

TFC Contract No. 19-039-000  
Raba Kistner, Inc.  
RFQ No. 303-9-00434  
Project No. 17-016-8002

**PROFESSIONAL SERVICES AGREEMENT  
FOR  
CONSTRUCTION MATERIALS TESTING  
CAPITOL COMPLEX, PHASE 1**

**BETWEEN**

**THE TEXAS FACILITIES COMMISSION  
AND  
RABA KISTNER, INC.**

The Texas Facilities Commission (hereinafter referred to as "TFC"), a state agency located at 1711 San Jacinto Boulevard, Austin, Texas 78701, as Owner (as defined in *2015 Uniform General Conditions*, Section 1.28) and Raba Kistner, Inc., as Construction Materials Testing Firm (as defined below) (hereinafter referred to as "Construction Materials Testing Firm" or "CMT"), located at 8100 Cameron Road, Suite B-150, Austin, Texas 78754, enter into the following agreement for professional services (hereinafter referred to as the "Agreement") pursuant to the Professional Services Procurement Act, Tex. Gov't Code Ann. Ch. 2254, Subchapter. A, to be effective as of the Effective Date (as defined below). The project for which CMT agrees to provide Professional Services is generally described as Construction Materials Testing for the George H. W. Bush State Office Building, located at 1801 Congress Avenue, in the Capitol Complex, Phase 1 in Austin Texas. Nothing in this Agreement shall be interpreted or construed to make Contractor (as defined in *2015 Uniform General Conditions*, Section 1.16) a third-party beneficiary hereunder.

**RECITALS**

WHEREAS, TFC has determined that it requires professional services for the construction materials testing services for the Capitol Complex Project. Phase 1, to be located in Austin, Texas; and

WHEREAS, in reliance upon the representations made by CMT in its response to TFC's Request for Qualifications 303-9-00105 dated October 12, 2018 (hereinafter referred to as the "RFQ"), TFC has determined that CMT has demonstrated its competence and qualifications to provide the requested services; and

WHEREAS, CMT has agreed to provide the services contemplated hereunder; and

WHEREAS, TFC has agreed to compensate CMT for these services, as provided herein;

NOW, THEREFORE, in consideration of the mutual promises, commitments and representations herein it is hereby agreed as follows:

## I. DEFINITIONS

1.1. Definitions. Unless specifically provided otherwise herein, all words and phrases in this Agreement in initial caps shall have the meanings set out in the *2015 Uniform General Conditions* (hereinafter referred to as “UGC”) and this Section 1.1. In the event of any conflict between the definitions in the UGC, the *2018 Supplementary General Conditions*, located on TFC’s website at this these links

<http://www.tfc.state.tx.us/divisions/facilities/prog/construct/formsindex/2015%20UGC%2003.07.2017.Final.pdf>

[http://www.tfc.state.tx.us/divisions/facilities/prog/construct/formsindex/2018%20Supplementary%20Modifications%20to%20Article%205%203-23-2018%20\(003\).pdf](http://www.tfc.state.tx.us/divisions/facilities/prog/construct/formsindex/2018%20Supplementary%20Modifications%20to%20Article%205%203-23-2018%20(003).pdf)

and incorporated herein by reference for all purposes as “Exhibit A,” and “Exhibit B,” respectively, or in any other document referenced herein and incorporated for all purposes, and the definitions in this Agreement, the definitions used in this Agreement shall control to the extent of the conflict.

1.1.1. *Additional Services* means those services not included in Article II of this Agreement which may be requested by TFC at any time for the duration of this Agreement, as discussed in Section 4.5 below.

1.1.2. *A/E Guidelines* means the TFC 2018 Architectural/Engineering Guidelines, Edit Date 3/19/2018, located on TFC’s website at this link

<http://www.tfc.state.tx.us/divisions/facilities/prog/construct/formsindex/01%20-%202018%20A-E%20GUIDELINES.pdf>

and incorporated herein by reference for all purposes as “Exhibit C.”

1.1.3. *Approval* or *Approved* means the written approval of TFC. TFC may exercise the right of Approval in its sole discretion. TFC’s Approval shall also require formal approval of TFC’s board of commissioners (the “Commissioners”) whenever approval of the Commissioners is expressly required by this Agreement or is otherwise required by state law or TFC’s policies. The act of an Approval shall not constitute a waiver of TFC’s rights hereunder or excuse CMT from fulfilling its obligations to perform in accordance with this Agreement.

1.1.4. *Architect/Engineer (A/E)* means Architects or Engineers of Records for each of the Projects in the Capitol Complex Phase 1, the architectural and engineering service provider contracted by TFC hereunder to perform the professional architectural and engineering design services, after receipt of bridging documents from the Master Architect/ Engineer (Master A/E) at the end of conceptual design, and any licensed professionals and other personnel working under the Architect/Engineer’s supervision, or otherwise engaged by TFC to prepare the design for all or a portion of the Project.

1.1.5. *Budget* means the maximum amount of funding that has been authorized by and is available to TFC to pay CMR for the services and Work required under the Construction Contract for the Project, for the Guaranteed Maximum Prices, and all change orders. The Budget is currently estimated to be Four Hundred Forty-Seven Million and No/100 Dollars (\$447,000,000.00). The Budget may be amended from time to time by TFC in its sole discretion as further assessments, design and construction cost estimates are developed by the Project Team.

1.1.6. *Building Information Model* or *BIM* means a computable multi-dimensional representation of the physical and functional characteristics of the Project's facilities and their related life-cycle information, to be used as a repository of design and construction information for use by the Project Team during the design, bidding and construction phases of the Project, and for TFC's use throughout the life-cycle of the facilities.

1.1.7. *CAD* means AutoCAD DWG format unless specifically provided otherwise herein.

1.1.8. *Certificate of Substantial Completion* means the certificate for each Package signed by CMR, A/E and TFC establishing the date of Substantial Completion for the applicable part of the Work and identifying responsibilities for security and maintenance as set out in UGC, Paragraph 12.1.1.2.

1.1.9. *Close-out and Record Documents Deadline* means the date that is a fixed number of days after the date of delivery of all Close-out Documents for each Package to A/E.

1.1.10. *Close-out Documents* has the same meaning as defined in UGC, Section 1.10 and includes CMR's marked-up "as-builts."

1.1.11. *Communication Protocol* means the communication and tracking procedures to be utilized for interaction and reporting between TFC, CMR, Contractors, Subcontractors, SSE, A/E and CMT, including but not limited to, the use of any EPMCS utilized by TFC for the Project.

1.1.12. *Conceptual Design Drawings* means concept drawings and block diagrams that, in TFC's sole opinion, are of such quality and detail to enable TFC to establish design direct.

1.1.13. *Conceptual Design Package(s)* or *CDP(s)* means one or more sets of documents developed by Master A/E and CMA, as approved by Owner, to provide sufficient information to describe and establish the design parameters for the Projects, including, as appropriate, the legal description of the Sites of the Projects, site surveys, site development requirements and other information related to the Sites, conceptual criteria for the Projects, interior space requirements, special material requirements, material quality standards, special equipment requirements, cost or budget estimates, Project Schedules, quality control



requirements, applicable codes and ordinances, provisions for utilities, parking requirements, or any other requirement, as applicable.

1.1.14. *Conceptual Design Phase* means that stage of a Project culminating in the preparation and submission of a Conceptual Design Package that includes preliminary design or series of preliminary design alternatives based on CMA's and Master A/E's review of Owner's Design Program and the 2016 Texas Capitol Complex Master Plan, located on TFC's website at this link <http://www.tfc.state.tx.us/divisions/commissionadmin/tools/> and incorporated herein for all purposes as "Exhibit D"(hereinafter referred to as the "Master Plan"). This phase includes CMA's and Master A/E's preliminary evaluation of alternative approaches to designing the Projects, taking into consideration the requirements of the Projects and the Program Budget, including the elements of the Schematic Design Package. This shall include the combination of: (i) Schematic Design Drawings; (ii) an outline summary of the areas within the proposed Project, such summary corresponding to the general categories in the space allocation outlined in the Design Program; and (iii) a description of the building and general Site development that shall include an overview of proposed exterior architectural materials and structural systems together with the MEP Systems and services being contemplated.

1.1.15. *Consideration* means the funds and any and all other forms of valid, legal consideration as discussed in Article IV of this Agreement.

1.1.16. *Construction Contract* means all the contract documents comprising the contract between Owner and CMR for each Package, including, as applicable, all exhibits to the Construction Contract, Owner's solicitation, addenda, notice(s) to bidders, CMR's Guaranteed Maximum Price(s), prevailing wage schedules, list of Subcontractors, Owner's notice to proceed, bonds, general provisions, special provisions, Specifications, Drawings, all modifications, all written amendments, change orders, field orders, orders for minor changes in the work, and the Architect/Engineer's written interpretations and clarifications issued on or after the effective date of such contract.

1.1.17. *Construction Documents* has the same meaning as defined in UGC, Section

1.1.18. *Construction Documents Phase* means that stage of a Package that follows the Design Development Phase, and culminates in the preparation and issuance of fully complete construction design documents that illustrate and incorporate Approved changes to the Design Development Documents and consisting of Drawings and Specifications setting forth in detail the quality levels of materials and systems and other requirements for the construction of the Work, subject to additional information to be provided by CMR for the Architect/Engineer's review, such as shop drawings, product data, samples and other similar submittals.

1.1.19. *Construction Manager Agent* or *CMA* means Balfour Beatty Construction, LLC, the service provider engaged hereunder as the TFC's fiduciary agent to assist the TFC with management and coordination of the overall design and construction program for the Capitol Complex Projects.



1.1.20. *Construction Manager-at-Risk* or *CMR* has the same meaning as defined in UGC, Section 1.18 and also refers to the service provider to be engaged by TFC for Phase 1 of the Project to perform (or cause to be performed) the Work on Phase 1 of the Project as a Construction Manager-at-Risk.

1.1.21. *Construction Materials Testing Firm* or *CMT* means individual/s or firm contracted by TFC to perform all of the Construction Materials Testing as outlined in this Contract. The Construction Materials Testing firm also referred to herein as the "CMT," shall be part of the Project team who works independently of both designer and Contractor to conduct the testing and special inspections outlined in Article II below.

1.1.22. *CMT Personnel* means all CMT's staff, Subcontractors, subconsultants and vendors of any tier who contract to perform any of CMT's obligations or duties hereunder, as shown in List of CMT's Key Personnel, incorporated herein for all purposes as "Exhibit E."

1.1.23. *CMT's Fee Schedule* is that fee schedule that provides for payment of CMT's Fee, as described in CMT's Fee Schedule, attached hereto and incorporated herein for all purposes as "Exhibit F."

1.1.24. *CMT Project Manager* means the individual designated by CMT, and who must be approved by TFC, as the contact person with specific authority to properly supervise and direct the duties and responsibilities of CMT, on behalf of CMT, pursuant to the terms and conditions of this Agreement, and who shall have decision-making authority to bind CMT with respect to the Professional Services for the Project.

1.1.25. *Contractor* has the same meaning as defined in UGC, Section 1.16.

1.1.26. *DD Documents* means the design development documents, i.e., such plans, elevations, and such other drawings, calculations, and outline specifications that are of such quality and detail that enable TFC to fix and illustrate the size and character of the Package in its essentials as to kinds of materials and assembly details and type of structure and to coordinate the interface of all architectural and structural elements with all building systems.

1.1.27. *Deliverables* means any and all drawings, specifications, designs, studies, sketches, computer programs, reports, and other information, whether in printed or electronic media format, provided or furnished in appropriate phases by CMT in the performance of the Professional Services, which are specified to be delivered by CMT pursuant to the terms of this Agreement.

1.1.28. *Design/Mobilization Deadline* means the date that is a fixed number of days after delivery of a Notice to Proceed, and by which date CMT shall (i) complete all the Design/Mobilization Tasks, and (ii) prepare and deliver the Design/Mobilization Task Reports to TFC.

1.1.29. *Design/Mobilization Tasks* means the mobilization and pre-testing services to be provided to TFC as discussed in Article II.

1.1.30. *Design Development Phase* means that phase of a Package that follows the Conceptual Design Phase, and culminates in the preparation and issuance of detailed design documents that illustrate and incorporate Approved changes to the Schematic Design Documents, and include drawings, specifications, plans, sections, elevations, typical construction details, and diagrammatic layouts of building systems to fix and describe the size and character of a Project and to identify the quality levels of major materials and systems for architectural, life safety, fire protection, civil, structural, mechanical and electrical disciplines, and such other elements and systems as may be appropriate.

1.1.31. *Design Package* means all or a part of the Construction Documents, including all Drawings, Specifications and other Construction Documents issued by the A/E at a designated point in time as required for bidding, procurement and construction for a specific scope of the Work for each Package.

1.1.32. *Design Program* means, collectively, the overall goals, the design objectives, the aesthetic considerations, the functional requirements, and the design and construction for all Packages within the Project, including: (i) allocations of space with uses and adjacency relationships for all areas/spaces; (ii) operational objectives and such standards of design that TFC may require for all architectural and engineering disciplines in the design and construction of the Project; and (iii) the development of the PMP. *Design Task Report* means a comprehensive report(s) that sets forth the results of, and answers to, each of the Design Tasks discussed in Article II.

1.1.33. *Drawings* means the graphic and pictorial portions of the documents developed in connection with the Design Program, Schematic Design Phase, Design Development Phase, Construction Documents Phase, or the construction phase, and including all information required to maintain the Building Information Model(s), showing the design, location and dimensions of the Work for each Package, and generally including plans, elevations, sections, axonometrics, isometrics, details, schedules and diagrams.

