of work that the MBE/WBE’s Subconsultants will be subcontracting to second-level Subconsultants. By listing certified MBE and WBE Firms on the MBE/WBE 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. Unit price subcontracts are acceptable if appropriate to the type of work being performed. A Letter of Intent (LOI) does not replace a binding contract between a prime contractor and a Subconsultant.

Before completing Section IV of the *MBE/WBE 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 contractor 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 MBE/WBE 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 *MBE/WBE 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 MBE/WBE Compliance Plan as specified in the City's solicitation documents. A Firm that is certified as an MBE/WBE at the time that the MBE/WBE 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.

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 and ***submit documentation for the stated reason if applicable***. If Proposer did meet the project goals, please indicate "Goals Met" in the space provided.

Section VI Disclosure of Second-Level Subconsultants

Please complete this section if Proposers 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 Subconsultants 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.

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 Subconsultant work may not be counted toward the goals based on the initial Subconsultant's MBE/WBE certification. The value of the second-level Subconsultant 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 Checklist

Please complete the *MBE/WBE Compliance Plan Checklist* with the information requested if the stated project goal(s) are not met.

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 MBE/WBE 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 in 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 included with the solicitation documents 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 subcontracting opportunities. If a Proposer identifies one or more work areas that are appropriate subcontracting 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 request from SMBR or visit www.austintexas.gov/certified_vendors_directory for proof of certification and the specific work areas for which the Subconsultant has been certified.

Appendix B provides a format for collecting required information from the Subconsultants on the *Availability List*. The information must be obtained at least seven (7) business days prior to the submission of the *MBE/WBE Compliance Plan*; alternate formats may be acceptable as long as they gather the same required information. Included with the solicitation documents is an alphabetized list containing the names and addresses of the MBE/WBE Firms listed on the *Availability List*. This list is in label format and is designed to facilitate the printing of mailing labels.

The following codes are used on the availability list:

| | | | |
|------|--|------|--|
| F | Female | M | Male |
| AA/B | African American | H | Hispanic |
| A/NA | Asian/Native American | W/C | Caucasian |
| LOC | A firm's two-digit location code (e.g., SL or TX) | AU | Austin |
| 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 Minority-owned, Woman-owned, and Disadvantaged Business Enterprise |

Good Faith Efforts Review

If goals are not met, SMBR will examine the *MBE/WBE Compliance Plan* and the Good Faith Efforts documentation submitted with the *MBE/WBE 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 *MBE/WBE Compliance Plan* to allow sufficient time for the MBEs or WBEs to respond. (The date Proposals/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 proposals to the Proposer. An MBE/WBE that has submitted a proposal to a Proposer but has not been contacted within five (5) business days of submission of the proposal 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 subcontracting; and evidence as to why additional agreements could not be reached for MBEs/WBEs to perform the work. Proposal 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 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 *MBE/WBE 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 *MBE/WBE Compliance Plan* must be submitted on the Request for Change of *MBE/WBE Compliance Plan* Form for all levels of subcontracting 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 *MBE/WBE Compliance Plan*. The Proposer 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 fourteen (14) calendar days from the date that the Proposer has been paid by the City for invoices submitted by Subconsultants.

The Proposer shall submit a *Subcontractor/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 Proposer 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 Proposer. 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 MBE/WBE 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 MBE/WBE Compliance Plan ; and
- Failure to comply with the approved MBE/WBE 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 applicable sections must be completed and submitted by the due date and time as indicated in the solicitation documents.

The Bidder/Respondent by submitting and signing this solicitation's form 1, understand and agree that the MBE/WBE Compliance Plan submitted as a part of the bid/proposal shall become a part of the contract with the City of Austin. The Bidder/Respondent further understand that the City of Austin's Minority-owned and Women-owned Business Enterprise Procurement Program Ordinance) and the Small and Minority Business Resources Department (SMBR) Rules shall apply.

Section I — Project Identification and Goals

| | |
|----------------------------|---|
| Project Name | Infrastructure Energy Savings Assessment and Retrofit |
| Solicitation Number | RFQS 6100 CLMP345 |

| Project Goals or Subgoals | | |
|---------------------------|------|---|
| Combined MBE/WBE | | % |
| MBE | | % |
| African American | 0.84 | % |
| Hispanic | 1.73 | % |
| Asian/Native American | 4.10 | % |
| WBE | 2.56 | % |

Section II — Proposer Company Information

| | | |
|--|---|--------|
| Company Name | | |
| Address | | |
| City, State Zip | | |
| Phone | | |
| Fax | | E-Mail |
| Name of Contact Person | | |
| Is your company registered on Vendor Connection? | Yes <input type="checkbox"/> If yes, provide Vendor Code _____ No <input type="checkbox"/> All vendors; Subconsultants and consultants must register with COA's Vendor Connect prior to award. See Link for registration information at www.austintexas.gov/vendor_registration | |
| Is your company COA M/WBE certified? | Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please indicate type below) 1. MBE <input type="checkbox"/> WBE <input type="checkbox"/> MBE/WBE <input type="checkbox"/> Joint Venture <input type="checkbox"/> 2. AA <input type="checkbox"/> H <input type="checkbox"/> A/NA <input type="checkbox"/> WBE <input type="checkbox"/> | |

City of Austin SMBR Use Only

| | |
|--|------------|
| I have reviewed this Compliance Plan and found that the Bidder HAS <input type="checkbox"/> HAS NOT <input type="checkbox"/> complied as per the City Code Chapter 2-9B through GFE. | |
| Reviewing Counselor _____ | Date _____ |
| I have reviewed this Compliance Plan and have found the Bidder COMPLIANT <input type="checkbox"/> NON-COMPLIANT <input type="checkbox"/> | |
| Director / Assistant Director _____ | Date _____ |

Section III — MBE/WBE Compliance Plan Summary

Directions:

- For each Subconsultant listed in Sections IV, V, VI or VII, fill in all blanks (if applicable).
- For project participation numbers use an EXACT number.
- Goal percentages should be based on the Base Bid amount only. Allowances are not included.
- Alternates are not recorded on this MBE/WBE Compliance Plan.
- If bidder is a certified M/WBE, include participation details in the Bidder box ONLY.
- MBE/WBE Compliance Plans not complying with these requirements shall be rejected as non-responsive.

PROPOSED PARTICIPATION GOALS

Use this section to calculate participation.
Include all details including the total percentage for each category where applicable.

| MBE/WBE Project Goal | | Bidder Participation Goal |
|--|--------|---------------------------|
| African American | 0.84 % | % |
| Hispanic | 1.73 % | % |
| Asian/Native American | 4.10 % | % |
| WBE | 2.56 % | % |
| MBE | % | % |
| MBE/WBE Combined | % | % |
| Non-Certified | | % |
| Total Subconsultant Percentage Amount | | % |
| Bidder's Own Participation (less any subcontracted amount) Are you counting your own participation toward the goals? (if yes, indicate below) <input type="checkbox"/> AA <input type="checkbox"/> HIS <input type="checkbox"/> A/NA <input type="checkbox"/> WBE <input type="checkbox"/> MBE | | % |

For SMBR Use Only:

Verified participation for each category:

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

MBE _____ % WBE _____ % Combined MBE/WBE _____ %

Prime _____ % Non-Certified _____ %

Section IV — Disclosure of MBE and WBE Firms

(Duplicate as Needed)

Note:

- Fill in all the blanks (use “none” or “N/A” where appropriate).
- Fill in names of MBE/WBE certified Firms as registered with City of Austin’s Austin Finance Online
- 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 Certification Data | <input type="checkbox"/> MBE <input type="checkbox"/> WBE Gender/ Ethnicity: |
| Vendor Code | |
| Address/ City / State / Zip | |
| Contact Person & Phone # | |
| Fax & Email Address | |
| Commodity Codes | |
| Commodity Codes Descriptions | |
| Subcontract Percentage | % |

| | |
|---------------------------------------|---|
| Name of MBE/WBE Certified Firm | |
| City of Austin Certification Data | <input type="checkbox"/> MBE <input type="checkbox"/> WBE Gender/ Ethnicity: |
| Vendor Code | |
| Address/ City / State / Zip | |
| Contact Person & Phone # | |
| Fax & Email Address | |
| Commodity Codes | |
| Commodity Codes Descriptions | |
| Subcontract Percentage | % |

| | |
|---------------------------------------|---|
| Name of MBE/WBE Certified Firm | |
| City of Austin Certification Data | <input type="checkbox"/> MBE <input type="checkbox"/> WBE Gender/ Ethnicity: |
| Vendor Code | |
| Address/ City / State / Zip | |
| Contact Person & Phone # | |
| Fax & Email Address | |
| Commodity Codes | |
| Commodity Codes Descriptions | |
| Subcontract Percentage | % |

| | |
|---------------------------------------|---|
| Name of MBE/WBE Certified Firm | |
| City of Austin Certification Data | <input type="checkbox"/> MBE <input type="checkbox"/> WBE Gender/ Ethnicity: |
| Vendor Code | |
| Address/ City / State / Zip | |
| Contact Person & Phone # | |
| Fax & Email Address | |
| Commodity Codes | |
| Commodity Codes Descriptions | |
| Subcontract Percentage | % |

Section V — Disclosure of Non-Certified Firms (Duplicate as Needed)

Note:

- Fill in all the blanks (use “none” or “N/A” where appropriate).
- 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:

| | |
|-----------------------------------|---|
| Name of Non-Certified Firm | |
| Vendor Code | |
| Address/ City / State / Zip | |
| Contact Person & Phone # | |
| Fax & Email Address | |
| Commodity Codes | |
| Commodity Codes Descriptions | |
| Reason Certified Firm not used | |
| Subcontract Percentage | % |

| | |
|-----------------------------------|---|
| Name of Non-Certified Firm | |
| Vendor Code | |
| Address/ City / State / Zip | |
| Contact Person & Phone # | |
| Fax & Email Address | |
| Commodity Codes | |
| Commodity Codes Descriptions | |
| Reason Certified Firm not used | |
| Subcontract Percentage | % |

| | |
|-----------------------------------|---|
| Name of Non-Certified Firm | |
| Vendor Code | |
| Address/ City / State / Zip | |
| Contact Person & Phone # | |
| Fax & Email Address | |
| Commodity Codes | |
| Commodity Codes Descriptions | |
| Reason Certified Firm not used | |
| Subcontract Percentage | % |

| | |
|-----------------------------------|---|
| Name of Non-Certified Firm | |
| Vendor Code | |
| Address/ City / State / Zip | |
| Contact Person & Phone # | |
| Fax & Email Address | |
| Commodity Codes | |
| Commodity Codes Descriptions | |
| Reason Certified Firm not used | |
| Subcontract Percentage | % |

Section VI — Disclosure of Second-Level Firms (Duplicate as Needed)

Note:

- Fill in all the blanks (use “none” or “N/A” where appropriate).
- Fill in names of Second-Level Subconsultants as registered with the City of Austin.

| | |
|--|--|
| Name of Second-Level Firm | |
| City of Austin Certified (choose one) | <input type="checkbox"/> No <input type="checkbox"/> MBE <input type="checkbox"/> WBE Gender/ Ethnicity: |
| Vendor Code | |
| Address/ City / State / Zip | |
| Contact Person & Phone # | |
| Fax & Email Address | |
| Commodity Codes | |
| Commodity Codes Descriptions | |
| First-Level Subconsultant | |
| Subcontract Percentage | % |
| Name of Second-Level Firm | |
| City of Austin Certified? (choose one) | <input type="checkbox"/> No <input type="checkbox"/> MBE <input type="checkbox"/> WBE Gender/ Ethnicity: |
| Vendor Code | |
| Address/ City / State / Zip | |
| Contact Person & Phone # | |
| Fax & Email Address | |
| Commodity Codes | |
| Commodity Codes Descriptions | |
| First-Level Subconsultant | |
| Subcontract Percentage | % |
| Name of Second-Level Firm | |
| City of Austin Certified? (choose one) | <input type="checkbox"/> No <input type="checkbox"/> MBE <input type="checkbox"/> WBE Gender/ Ethnicity: |
| Vendor Code | |
| Address/ City / State / Zip | |
| Contact Person & Phone # | |
| Fax & Email Address | |
| Commodity Codes | |
| Commodity Codes Descriptions | |
| First-Level Subconsultant | |
| Subcontract Percentage | % |
| Name of Second-Level Firm | |
| City of Austin Certified? (choose one) | <input type="checkbox"/> No <input type="checkbox"/> MBE <input type="checkbox"/> WBE Gender/ Ethnicity: |
| Vendor Code | |
| Address/ City / State / Zip | |
| Contact Person & Phone # | |
| Fax & Email Address | |
| Commodity Codes | |
| Commodity Codes Descriptions | |
| First-Level Subconsultant | |
| Subcontract Percentage | % |

Section VII — MBE/WBE Compliance Plan Check List

Is each stated project goal of the solicitation met?

Yes ☐ No ☐*(If no, complete and submit Section VII Compliance Plan Check List)*

If the goals or subgoals were not achieved, all questions in Section VII **must** be completed and **Good Faith Efforts documentation must be submitted with the MBE/WBE Compliance Plan.** The completion and submission of this form is not required if the above question is answered *Yes*.

| | | |
|--|------------------------------|-----------------------------|
| Is the following documentation attached to support good faith effort requirements to achieve goals or subgoals? | | |
| <ul style="list-style-type: none"> • Copy of written solicitation sent to MBE/WBEs in SLBP area 7 days prior to the submission of this Compliance Plan | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| <ul style="list-style-type: none"> • Two separate methods of notices sent to MBE/WBEs in SLBP area Indicate notice types: fax transmittals emails phone log letters | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| <ul style="list-style-type: none"> • Copy of advertisements placed in local publication | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| <ul style="list-style-type: none"> • Copy of notices sent to Minority and Women organizations | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| <ul style="list-style-type: none"> • Documentation that demonstrates additional GFEs: <ul style="list-style-type: none"> ○ Efforts to assist interested MBEs/WBEs in obtaining bonding, lines of credit, or insurance as required by the City or consultant ○ Efforts to assist interested MBEs/WBEs in obtaining necessary equipment, supplies, materials, or related assistance or services ○ Efforts made to reach agreements with the MBE/WBEs who responded to Proposer's written notice | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

Were additional elements of work identified to achieve the goals or subgoals?

Yes ☐ No ☐

If yes, please explain: _____

Was SMBR contacted for assistance?

Yes ☐ No ☐

If yes, complete following:

Contact Person: _____

Date of Contact: _____

Summary of Request: _____

Were Minority or Women organizations contacted for additional assistance?

Yes ☐ No ☐

If yes, complete following:

Organization(s): _____

Date of Contact: _____

Summary of Request _____

LETTER TO POTENTIAL SUBCONSULTANTS

_____ is soliciting Minority and Women-Owned Business Enterprise participation for the following City of Austin project. Solicitation documents are available for download at www.austintexas.gov/open_solicitations.

Solicitation Name: _____
Solicitation Number: _____
Location of Pre-Proposal Conference _____

Response Due Date and Time: _____

This Project Includes the Following Scopes of Services:

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Contact our office for detailed information on the scopes of services to be subcontracted and the relevant terms and conditions of the contract.

Please contact: _____ at _____ or _____
(Name) (Telephone) (Fax)

All Responses MUST be received by: _____

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 Subconsultant name here) is pleased to provide (insert Prime Consultant name here) (insert service here) for the above-referenced solicitation.

We understand that we will be completing _____% of the work on this project.

We 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 CLMP345 Infrastructure Energy Savings Assessment and Retrofit

Version No.: 1

Phase: 1

| C Code & Description | Vend Code/Adr | Contact Information | W/MB Code/Bus Type | Eth | LCTN |
|----------------------|---------------|---------------------|--------------------|-----|------|
|----------------------|---------------|---------------------|--------------------|-----|------|

Vendors Within the SLBP Area

90628 Energy Conservation; New Energy Sources (Solar, etc)

| | | | | |
|--|---|--------|------------------|----|
| CAR8304844 CARTER DESIGN ASSOC INC 817 W 11th St Austin Tx 78701-2009 | DONNA CARTER CDA@CARTERDESIGN.NET 512-476-1812 Fax: 512-476-1819 | MWDB | African American | AU |
| V00000946338 Candace Wong 6727 Jester Blvd. Austin Tx 78750 | candace wong candace@cwaplusd.com 5129471200 | MWB | Asian | AU |
| LOP8322397 LOPEZ SALAS ARCHITECTS INC 612 Winflo Drive Austin Tx 78703 | Robert Lopez lopez@lopezsalas.com 5125221959 | MB/SBE | Hispanic | AU |
| V00000945870 Vision Building Energy Efficiency, LLC 13809 Research Boulevard Suite 279 Austin Tx 78750 | Brenda Hu brendahu@beeusa.com 5123640688 121 Fax: 5123640686 | MB/SBE | Asian | AU |

92522 Control Systems Engineering

| | | | | |
|--|--|--------|-----------|----|
| VC0000101538 DOROTHY M BOTHNE 14201 Sandy Meadow Circle Leander Tx 78641 | DOROTHY BOTHNE DBOTHNE@AUSTIN.RR.COM 512-259-8476 Fax: 512-259-8781 | WB | Caucasian | SL |
| ENC1735650 ENCOTECH ENGINEERING CONSULTANTS INC 8500 Bluffstone Cove, #B-103 Austin Tx 78759 | ALI R KHATAW ali.khataw@eec-tx.com 512-338-1101 101 Fax: 512-338-1160 | MB/SBE | Asian | AU |
| HUR2455500 HARUTUNIAN ENGINEERING INC P.O. Box 140735 Austin Tx 78714-0735 | TAKOOHY HARUTUNIAN procure@heiworld.com 512-454-2788 Fax: 512-454-6434 | WB/SBE | Caucasian | AU |
| GUE2157000 JOSE I GUERRA INC 1701 Directors Boulevard Suite 400 Austin Tx 78744 | RICK GUERRA, P.E., F.NSPE rguerra@guerra.com 512-445-2090 Fax: 512-445-2099 | MDB | Hispanic | AU |
| JAM7079090 JRSA ENGINEERING INC 6101 W. Courtyard Dr. Building 1, Suite 200 Austin Tx 78730 | Elizabeth Segner-Zarate lizs@austin.rr.com 512-452-8789 Fax: 512-452-4041 | WB | Caucasian | AU |