1.1.34. *Effective Date* means the latest Date of Execution set forth below the signatures of the Parties' duly authorized officers, as shown on the last page of this Agreement.

1.1.35. *EPMCS* means the Approved electronic project management control system.

1.1.36. *Final Completion* means that stage of completion by which all "punch-list" items identified in connection with the Substantial Completion of a Phase of the Package have been corrected, completed, or otherwise addressed to the satisfaction of Owner, Architect/Engineer, all building inspectors, and all other Governmental Authorities, as evidenced by the issuance of a certificate of Final Completion signed by CMR and A/E

1.1.37. *Final Inspection* means the same process and procedure described in UGC, Subsection 12.1.2.

1.1.38. *Final Inspection Deadline* means the date that is thirty (30) days after the Substantial Completion Inspection, and by which date A/E must conduct a Final Inspection for each Package.

1.1.39. *Governmental Authorities* means all federal, state, and local governmental entities having jurisdiction over the Project.

1.1.40. *Hourly Fee Rates* shall mean the rates set forth in the Schedule of CMT's Hourly Fee Rates for Additional Services, incorporated herein for all purposes as "Exhibit G," for Additional Services to be performed by CMT.

1.1.41. *HUB Compliance Reporting System* means the Texas Facilities Commission Historically Underutilized Business ("HUB") online reporting system located at <https://tfc.gob2g.com>. The *HUB Compliance Reporting System* is used to maintain business records documenting compliance with the HUB Subcontracting Plan ("HSP") by submission of monthly Progress Assessment Reports. See Section 11.2, Historically Underutilized Businesses ("HUBs").

1.1.42. *Initial Conceptual Designs* means initial concept drawings and block diagrams that are of such quality and detail to enable TFC to establish design direction.

1.1.43. *Laws and Regulations* means any and all applicable laws, statutes, rules, regulations, ordinances, codes, and orders of any and all Governmental Authorities, including those governing labor, equal employment opportunity, safety, and environmental protection, including but not limited to, all applicable requirements of Title III of the Americans with Disabilities Act and the Texas Architectural Barriers Act and Texas Accessibility Standards found in Texas Government Code, Chapter 469 (West 2012 & Supp. 2015).

1.1.44. *Master A/E* means Page Southerland Page, Inc., the service provider TFC has engaged pursuant to Texas Government Code §2254 as the TFC's agent for oversight, coordination and management of the overall design of the Capitol Complex Projects by each of the Architect/Engineers for the Projects.

1.1.45. *MEP Systems* means mechanical, electrical, and plumbing systems.

1.1.46. *Notice of Authorization* or *NOA* means the written authorization to proceed to the next phase of development of Construction Documents. Notice of Authorization is to be distinguished from a Notice to Proceed.

1.1.47. *Notice of Termination* means the written notice of termination described in Section 3.2.



1.1.48. *Notice to Proceed* or *NTP* means the written authorization to proceed with commencement of Professional Services that may be delivered to CMT by TFC.

1.1.49. *Order-of-Magnitude Opinion of Probable Construction Cost* means a level one cost estimate to facilitate budgetary and feasibility determinations, based on historical information with adjustments made for specific project conditions, wherein estimates are based on costs per square foot, number of rooms/seats, and the like. Project information required for estimates at this level include a general functional description, schematic layout, geographic location, size expressed as building area, numbers of people, seats, and the like, and intended use.

1.1.50. *Owner, Texas Facilities Commission*, or *TFC* means and includes the State of Texas, the Texas Facilities Commission, and any other agency of the State of Texas acting through the Texas Facilities Commission in connection with this Agreement.

1.1.51. *PAR* means the progress assessment report in such form as is prescribed by TFC and which has the same meaning as defined in UGC, Section 1.31.

1.1.52. *Pay Application* means the application for payment submitted by CMT as discussed in Article IV below.

1.1.53. *Periodic Reports* means the written reports required to be submitted to TFC by CMT, which reports shall be compiled and submitted in such form as prescribed by TFC.

1.1.54. *Person* means an individual, firm, partnership, corporation, association and any other legally recognized entity.

1.1.55. *Post-Final Inspection Punchlist* means the punchlist of items that CMT will deliver to CMR that sets out any part of the Work that was not corrected or completed in accordance with the Contract Documents as of the Final Inspection.

1.1.56. *Post-Final Inspection Punchlist Deadline* means the date that is a fixed number of days after the date by which CMT shall deliver any Post-Final Inspection Punchlist to CMR.

1.1.57. *Pre-Design Deadline* means the date that is a fixed number of days after delivery of a Notice to Proceed, and by which date CMT shall (i) complete all the Pre-Design Tasks, and (ii) prepare and deliver the Pre-Design Task Reports to TFC.

1.1.58. *Pre-Design Task Report* means a comprehensive report(s) that sets forth the results of, and answers to, each of the Pre-Design Tasks discussed in Article II.

1.1.59. *Pre-Design Tasks* means the mobilization and pre-design services to be provided to TFC as discussed in Article II.

1.1.60. *Pre-Final Inspection Punchlist* means the list of any unresolved punchlist items that CMT will deliver to CMR when a Certificate of Substantial Completion is delivered by TFC as discussed in UGC, Paragraph 12.1.1.2.

1.1.61. *Pre-Final Inspection Punchlist Deadline* means the date that is a fixed number of days after the completion of the Substantial Completion Inspection, and by which date CMT shall prepare and deliver a proposed Post-Substantial Completion Inspection Punchlist to TFC.

1.1.62. *Pre-Final Inspection Report* means the deficiency list for each Package of any unresolved items that A/E will deliver to CMR when a Certificate of Substantial Completion is delivered by TFC as discussed in UGC, Paragraph 12.1.1.2.

1.1.63. *Pre-Final Inspection Report Deadline* means the date that is a fixed number of days after the completion of the Substantial Completion Inspection for each Package, and by which date A/E shall prepare and deliver a proposed Post-Substantial Completion Inspection Report to TFC.

1.1.64. *Professional Services* means the services required by this Agreement, as further described in Article II below.

1.1.65. *Professional Services Schedule* or *Schedule* means the schedule/timeline set forth in "Exhibit H" attached hereto and incorporated herein for all purposes, and which schedule/timeline sets out the deadlines in terms of a fixed number of days after a preceding deadline for completion and delivery of discrete portions of the Professional Services, which deadlines shall be calculated from the effective date of a Notice to Proceed. At the discretion of TFC project manager and as mutually agreed upon with CMT, the Professional Services Schedule may be revised and defined with more detail as the project develops.

1.1.65.1. The Parties acknowledge that upon execution of this Agreement, the Schedule will not reflect the date of issuance of NTP, nor whether the Project will be completed as a single package or in multiple combinations of packages. At such time that NTP is issued, TFC shall enter said date into the Schedule, which will result in the Professional Services Schedule for such package being filled-in with specific deadlines.

1.1.65.2. Upon entry of the date of issuance of NTP, the Professional Services Schedule, as revised, shall become, without further notice or action, the effective Professional Services Schedule, and said revised Schedule shall be considered substituted for the original Professional Services Schedule, and shall be added to "Exhibit H."

1.1.66. *Project* means the North Austin Complex, Phase 1 project, as further described in Article II.

1.1.67. *Project Analysis* has the same meaning as defined in Texas Government Code, Section 2166.001(5) (West 2016).

1.1.68. *Project Management Plan (PMP)* is the management plan put forth by the CMR and updated monthly.

1.1.69. *Project Manual* means the compilation of the general requirements and the Specifications to be developed and issued for the Work within each Package for the Project by the A/E.

1.1.70. *Project Stage(s)* means a discrete period during the construction of the Project in which a scope of Work required by a Design Package is performed by CMR.

1.1.71. *Project Team* means the SSE (as defined below), A/E, CMT, CMR, and any separate Contractors, consultants, or other service providers employed by TFC for the purpose of planning, programming, design, construction, and commissioning of the Project. The constitution of the Project Team may vary at different phases of the Project and may be modified from time to time by TFC.

1.1.72. *Reimbursable Expenses* means those reasonable and necessary out-of-pocket costs and expenses incurred by CMT for the provision of the Professional Services that are approved by TFC.

1.1.73. *RFI* means a request for information as defined in UGC, Section 1.35.

1.1.74. *RFI Response* means a written clarification, instruction, and/or interpretation, including, but not necessarily limited to, an architect's supplemental instructions issued in response to an RFI, which response must be consistent with the intent of the Construction Documents.

1.1.75. *RFI Response Deadline* means the date that is seven (7) calendar days after receipt, or uploading, of an RFI, and by which date A/E must deliver an RFI Response to CMR.

1.1.76. *Safety Incident* means any failure of CMT or any of CMT Personnel to manage performance of CMT Personnel in accordance with the safety requirements set forth in Article V of this Agreement as necessary to recognize and successfully prevent or avoid any of the following circumstances (each being a Safety Incident):

1.1.76.1 the reported observation of a potential safety hazard, unsafe work practice, or lapse in prudent safety management that can reasonably be expected to lead to injury or death to any person, or damage to any property;

1.1.76.2 the presence of any unsafe working condition, including without limitation any unauthorized or improper usage of equipment or faulty equipment, that reasonably be expected to lead to injury or death to any person, or damage to any property; and

1.1.76.3 the occurrence of bodily injury or death, or property damage arising out of or in connection with the Project or the performance of the Services.



1.1.77. *Schematic Design Drawings* means, for purposes of this agreement, the Conceptual Design Drawings as defined in Section 1.1.12.

1.1.78. *Schematic Design Package* means, for purposes of this agreement, the Conceptual Design Package as defined in Section 1.1.13.

1.1.79. *Scope of Services* means the Professional Services as set out in Article II below.

1.1.80. *Services* means the services provided by CMT, CMT Personnel and/or by Subcontractors and/or consultants retained by CMT for the Project.

1.1.81. *Site(s)* means the lands, areas, and/or buildings generally described in Article II as the Capitol Complex Site and indicated in the Contract Documents as being furnished by TFC as the Sites upon which the Work is to be performed.

1.1.82. *Site Services Engineer* or *SSE* means Cobb, Fendley & Associates, Inc., the service provider TFC has engaged to provide the site environmental and engineering services for the Project.

1.1.83. *Specifications* means that portion of the Construction Documents for each Package consisting of the written technical requirements for materials, equipment, systems, standards and workmanship for the Work, and performance of related services, including all requirements of applicable building and life safety codes.

1.1.84. *Subcontract* means any agreements between CMT and a Subcontractor or consultant.

1.1.85. *Subcontractor* means any Person that enters into an agreement with CMT to perform any part of the Professional Services.

1.1.86. *Substantial Completion* means that stage of completion for each Package by which the Work or a portion thereof is accepted by execution of a certificate of Substantial Completion by Owner, A/E, and CMR as sufficiently completed, inspected, and approved by the appropriate Governmental Authorities as evidenced by issuance of a certificate of Substantial Completion, for Owner's occupancy or partial occupancy for its intended purposes, excluding only minor portions of the Work that remain unfinished pending Final Completion and final inspection. Partial use or occupancy shall not result in the Package being deemed substantially complete and shall not be evidence of substantial completion, nor shall execution of a certificate of Substantial Completion be deemed to excuse unidentified or uncorrected defects in the Work or services of a service provider.

1.1.87. *Substantial Completion Inspection* means the process and procedure described in UGC, Subsection 12.1.1.

1.1.88. *Substantial Completion Inspection Deadline* means the date for each Package that is a fixed number of days after proper written notification is delivered to TFC and A/E by CMR that CMR has fully satisfied the requirements set out in UGC, Paragraph 12.1.1.1, and by which date A/E must conduct a Substantial Completion Inspection.

1.1.89. *TDLR* means the Texas Department of Licensing and Regulations.

1.1.90. *TFC Project Manager(s)* means the employee(s) of TFC authorized and assigned to communicate with and act on TFC's behalf to administer CMT's Agreement, and to manage and oversee the Project Team in connection with the Packages. An individual designated as a TFC Project Manager pursuant to this Agreement is authorized to act on behalf of TFC with respect to the day-to-day management of the Services required under this Agreement, inclusive of managing TFC's review and Approval of the Professional Services and operating as the point of contact between TFC, the Using Agency (if any), and CMT.

1.1.91. *Using Agency* has the same meaning as defined in Texas Government Code, Section 2166.001(10) (West 2016).

1.1.92. *Utilities* means water, sewer, gas, electric, telecom, cable, and like services.

1.1.93. *Utility Providers* means any and all entities that provide Utilities to the Project.

1.1.94. *Warranty Report* means the comprehensive report of the findings of A/E pursuant to the inspections, and which must include, but not be necessarily limited to, a list of the items needing replacement, correction, or repair for each Package.

1.1.95. *Warranty Report Deadline* means the date that is three hundred thirty-five (335) days after the date that a Certificate of Substantial Completion for each Package has been issued as to the Work, or a discrete portion thereof, and by which date A/E shall deliver the warranty and guarantee phase services.

1.1.96. *Work* means the physical construction and related services required by the Construction Documents to construct each Package of the Project, and includes all other labor, materials, equipment and services provided or to be provided by CMR to fulfill CMR's obligations. The Work may constitute the whole or a part of a Package.

1.1.97. *Worksite(s)* has the same meaning as the defined term "Site(s)," as set forth in Section 1.1.80, above.

## II. SCOPE OF SERVICES

### 2.1. Description of Project.

2.1.1. Construction Materials Testing Services for the Capitol Complex, Phase 1.  
The Project consists of the structures described below.