City of Austin Subcontract Vendor List - VCRCVS

Solicitation No.: RFQS 6100 CLMP345 Infrastructure Energy Savings Assessment and Retrofit

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| C Code & Description | Vend Code/Adr | Contact Information | W/MB Code/Bus Type | Eth | LCTN |
|--|---|--|--------------------|-----------|------|
| | VS0000028414 LCCx LLC 8106 Meandering Way Austin Tx 78755 | Mike W Lackey. PE mwlackey@lc-cx.com 512-971-1201 Fax: 8883817794 | MB/SBE | Hispanic | AU |
| | VS0000011481 Maldonado-Burkett, LLP 2312 Western Trails Blvd Ste C-303 Austin Tx 78745-1638 | Ramon H. Maldonado, Jr. ramon@mbitsgroup.com 5129161386 | MDB | Hispanic | AU |
| | V00000917037 Quality Power, LLC 1008 Lakewood Hills Terrace Austin Tx 78732 | Basheer Mohamed basheerm@qualitypowerllc.com 5122940885 | MB | Asian | AU |
| | VS0000011064 Texas Energy Engineering Services, Inc. 1301 S. Capital Of Texas Highway Suite B-325 Austin Tx 78746 | Saleem Khan Saleem@teesi.com 512-328-2533 201 Fax: 512-328-2544 | MB/SBE | Asian | AU |
| 92534 Energy Management Engineering | | | | | |
| | V00000921397 APTUS ENGINEERING LLC 1919 S 1st Street Building B Austin Tx 78704 | Sujay Regmi sujay@aptuseng.com 5128504770 | MDB/SBE | Asian | AU |
| | ENC1735650 ENCOTECH ENGINEERING CONSULTANTS INC 8500 Bluffstone Cove, #B-103 Austin Tx 78759 | ALI R KHATAW ali.khataw@eec-tx.com 512-338-1101 101 Fax: 512-338-1160 | MB/SBE | Asian | AU |
| | VS0000006524 Green Living LLC 2303 Ranch Road 620 South Ste 160 Austin Tx 78734 | Elizabeth Repin beth@greenlivingllc.com 5129978844 | WB | Caucasian | AU |
| | HUR2455500 HARUTUNIAN ENGINEERING INC P.O. Box 140735 Austin Tx 78714-0735 | TAKOOHY HARUTUNIAN procure@heiworld.com 512-454-2788 Fax: 512-454-6434 | WB/SBE | Caucasian | AU |
| | JAS2584500 JASMINE ENGINEERING INC 901 S. Mopac Expwy Bldg. 1 - Suite 300 Austin Tx 78746 | Yasaman Jasmine Azima jasmine@jasmineengineering.com 512-326-2900 Fax: 512-326-2906 | WB/SBE | Caucasian | AU |

City of Austin

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Solicitation No.: RFQS 6100 CLMP345 Infrastructure Energy Savings Assessment and Retrofit

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|--|--|--|--------------------|-----------|------|
| | VS0000028414 LCCx LLC 8106 Meandering Way Austin Tx 78755 | Mike W Lackey. PE mwlackey@lc-cx.com 512-971-1201 Fax: 8883817794 | MB/SBE | Hispanic | AU |
| | VS0000011481 Maldonado-Burkett, LLP 2312 Western Trails Blvd Ste C-303 Austin Tx 78745-1638 | Ramon H. Maldonado, Jr. ramon@mbitsgroup.com 5129161386 | MDB | Hispanic | AU |
| | VS0000011064 Texas Energy Engineering Services, Inc. 1301 S. Capital Of Texas Highway Suite B-325 Austin Tx 78746 | Saleem Khan Saleem@teesi.com 512-328-2533 201 Fax: 512-328-2544 | MB/SBE | Asian | AU |
| | V00000945870 Vision Building Energy Efficiency, LLC 13809 Research Boulevard Suite 279 Austin Tx 78750 | Brenda Hu brendahu@beeusa.com 5123640688 121 Fax: 5123640686 | MB/SBE | Asian | AU |
| 92535 Environmental Engineering | | | | | |
| | V00000907236 360 Professional Services, Inc. P.O. Box 3639 Cedar Park Tx 78630 | Tammy Foster tammy.foster@360psinc.com 512-354-4682 103 | WDB | Caucasian | SL |
| | V00000973666 Atlas Design Services, LLC 1301 S Capital Of Texas Hwy Suite A 236 Austin Tx 78746 | Jonathan Thompson jthompson@atlasdgn.com 5127911175 Fax: 5123502641 | MB | Hispanic | AU |
| | V00000919863 B2Z Engineering, LLC 4707 Commercial Park Drive Austin Tx 78724 | Aisha Gonzalez aisha@b2zeng.com 5124336096 | MWB | Hispanic | AU |
| | BAE7086810 BAER ENGINEERING & ENVIRONMENTAL CONSULTING INC 7756 Northcross Dr Ste 211 Austin Tx 78757-1725 | Therese M. Baer tbaer@BaerEng.com 512-453-3733 Fax: 512-453-3316 | MWDB/SBE | Asian | AU |
| | CEP8319715 BOWMAN ENGINEERING & CONSULTING INC 9442 North Capital Of Texas Hwy Plaza 1, Suite 500 Austin Tx 78759 | SHAUNA BOWMAN shauna@bowmanengineers.com 5123753907 Fax: 2143829410 | WB | Caucasian | AU |

City of Austin Subcontract Vendor List - VCRCVS

Solicitation No.: RFQS 6100 CLMP345 Infrastructure Energy Savings Assessment and Retrofit

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| C Code & Description | Vend Code/Adr | Contact Information | W/MB Code/Bus Type | Eth | LCTN |
|--|---------------|---|--------------------|-----------|------|
| V00000960416 Baeza Engineering, PLLC 9701 Brodie Lane #203 Austin Tx 78748 | | Salvador Baeza sal@baezaengineering.com 5124004207 | MDB/ACDB | Hispanic | AU |
| V00000953422 Beyond Engineering and Testing, LLC 3801 Doris Lane, Suite B Round Rock Tx 78664 | | Zhigang Yao winteryao@beyondet.com 5123586048 | MDB | Asian | SL |
| CAS7170685 CAS Consulting and Services, Inc. 7908 Cameron Rd Austin Tx 78754 | | CHANNY SOEUR channys@casengineers.com 512-836-2388 Fax: 512-836-4515 | MDB | Asian | AU |
| CRE7038055 CRESPO CONSULTING SERVICES INC 4131 Spicewood Springs Rd #B2 Austin Tx 78759-8658 | | L STEPHEN STECHER SSTECHER@CRESPOINC.COM 512-343-6404 Fax: 512-343-8120 | MDB | Hispanic | AU |
| VS0000011100 Castleberry Engineering & Consulting, P.L.L.C. P.O. Box 40546 Austin Tx 78704 | | Christianne Castleberry c.castleberry@castleberryengineering.com 512-751-9272 | WDB | Caucasian | AU |
| V00000970385 Civil Team Engineers LLC 170 Bolton Drive Austin Tx 78737 | | Sharon Hamilton hamilton@civiltteamengineers.com 5126953263 | MB | Hispanic | SL |
| DOU7019035 DOUCET & ASSOCIATES INC 7401 B Hwy 71 West, Suite 160 Austin Tx 78735 | | Amy Doucet adoucet@doucetengineers.com 512-583-2620 Fax: 512-583-2601 | WDB/HUB | Caucasian | AU |
| V00000959353 EDGE Engineering, PLLC 3410 Far West Blvd Suite 315 Austin Tx 78731 | | Travis Kaatz tkaatz@civil-edge.com 5125606454 | MDB | Hispanic | AU |
| V00000970505 Elizabeth S Arceneaux 113 N. Johnson Ave San Marcos Tx 78666 | | Elizabeth Scott Arceneaux elizabeth.arceneaux@austin.rr.com 5126441927 | WB | Caucasian | SL |
| GLE7011195 GLENROSE ENGINEERING INC 1405 Hillmont St Austin Tx 78704 | | D LAUREN ROSS P E LAUREN@GLENROSE.COM 512-326-8880 | WDB | Caucasian | AU |
| V00000907852 Garza EMC L.L.C. 7708 Rialto Blvd Suite 125 Austin Tx 78735 | | Rudy Garza rgarza@garzaemc.com 512-298-3284 Fax: 5122982592 | MDB | Hispanic | AU |

City of Austin Subcontract Vendor List - VCRCVS

Solicitation No.: RFQS 6100 CLMP345 Infrastructure Energy Savings Assessment and Retrofit

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Phase: 1

| C Code & Description | Vend Code/Adr | Contact Information | W/MB Code/Bus Type | Eth | LC TN |
|---|---------------|---|--------------------|-----------|-------|
| V00000958750 Millennium Engineers Group Inc 1601 Rutherford Lane Ste A100 Austin Tx 78754 | | Raul Palma rpalma@megengineers.com 9567028500 Fax: 9567024180 | MB | Hispanic | AU |
| V00000902075 Miller Gray LLC Po Box 303130 Austin Tx 78703 | | Dale Gray dwaltergray@yahoo.com 5126571176 | WB/SBE | Caucasian | AU |
| V00000938714 Musser Engineering Associates, Inc. 6805 N Capital Of Texas Hwy. Suite 315 Austin Tx 78731 | | Peggy Carrasquillo contact@ktcivil.com 5127587474 | WB | Caucasian | AU |
| VS0000037698 PROFESSIONAL STRUCIVIL ENGINEERS INC 12710 Research Blvd. Suite 390 Austin Tx 78759 | | Mirza Baig psce@psceinc.com 512-238-6422 | MDB | Asian | AU |
| PRO8301100 PROVIDENCE ENVIRONMENTAL CONSULTING INC 112 Las Colinas Dr Georgetown Tx 78628-1019 | | TRACY DUBCAK providenceenvironmental@suddenlink.net 512-863-3492 Fax: 512-869-0576 | WDB | Caucasian | SL |
| VC0000103065 SUSAN ROTH CONSULTING LLC 4111 Tablerock Dr Austin Tx 78731 | | SUSAN K. ROTH, PE SUSAN@SROTHCONSULTING.COM 512-796-6692 | WDB | Caucasian | AU |
| V00000915347 The Thrival Company LLC 5701 W Slaughter Ln. A130 Suite 444 Austin Tx 78749 | | Elizabeth Frisch elizabeth@thrivalcompany.com 5124812123 | WDB | Caucasian | AU |
| VS0000028307 Watearth, Inc. 11824 Jollyville Rd Suite 402 Austin Tx 78759 | | Jennifer Walker jwalker@watearth.com 5125571028 Fax: 8005193774 | WB | Caucasian | AU |
| V00000959221 Watershed Solutions JV LLC 7908 Cameron Road Austin Tx 78754 | | Channy Soeur channy.soeur@wssjv.com 5128258989 | MB | Asian | AU |

92567 Mechanical Engineering

City of Austin Subcontract Vendor List - VCRCVS

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|----------------------|--|--|--------------------|------------------|------|
| | V00000921397 APTUS ENGINEERING LLC 1919 S 1st Street Building B Austin Tx 78704 | Sujay Regmi sujay@aptuseng.com 5128504770 | MDB/SBE | Asian | AU |
| | ASD7048240 ASD CONSULTANTS INC 8120 N Ih 35 Austin Tx 78753 | CURTIS BROWN curtis2aia@aol.com 512-836-3329 Fax: 512-836-3802 | MDB/SBE | African American | AU |
| | VS0000015522 AYS Engineering, LLC 411 W Main Street Suite 310 Round Rock Tx 78664 | Ross Aleman raleman@ayseng.com 512-961-6835 | MB | Hispanic | SL |
| | CAS7170685 CAS Consulting and Services, Inc. 7908 Cameron Rd Austin Tx 78754 | CHANNY SOEUR channys@casengineers.com 512-836-2388 Fax: 512-836-4515 | MDB | Asian | AU |
| | VC0000101538 DOROTHY M BOTHNE 14201 Sandy Meadow Circle Leander Tx 78641 | DOROTHY BOTHNE DBOTHNE@AUSTIN.RR.COM 512-259-8476 Fax: 512-259-8781 | WB | Caucasian | SL |
| | ENC1735650 ENCOTECH ENGINEERING CONSULTANTS INC 8500 Bluffstone Cove, #B-103 Austin Tx 78759 | ALI R KHATAW ali.khataw@eec-tx.com 512-338-1101 101 Fax: 512-338-1160 | MB/SBE | Asian | AU |
| | HUR2455500 HARUTUNIAN ENGINEERING INC P.O. Box 140735 Austin Tx 78714-0735 | TAKOOHY HARUTUNIAN procure@heiworld.com 512-454-2788 Fax: 512-454-6434 | WB/SBE | Caucasian | AU |
| | JAS2584500 JASMINE ENGINEERING INC 901 S. Mopac Expwy Bldg. 1 - Suite 300 Austin Tx 78746 | Yasaman Jasmine Azima jasmine@jasmineengineering.com 512-326-2900 Fax: 512-326-2906 | WB/SBE | Caucasian | AU |
| | GUE2157000 JOSE I GUERRA INC 1701 Directors Boulevard Suite 400 Austin Tx 78744 | RICK GUERRA, P.E., F.NSPE rguerra@guerra.com 512-445-2090 Fax: 512-445-2099 | MDB | Hispanic | AU |
| | V00000968623 Kaylyn Harris 1911 Fairlawn Ln A Austin Tx 78704 | Kaylyn Harris kharris@fenenergy.com 7138254033 | WB | Caucasian | AU |

City of Austin Subcontract Vendor List - VCRCVS

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|--|---|--|--------------------|------------------|------|
| | VS0000028414 LCCx LLC 8106 Meandering Way Austin Tx 78755 | Mike W Lackey. PE mwlackey@lc-cx.com 512-971-1201 Fax: 8883817794 | MB/SBE | Hispanic | AU |
| | V00000917399 Nodal Partners, LLC 13809 Research Boulevard Suite 279 Austin Tx 78750 | Brenda Hu brendahu@beeusa.com 5123640688 Fax: 5123640686 | MB | Asian | AU |
| | VS0000011064 Texas Energy Engineering Services, Inc. 1301 S. Capital Of Texas Highway Suite B-325 Austin Tx 78746 | Saleem Khan Saleem@teesi.com 512-328-2533 201 Fax: 512-328-2544 | MB/SBE | Asian | AU |
| | VS0000035423 Victor G Winston 1747 Fort Grant Dr. Round Rock Tx 78665 | Victor Winston vwinston@mavaengineering.com 512-563-1720 | MDB/SBE | African American | AU |
| | V00000945870 Vision Building Energy Efficiency, LLC 13809 Research Boulevard Suite 279 Austin Tx 78750 | Brenda Hu brendahu@beeusa.com 5123640688 121 Fax: 5123640686 | MB/SBE | Asian | AU |
| | V00000959221 Watershed Solutions JV LLC 7908 Cameron Road Austin Tx 78754 | Channy Soeur channy.soeur@wssjv.com 5128258989 | MB | Asian | AU |
| 93629 Facility Energy Management Systems Maintenance and Repair | | | | | |
| | V00000945870 Vision Building Energy Efficiency, LLC 13809 Research Boulevard Suite 279 Austin Tx 78750 | Brenda Hu brendahu@beeusa.com 5123640688 121 Fax: 5123640686 | MB/SBE | Asian | AU |

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|----------------------|---------------|---------------------|--------------------|-----|------|
|----------------------|---------------|---------------------|--------------------|-----|------|

Vendors Outside the SLBP Area

90628 Energy Conservation; New Energy Sources (Solar, etc)

| | | | | |
|--|--|----|-----------------|----|
| V00000980172 Access Optimized Energy, L.L.C. 17611 Shore Lane Washington Tx 77880 | 9792031979 rmaza7@gmail.com | MB | Hispanic | TX |
| V00000925889 Amanda H Tulos 5233 Bellaire #408b Bellaire Tx 77401 | 2813063987 amanda@greenexustexas.com | WB | Caucasian | TX |
| DUR8311134 DURAND-HOLLIS RUPE ARCHITECTS INC Building 18 San Antonio Tx 78230 | 210-308-0080 210-697-3309 office@dhrarchitects.com | MB | Hispanic | TX |
| V00000955255 Method Architecture, PLLC 2118 Lamar St., Suite 200 Houston Tx 77003 | 7138427500 5124780920 info@methodarchitecture.com | MB | Native American | TX |

92522 Control Systems Engineering

| | | | | |
|--|---|----|------------------|----|
| VS0000007347 Bocci Engineering, LLC 12709 Pine Dr. Cypress Tx 77429 | 713-575-2400 107 8323042295 marketing_bid_notice@bocciengineering.com | WB | Caucasian | TX |
| V00000957316 EIA Technocrats, Inc 10998 S.Wilcrest Dr., Suite#255 Houston Tx 77099 | 8175014855 2148539477 events@srigl.com | WB | Asian | TX |
| V00000949588 Jacqueline Sikorski 1016 Simmons Drive Keller Tx 76248 | 8177215574 jsikorski@maslowskicontrols.com | WB | Caucasian | TX |
| V00000930035 LKC Engineering and Sales LLC 800 E Campbell Rd, Suite 270 Richardson Tx 75081 | 2148933725 lcampbell@lkc-es.com | WB | Caucasian | TX |
| VS0000014377 Mbroh Engineering Inc. 13601 Preston Rd. #900w Dallas Tx 75240 | 9723649090 9723649091 ambroh@mbroh.com | MB | African American | TX |