2.1.2. Site. A new state office building at located at 1801 Congress Avenue, Austin, Texas, with five (5) levels of underground parking, and eight (8) levels of above grade parking on the east side. The building is approximately six hundred three thousand (603,000) square feet and is fourteen (14) floors above grade.

2.2. Scope of Services. CMT agrees to timely deliver the Construction Materials Testing and Special Inspections for those systems and materials as outlined in the A/E's specification Project Manual. Scope of services shall be comprehensive in nature and will include but not be limited to the following list of testing and inspection requirements and all other services necessary and or reasonably inferable to accomplish the project.

2.2.1. Within fifteen days of CMT kick off meeting, CMT shall timely deliver the following Design/Mobilization Tasks to TFC.

2.2.1.1. Consult with staff of TFC, and with any representatives of the Using Agency as may be directed by TFC, and become thoroughly familiar with: (i) the Project Manual Specifications; or equivalent thereof; and (ii) the Construction Documents.

2.2.1.2. Inspect and timely become thoroughly familiar with the Site as it relates to the Project CMT services.

2.2.1.3. Review and become thoroughly familiar with any and all relevant and existing Project, Package and facilities studies; including any Owner provided Geo-technical reports or documents required to perform the CMT services.

2.2.1.4. Receive and become familiar with requirements of the technical and design standards of TFC and the Using Agency, including, but not limited to, the Owner's Project Requirements.

2.2.1.5. Determine and identify to TFC which additional Subcontractor(s), if any, that are not engaged, or to be engaged, by CMT pursuant to this Agreement, will be necessary to complement the Professional Services in order to fulfill requirements of this Agreement.

2.2.1.6. If requested, assign appropriate CMT staff to receive instruction regarding the use of the EPMCS to be utilized by TFC

2.2.1.7. Deliver a CMT Task Report to TFC noting number and types of inspection services to be provided along with suggested scheduling to be coordinated with A/E, CMR, CA and TFC. Upon consent of TFC, CMT may deliver one (1) amendment to the CMT Task Report.



2.2.3. Testing and Inspection. CMT agrees to provide the testing and inspection services described in “Exhibit I,” the Detailed Scope of CMT’s Services, including a list of deliverables dated April 9, 2019, in general accordance with the Project Manual Specifications when requested by the Owner’s representative.

2.2.4. Construction Administration. CMT to coordinate with third party Commissioning Agent, CMR and A/E throughout the construction administration for scheduling of testing services.

2.2.4.1. Provide Field testing and inspections – Earthwork observation and testing to include field density tests.

2.2.4.2. Provide On-site Concrete Observation/Testing.

2.2.4.3. Provide Asphalt Observation/Testing.

2.2.4.4. Conduct Reinforcing steel observation services.

2.2.4.5. Conduct Testing/Observation of Post Tensioned Concrete.

2.2.4.6. Provide Tendon Stressing Records.

2.2.4.7. Conduct Pre-construction testing services.

2.2.4.8. Provide Special Testing and Inspections.

2.2.4.8.1. Special Inspections – High Strength Bolted and Welded connections.

2.2.4.8.2. Conduct Inspections of AECS, Architectural Structural Steel in place.

2.2.4.8.3. Conduct Field Weld inspections.

2.2.4.9. Provide Fire Stopping Field Testing per ASTM E2174.

2.2.5. CMT Services. CMT services shall include reviewing pertinent systems, assemblies and materials and conducting testing, providing testing documentation, reviewing the test reports and tracking issues discovered.

2.2.6. Construction Phase Services. CMT shall deliver the following management and administration of testing services to TFC during the construction phase of the Project as is specified in the UGC and as follows. CMT shall have primary responsibility for execution of the testing. CMR shall plan and conduct a kick-off meeting at the project site with all contractors.

2.2.7. Site Visits. Site Visits during the Construction Phase will be conducted to confirm the construction progress, obtain answers from CMR for CMT related questions directly in the field, and identify potential issues/concerns before Testing. The actual meeting schedule and budget for meetings will be negotiated with the selected CMT firm.

2.2.7.1. Deliver a report to TFC for each observation and review of the CMT Work. Such Reports must describe in reasonable detail the current status of the following:

Progress Schedule; 2.2.7.1.1. the completed Work in relation to the Work

2.2.7.1.2. projected completion dates;

subpart of the Work; and 2.2.7.1.3. percentage of completion of each discrete

discrepancies. 2.2.7.1.4. any existing or potential deficiencies and/or

2.2.7.2. No changes to: (i) the scope of the Professional Services or (ii) the Consideration shall be valid or enforceable unless evidenced by a fully executed written amendment to this Agreement.

2.2.7.3. CMT is not authorized to commence providing any Professional Services to TFC or any Using Agency with respect to the Project unless and until an appropriate Notice to Proceed is delivered by TFC.

2.2.7.4. TFC, including by and through the TFC Project Manager, reserves the right to extend any of the deadlines set out above.

2.2.8. Inspections. TFC hereby reserves the right, if deemed appropriate by TFC in its sole discretion, to conduct reviews or inspections during the course of design and construction of the Project. However, CMT shall not be relieved of any of its obligations arising pursuant to this Agreement. No inspections of the Project conducted by TFC shall reduce the level or extent of CMT's responsibilities arising pursuant to this Agreement. Neither the approval and/or final acceptance of a Package or any Deliverables, the payment of any Pay Application by TFC shall constitute, nor be deemed, a release of CMT's obligation to perform and timely deliver the Professional Services and any Additional Services (i) in a manner consistent with that degree of care and skill ordinarily exercised by members of the same profession currently practicing under similar circumstances; or (ii) as required under this Agreement.

### **III. TERM AND TERMINATION**

3.1. Duration. This Agreement shall be effective as of the Effective Date and shall terminate on May 1, 2022, unless extended by the parties by amendment to this Agreement or terminated earlier, as provided below.

3.2. Early Termination. This Agreement may be terminated by TFC for its convenience, in whole or in part, at any time without cause, upon delivery of a Notice of Termination to CMT at the address of record as specified in this Agreement. Upon receipt of a Notice of Termination, CMT will immediately cease all Professional Services and undertake to terminate any relevant

Subcontracts and will incur no further expense related to this Agreement. Such early termination shall be subject to the equitable settlement of the respective interests of the parties accrued up to the date of termination.

#### IV. CONSIDERATION

##### 4.1. Contract Limit—Fees and Expenses.

4.1.1. Fixed Fee. In exchange for the timely delivery of the Professional Services as specified by this Agreement, CMT shall be paid a fixed fee not to exceed Five Hundred Seventy-One Thousand Seven Hundred Thirty-Eight and No/100 Dollars (\$571,738.00). Any Professional Services performed or delivered by CMT prior to the Effective Date of this Agreement or after its termination cannot be compensated. Such Fixed Fee shall be paid to CMT pursuant to CMT's Fee Schedule, "Exhibit F."

4.1.2. Submission of Pay Applications or Invoices. No more frequently than once per month, CMT shall submit a detailed Pay Application based on "Exhibit I" to TFC for services performed and reasonable and necessary costs and expenses incurred during the previous month. TFC agrees to pay CMT in accordance with Chapter 2251 of the Texas Government Code, also known as the "Prompt Payment Act."

4.2. Proportional Payments. Payments shall be made to CMT monthly for the services performed. Payments will be based on the services provided. Invoices shall be submitted on a monthly basis in accordance with the unit rates shown in the approved unit rate exhibit.

4.3. Maximum Reimbursable Expenses. Reasonable lodging and traveling expenses shall be considered a Reimbursable Expense under this Agreement when professional and technical personnel of CMT are away from the cities in which they are permanently assigned and are conducting authorized business directly connected with this Agreement. For the purposes of this Agreement, no travel reimbursement shall be made for travel within 100 miles of the location identified as the principal place of business or branch office of CMT, except for overnight stays, which require prior TFC project manager approval. The maximum amount for each Reimbursable Expense for travel and lodging shall be the rates established by the Texas Comptroller of Public Accounts, and outlined in Texttravel, <https://fm.x.cpa.state.tx.us/fmx/travel/texttravel/index.php>, formerly known as the State of Texas Travel Allowance Guide for state employees. No Reimbursable Expenses shall exceed actual cost. In addition to those items specifically identified above as a Reimbursable Expense, permit fees and associated costs, certain other incidental direct expenses including, but not limited to, copying, telephone, data, and express mail services, and rental of special equipment or tools required in connection with provision of the Professional Services for the Project, may constitute a Reimbursable Expense; provided however, CMT must obtain the written approval of TFC prior to incurring the expense. Approval may be granted only under those limited circumstances wherein such costs are not considered normal or customary basic services under this Agreement. All requests for reimbursement must be accompanied by such documentation which, in the judgment of the TFC, allows for complete substantiation of the costs incurred.



4.4. Notice of Depletion. Within seven (7) days of when the accumulated amount of Fees and Reimbursable Expenses reaches eighty percent (80%) of the maximum not-to-exceed contract amount(s), CMT shall deliver written notice thereof to TFC. Nothing herein shall be construed to require TFC to increase the approved maximum not-to-exceed contract amount(s) established pursuant to this Agreement.

4.5. Additional Services. Upon request by TFC for Additional Services, CMT shall prepare and submit a proposal for such Additional Services to TFC for approval. Additional Services shall be performed at the Hourly Rates established by "Exhibit G." Any Additional Services performed or delivered by CMT prior to execution of the Agreement or amendment thereto, as applicable, cannot be compensated.

4.6. Payments to Subcontractors. For all services rendered, CMT's payment to Subcontractors is due within ten (10) days after receipt of payment from TFC and, when appropriate in the sole discretion of TFC, TFC may issue joint checks to CMT and Subcontractors.

## **V. ACKNOWLEDGEMENT, COVENANTS, AND AGREEMENTS**

5.1. Acknowledgement, Covenants, and Agreements of TFC. TFC acknowledges, covenants, and agrees, as follows.

5.1.1. TFC Deliverables to CMT. TFC shall provide CMT a copy of, or reasonable access to, the following information and documentation regarding the Project.

5.1.1.1. The Communication Protocol.

5.1.2. TFC Services to CMT. TFC shall provide, or cause to be provided, the following services to CMT.

5.1.2.1. Upon CMT's receipt of the Notice to Proceed, assist CMT in obtaining such access to the Sites as is reasonably necessary to enable CMT to provide the Professional Services.

5.1.2.2. Designate the TFC Project Manager who will supervise the design and construction of the Project and the services being provided pursuant to this Agreement and the respective Contract Documents.

5.2. Acknowledgements, Covenants, and Agreements of CMT. CMT acknowledges, covenants, and agrees as follows.

5.2.1. Timely Delivery of Conforming Services. CMT will, subject to Force Majeure events, as defined in Section 11.12 below, timely provide the Professional Services in conformity with, and as specified in, this Agreement, the UGC, the Supplementary General Conditions, and in the Construction Documents.

5.2.2. Limitation of Authority. CMT agrees that the TFC Project Manager shall not have any express or implied authority to vary or otherwise amend the terms and conditions of

this Agreement in any way, or waive strict compliance with the terms and conditions of this Agreement, except as to the deadlines set out in Section 2.1 above, any deviation from which must be evidenced by the TFC Project Manager in writing.

5.2.3. CMT Safety. All CMT's and subcontractors conducting work for TFC shall abide by all OSHA rules and regulations provided by the Department of Labor, OSHA, Code of Federal Regulations, Chapter 29. Employees of CMT and subcontractors shall be trained in accordance with Chapter 29, Occupational Safety and Health Regulations. CMT and subcontractors shall inform the TFC Project Manager of their Hazardous Electrical Energy Control, Lockout/Tag-out Procedure. CMT's procedure must meet or exceed TFC's procedure as determined by the TFC Project Manager. Work shall not be done on energized electrical circuits, components or equipment. When de-energizing is impractical due to possible harm to personnel, equipment or facility damage, negative onsite or offsite environmental impact, or business interruption Contractor must follow OSHA requirements as detailed in OSHA Regulations 1910.331 – 1910.399.

5.2.4. Cooperation. All project managers, employees, and associated Subcontractors shall cooperate with and assist each other and all other Contractors and design professionals retained by TFC.

5.2.5. CMT Cooperation. CMT agrees to conduct all of its services under this Agreement by and through appropriate communications with the TFC Project Manager. No work, installation or other services shall be undertaken by CMT except with the prior written direction of the TFC Project Manager. CMT understands and agrees that work, installation or any other service performed without the prior written direction of the TFC Project Manager is work outside the scope of this Agreement and shall be performed exclusively at CMT's risk. CMT agrees to employ competent personnel meeting the requirements outlined in the specifications, who shall be satisfactory to TFC. Personnel assigned to perform services under this Agreement may not be reassigned without the prior written approval by the TFC Project Manager. TFC may request that CMT replace unsatisfactory personnel, which request shall not be unreasonably denied. CMT agrees to cooperate and coordinate its work with that of other Contractors retained by owner. Upon discovery of an apparent conflict in the sequencing of work with another Contractor, CMT shall report the concern to the TFC Project Manager who will resolve the conflict.