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|--|---|---|--------------------|------------------|------|
| | V00000915700 Signature Automation, LLC Suite 300 Dallas Tx 75252 | 469-619-1241 101 4696191242 hjhidalgo@sig-auto.com | MB | Hispanic | TX |
| | V00000923456 Sri Global, Inc 10998 S.Wilcrest Dr., Suite#255 Houston Tx 77099 | 8175014855 kasi@srigl.com | MB | Asian | TX |
| | V00000917428 TLC Engineering Inc. 8204 Westglen Drive Houston Tx 77063 | 713-868-6900 7138680001 tonycouncil@tlceng.com | MB | African American | TX |
| | V00000913751 Team One Integration, LLC P.O. Box 117370 Carrollton Tx 75011 | 214-718-7253 hli@teamoneintegration.com | MDB | Asian | TX |
| | VIC8311138 VIC THOMPSON COMPANY Suite 140 Arlington Tx 76014 | 817-557-5600 8175575602 kdickerson@vtc.us.com | WB | Caucasian | TX |
| | V00000935388 Xuefei Feng Suite 100-302 Dallas Tx 75254 | 2142885068 fengs@kwh-engr.com | MWB | Asian | TX |
| 92534 Energy Management Engineering | | | | | |
| | VS0000020957 Azcarate & Associates Consulting Engineers, LLC 7920 Belt Line Road, Suite 350 Dallas Tx 75254 | 2142179993 razcarate@aace-eng.com | MDB | Hispanic | TX |
| | VS0000007347 Bocci Engineering, LLC 12709 Pine Dr. Cypress Tx 77429 | 713-575-2400 107 8323042295 marketing_bid_notice@bocciengineering.com | WB | Caucasian | TX |
| | V00000923456 Sri Global, Inc 10998 S.Wilcrest Dr., Suite#255 Houston Tx 77099 | 8175014855 kasi@srigl.com | MB | Asian | TX |
| | V00000917428 TLC Engineering Inc. 8204 Westglen Drive Houston Tx 77063 | 713-868-6900 7138680001 tonycouncil@tlceng.com | MB | African American | TX |
| | V00000935388 Xuefei Feng Suite 100-302 Dallas Tx 75254 | 2142885068 fengs@kwh-engr.com | MWB | Asian | TX |

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|---------------------------------|--|---|--------------------|-----------|------|
| 92535 Environmental Engineering | | | | | |
| | AVI0530500 AVIATION ALLIANCE INC Po Box 799 Colleyville Tx 76034-0799 | 817-498-0388 817-281-1867 Shirley@AviationAllianceInc.com | WB | Caucasian | TX |
| | VS0000007347 Bocci Engineering, LLC 12709 Pine Dr. Cypress Tx 77429 | 713-575-2400 107 8323042295 marketing_bid_notice@bocciengineering.com | WB | Caucasian | TX |
| | V00000957316 EIA Technocrats, Inc 10998 S.Wilcrest Dr., Suite#255 Houston Tx 77099 | 8175014855 2148539477 events@srigl.com | WB | Asian | TX |
| | V00000906740 ENCON International, Inc. 7307 Remcon Circle, Ste. 103 El Paso Tx 79912 | 9158333740 9155812049 encon.admin@enconinternational.com | MB | Hispanic | TX |
| | GRE8308847 GREEN ENVIRONMENTAL CONSULTING INC 202 Vanderpool Lane Houston Tx 77024 | 713-932-8950 713-932-8950 info@green-envi.com | WB | Caucasian | TX |
| | V00000967194 Gian C Villarreal 1807 Sunnybrook New Braunfels Tx 78130 | 2104466865 gvillarreal@seagullpme.com | MB | Hispanic | TX |
| | V00000940567 Hilda Rosa Quinones Po Box 761283 San Antonio Tx 78245-1283 | 2108968711 hildaq@qnadiversified.com | MWB | Hispanic | TX |
| | V00000930035 LKC Engineering and Sales LLC 800 E Campbell Rd, Suite 270 Richardson Tx 75081 | 2148933725 lcampbell@lkc-es.com | WB | Caucasian | TX |
| | V00000915700 Signature Automation, LLC Suite 300 Dallas Tx 75252 | 469-619-1241 101 4696191242 hjhidalgo@sig-auto.com | MB | Hispanic | TX |
| | V00000923456 Sri Global, Inc 10998 S.Wilcrest Dr., Suite#255 Houston Tx 77099 | 8175014855 kasi@srigl.com | MB | Asian | TX |

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|-------------------------------------|---|---|--------------------|------------------|------|
| | V00000917428 TLC Engineering Inc. 8204 Westglen Drive Houston Tx 77063 | 713-868-6900 7138680001 tonycouncil@tlceng.com | MB | African American | TX |
| | VAC8317945 V&A CONSULTING ENGINEERS INC Suite 500 Houston Tx 77084 | 7135689067 5109036601 chunniford@vaengineering.com | WB | Caucasian | TX |
| | V00000971484 Xiaoyu Zhang Po Box 7364 Houston Tx 77248 | 2148866684 michael.zhang@envroneerconsulting.com | MB | Asian | TX |
| | V00000935388 Xuefei Feng Suite 100-302 Dallas Tx 75254 | 2142885068 fengs@kwh-engr.com | MWB | Asian | TX |
| 92567 Mechanical Engineering | | | | | |
| | VS0000020957 Azcarate & Associates Consulting Engineers, LLC 7920 Belt Line Road, Suite 350 Dallas Tx 75254 | 2142179993 razcarate@aace-eng.com | MDB | Hispanic | TX |
| | VS0000007347 Bocci Engineering, LLC 12709 Pine Dr. Cypress Tx 77429 | 713-575-2400 107 8323042295 marketing_bid_notice@bocciengineering.com | WB | Caucasian | 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 | MB | African American | TX |
| | V00000971006 Centex Engineering and Design, LLC Box # 164 Belton Tx 76513 | 9728325721 cooper@centexeng.com | MB | Hispanic | TX |
| | V00000957316 EIA Technocrats, Inc 10998 S.Wilcrest Dr., Suite#255 Houston Tx 77099 | 8175014855 2148539477 events@srigl.com | WB | Asian | TX |
| | V00000938325 FFG Strategic Consulting, LLC 363 N Sam Houston Pkwy E, Suite 1100 Houston Tx 77060 | 8324122524 2819739879 colette.lewis@ffgsconsulting.com | MWB | African American | TX |

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|---|---------------|--|--------------------|------------------|------|
| V00000923456 Sri Global, Inc 10998 S.Wilcrest Dr., Suite#255 Houston Tx 77099 | | 8175014855 kasi@srigl.com | MB | Asian | TX |
| V00000917428 TLC Engineering Inc. 8204 Westglen Drive Houston Tx 77063 | | 713-868-6900 7138680001 tonycouncil@tlceng.com | MB | African American | TX |
| V00000939371 VoltAir Consulting Engineers- Texas LLC 5373 West Alabama Street, Suite 400 Houston Tx 77056 | | 8323716181 8323716244 jdavis@voltairinc.com | MB | African American | TX |
| V00000935388 Xuefei Feng Suite 100-302 Dallas Tx 75254 | | 2142885068 fengs@kwh-engr.com | MWB | Asian | TX |
| Total in SLBP: | | | | 64 | |
| Total Outside SLBP: | | | | 44 | |

GOOD FAITH EFFORTS INSTRUCTIONS (CITY OF AUSTIN ORDINANCE 2-9A-D)

At a minimum, the following should be submitted to support Good Faith Effort documentation:

- ❑ Solicitation sent to MBE/WBE firms **in the** Significant Local Business Presence (SLBP – 5 Counties include Travis, Hays, Williamson, Bastrop, and Caldwell) identified on the availability list for subcontracting opportunities not less than **7 business days** prior to bid date. Notices must be sent using two separate reasonable, available, and verifiable methods (e.g. email, fax, mail, or phone).
 - ❑ **Such as evidence of written notice includes copy of letters (solicitation notice) that was sent by email, fax, or mail.**
 - ❑ **Such as evidence of two separate methods used to notify MBE/WBEs include fax logs, email confirmations, copies of stamped envelopes/hand-delivered and/or phone logs (Phone contacts, alone, will not be sufficient.)**
- ❑ Written correspondence to certified vendors should include names, addresses, and other identifying information including your company's phone number, contact person, where to locate plans and specifications; and due date for responding.
- ❑ Take appropriate steps to follow up the initial solicitation with interested MBEs or WBEs.
 - ❑ **Submit copies of written responses from all respondents to your solicitation.**
 - ❑ **If interested MBEs or WBEs responded, document follow up on log of contacts and include date and contact information**
- ❑ Publish notice in a local publication such as newspaper, trade association publication, or via electronic/social media. (*Facebook Business Page, LinkedIn Business Profile, Twitter Business Account, or see below for a list of local minority trade publishers*)
 - ❑ Bidder/proposer must state a specific and verifiable reason for not contacting each certified firm with a SLBP.
 - ❑ **If MBEs and WBEs were not sent solicitation notices, document reason on log of contacts.**
- ❑ Negotiate in good faith with interested MBEs and WBEs.
 - ❑ **If negotiated in good faith with interested MBEs and WBEs, document results on log of contacts.**
- ❑ Contact SMBR for assistance (i.e. additional scopes identified or assistance with MBE/WBE Program requirements).
- ❑ Not rejecting MBEs or WBEs as being unqualified without sound reasons.
- ❑ Seeking the services of available minority and women community organizations (*See below*)
 - ❑ **Documentation of contacts with trade associations and Chambers of Commerce.**
- ❑ Selecting portions of the work that will increase the likelihood that the MBE/WBE goals will be met.