5.2.6. E-Verify. By entering into this Agreement, CMT certifies and ensures that it utilizes and will continue to utilize, for the term of this Agreement, the U.S. Department of Homeland Security's E-Verify system, in accordance with the U.S. Department of Homeland Security's rules, to determine the eligibility of: all persons employed to perform duties within the State of Texas, during the term of the Agreement; and all persons (including subcontractors) assigned by the CMT to perform work pursuant to the Agreement, within the United States of America. CMT shall provide, upon request of TFC and if available, an electronic or hardcopy screenshot of the confirmation or tentative non-confirmation screen containing the E-Verify case verification number for attachment to the Form I-9 for the three (3) most recent hires that match the criteria above, by the CMT, and CMT's subcontractors, as proof that this provision is being followed. If this certification is falsely made, the Agreement may be immediately terminated, at

the discretion of TFC, and at no fault to TFC, with no prior notification. CMT shall also be responsible for the costs of any re-solicitation that TFC must undertake to replace the terminated Agreement. For persons not eligible for E-Verify screening, CMT (including sub-contractors) shall provide, upon request by TFC, another form of documentation of proof of eligibility to work in the United States of America.

5.2.7. Identification of Project Manager and All Subcontractors. The Project Manager identified in the initial List of CMT Project Manager and Subcontractors (hereinafter referred to as the "List"), attached hereto and incorporated herein by reference for all purposes as "Exhibit J," will supervise the efforts of Contractor to timely provide TFC with the Construction Services.

5.2.7.1. The Project Manager must be committed to the Project on a full-time basis. TFC reserves the right to approve the appointment of the Project Manager and to demand that the Project Manager, and any of CMT's employees or Subcontractors, be removed and replaced if, in the sole opinion of TFC, their performance on this Project or any other Projects, is and/or was not adequate or their continued involvement with the Project will, is, or has become, detrimental to the timely and successful completion of the Project, including but not limited to, for such reasons as: (i) any past or present violation of any statute, rule, regulation or ordinance of any city, county, the State of Texas, or the United States, or any other Laws and Regulations; (ii) TFC's reasonable belief that failure to obtain an acceptable criminal background check will occur; (iii) prior unsatisfactory performance on other TFC projects; and (iv) any other like reasons.

5.2.7.2. The Project Manager and Subcontractors identified in the List shall not be removed or replaced by CMT, nor shall any other Subcontractors be engaged by CMT, unless prior written consent is obtained from TFC, which consent shall not be unreasonably withheld, conditioned, or delayed.

5.2.8. Buy Texas. If CMT is authorized to make purchases under this Agreement, CMT certifies that CMT will buy Texas products, services, and materials when available at a comparable price and in a comparable period of time pursuant to Texas Government Code, Chapter 2155.

5.2.9. No Assumption. No approvals or acceptances by, or on behalf of, TFC shall be deemed to be an assumption of any responsibility by TFC for any defect, error or omission in said Deliverables or Professional Services.

5.2.10. No Guaranty. CMT does not control or guarantee the performance of any Contractor, provided however, CMT shall promptly notify TFC of any observation of a Contractor's or subcontractor's failure to perform their duties and responsibilities in accordance with the Construction Documents and Work Progress Schedule, and shall recommend to TFC candidate measure(s) to correct such failures.

5.2.11. Debts or Delinquencies Owed to the State. Any payment due under this Agreement may be withheld and applied toward payment of any debt that is owed to the State of

Texas including, but not limited to, delinquent taxes and child support pursuant to Texas Government Code, Section 43.055.

5.2.12. General and Criminal Background Check.

5.2.12.1. CMT represents and warrants that neither CMT nor any of CMT's employees, have been convicted of a felony criminal offense, or of a crime involving moral turpitude, or that, if such a conviction has occurred, CMT has fully advised TFC in writing as to the facts and circumstances surrounding the conviction(s).

5.2.12.2. All of CMT's employees and Subcontractors that will perform any Professional Services on-site at a state-owned property may be subject to a criminal background check. Any expense associated with such criminal background check shall be borne by CMT.

5.2.13. Equal Opportunity. CMT shall not discriminate against any employee or applicant for employment because of race, color, religion, sex, age, or national origin. CMT shall take affirmative action to ensure that applicants are employed and that employees are treated during employment without regard to their race, color, religion, sex, national origin, age, disability, political affiliation, or religious belief. Such action shall include, but not be limited to, the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. CMT shall post in conspicuous places, available to employees or applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination subsection. CMT shall include the above provisions in all Subcontracts pertaining to the Professional Services.

5.2.14. No Advertising. CMT shall not advertise that it is doing business with TFC or use this Agreement as any sort of marketing or sales tool without the prior written consent of TFC.

5.2.15. No Warranties by TFC. CMT acknowledges that any and all tests, maps, reports, and drawings and any other documentation (hereinafter referred to collectively as "Reports") in the possession of TFC that reflect or depict any Site boundaries, recorded easements, topography, utility locations, and other Site conditions and/or restrictions which may impact CMT's prosecution of the Work were prepared solely for the benefit of TFC, and that CMT shall have no right to rely upon such and that any reliance thereon shall be at CMT's own risk. **TFC HEREBY DISCLAIMS ANY EXPRESS OR IMPLIED WARRANTIES AS TO THE ACCURACY OR COMPLETENESS OF THE ABOVE-MENTIONED REPORTS.**

5.2.16. No Outsourcing. All services under this Agreement shall be performed in the principal offices of the CMT and its consultants. If CMT or consultant offices exist out of the State of Texas, services shall be performed in offices within Texas in so much as proper expertise and timeliness can be accomplished. Services performed outside the State of Texas shall be limited to offices and personnel located in the United States. Outsourcing or

subcontracting outside the United States shall not be permitted unless approved in writing by the TFC.

## **VI WARRANTIES AND REPRESENTATIONS BY CMT**

6.1. Warranties and Representations by CMT. CMT hereby makes the following warranties, representations and certifications, all of which are true, accurate and complete at the time of the Effective Date and throughout the term of the Agreement, and which shall be true, accurate and complete with respect to each Deliverable. All representations and warranties discussed below shall survive the expiration or termination of this Agreement.

6.1.1. Compliance with All Laws. CMT shall procure and maintain for the duration of this Agreement any state, county, city, or federal license, authorization, insurance, waiver, permit, qualification or certification required by statute, ordinance, law, or regulation to be held by CMT to provide the goods or services required by this Agreement. CMT will be responsible to pay all taxes, assessments, fees, premiums, permits, and licenses required by law. CMT agrees to be responsible for payment of any such government obligations not paid by its Subcontractors during performance of this Agreement. As part of its delivery of the Professional Services, CMT shall make itself familiar with and at all times shall observe and comply with all Laws and Regulations of all Governmental Authorities that in any manner affect performance under this Agreement.

6.1.2. Immigration Reform. The Immigration Reform and Control Act of 1986 and 1990 requires that all employees hired since 1986 provide proof of identity and employment eligibility before they can work in the United States. TFC is committed to complying with all applicable immigration laws of the United States and requires compliance by all contractors and subcontractors who contract with the State. CMT shall not place any employee of CMT at a worksite, nor shall CMT permit any employee, nor any Subcontractor, to perform any Professional Services on behalf of or for the benefit of the State, without first confirming said employee's authorization to lawfully work in the United States.

6.1.2.1. CMT warrants that CMT: (i) maintains and follows an established policy to verify the employment authorization of its employees and to ensure continued compliance for the duration of employment; (ii) has verified the identity and employment eligibility of all employees in compliance with applicable law; (iii) has established internal safeguards and reporting policies to encourage its employees to report any suspected violations of immigration policies or of immigration law promptly to CMT's senior management; and (iv) is without knowledge of any fact that would render any employee or Subcontractor ineligible to legally work in the United States.

6.1.2.2. CMT further acknowledges, agrees, and warrants that CMT: (i) has complied, and shall at all times during the term of the Agreement comply, in all respects with the Immigration Reform and Control Act of 1986 and 1990, the Illegal Immigration Reform and Immigrant Responsibility Act of 1996, as amended, and all of the laws, rules, and regulations relating thereto; (ii) has properly maintained, and shall at all times during the term of the Agreement properly maintain, all records required by the Department of Homeland Security, Immigration and Customs Enforcement, including, without limitation, the completion

and maintenance of the Form I-9 for each of CMT's employees; and (iii) has responded, and shall at all times during the term of the Agreement respond, in a timely fashion to any inspection requests related to such I-9 Forms. During the term of the Agreement, CMT shall, and shall cause its directors, officers, managers, agents and employees to, fully cooperate in all respects with any audit, inquiry, inspection or investigation that may be conducted by TFC or any state agency of CMT or any of its employees.

6.1.2.3. CMT warrants and represents that all Services shall be performed in compliance with all Laws and Regulations, including any laws and regulations dealing with employer-employee relations, including, as amended, the "Fair Labor Standards Act" of 1938, the "Walsh-Healy Act," and "Nondiscrimination in Employment," Executive Order No. 11246 of September 24, 1964. All codes, laws and regulations required to be incorporated in a contract of this character are hereby incorporated herein by reference, including but not limited to all applicable requirements of the Texas Department of Licensing and Regulation. Compliance with the above shall include the adoption of all programs, making of all certifications and filing of all reports as required thereby. All terms required by any of the foregoing are hereby incorporated herein by reference. CMT shall execute and deliver to TFC such documents as may be required to effect or evidence compliance.

6.1.2.4. CMT further warrants and represents that in carrying out its duties and responsibilities under this Agreement, it will neither undertake nor cause, nor permit to be undertaken, any activity which either: (i) is illegal under any Laws and Regulations, decrees, or rules, in effect in the United States, or (ii) would have the effect of causing TFC to be in violation of any laws, decrees, rules, or regulations in effect in the United States. CMT shall protect and indemnify TFC and TFC's officers and agents against any claim or liability arising from or based on any violation of the same.

6.1.2.5. CMT acknowledges, agrees, and warrants that all Subcontractors permitted by it to perform Professional Services will be required to agree to these same terms as a condition to being awarded any Subcontract for such work.

6.1.3. Proficiency in Systems. CMT is proficient in the use of CAD systems and the EPMCS utilized by TFC.

6.1.4. Warranty of Services. All Professional Services provided by CMT pursuant to this Agreement will be performed in a manner consistent with that degree of care and skill ordinarily exercised by members of the same profession currently practicing under similar circumstances.

6.1.5. Warranty of Deliverables. All Deliverables shall be: (i) completed and delivered in a timely manner and in a manner consistent with standards in the applicable trade, profession, or industry; (ii) conform to or exceed the specifications set forth in this Agreement; and (iii) be fit for ordinary use, of good quality, and with no material defects.

6.1.6. Additional Warranties. In performing its Professional Services for the Project, CMT shall be bound by, and comply with, the Detailed Scope of CMT's Services,



including a list of deliverables dated April 9, "Exhibit I," to the extent any warranties, representations, and/or promises of additional services are made therein, and only to that extent.

6.1.7. Eligibility. CMT certifies that the individual or business entity named in this Agreement is not ineligible to receive the specified Agreement and acknowledges that this Agreement may be terminated and payment withheld if this certification is inaccurate pursuant to Texas Government Code, Section 2155.004(b).

6.1.8. Disaster Relief Contract Violation. Under Sections 2155.006 and 2261.053, Texas Government Code, CMT certifies that the individual or business entity named in this Agreement is not ineligible to receive the specified Agreement and acknowledges that this Agreement may be terminated and payment withheld if this certification is inaccurate.

6.1.9. Family Code Disclosure of Ownership. Pursuant to the requirements of the Texas Family Code, Section 231.006, regarding delinquent child support, the individual or business entity named in this Agreement is not ineligible to receive payment under this Agreement and, if applicable, CMT has provided, prior to its execution of this Agreement, the name and social security number of each such person (sole proprietors, firm owners, partners, or shareholders) holding at least twenty-five percent (25%) ownership of the business entity entering into this Agreement. CMT acknowledges that this Agreement may be terminated and payment may be withheld if this certification is inaccurate.

6.1.10. Deceptive Trade Practices Act; Unfair Business Practices Disclosures. CMT has not been found liable of Deceptive Trade Practices Act violations under Chapter 17 of the Texas Business and Commerce Code or of any unfair business practice in any administrative hearing or court suit. CMT further certifies that it has no officers who have served as officers of other entities who have been found liable of Deceptive Trade Practices violations or of any unfair business practices in an administrative hearing or court suit. In the event that allegations of Deceptive Trade Practices violations under Chapter 17 of the Texas Business and Commerce Code or of any unfair business practices against either CMT or any of CMT's officers have occurred or are currently pending in an administrative proceeding or in a lawsuit filed with any court, then CMT has disclosed all such matters to TFC and provided a brief description of each allegation, information regarding the administrative body or court before which the matter is pending, and the current status of the matter.

6.1.11. Disclosure of Former State Executives. Pursuant to Texas Government Code, Section 669.003 relating to contracting with an executive of a state agency, no Person who, in the past four (4) years served as an executive of TFC or any other state agency was involved with or has any interest in this Agreement or any Contract resulting from this Agreement. If CMT employs or has used the services of a former executive head of TFC or any other state agency, then CMT has provided the name of the former executive, the name of the state agency, the date of separation from the state agency, the position held with CMT, and the date of employment with CMT.

6.1.12. Certification Concerning Restricted Employment for Former State Officers or Employees Under Government Code § 572.069. CMT certifies that it has not employed and will not employ a former TFC or state officer who participated in a procurement or contract

negotiation for TFC involving CMT within two (2) years after the state officer or employee left state agency employment or service. This certification only applies to former state officers or employees whose service or employment ceased on or after September 1, 2015.

6.1.11. No Conflicts. CMT represents and warrants that CMT has no actual or potential conflicts of interest in providing services to the State of Texas under this CMT and that CMT's provision of services under this Agreement would not reasonably create an appearance of impropriety.

6.1.12. Financial Interest/Gifts. Pursuant to Texas Government Code Sections 572.051 and 2255.001 and Texas Penal Code Section 36.09, CMT has not given, offered to give, nor intends to give at any time hereafter, any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor, or service to a public servant in connection with this Agreement. Pursuant to Texas Government Code Chapter 573 and Section 2254.032, if applicable, CMT certifies that CMT knows of no officer or employee of TFC, nor any relative within the second degree of consanguinity or affinity of an officer or employee of TFC, that has a financial interest in CMT's company or corporation. CMT further certifies that no partner, corporation, or unincorporated association which employs, retains or contracts with, or which may employ, retain, or contract with any of the above, has a financial interest in any entity with which CMT will be dealing on behalf of TFC.

6.1.13. Prior Employment. CMT knows of no officer or employee of TFC, nor any relative within the second degree of consanguinity or affinity of an officer or employee of TFC, that has a financial interest in CMT's firm or corporation. CMT further certifies that no partner, corporation, or unincorporated association that employs, retains or contracts with, or which may employ, retain, or contract with any of the above, has a financial interest in any entity with which CMT will be dealing on behalf of TFC pursuant to the Texas Government Code, Chapter 573 and Section 2254.032. Furthermore, CMT certifies and agrees that if it employs any former employee of TFC, such employee will perform no work in connection with this Agreement during the twelve (12) month period immediately following the employee's last date of employment at TFC.

6.1.14. Excluded Parties. CMT certifies that it is not listed on the federal government's terrorism watch list as described in Executive Order 13224.

6.1.1.5. Suspension and Debarment. CMT certifies that it and its principals are not suspended or debarred from doing business with the state or federal government as listed on the State of Texas Debarred Vendor List maintained by the Texas Comptroller of Public Accounts and the System for Award Management (SAM) maintained by the General Services Administration.

6.1.16. Affirmation as to Submittals. Upon submittal to TFC of any documentation or data that was created or modified by CMT, including but not limited to Drawings, Specifications, and the Budget, all representations contained therein shall be true and accurate as to each such creation or modification.

6.1.17. Prohibition Against Boycotting Israel. In accordance with Section 2270.002 of the Texas Government Code, by signature hereon, CMT certifies that it does not boycott Israel and will not boycott Israel during the term of this Agreement.

6.1.18. Prohibition Against Contracting with Companies Engaged in Business with Iran, Sudan, or Foreign Terrorist Organizations. In accordance with Section 2251.152 of the Texas Government Code, TFC is prohibited from entering into a governmental contract (as defined in Texas Government Code Section 2252.151(3)) with a company that is identified on a list prepared and maintained under Texas Government Code Section 806.051, 807.051, or 2252.153. If CMT is on the above-referenced list the Contract will be considered void or voidable and TFC will not be responsible to pay CMT for any work performed.

## **VII. STATE FUNDING**

7.1. State Funding. This Agreement shall not be construed as creating any debt on behalf of the State of Texas and/or TFC in violation of Texas Constitution, Article III, Section 49. In compliance with Texas Constitution, Article VIII, Section 6, it is understood that all obligations of TFC hereunder are subject to the availability of state funds. If such funds are not appropriated or become unavailable, this Agreement may be terminated. In that event, the parties shall be discharged from further obligations, subject to the equitable settlement of their respective interests accrued up to the date of termination. Furthermore, any damages due under this Agreement should not exceed the amount of funds appropriated for payment under this Agreement, but not yet paid to CMT, for the fiscal year Budget in existence at the time of the breach.

## **VIII. COPYRIGHTS AND TRADEMARKS**

8.1. Copyrights. CMT agrees that all Deliverables provided pursuant to this Agreement are subject to the rights of TFC in effect on the date of execution of this Agreement. These rights include the right to use, duplicate and disclose such subject matter and data, in whole or in part, in any manner for alterations, additions, remodels or maintenance; and to have others do so including production of Deliverables in response to a public information request pursuant to Texas Government Code, Chapter 552. If the Deliverables produced by CMT are subject to copyright protection, CMT hereby grants to TFC a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use such and to authorize others to do so. CMT shall include appropriate provisions to achieve the purpose of this condition in all Subcontracts entered into that produce information subject to copyright protection.

8.1.1. Disclaimers. All such Deliverables furnished by CMT pursuant to this Agreement shall be considered instruments of its services in respect to the Project. It is understood that CMT does not represent such Deliverables to be suitable for reuse on any other study or for any other purpose(s). If CMT, at TFC's request and authorization, verifies or adapts CMT's Deliverables for TFC's use on another study, CMT shall be compensated for redesign or new design, bidding, and construction administration services.

8.1.2. Delivery to TFC. CMT shall promptly provide copies of the Deliverables to TFC upon completion, termination, or cancellation of this Agreement for any reason, including

all copies of the Deliverables in any form or medium specified by TFC in this Agreement, whether written, digital, or electronic.

8.1.3. TFC Right to Use. Any provision herein to the contrary notwithstanding, TFC shall be authorized to make subsequent use of the Deliverables for any and all future renovations, modifications, alterations, maintenance, repairs, and the like of the Project.

8.2. No Use of Name or Trademark. CMT agrees not to make any written use of or reference to TFC's name or registered or unregistered trademarks for any marketing, public relations, advertising, display or other business purpose or make any use of TFC's facilities for any activity related to the express business purposes and interests of TFC pursuant to this Agreement, without the prior written consent of TFC, which consent may be withheld or granted in TFC's sole discretion.

## **IX. RECORDS, AUDIT, PROPRIETARY INFORMATION, AND PUBLIC DISCLOSURE**

9.1. Books and Records. CMT shall keep and maintain under generally accepted accounting principles full, true and complete records, as are necessary to fully disclose to TFC or the United States Government, or their authorized representatives, upon audits or reviews, sufficient information to determine compliance with the terms and conditions of this Agreement and all state and federal regulations and statutes.

9.2. Inspections and Audits. CMT agrees that all relevant records related to this Agreement or any work product under this Agreement, including practices of its Subcontractors, shall be subject, at any reasonable time, to inspection, examination, review, audit, and copying at any office or location of CMT where such records may be found, with or without notice by the Texas State Auditor's Office ("SAO"), the contracting agency or its contracted examiners, or the Office of the Texas Attorney General, and with regard to any federal funding, the relevant federal agency, the Comptroller General, the General Accounting Office, the Office of the Inspector General, or any of their authorized representatives. All Subcontracts shall reflect the requirements of this section. In addition, pursuant to Texas Government Code, Section 2262.003, the SAO may conduct an audit or investigation of any entity receiving funds under this Agreement, including direct payments to CMT and indirect payments under a Subcontract to this Agreement; acceptance of such monies acts as acceptance of SAO authority, under legislative audit committee direction, to audit and investigate related to those funds and the entity subject to the audit or investigation must provide SAO with access to any information SAO considers relevant to the scope of the audit or investigation.

9.3. Records Retention. All records relevant to this Agreement shall be retained for a minimum of seven (7) years. This retention period runs from the date of payment for the relevant goods or services by TFC, or from the date of termination of the Agreement, whichever is later. Retention time shall be extended when an audit is scheduled or in progress for a period reasonably necessary to complete an audit and/or to complete any administrative proceeding or litigation which may ensue.

#### 9.4. Confidentiality Provisions Applicable to CMT.

9.4.1. Protection of Confidential Information. CMT hereby acknowledges, understands and agrees (i) that in the course of conducting its due diligence regarding the provision of Professional Services to TFC, certain Confidential Information, as defined below, will be disclosed to CMT; and (ii) that whether developed by TFC or others employed by or associated with TFC, all Confidential Information is, and shall remain, the exclusive and confidential property of TFC, and shall be at all times regarded, treated and protected as such by CMT in accordance with this Agreement. Failure to mark any information "Confidential" shall not affect the confidential nature of such information.

9.4.2. Definition of Confidential Information. "Confidential Information" shall mean all information, whether or not originated by TFC, which is used in, or a part of, TFC's business and operations and is (i) proprietary to, about, or created by TFC; (ii) gives TFC some competitive advantage or the opportunity of obtaining such advantage or the disclosure of which could be detrimental to the interests of TFC; (iii) designated as "Confidential Information" by TFC, or from all the relevant circumstances should reasonably be assumed by CMT to be confidential and proprietary to TFC; or (iv) not generally known by CMT. Such Confidential Information includes, but is not limited to, the following types of information and other information of a similar nature (whether or not reduced to writing or designated as confidential).

9.4.2.1. Work product resulting from, or related to, work, projects, or services performed or to be performed by TFC for CMT and/or for actual and potential Using Agencies that are related to the business and/or operations of TFC, including but not limited to, methods, processes, procedures, analysis, techniques, and audits used in connection therewith.

9.4.2.2. Computer software of any type or form in any stage of actual or anticipated research and development, including, but not limited to, programs and program modules, routines and subroutines, processes, algorithms, design concepts, design specifications (design notes, annotations, documentation, flowcharts, coding sheets, and the like), source code, object code and load modules, programming, program patches, and system designs.

9.4.2.3. Information relating to TFC's proprietary rights prior to any public disclosure thereof, including but not limited to, the nature of the proprietary rights, production data, technical and engineering data, test data and test results, the status and details of research and development of products and services, and information regarding acquiring, protecting, enforcing and licensing proprietary rights (including patents, copyrights and trade secrets). Internal personnel and financial information, vendor names and other vendor information (including vendor characteristics, services, and agreements), customer lists and contacts, business plan(s), purchasing and internal cost information, internal services and operational manuals, pricing, marketing, and all other manner and methods of conducting TFC's business.

9.4.2.4. Marketing and development plans, price and cost data, price and fee amounts, pricing and billing policies, quoting procedures, marketing techniques and

methods of obtaining business, forecasts and forecast assumptions and volumes, and future plans and potential strategies of TFC which have been or are being discussed.

9.4.2.5. Any information obtained from TFC regarding its pursuit or negotiation of agreements with any potential "Contracting Person" regarding a potential "Qualifying Project" as those terms are defined in Texas Government Code, Section 2267.001, as the same may be amended from time to time, including, but not necessarily limited to, the names of the Contracting Person, including their representatives, (collectively, "Business Customers"); the parties to and substance of any agreements between TFC and said Business Customers; services and data provided, or to be provided, by or to said Business Customers; and the type, quantity and specifications of products and services purchased, leased, licensed or received, or to be purchased, leased, licensed or received, by Business Customers.

9.4.2.6. "Confidential Information" shall not include information that: (i) is or becomes available to the public generally, other than as a result of disclosure by CMT in breach of the terms of this Agreement; (ii) becomes available to CMT from a source (other than TFC) which source is not, to the best of CMT's knowledge, subject to any legally binding obligation to keep the same confidential; or (iii) has been independently acquired or developed by CMT.

9.4.3. Covenants. As a consequence of CMT's acquisition or anticipated acquisition of Confidential Information, CMT will occupy a position of trust and confidence to TFC with respect to TFC's affairs and business. In view of the foregoing and of the mutual consideration to be provided to each party, CMT agrees that it is reasonable and necessary that it make the following covenants.

9.4.3.1. Both during and forever after the performance of its due diligence investigation, CMT will not disclose Confidential Information to any Person or entity other than as necessary in carrying out its duties on behalf of TFC and/or due diligence investigation, without first obtaining TFC's prior, written consent, and CMT will take all reasonable precautions to prevent inadvertent disclosure of such Confidential Information. This prohibition against CMT's disclosure of Confidential Information includes, but is not limited to, disclosing the fact that any similarity exists between the Confidential Information and information independently developed by another Person or entity, and CMT understands that such similarity does not excuse CMT from abiding by its covenant or other obligations pursuant to this Agreement.

9.4.3.2. Both during and after the conduct of its due diligence investigation, CMT will not use, copy, or transfer Confidential Information other than as necessary in carrying out its duties on behalf of TFC and/or due diligence investigation, without first obtaining prior written consent of TFC, and will take all reasonable precautions to prevent inadvertent use, copying, or transfer of such Confidential Information. This prohibition against CMT's use, copying, or transfer of Confidential Information includes, but is not limited to, selling, licensing or otherwise exploiting, directly or indirectly, any products or services (including software in any form) that embody or are derived from Confidential Information.



9.4.3.3. CMT agrees not to make any written use of or reference to TFC's name or registered or unregistered trademarks (or any names under which TFC conducts business or operations) for any marketing, public relations, advertising, display or other business purpose or make any use of TFC's facilities for any activity related to the express business purposes and interests of TFC pursuant to this Agreement, without the prior written consent of TFC, which consent may be withheld or granted in TFC's sole and absolute discretion.

9.4.3.4. CMT agrees not to utilize, either directly or indirectly, any Confidential Information in order to facilitate or create direct business relationships with Business Customers of TFC.

9.5. Open Records Request or Similar Requests for Information. In the event that CMT receives a request to disclose all or any part of the Confidential Information under the terms of the Texas Public Information Act, a subpoena or other order issued by a court of competent jurisdiction or by another governmental agency, CMT shall: (i) notify TFC of the existence, terms, and circumstances surrounding such a request within one (1) business day of the receipt of the request; (ii) notify the entity requesting the information that such a request for information should be submitted to TFC, not CMT; (iii) provide the entity requesting the information the contact information of TFC's public information coordinator; and (iv) forward all responsive information to TFC within two (2) business days of the receipt of the request.