The following additional Good Faith Efforts factors may also be considered:

- ❑ Efforts to assist MBE/WBEs in bonding, insurance, and financing where appropriate.
 - ❑ **If assistance was provided, document in log of contacts.**
- ❑ Efforts to assist MBE/WBEs in obtaining necessary equipment, supplies, and materials.
 - ❑ **If assistance was provided, document in log of contacts.**

In assessing minimum good faith efforts, SMBR may consider the performance of other Bidder/Proposers successfully meeting the goals.

FAILURE TO COMPLY WITH THE MBE/WBE PROCUREMENT ORDINANCE MAY RESULT IN A DETERMINATION OF NON-COMPLIANCE OR REJECTION OF YOUR REQUEST FOR CHANGE

SMALL & MINORITY BUSINESS RESOURCES CONTACT INFORMATION

| <u>Compliance</u> | <u>CERTIFICATION</u> | <u>MAIN OFFICE</u> |
|---|-----------------------------------|---------------------------|
| 512-974-7600 | 512-974-7645 | 512-974-7600 |
| 512-974-7601 | 512-974-7601 | 512-974-7622 |
| Smbrcompliancedocuments@austintexas.gov | smbrcertification@austintexas.gov | www.austintexas.gov/smbr |

SMBR's Plan Room

The City of Austin's Small & Minority Business Resources (SMBR) Department has a Plan room for viewing City of Austin project plans and specifications as well as other local, private, and public sector jobs. In addition, SMBR and McGraw-Hill Dodge have partnered to provide contractors up-to-date construction project information, plans and specification through the Internet. Projects include public and private sector opportunities in 100 South and Central Texas counties.

Where is the Plan Room?

It's located at the offices of SMBR
4201 Ed Bluestein Blvd.
Austin, TX 78721

How much will it cost?

There are no fees to access the information. There are minimal fees for copying and printing of plan and specification sheets.

What are my next steps?

Attend a free one-hour orientation session to learn how to operate the on-line service. Call (512) 974-7799 to make an appointment or for more information.

For more information or to view a list of projects currently available in the Plan Room visit website at www.austintexas.gov/smbr under the Plan Room projects.

BONDING

Bonding is a type of protection that a governmental agency or prime contractor may require that your company have in order to work on a contract. A bonding application will take several days. Get started today. Be proactive by making an appointment to talk to SMBR's Bonding Financial Consultant, Luke Ortega Luper as soon as possible. He can be reached at (512-974-7733 or email him at Luke.Luper@austintexas.gov. You will also find past copies of his newsletters on our website at <http://austintexas.gov/departments/bonding>.

Keep in mind that SMBR does not issue bonds; however, we do provide our bonding resource program as a free and confidential service to our business owners.

AUSTIN MINORITY NEWSPAPERS

Capital City Argus News

PO Box 140471
Austin, TX 78714-0471
512-926-0348 Fax: same as phone

Charles M. Miles

Email: CMilesArgus@yahoo.com

El Mundo Newspaper

2112 E. Cesar Chavez
Austin, TX 78702
512-476-8636

Email: info@elmundonewspaper.com

La Prensa

PO Box 6504
Austin, TX 78762-6504
512-478-3090 Fax: 512-482-6400

Catherine Vasquez-Revilla

Email: laprensa@aol.com

Nokoa The Observer

PO Box 1137
Austin, TX 78767
512-499-8713 Fax: same as phone

Akwasi Evans

Email: akwasievens2013@gmail.com

The Villager

4132 E. 12th Street
Austin, TX 78721
512-476-0082 Fax: 512-476-0179

Tommy L. Wyatt

Email: vil3202@aol.com

World Journal Inc. of Texas/World Journal Chinese Daily News

5855 Sovereign Dr. #C
Houston, TX 77036

Sherry Wang

Email: sherrywang1020@yahoo.com

LOCAL MINORITY SERVICE ORGANIZATIONS

Asian Contractor Association

4201 Ed Bluestein Blvd, 2nd floor
Austin, TX 78721
512-926-5400 Fax: 512-926-5410

Austin Area Black Contractors Association

6448 Highway 290 East, Suite E-107
Austin, TX 78723
512-467-6895 Fax: 512-467-9808

Business Investment Growth (BIG Austin)

Capital Plaza Bank Office Building
5407 N. IH-35, Ste 200
Austin, TX 78723
512-928-8010 Fax: 512-926-2997

Business Resource Consultants (BRC)/(Bid Briefs)

6448 Highway 290 East, Suite E-107
Austin, TX 78723
512-467-6894 Fax: 512-467-9808

Greater Austin Asian Chamber of Commerce

8001 Centre Park Drive, Suite 160
Austin, TX 78731
512-407-8240

Greater Austin Black Chamber of Commerce

African-American Heritage Center
912 E. 11th Street, Suite A
Austin, TX 78702
512-459-1181 Fax: 512-459-1183

Greater Austin Hispanic Chamber of Commerce

3601 Far West Blvd, Suite 204
Austin, TX 78731
512-476-7502 Fax: 512-476-6417

U.S. Hispanic Contractors Association de Austin (USHCA)

920 E. Dean Keeton Street
Austin, TX 78705
512-922-0507

Aletta Banks

www.acta-austin.com

Email: asiancontractor@gmail.com

Carol Hadnot

www.abcatx.com

Email: brc-pro@att.net

Stacy Dukes-Rhone

www.bigaustin.org

Email: info@bigaustin.org

Carol S. Hadnot

Email: brc-pro@att.net

Jodie Huynh

www.austinasianchamber.org

Email: jhuynh@austinasianchamber.org

Tam Hawkins

www.austinbcc.org

Email: admin@austinbcc.org

Casilda Clarich

www.gahcc.org

Email: cclarich@gahcc.org

Juan Oyervides

www.ushca-austin.com

Email: info@ushca-austin.com

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

Aviation Alliance Inc
Po Box 799
Colleyville, Tx 76034-0799

Amanda H Tulos
5233 Bellaire #408b
Bellaire, Tx 77401

B2z Engineering, Llc
4707 Commercial Park Drive
Austin, Tx 78724

Baeza Engineering, Pllc
9701 Brodie Lane #203
Austin, Tx 78748

Carter Design Assoc Inc
817 W 11th St
Austin, Tx 78701-2009

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

Centex Engineering And Design, Llc
2608 Main St
Belton, Tx 76513

Doucet & Associates Inc
7401 B Hwy 71 West, Suite 160
Austin, Tx 78735

Eia Technocrats, Inc
10998 S.Wilcrest Dr., Suite#255
Houston, Tx 77099

Aptus Engineering Llc
1919 S 1st Street
Austin, Tx 78704

Ays Engineering, Llc
411 W Main Street
Round Rock, Tx 78664

Atlas Design Services, Llc
1301 S Capital Of Texas Hwy
Austin, Tx 78746

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

Beyond Engineering And Testing, Llc
3801 Doris Lane, Suite B
Round Rock, Tx 78664

Cas Consulting And Services, Inc.
7908 Cameron Rd
Austin, Tx 78754

Candace Wong
6727 Jester Blvd.
Austin, Tx 78750

Civil Team Engineers Llc
170 Bolton Drive
Austin, Tx 78737

Durand-Hollis Rupe Architects Inc
14603 Huebner Rd
San Antonio, Tx 78230

Encon International, Inc.
7307 Remcon Circle, Ste. 103
El Paso, Tx 79912

Asd Consultants Inc
8120 N Ih 35
Austin, Tx 78753

Access Optimized Energy, L.L.C.
17611 Shore Lane
Washington, Tx 77880

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

Bowman Engineering & Consulting Inc
9442 North Capital Of Texas Hwy Plaza
1, Suite 500
Austin, Tx 78750