9.6. Confidentiality Provisions Applicable to TFC. Subject to the provisions of Section 9.6 below, TFC shall keep confidential all information, in whatever form, produced, prepared, or observed by CMT to the extent that such information is: (i) confidential by law; (ii) marked or designated "confidential," or words to that effect, in a font size no smaller than 14 point, by CMT; or (iii) information that TFC is otherwise required to keep confidential by this Agreement.

9.7. Public Records. Notwithstanding any provisions of this Agreement to the contrary, CMT understands that TFC will comply with the Texas Public Information Act, Texas Government Code, Chapter 552. If contacted by TFC, CMT will cooperate with TFC in the production of documents responsive to the request. CMT agrees to provide the documents responsive to the request in the format and within the time frame specified by TFC. CMT may request that TFC seek an opinion from the Office of the Texas Attorney General. However, the final decision whether to seek a ruling from the Office of the Texas Attorney General will be made by TFC in its sole discretion to comply with the legal requirements of the Texas Public Information Act. Additionally, CMT will notify TFC's general counsel within twenty-four (24) hours of receipt of any third-party requests for information written, produced, collected, assembled, or maintained in connection with this Agreement and/or any amendment to this Agreement. This Agreement and/or any amendment to this Agreement and all data and other information generated or otherwise obtained in its performance is subject to the Texas Public Information Act. CMT agrees to maintain the confidentiality of information received from the State of Texas during the performance of this Agreement, including information which discloses confidential personal information particularly, but not limited to, social security numbers. Furthermore, CMT is required to make any information created or exchanged with

the State pursuant to this Agreement, and not otherwise excepted from disclosure under the Texas Public Information Act, available in a format that is accessible by the public as specified by TFC at no additional charge to the State.

## **X. INSURANCE**

10.1. Insurance Requirements. All persons who enter into an agreement to provide professional services (hereinafter referred to as "Agreement"), including, but not limited to, professional engineering services and/or professional architectural services, as defined in Texas Government Code, Chapter 2254, Subchapter A (hereinafter collectively referred to as "CMT") with the State of Texas, by and through the Texas Facilities Commission (hereinafter referred to as "TFC"), must comply with the insurance requirements established by the particular program area of TFC before the CMT is authorized to commence providing those professional services.

10.2. Required Insurance Coverages. The required insurance coverages for this particular project are as follows:

10.2.1. Workers' Compensation and Employers' Liability Insurance. By execution of an Agreement, CMT thereby certifies, pursuant to Texas Labor Code Section 406.096(a), that CMT provides workers' compensation and employers' liability insurance for all employees employed on this public project with limits of not less than: (i) \$1,000,000 each accident; (ii) \$1,000,000 disease each employee; and (iii) \$1,000,000 disease policy limit.

10.2.1.1. Subcontractor's Certification. In accordance with Texas Labor Code Section 406.096(b), CMT shall require each Subcontractor to certify in writing to the CMT that said Subcontractor provides workers' compensation and employers' liability insurance for all of Subcontractor's employees employed on this public project. In keeping with Sections 5.2.8 and 5.2.9 of Exhibit A, 2015 Uniform General Conditions, Owner is entitled, upon request and without expense, to receive copies of Subcontractor's written certifications.

10.2.1.2. The policy must include an Other States Endorsement to include the State of Texas if CMT's business is domiciled outside the State of Texas.

10.2.1.3. The policy shall be endorsed to include Waiver of Subrogation in favor of TFC.

10.2.2. Commercial General Liability. Commercial general liability insurance coverage including premises; operations; blanket contractual liability coverage assumed under the Agreement and all contracts relative to the Project, including independent contractor's liability pursuant to unamended ISO, or its equivalent; products and completed operations; and extended to include explosion, collapse, and underground hazards, with a combined single limit of \$1,000,000 per occurrence for coverages A and B; and a general aggregate of \$2,000,000.

10.2.2.1. The policy shall include endorsement CG2503, Amendment of Aggregate Limits of Insurance (per Project), or its equivalent.

10.2.2.2. The policy shall be endorsed to include Additional Insured status in favor of TFC.

10.2.2.3. The policy shall be endorsed to include Waiver of Subrogation in favor of TFC.

10.2.2.4. The policy shall be endorsed to include thirty (30) Day Notice of Cancellation, ten (10) Days for Non-Payment of Premium, in favor of TFC.

10.2.3. Business Automobile Liability Insurance. Business automobile liability coverage for all owned, non-owned, and hired vehicles with a minimum combined single limit of \$1,000,000 per accident for bodily injury and property damage. Alternate acceptable limits are \$1,000,000 bodily injury per person, \$1,000,000 bodily injury per accident, and at least \$1,000,000 property damage liability per accident.

10.2.3.1. No aggregate shall be permitted.

10.2.3.2. Such insurance must include coverage for loading and unloading hazards.

10.2.3.3. The policy shall be endorsed to include Additional Insured status in favor of TFC.

10.2.3.4. The policy shall be endorsed to include Waiver of Subrogation in favor of TFC.

10.2.3.5. The policy shall be endorsed to include thirty (30) Day Notice of Cancellation, ten (10) Days for Non-Payment of Premium, in favor of TFC.

10.2.4. Architect/Engineers Professional Liability Insurance.

10.2.4.1. Architect/Engineers professional liability/errors and omissions coverage with a minimum limit of \$5,000,000 per claim and in the aggregate to pay on behalf of the insured all sums which the insured shall become legally obligated to pay as damages by reason of any negligent act, error, or omission committed with respect to plans, maps, drawings, analysis, reports, surveys, change orders, designs, or specifications prepared by the insured.

10.2.4.2. CMT shall maintain this coverage for the duration of this Agreement or for not less than twenty-four (24) months following completion of the Project, whichever is longer.

10.2.4.3. The policy shall be endorsed to include thirty (30) Day Notice of Cancellation, ten (10) Days for Non-Payment of Premium, in favor of TFC.

10.2.5. Umbrella Liability Insurance. Umbrella liability insurance for a period not to expire or terminate prior to the expiration of all warranty periods, insuring Architect/Engineer for an amount of not less than \$1,000,000, which provides coverage at least as broad as, and applies in excess and follows form of, the primary liability coverages required hereinabove. The policy shall provide coverage where underlying primary insurance coverage limits are exhausted or otherwise unavailable or inadequate to cover a loss.

10.3. General Requirements for All Insurance. The following provisions shall apply to all insurance requirements.

10.3.1. Deductibles and Self-Insured Retentions. CMT shall be responsible for all deductibles and self-insured retentions, if any, stated in the policies. All deductibles and self-insured retentions shall be disclosed on the certificates of insurance.

10.3.2. Claims-Made Policies. If coverage is underwritten on a claims-made basis, the retroactive date for the policy and all renewals shall be coincident with the date of the Agreement and the certificate of insurance shall state that the coverage is claims-made and the retroactive date. Any premiums for this extended reporting period shall be paid by CMT.

10.3.3. Additional Policy Requirements. In the event the primary insurance policy does not so provide, CMT shall obtain and maintain endorsements for each deficient policy, or provide such other document(s) as may be approved in advance by TFC, that satisfy all of the following requirements.

10.3.3.1. Naming "Texas Facilities Commission, P.O. Box 13047, Austin, Texas 78711, its officials, directors, employees, representatives, and volunteers" as additional insureds, provided however, this requirement does not apply to professional liability insurance or workers' compensation insurance.

10.3.3.2. The policy, or such other document(s) as may be acceptable to TFC, must obligate the insurer, or a third-party acceptable to TFC, to notify the Texas Facilities Commission, Attention: Heidi Gonzales, Insurance Specialist, P.O. Box 13047, Austin, Texas 78711, of any (i) non-renewal; (ii) cancellation; or (iii) material changes, in writing, as soon as is reasonably possible prior to any such non-renewal, cancellation or change.

10.3.3.3. "Material Change" means any of the following changes to the Policy during the term of the Policy: (i) a change in the Policy period; (ii) a material revision to, or removal of, a coverage section; (iii) a reduction of the amount of limits of insurance, provided such reduction is not the result of payment of damages, medical expenses, or claim expenses; or (iv) an increase of the amount of any self-insured retention(s).

10.3.3.4. As to those policies wherein TFC is an additional insured, said insurance coverages must be primary and non-contributing with respect to insurance or self-insurance carried by TFC, if any.

10.3.4. No Commencement of Work. CMT shall not, nor allow any Subcontractor(s) to, commence the performance of Professional Services under this Agreement until the proof of satisfaction of the insurance requirements has been received and approved by TFC. However, any approval of the proof of satisfaction of the insurance requirements by TFC shall not relieve or decrease the liability of CMT hereunder.

10.3.5. Qualifications of Insurer. Insurance shall be written by a company licensed to do business in the State of Texas at the time the policy is issued and renewed, and shall be written by a company with an A.M. Best rating of A- or better.

10.3.6. No Cancellation or Lapse. CMT shall not cause or permit any required insurance to cancel or lapse prior to the expiration of all warranty periods, provided however, policy duration for architect/engineers professional liability/errors & omissions coverage is not governed by this provision. CMT must update all expired policies prior to submission of any Application for Payment.

10.3.7. Notice of Erosion. CMT shall provide TFC with thirty (30) days written notice of erosion of any aggregate limits below the minimum amounts required by the Agreement.

10.3.8. Right to Review. TFC reserves the right to review the insurance requirements and to require deletion, revision, and/or modification of particular policy terms, conditions, limitations, or exclusions (except where policy provisions are established by law or regulations that are binding upon TFC, CMT, or the underwriter) on any such policies when deemed necessary and prudent by TFC based upon changes in statutory law, court decisions, or the claims history of the industry and/or of CMT, provided however, such modifications must be commercially available to CMT. TFC shall make an equitable adjustment to the Contract Sum for any additional cost resulting therefrom.

10.3.9. Losses Paid by CMT. Actual losses not covered by the required insurance shall be paid by CMT.

10.3.10. Failure to Obtain, Maintain or Renew. Failure to timely obtain, maintain and/or renew the insurance policies as required may, at the sole discretion of TFC, subject CMT to, among all other available remedies, at law and in equity, the following.

10.3.10.1. Disqualification from eligibility to participate in any other or future projects with TFC.

10.3.10.2. Suspension of Work for cause.

10.3.10.3. In the event CMT fails to timely renew or pay any of the renewal premiums for any expiring policies, TFC shall have the right (but not the obligation) to: (i) make such payments; and/or (ii) acquire replacement coverage, and thereafter set off the amount(s) or costs thereof against the next payment(s) coming due to CMT under the Agreement or under any other agreement between TFC and CMT.

10.3.10.4. TFC may withhold any payments due to CMT from this Project or any other TFC project until satisfaction is achieved.

10.3.11. TFC a Third-Party Beneficiary. TFC shall be a third-party beneficiary of any agreement(s) between CMT and any and all Persons who procure, or cause to be procured, the above-described insurance coverages, and all renewals thereof, for the Project.

10.3.12. Required Insurance Coverages No Effect On Indemnifications. The insurance and insurance limits required herein shall not be deemed as a limitation on CMT's liability under the indemnifications granted to TFC.

10.3.13. No Warranty That Insurance Limits Will Be Adequate to Fully Protect CMT.  
The insurance requirements set out herein shall not be interpreted as any representation or warranty that the insurance coverage and limits will necessarily be adequate to fully protect CMT.

## **XI. MISCELLANEOUS PROVISIONS**

### **11.1 INDEMNIFICATION.**

11.1.1. ACTS OR OMISSIONS. CMT SHALL INDEMNIFY AND HOLD HARMLESS TFC, THE STATE OF TEXAS, AND/OR THEIR OFFICERS, AGENTS, EMPLOYEES, REPRESENTATIVES, CONTRACTORS, ASSIGNEES, AND/OR DESIGNEES FROM ANY AND ALL LIABILITY, ACTIONS, CLAIMS, DEMANDS, OR SUITS, AND ALL RELATED COSTS, ATTORNEY FEES, AND EXPENSES ARISING OUT OF, OR RESULTING FROM ANY ACTS OR OMISSIONS OF CMT OR ITS AGENTS, EMPLOYEES, SUBCONTRACTORS, ORDER FULFILLERS, OR SUPPLIERS OF SUBCONTRACTORS IN THE EXECUTION OR PERFORMANCE OF THE AGREEMENT AND ANY PURCHASE ORDERS ISSUED UNDER THE AGREEMENT. THE DEFENSE SHALL BE COORDINATED BY CMT WITH THE OFFICE OF THE ATTORNEY GENERAL WHEN TEXAS STATE AGENCIES ARE NAMED DEFENDANTS IN ANY LAWSUIT AND CMT MAY NOT AGREE TO ANY SETTLEMENT WITHOUT FIRST OBTAINING THE CONCURRENCE FROM THE OFFICE OF THE ATTORNEY GENERAL. CMT AND TFC AGREE TO FURNISH TIMELY WRITTEN NOTICE TO EACH OTHER OF ANY SUCH CLAIM.

11.1.2. INFRINGEMENTS. CMT SHALL INDEMNIFY AND HOLD HARMLESS THE STATE OF TEXAS AND TFC, AND/OR THEIR EMPLOYEES, AGENTS, REPRESENTATIVES, CONTRACTORS, ASSIGNEES, AND/OR DESIGNEES FROM ANY AND ALL THIRD PARTY CLAIMS INVOLVING INFRINGEMENT OF UNITED STATES PATENTS, COPYRIGHTS, TRADE AND SERVICE MARKS, AND ANY OTHER INTELLECTUAL OR INTANGIBLE PROPERTY RIGHTS IN CONNECTION WITH THE PERFORMANCES OR ACTIONS OF CMT PURSUANT TO THIS AGREEMENT. CMT AND TFC AGREE TO FURNISH TIMELY WRITTEN NOTICE TO EACH OTHER OF ANY SUCH CLAIM. CMT SHALL BE LIABLE TO PAY ALL COSTS OF DEFENSE INCLUDING ATTORNEYS' FEES. THE DEFENSE SHALL BE COORDINATED BY CMT WITH THE OFFICE OF THE ATTORNEY GENERAL WHEN TEXAS STATE AGENCIES ARE NAMED DEFENDANTS IN ANY LAWSUIT AND CMT MAY NOT AGREE TO ANY SETTLEMENT WITHOUT FIRST OBTAINING THE CONCURRENCE FROM THE OFFICE OF THE ATTORNEY GENERAL. CMT SHALL HAVE NO LIABILITY UNDER THIS SECTION IF THE ALLEGED INFRINGEMENT IS CAUSED IN WHOLE OR IN PART BY: (i) USE OF THE PRODUCT OR SERVICE FOR A PURPOSE OR IN A MANNER FOR WHICH THE PRODUCT OR SERVICE WAS NOT DESIGNED, (ii) ANY MODIFICATION MADE TO THE PRODUCT WITHOUT CMT'S WRITTEN APPROVAL, (iii) ANY MODIFICATIONS MADE TO THE PRODUCT BY THE CMT PURSUANT TO TFC'S SPECIFIC INSTRUCTIONS, (iv) ANY



INTELLECTUAL PROPERTY RIGHT OWNED BY OR LICENSED TO TFC, OR (v) ANY USE OF THE PRODUCT OR SERVICE BY TFC THAT IS NOT IN CONFORMITY WITH THE TERMS OF ANY APPLICABLE LICENSE AGREEMENT. IF CMT BECOMES AWARE OF AN ACTUAL OR POTENTIAL CLAIM, OR TFC PROVIDES CMT WITH NOTICE OF AN ACTUAL OR POTENTIAL CLAIM, CMT MAY (OR IN THE CASE OF AN INJUNCTION AGAINST TFC, SHALL), AT CMT'S SOLE OPTION AND EXPENSE; (i) PROCURE FOR TFC THE RIGHT TO CONTINUE TO USE THE AFFECTED PORTION OF THE PRODUCT OR SERVICE, OR (ii) MODIFY OR REPLACE THE AFFECTED PORTION OF THE PRODUCT OR SERVICE WITH FUNCTIONALLY EQUIVALENT OR SUPERIOR PRODUCT OR SERVICE SO THAT TFC'S USE IS NON-INFRINGEMENT.

11.1.3. TAXES / WORKERS' COMPENSATION / UNEMPLOYMENT INSURANCE – INCLUDING INDEMNITY. CMT AGREES AND ACKNOWLEDGES THAT DURING THE EXISTENCE OF THIS AGREEMENT, CMT SHALL BE ENTIRELY RESPONSIBLE FOR THE LIABILITY AND PAYMENT OF CMT'S AND CMT'S EMPLOYEES' TAXES OF WHATEVER KIND, ARISING OUT OF THE PERFORMANCES IN THIS AGREEMENT. CMT AGREES TO COMPLY WITH ALL STATE AND FEDERAL LAWS APPLICABLE TO ANY SUCH PERSONS, INCLUDING LAWS REGARDING WAGES, TAXES, INSURANCE, AND WORKERS' COMPENSATION. TFC AND/OR THE STATE SHALL NOT BE LIABLE TO THE CMT, ITS EMPLOYEES, AGENTS, OR OTHERS FOR THE PAYMENT OF TAXES OR THE PROVISION OF UNEMPLOYMENT INSURANCE AND/OR WORKERS' COMPENSATION OR ANY BENEFIT AVAILABLE TO A STATE EMPLOYEE OR EMPLOYEE OF ANOTHER GOVERNMENTAL ENTITY CUSTOMER. CMT AGREES TO INDEMNIFY AND HOLD HARMLESS TFC, THE STATE OF TEXAS AND/OR THEIR EMPLOYEES, AGENTS, REPRESENTATIVES, CONTRACTORS, AND/OR ASSIGNEES FROM ANY AND ALL LIABILITY, ACTIONS, CLAIMS, DEMANDS, OR SUITS, AND ALL RELATED COSTS, ATTORNEYS' FEES, AND EXPENSES, RELATING TO TAX LIABILITY, UNEMPLOYMENT INSURANCE AND/OR WORKERS' COMPENSATION IN ITS PERFORMANCE UNDER THIS AGREEMENT. CMT SHALL BE LIABLE TO PAY ALL COSTS OF DEFENSE INCLUDING ATTORNEYS' FEES. THE DEFENSE SHALL BE COORDINATED BY CMT WITH THE OFFICE OF THE ATTORNEY GENERAL WHEN TEXAS STATE AGENCIES ARE NAMED DEFENDANTS IN ANY LAWSUIT AND CMT MAY NOT AGREE TO ANY SETTLEMENT WITHOUT FIRST OBTAINING THE CONCURRENCE FROM THE OFFICE OF THE ATTORNEY GENERAL. CMT AND TFC AGREE TO FURNISH TIMELY WRITTEN NOTICE TO EACH OTHER OF ANY SUCH CLAIM.

11.2. Historically Underutilized Businesses ("HUBs"). In accordance with state law, it is TFC's policy to assist HUBs, whenever possible, to participate in providing goods and services to the agency. TFC encourages those parties with whom it contracts for the provision of goods and services to adhere to this same philosophy in selecting subcontractors to assist in fulfilling CMT's obligations with TFC. If CMT subcontracts with others for some or all of the services to be performed under this Agreement, CMT shall comply with all HUB requirements pursuant to

Chapter 2161 of the Texas Government Code. The Initial Approved HUB Subcontracting Plan ("HSP") is attached hereto and incorporated herein for all purposes as "Exhibit K." When required, CMT shall submit an updated HSP. Upon TFC approval of HSP update(s), such update(s) shall become, without further notice or action, a part of the incorporated "Exhibit K." A copy of the HSP form is attached hereto and incorporated herein by reference for all purposes as "Exhibit L." CMT shall provide the HUB program of TFC with pertinent details of any participation by a HUB in fulfilling the duties and obligations arising hereunder on the HSP Progress Assessment Reporting ("PAR") form, a copy of which is attached hereto and incorporated herein by reference for all purposes as "Exhibit M."

11.2.1. Requirement to Utilize HUB Compliance Reporting System. Pursuant to Texas Administrative Code, Title 34 §§ 20.85(f)(1)(2) and 20.287(b), TFC administers monthly HUB Subcontracting Plan ("HSP") to include the Progressive Assessment Report ("PAR") compliance monitoring through a HUB Compliance Reporting System known as B2G. PSP and Contractor's/A-E's/PSP's Subcontractors/Subconsultants must submit required PAR information into the B2G system as a condition of payment. Any delay in the timely submission of PAR information into the B2G system will be treated as a deficiency and the payment request will be subject to suspension until such deficiency has been resolved."

11.3. Relationship of the Parties. CMT is associated with TFC only for the purposes and to the extent specified in this Agreement, and with respect to performance of the contracted services pursuant to this Agreement, CMT is and shall be an independent contractor. Subject only to the terms of this Agreement, CMT shall have the sole right to supervise, manage, operate, control, and direct performance of the details incident to its duties under this Agreement. Nothing contained in this Agreement shall be deemed or construed to create a partnership or joint venture, to create relationships of an employer-employee or principal-agent, or to otherwise create any liability for TFC whatsoever with respect to the indebtedness, liabilities, and obligations of CMT or any other party. CMT shall be solely responsible for, and TFC shall have no obligation with respect to: (i) withholding of income taxes, FICA, or any other taxes or fees; (ii) industrial or workers' compensation insurance coverage; (iii) participation in any group insurance plans available to employees of the State of Texas; (iv) participation or contributions by the State to the State Employees Retirement System; (v) accumulation of vacation leave or sick leave; or (vi) unemployment compensation coverage provided by the State.

11.4. No Assignment and Subcontracts. CMT shall neither assign, transfer, nor delegate any rights, obligations, or duties under this Agreement without the prior written consent of TFC. Notwithstanding the foregoing, it is mutually understood and agreed that CMT may engage Subcontractors to perform some or all of the Professional Services. In any approved Subcontracts, CMT shall legally bind such Subcontractor to perform and make such Subcontractor subject to all the duties, requirements, and obligations of CMT specified herein. Nothing herein shall be construed to relieve CMT of the responsibility for ensuring that the goods delivered and/or the services rendered by CMT and/or any of its Subcontractors comply with all the terms and provisions of this Agreement. CMT must provide written notification to TFC of any such Subcontractor performing work under this Agreement, including the name and taxpayer identification number of Subcontractor, the task(s) being performed, and the number of Subcontractor employees expected to work on the task.

11.5. Drug Free Work Place. CMT, CMT's employees and all Subcontractors shall comply with the applicable provisions of the Drug-Free Work Place Act of 1988 (Public Law No. 100-690, Title V, Subtitle D; 41 U.S.C. 701 et seq.) and maintain a drug-free work environment; and the final rule, government-wide requirements for drug-free work place (grants), issued by the Office of Management and Budget and the Department of Defense (32 CFR Part 280, Subpart F) to implement the provisions of the Drug-Free Work Place Act of 1988 is incorporated by reference and CMT, CMT's employees, and all Subcontractors shall comply with the relevant provisions thereof, including any amendments to the final rule that may hereafter be issued.

11.6. No Smoking. All facilities where work is to be performed are nonsmoking buildings. CMT's employees and Subcontractors are prohibited from smoking in all areas except in areas designated for smoking.

11.7. Notices. All notices, demands and requests required in this Agreement (hereinafter referred to as "Notices") must be in writing and shall be deemed to have been properly delivered and received (i) three (3) business days after deposit in a regularly maintained receptacle for the United States Postal Service, certified mail, return receipt requested with adequate postage prepaid; or (ii) one (1) business day after deposit with Federal Express or other comparable overnight delivery system for overnight delivery with all costs prepaid. All Notices hereunder shall be addressed as follows:

If to TFC: Texas Facilities Commission  
Attention: Legal Services Division  
1711 San Jacinto Boulevard, Suite 400  
Austin, Texas 78701  
Telephone: (512) 463-7220

If to CMT: Raba Kistner, Inc.  
Attention: Gabriel Ornelas, Jr., PE, PMP, Senior Vice President  
8100 Cameron Road, Suite B-150  
Austin, Texas 78754  
Telephone: (512) 339-1745  
E-Mail: gornelas@rkci.com

Either party hereto may change its address by giving the other party written notice thereof at least five (5) business days in advance of the effective date for such new address.

11.8. Name and Organizational Changes. CMT must provide TFC with written notification of all name changes and organizational changes relating to CMT including, but not limited to, merger, acquisition or sale no later than ten (10) business days of such change. CMT, in its notice, shall describe the circumstances of the name change or organizational change, state its new name, provide the new Tax Identification Number, and describe how the change will impact its ability to perform under the Agreement. If the change entails personnel changes for personnel performing the responsibilities of the Agreement for CMT, CMT shall identify the new personnel and provide resumes to TFC, if resumes were originally required by the solicitation.

TFC may request other information about the change and its impact on the Agreement and CMT shall supply the requested information within five (5) working days of receipt of the request. All written notifications of organizational change must include a detailed statement specifying the change and supporting documentation evidencing continued right of CMT or successor entity, as applicable, to maintain its status as a party to this Agreement. TFC may terminate the Agreement due to any change to CMT that materially alters CMT's ability to perform under the Agreement.

11.9. Electronic and Information Resources Accessibility Standards. (i) Effective September 1, 2006, all state agencies and institutions of higher education shall procure products which comply with the State of Texas accessibility requirements for electronic and information resources specified in Title 1 of the Texas Administrative Code, Chapter 213 when such products are available in the commercial marketplace or when such products are developed in response to a procurement solicitation. (ii) If applicable, Contractor shall provide the Texas Department of Information Resources ("DIR") with the universal resource locator ("URL") to its Voluntary Product Accessibility Template ("VPAT") for reviewing compliance with the State of Texas Accessibility requirements (based on the federal standards established under Section 508 of the Rehabilitation Act), or indicate that the product/service accessibility information is available from the General Services Administration "Buy Accessible Wizard" (<https://app.buyaccessible.gov/baw/Main.jsp>). Contractors not listed with the "Buy Accessible Wizard" or supplying a URL to their VPAT must provide DIR with a report that addresses the same accessibility criteria in substantively the same format. Additional information regarding the "Buy Accessible Wizard" or obtaining a copy of the VPAT is located at <http://www.section508.gov/>.

11.10. Governing Law and Venue. This Agreement and the rights and obligations of the parties hereto shall be governed by, and construed according to, the laws of the State of Texas, exclusive of conflicts of law provisions. Venue of any suit brought pursuant to this Agreement shall be in a court of competent jurisdiction in Travis County, Texas. CMT hereby irrevocably waives any objection, including any objection to personal jurisdiction or the laying of venue or based on the grounds of *forum non conveniens*, which it may now or hereafter have to the bringing of, or responding to, any action or proceeding in such jurisdiction with respect to this Agreement or any document related hereto.

11.11. Proper Authority. The parties hereto represent and warrant that the Person executing this Agreement on behalf of each party has full power and authority to enter into this Agreement. CMT acknowledges that this Agreement is effective only for the period of time specified in the Agreement.