Bocci Engineering, Llc
12709 Pine Dr.
Cypress, Tx 77429

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

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

Dorothy M Bothne
14201 Sandy Meadow Circle
Leander, Tx 78641

Edge Engineering, Pllc
3410 Far West Blvd
Austin, Tx 78731

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

| | | |
|--------------------------------------|---|---------------------------------|
| Elizabeth S Arceneaux | Ffg Strategic Consulting, Llc | Glenrose Engineering Inc |
| 113 N. Johnson Ave | 363 N Sam Houston Pkwy E, Suite 1100 | 1405 Hillmont St |
| San Marcos, Tx 78666 | Houston, Tx 77060 | Austin, Tx 78704 |
| Green Environmental Consulting Inc | Garza Emc L.L.C. | Gian C Villarreal |
| 202 Vanderpool Lane | 7708 Rialto Blvd | 1807 Sunnybrook |
| Houston, Tx 77024 | Austin, Tx 78735 | New Braunfels, Tx 78130 |
| Green Living Llc | Harutunian Engineering Inc | Hilda Rosa Quinones |
| 2303 Ranch Road 620 South | P.O. Box 140735 | Po Box 761283 |
| Austin, Tx 78734 | Austin, Tx 78714-0735 | San Antonio, Tx 78245-1283 |
| Jasmine Engineering Inc | Jose I Guerra Inc | Jrsa Engineering Inc |
| 901 S. Mopac Expwy | 1701 Directors Boulevard | 6101 W. Courtyard Dr. |
| Austin, Tx 78746 | Austin, Tx 78744 | Austin, Tx 78730 |
| Jacqueline Sikorski | Kaylyn Harris | Lccx Llc |
| 1016 Simmons Drive | 1911 Fairlawn Ln | 8106 Meandering Way |
| Keller, Tx 76248 | Austin, Tx 78704 | Austin, Tx 78755 |
| Lkc Engineering And Sales Llc | Lopez Salas Architects Inc | Maldonado-Burkett, Llp |
| 800 E Campbell Rd, Suite 270 | 612 Winflo Drive | 2312 Western Trails Blvd |
| Richardson, Tx 75081 | Austin, Tx 78703 | Austin, Tx 78745-1638 |
| Mbroh Engineering Inc. | Method Architecture, PLLC | Millennium Engineers Group Inc |
| 13601 Preston Rd. #900w | 2118 Lamar St., Suite 200 | 1601 Rutherford Lane |
| Dallas, Tx 75240 | Houston, Tx 77003 | Austin, Tx 78754 |
| Miller Gray Llc | Musser Engineering Associates, Inc. | Nodal Partners, Llc |
| Po Box 303130 | 6805 N Capital Of Texas Hwy. | 13809 Research Boulevard |
| Austin, Tx 78703 | Austin, Tx 78731 | Austin, Tx 78750 |
| Professional Strucivil Engineers Inc | Providence Environmental Consulting Inc | Quality Power, Llc |
| 12710 Research Blvd. | 112 Las Colinas Dr | 1008 Lakewood Hills Terrace |
| Austin, Tx 78759 | Georgetown, Tx 78628 1010 | Austin, Tx 78732 |
| Susan Roth Consulting Llc | Signature Automation, Llc | Sri Global, Inc |
| 4111 Tablerock Dr | 17950 Preston Road | 10998 S.Wilcrest Dr., Suite#255 |
| Austin, Tx 78731 | Dallas, Tx 75252 | Houston, Tx 77099 |

| | | |
|-------------------------|--|---|
| Tlc Engineering Inc. | Team One Integration, Llc | Texas Energy Engineering Services, Inc. |
| 8204 Westglen Drive | P.O. Box 117370 | 1301 S. Capital Of Texas Highway |
| Houston, Tx 77063 | Carrollton, Tx 75011 | Austin, Tx 78746 |
| The Thrival Company Llc | V&A Consulting Engineers Inc | Vic Thompson Company |
| 5701 W Slaughter Ln. | 15720 Park Row | 3751 New York Ave. |
| Austin, Tx 78749 | Houston, Tx 77084 | Arlington, Tx 76014 |
| Victor G Winston | Vision Building Energy Efficiency, Llc | Voltair Consulting Engineers- Texas Llc |
| 1747 Fort Grant Dr. | 13809 Research Boulevard | 5373 West Alabama Street, Suite 400 |
| Round Rock, Tx 78665 | Austin, Tx 78750 | Houston, Tx 77056 |
| Watearth, Inc. | Watershed Solutions Jv Llc | Xiaoyu Zhang |
| 11824 Jollyville Rd | 7908 Cameron Road | Po Box 7364 |
| Austin, Tx 78759 | Austin, Tx 78754 | Houston, Tx 77248 |
| Xuefei Feng | | |
| 14555 Dallas Parkway | | |
| Dallas, Tx 75254 | | |



FORM 1

Prime Firm's General Information:

Solicitation Number:

Project Name:

| | |
|--|--|
| 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: | |

Complete pages 2-3 only if submitting as Joint Venture.

| | |
|--|--|
| 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: | |

Firm 1 - 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 | |

| | |
|--|--|
| Firm 2 Legal Name | |
| Participating Firms Percentage of Control: | |
| Number of Years in Business: | |
| Organization Type: | |
| Date of Organization (MM/YYYY): | |
| Date of Predecessor Organization: | |

Firm 2 - 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 | | |
| Yes | No | If "yes, please state limits. |
| Commercial General Liability Insurance | | |
| Yes | No | If "yes", please state limits. |
| Business Automobile Liability Insurance | | |
| Yes | No | If "yes", please state limits. |
| Professional Liability Insurance | | |
| Yes | No | If "yes", please state limits. |

| | | |
|--|------|-------------|
| The undersigned acknowledges receipt of the following addenda: | | |
| Addendum No. | Date | Received By |
| | | |
| | | |
| | | |
| | | |
| | | |

CONSULTANT STATEMENT OF QUALIFICATIONS ACKNOWLEDGEMENT: The undersigned certifies that the Consultant has read and understands the Request for Qualifications documents including the Instructions to Consultants, and all other requirements applicable to the qualification-based selection process provided in the Request for Qualifications Documents.

Consultants 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, hourly rate information, and non-discrimination policy. The Consultant 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 .

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.

RESPONDENT'S CERTIFICATION OF NON-COLLUSION, NON-CONFLICT OF INTEREST, AND ANTI-LOBBYING (Form 2): The undersigned Consultant, by its signature, represents and certifies that it has read and can affirmatively swear and subscribe to the statements in Form 2 Non-Collusion, Non-Conflict of Interest, and Anti-Lobbying. If the Consultant cannot affirmatively swear and subscribe to any of the statements in Form 2, Consultant represents and certifies that it has provided a detailed written explanation with its Response on separate pages annexed hereto. The undersigned Consultant further certifies that it has not in any way directly or indirectly had communication restricted in the City Code Chapter 2-7, Article 6 (Anti-Lobbying and Procurement) during the No-Lobbying Period as defined in Chapter 2-7.

Consultant's submitting Statements of Qualifications in response to this RFQ agree to and represent that they are authorized to submit an SOQ on behalf of Consultant. Consultants, by submitting, acknowledge that they have received and read each solicitation document including all revisions, addenda and documents incorporated by reference, and agree to be bound by the terms therein.

CONFLICT OF INTEREST (see Form 2, Sections 4-6)

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.

Signature

Name

Date

END



FORM 2

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

Solicitation Number:

Project Name:

For purposes of these requirements:

The term **“Respondent”**, as used herein, includes the individual or business entity submitting the bid 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 subcontractor in connection with this bid.

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 bid or the terms or conditions of this bid.
 - 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 bid or the bid of any other respondent.
2. **Preparation of Request for Qualifications 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 bid or contract documents., In addition, the Respondent has not otherwise participated in the preparation or development of the underlying bid or contract documents, except to the extent of any comments or questions and responses in the bidding 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 bids 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 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 or 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 \$100 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; and
 - c. does not have a family relationship with a local government officer of OWNER in the third degree of consanguinity or the second degree of affinity.

As required by Chapter 176, Respondent must file the 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 Bid, 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.** On June 14, 2018, the Austin City Council adopted Ordinance No. 20180614-056 replacing Chapter 2.7, Article 6 of the City Code relating to Anti-Lobbying and Procurement. The policy defined in this Code applies to Solicitations for goods and/or services requiring City Council approval under City Charter Article VII, Section 15 (Purchase Procedures). The City requires Respondents submitting Responses to this Solicitation to certify that the Respondent has not in any way directly or indirectly had communication restricted in the ordinance section 2-7-104 during the No-Lobbying Period as defined in the Ordinance, which can be viewed in the solicitation Instructions to Consultants. The text of the City Ordinance is posted on the Internet at:

https://assets.austintexas.gov/purchase/downloads/New_ALO_Ordinance_No_20180614-056.pdf

8. **Pursuant to Texas Government Code §2271.002**, the City is prohibited from contracting with any “company” for goods or services unless the following verification is included in this Contract.
- a. For the purposes of this Section only, the terms “company” and “boycott Israel” have the meaning assigned by Texas Government Code §2271.001.
 - b. If the Respondent qualifies as a “company,” then Respondent verifies that it:
 - i. does not “boycott Israel”; and
 - ii. will not “boycott Israel” during the term of this Contract.
 - c. Respondent’s obligations under this Section, if any exist, will automatically cease or be reduced to the extent that the requirements of Texas Government Code Chapter 2271 are subsequently repealed, reduced, or declared unenforceable or invalid in whole or in part by any court or tribunal of competent jurisdiction or by the Texas Attorney General, without any further impact on the validity or continuity of this Contract.
9. **Respondent certifies that it is aware of City Council Resolution No. 20191114-056**, which prohibits the City from contracting with entities that engage in certain practices related to conversion therapy. By responding and accepting this Contract, the Respondent agrees that: (1) its firm and its principals are not currently and will not during the term of the Contract engage in practicing LGBTQ+ conversion therapy; referring persons to a healthcare provider or other person or organization for LGBTQ+ conversion therapy; or contracting with another entity to conduct LGBTQ+ conversion therapy; and that (2) if the City determines in its sole discretion that Respondent has during the term of this Contract engaged in any such practices, the City may terminate this Contract without penalty to the City.
10. **Pursuant to Texas Government Code Chapter 2274**, Respondent certifies that if it has or will have remote or direct access to communication infrastructure systems, cybersecurity systems, the electric grid, hazardous waste treatment systems, or water treatment facilities as a result of any City contract, that Respondent is not:
- a. owned by or the majority of stock or other ownership interest of its firm is not held or controlled by:
 - i. individuals who are citizens of China, Iran, North Korea, Russia, or a Governor-designated country; or
 - ii. a company or other entity, including a governmental entity, that is owned or controlled by citizens of or is directly controlled by the government of China, Iran, North Korea, Russia, or a Governor-designated country; or
 - iii. headquartered in China, Iran, North Korea, Russia, or a Governor-designated country.
11. **Pursuant to Texas Government Code Chapter 2274**, Respondent certifies that, if it has 10 or more full-time employees, Respondent: (1) does not have a practice, policy, guidance, or directive that discriminates against a firearm entity or firearm trade association; and (2) will not discriminate during the term of the resulting contract against a firearm entity or firearm trade association.

12. **Pursuant to Texas Government Code Chapter 2274**, Respondent certifies that, if Respondent has 10 or more full-time employees, Respondent: (1) does not boycott energy companies; and (2) will not boycott energy companies during the term of the contract.

END



FORM 3A PRIME FIRM'S EEO PROGRAM

Solicitation Number:

Project Name:

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.

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 filling. 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.

END



FORM 3B

APPENDIX A OF TITLE VI ASSURANCES

Solicitation Number:

Project Name:

During the performance of this contract, the contractor (hereinafter includes consultants), for itself, its assignees, and successors in interest (hereinafter referred to as the "contractor") agrees to comply with the following nondiscrimination statutes and authorities; including but not limited to:

1. Compliance with Regulations: The contractor (hereinafter includes Consultants) will comply with the Acts and the Regulations relative to Nondiscrimination in Federally- assisted programs of the Department of Transportation, the Federal Highway Administration, as they may be amended from time to time, 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 will not participate either directly or indirectly in the discrimination prohibited by the Acts and the Regulations, including employment practices when the contract covers any activity, project, or program set forth in Appendix B of 40 C.F.R. part 21.
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 Acts 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 Acts, the Regulations and directives issued pursuant thereto, and will permit access to its book, records, accounts, other sources of information, and its facilities as may be determined by the Recipient or the Federal Highway Administration to be pertinent to ascertain compliance with such Acts, Regulations, 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 will so certify to the Recipient, or the Federal Highway Administration as appropriate, and will 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 will impose such contract sanctions as it or the Federal Highway Administration 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) cancelling, terminating or suspending a contract, in whole or in part.

6. Incorporation of Provisions: The contractor shall include the provisions of paragraphs one through six in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Acts, the Regulations, and directives issued pursuant thereto. The contractor will take action with respect to any subcontract or procurement as the Recipient or the Federal Highway Administration may direct as a means of enforcing such provisions including sanctions for non-compliance: Provided, that if a contractor becomes involved in, or is threatened with, litigation with a subcontractor or supplier because of such direction, the contractor may request the Recipient to enter into any litigation to protect the interests of the Recipient. In addition, the contractor may request the United States to enter into the litigation to protect the interests of the United States. (DOT 1050.2A, Updated DOT Standard Title VI Assurances and Non-Discrimination Provisions 10/22/2013.)

END



FORM 3C

APPENDIX E OF TITLE VI ASSURANCES

Solicitation Number:

Project Name:

During the performance of this contract, the contractor (hereinafter includes consultants), for itself, its assignees, and successors in interest (hereinafter referred to as the “contractor”) agrees to comply with the following nondiscrimination statutes and authorities; including but not limited to:

Pertinent Nondiscrimination Authorities:

1. Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d et seq., 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin); and 49 C.F.R. Part 21.
2. The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, (42 U.S.C. § 4601), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);
3. Federal-Aid Highway Act of 1973, (23 U.S.C. § 324 et seq.), (prohibits discrimination on the basis of sex);
4. Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. § 794 et seq.), as amended, (prohibits discrimination on the basis of disability); and 49 C.F.R. Part 27;
5. The Age Discrimination Act of 1975, as amended, (42 U.S.C. § 6101 et seq.), (prohibits discrimination on the basis of age);
6. Airport and Airway Improvement Act of 1982, (49 U.S.C. § 471, Section 47123), as amended, (prohibits discrimination based on race, creed, color, national origin, or sex);
7. The Civil Rights Restoration Act of 1987, (PL 100-209), (Broadened the scope, coverage and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms “programs or activities” to include all of the programs or activities of the Federal-aid recipients, subrecipients and contractors, whether such programs or activities are Federally funded or not);
8. Titles II and III of the Americans with Disabilities Act, which prohibit discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12131-12189) as implemented by Department of Transportation regulations at 49 C.F.R. parts 37 and 38;
9. The Federal Aviation Administration's Nondiscrimination statute (49 U.S.C. § 47123) (prohibits discrimination on the basis of race, color, national origin, and sex);

10. Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations, which ensures nondiscrimination against minority populations by discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental effects on minority and low-income populations;
11. Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin discrimination includes discrimination because of limited English proficiency (LEP).
12. To ensure compliance with Title VI, you must take reasonable steps to ensure that LEP persons have meaningful access to your programs (70 Fed. Reg. at 74087 to 74100);
13. Title IX of the Education Amendments of 1972, as amended, which prohibits you from discriminating because of sex in education programs or activities (20 U.S.C. 1681 et seq).

(DOT 1050.2a, Updated DOT Standard Title VI Assurances and Non-Discrimination Provisions 10/22/2013)

END



FORM 4

CONSULTANT AVAILABILITY

Solicitation Number:

Project Name:

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.

By my signature on Form 1, I 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 and that the individuals listed in Consideration Item 4 - Experience of Key Personnel are employed by the prime firm and are not contracted employees.

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.

END



FORM 5 EXPERIENCE OF PROJECT MANAGER

Solicitation Number:

Project Name:

| | |
|------------------------------|--|
| 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 1 | |
| 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: | |

| | |
|--|--|
| Project 2 | |
| 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: | |

| | |
|--|--|
| Project 3 | |
| 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 additional pages as necessary)



FORM 6 EXPERIENCE OF PROJECT PROFESSIONAL

Solicitation Number:

Project Name:

| | |
|--------------------------------|--|
| Firm Name: | |
| *Name of Project Professional: | |
| 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 1 | |
| 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: | |

| | |
|--|--|
| Project 2 | |
| 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: | |

| | |
|--|--|
| Project 3 | |
| 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 additional pages as necessary)



FORM 7 EXPERIENCE OF PROJECT PRINCIPAL

Solicitation Number:

Project Name:

| | |
|-----------------------------|--|
| 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 1 | |
| 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: | |

| | |
|--|--|
| Project 2 | |
| 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: | |

| | |
|--|--|
| Project 3 | |
| 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 additional pages as necessary)



FORM 8 PRIME FIRM'S COMPARABLE PROJECT EXPERIENCE

Solicitation Number:

Project Name:

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: | |

| | |
|----------------------------------|--|
| Project 2 | |
| Project Name/Location: | |
| Date Completed: Month/Year: | |
| Client or Owner's Representative | |
| Construction Cost: | |
| Project Description: | |
| Services Provided: | |

| | |
|----------------------------------|--|
| Project 3 | |
| Project Name/Location: | |
| Date Completed: Month/Year: | |
| Client or Owner's Representative | |
| Construction Cost: | |
| Project Description: | |
| Services Provided: | |

(add additional pages as necessary)



FORM 9 MAJOR SCOPES OF WORK - COMPARABLE PROJECT EXPERIENCE

Solicitation Number:

Project Name:

| | |
|----------------|--|
| 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.

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, or the firm's Key Personnel, proposed to perform the scope of work (subconsultant or prime), with projects of similar programs, budgets, and/or clients as the areas identified. In addition, City may consider history of firms, or firm's Key Personnel, in complying with project programs, schedules, and budgets based on previous City projects.

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

| | |
|--|--|
| Project 2 | |
| Project Name/Location: | |
| Date Completed: Month/Year: | |
| Name of Client or Owner's Representative | |
| Construction Cost: | |
| Project Description: | |
| Services Provided: | |

| | |
|--|--|
| Project 3 | |
| Project Name/Location: | |
| Date Completed: Month/Year: | |
| Name of Client or Owner's Representative | |
| Construction Cost: | |
| Project Description: | |
| Services Provided: | |

(add additional pages as necessary)