11.12. Force Majeure. Any delays in or failure of performance by either party, except in respect of the obligation for payments under this Agreement, shall not constitute default hereunder if and to the extent such delays or failure of performance are caused solely by occurrence(s) beyond the reasonable control of the party affected, and which by the exercise of due diligence such Party is unable to prevent (hereinafter referred to as "Force Majeure") including acts of God or the public enemy, sabotage, war, mobilization, revolution, civil unrest, riots, strikes, lockouts, fires, accidents breakdowns, or floods, earthquakes, hurricanes, or any

other natural disaster or governmental actions. In any such event, the party claiming Force Majeure shall notify the other party of the Force Majeure event in writing within forty-eight (48) hours of the commencement of the Force Majeure event, and within forty-eight (48) hours of the termination of the Force Majeure event. In the event said party fails to timely provide either of the above-described notices, such failure shall constitute, without further notice or action, a waiver of the right to claim Force Majeure for such event. If possible, the notice shall set forth the extent and duration thereof. The party claiming Force Majeure shall exercise due diligence to prevent, eliminate or overcome such Force Majeure event where it is possible to do so and resume performance at the earliest possible date. However, if nonperformance continues for more than thirty (30) days, TFC may terminate this Agreement immediately upon written notification to CMT. Changes in the schedule or in the design or scope of the Project as a result of any Force Majeure which affect the cost of the CMT's services under this Agreement require a written amendment to this Agreement.

11.13. Dispute Resolution. Claims, disputes, and other matters in question arising out of or relating to this Agreement shall be subject to mediation as a condition precedent to arbitration or the institutions of legal or equitable proceedings by either party. Failure to follow the dispute resolution process below shall result in any claim filed by CMT in a court of law having jurisdiction over the claim to be summarily dismissed. Subject to Texas Government Code, Section 2260.002, the dispute resolution process provided for in Chapter 2260 of the Texas Government Code shall be used by the parties to attempt to resolve all disputes arising under this Agreement. In accordance with the Texas Civil Practice and Remedies Code, Section 114.005, the parties agree claims encompassed by Texas Government Code, Section 2260.002(3) and Texas Civil Practice and Remedies Code, Section 114.002 shall be governed by the following dispute resolution process:

11.13.1. Claims for Breach of Contract and Counterclaims.

11.13.1.1. CMT may make a claim against TFC for breach of a contract between TFC and CMT. TFC may assert a counterclaim against CMT.

11.13.1.2. CMT must provide written notice to TFC of a claim for breach of contract not later than one hundred eighty (180) days after the date of the event giving rise to the claim.

11.13.1.3. The notice must state with particularity: (i) the nature of the alleged breach; (ii) the amount CMT seeks as damages; and (iii) the legal theory of recovery.

11.13.1.4. TFC must assert, in a writing delivered to CMT, any counterclaim not later than the sixtieth (60th) day after the date of notice of a claim under this Section.

11.13.2. Damages. Damages may include the following.

11.13.2.1. The total amount of money recoverable on a claim for breach of contract under this Section may not, after deducting the amount specified in Section 11.13.2.2, below, exceed an amount equal to the sum of:

11.13.2.1.1. the balance due and owing on the contract price;

11.13.2.1.2. the amount or fair market value of orders or requests for additional work made by a unit of state government to the extent that the orders or requests for additional work were actually performed; and

11.13.2.1.3. any delay or labor-related expense incurred by the CMT as a result of an action of or a failure to act by the unit of state government or a party acting under the supervision or control of the unit of state government.

11.13.2.2. Any amount owed the unit of state government for work not performed under a contract or in substantial compliance with its terms shall be deducted from the amount in Section 11.13.1.5.1 above.

11.13.2.3. Any award of damages under this Agreement may not include:

11.13.2.3.1. consequential or similar damages, except delays or labor-related expenses described by Section 11.13.2.1.3 above;

11.13.2.3.2. exemplary damages;

11.13.2.3.3. any damages based on an unjust enrichment theory;

11.13.2.3.4. attorney's fees; or

11.13.2.3.5. home office overhead.

11.13.3. Negotiation. TFC's general counsel shall examine the claim and any counterclaim and negotiate with CMT in an effort to resolve them. The negotiation must begin no later than one hundred twenty (120) days after the date the claim is received. TFC's administrative rules located at Title 1, Part 5, Section 111.31 of the Texas Administrative Code apply to this Agreement and govern the negotiation of any dispute arising from this Agreement. In the event negotiation results in the resolution of some disputed issues by agreement or in a settlement, the parties shall reduce the settlement to writing, and each party shall sign the settlement. A partial settlement or resolution of a claim does not waive a party's rights as to the parts of the claim that are not resolved.

11.13.4. Mediation. Before the one hundred twentieth (120th) day after the date the claim is filed with TFC and before the expiration of any extension of time mutually agreed upon, the parties shall agree to mediate a claim made under this Agreement. TFC's administrative rules located at Title 1, Part 5, Section 111.31 of the Texas Administrative Code apply to this Agreement and govern the mediation of any dispute arising from this Agreement.

11.13.5. Adjudication. CMT may adjudicate any claim in accordance with and to the extent permitted under the Texas Civil Practice and Remedies Code, Chapter 114 or the Texas Government Code, Chapter 2260 only after both parties have completed mediation of the claim in question.



11.13.6. Payment of Claims. In accordance with the Texas Civil Practice and Remedies Code, Section 114.011, TFC may pay a claim resolved under Section 11.13 only from money appropriated to it for payment of contract claims or for payment of the contract that is the subject of the claim. If money previously appropriated for payment of contract claims or payment of the contract is insufficient to pay the claim or settlement, the balance of the claim may be paid only from money appropriated by the legislature for payment of the claim. Chapter 304 of the Texas Finance Code applies to a judgment awarded to a claimant, except that the applicable rate of interest may not exceed the maximum rate allowed by applicable Laws and Regulations. Consistent with the Texas Civil Practice and Remedies Code, Section 114.011, property owned by the State or any unit of state government is not subject to seizure, attachment, garnishment, or any other creditors' remedy to satisfy a judgment on a breach of contract claim.

11.13.7. Representation of TFC. The Office of the Texas Attorney General shall defend TFC in any proceeding or adjudication conducted in conjunction with a claim brought under this Section 11.13.

11.14. Legal Construction and Severability. In the event any one or more of the provisions contained in this Agreement shall for any reason be held to be invalid, illegal, or unenforceable in any respect, such invalidity, illegality, or unenforceability shall not affect any other provision herein, and this Agreement shall be construed as if such invalid, illegal, or unenforceable provision had never been contained herein. Furthermore, in lieu of each such illegal, invalid, or unenforceable provision there shall be substituted a provision as similar in terms to such illegal, invalid, or unenforceable provision as may be possible and be legal, valid, and enforceable.

11.15. Multiple Counterparts. This Agreement may be executed in any number of counterparts, each of which shall be an original, and each such counterpart shall together constitute but one and the same agreement.

11.16. Binding Effect. This Agreement shall be binding upon and shall inure to the benefit of the parties hereto, their representatives, successors and assigns.

11.17. Limitation on Authority and No Other Obligations. CMT shall have no authority to act for or on behalf of TFC or the State of Texas except as expressly provided for in this Agreement; no other authority, power, or use is granted or implied. CMT may not incur any debts, obligations, expenses, or liabilities of any kind on behalf of TFC or the State of Texas.

11.18. Limitation on Adjudication Awards. In the event CMT brings a civil suit against TFC and prosecutes it to final judgment pursuant to Chapter 114 of the Code, any recovery by CMT shall be specifically limited to the balance due and owed by TFC on the Agreement as it may have been amended, including any amounts owed by written change orders. Pre-judgment and post-judgment interest shall be limited to the rate of three percent (3.0%) per annum. **CMT HEREBY WAIVES ALL CLAIMS FOR MONETARY DAMAGES FOR ANY AMOUNT THAT MAY BE CLAIMED: (i) FOR THE INCREASED COST TO PERFORM WORK AS A DIRECT RESULT OF OWNER-CAUSED DELAYS OR ACCELERATION; (ii) BASED UPON AN UNJUST ENRICHMENT THEORY; (iii) FOR CONSEQUENTIAL AND EXEMPLARY DAMAGES; AND (iv) FOR DAMAGES FOR ANY UNABSORBED HOME OFFICE OVERHEAD.**

11.19. No Waiver of Sovereign Immunity. Except as may be expressly and specifically provided otherwise by Chapter 114, Texas Civil Practice and Remedies Code, nothing in this Agreement shall be construed as a waiver of sovereign immunity; nor constitute or be construed as a waiver of any of the privileges, rights, defenses, remedies, or immunities available to the State of Texas, TFC or the Using Agency. The failure to enforce, or any delay in the enforcement, of any privileges, rights, defenses, remedies, or immunities available to the State of Texas under the Agreement or under applicable law shall not constitute a waiver of such privileges, rights, defenses, remedies, or immunities or be considered as a basis for estoppel.

11.20. No Implied Waiver. The failure of a party to insist at any time upon the strict performance of any covenant or agreement or to exercise any option, right, power, or remedy contained in this Agreement shall not be construed as a waiver or a relinquishment thereof for the future.

11.21. No Third-Party Beneficiaries. This Agreement is made solely and specifically among and for the benefit of the parties named herein and the Using Agency, and their respective successors and assigns, and no other Person shall have any right, interest, or claims hereunder or be entitled to any benefits pursuant to or on account of this Agreement as a third-party beneficiary or otherwise.

11.22. Further Assurances. CMT shall take such actions and execute such other and additional documents as are reasonably necessary or desirable in order to carry out the purposes and intent of this Agreement.

11.23. Prohibition on Certain Bids and Contracts. Under Texas Government Code, Section 2155.006, relating to the prohibition of certain bids and contracts, CMT certifies that the individual or business entity named in this Agreement is not ineligible to receive the specified Agreement and acknowledges that this Agreement may be terminated and payment withheld if this certification is inaccurate. CMT represents and warrants that during the five (5) year period preceding the date of this Agreement, CMT has not been: (i) convicted of violating a federal law in connection with a contract awarded by the federal government for relief, recovery, or reconstruction efforts as a result of Hurricane Rita, as defined by Texas Utilities Code, Section 39.459, Hurricane Katrina, or any other disaster occurring after September 24, 2005; or (ii) assessed a penalty in a federal civil or administrative enforcement action in connection with a contract awarded by the federal government for relief, recovery, or reconstruction efforts as a result of Hurricane Rita, as defined by Texas Utilities Code, Section 39.459, Hurricane Katrina, or any other disaster occurring after September 24, 2005.

11.24. No Presumptions for Ambiguities. Each party hereby represents and warrants that although the initial draft of this Agreement and any exhibits may have been prepared by one party, both parties have been given the opportunity to review this Agreement and those exhibits with counsel of their choice, and have made additions, revisions, and amendments hereto. Therefore, each party hereby covenants and agrees that they are co-drafters of this Agreement and those exhibits such that any ambiguities cannot be construed against any party.

11.25. Time is of the Essence. Time is of the essence with respect to this Agreement; provided however, in the event that any of the deadlines set forth herein end on a Saturday,

Sunday, or federal legal holiday, such deadline shall automatically be extended to the next day which is not a Saturday, Sunday, or federal legal holiday.

11.26. Schedule of Exhibits. The following are exhibits to this Agreement, and are either attached hereto or provided as links to the TFC website:

11.26.1. Exhibit A 2015 Uniform General Conditions, located on TFC's website at this link

<http://www.tfc.state.tx.us/divisions/facilities/prog/construct/formsindex/2015%20UGC%2003.07.2017.Final.pdf>.

11.26.2. Exhibit B 2018 Supplementary General Conditions (Located on TFC's website at this link

[http://www.tfc.state.tx.us/divisions/facilities/prog/construct/formsindex/2018%20Supplementary%20Modifications%20to%20Article%205%203-23-2018%20\(003\).pdf](http://www.tfc.state.tx.us/divisions/facilities/prog/construct/formsindex/2018%20Supplementary%20Modifications%20to%20Article%205%203-23-2018%20(003).pdf)).

11.26.3. Exhibit C 2018 A/E Guidelines Edit Date 3/19/2018, located on TFC's website at this link

<http://www.tfc.state.tx.us/divisions/facilities/prog/construct/formsindex/01%20-%202018%20A-E%20GUIDELINES.pdf>.

11.26.4. Exhibit D 2016 Texas Capitol Complex Master Plan, located on TFC's website at this link

<http://www.tfc.state.tx.us/divisions/commissionadmin/tools/>.

11.26.5. Exhibit E CMT's Key Personnel.

11.26.6. Exhibit F CMT's Fee Schedule.

11.26.7. Exhibit G Hourly Fee Rates for Additional Services.

11.26.8. Exhibit H Professional Services Schedule.

11.26.9. Exhibit I Detailed Scope of CMT's Services, including list of deliverables.

11.26.10. Exhibit J List of CMT's Project Manager and Subconsultants.

11.26.11. Exhibit K Initial Approved HUB Subcontracting Plan.

11.26.12. Exhibit L HUB Subcontracting Plan Form.

11.26.13. Exhibit M HUB Subcontracting Plan PAR Form.

11.27. Survival of Terms. Termination of the Agreement for any reason shall not release CMT from any liability of obligation set forth in the Agreement that is expressly stated to survive any such termination or by its nature would be intended to be applicable following any such termination, including the provisions regarding confidentiality, indemnification, transition, records, audit, property rights, dispute resolution and invoice and verification.

11.28. False Statements; Breach of Representations. By signature to this Contract, Contractor makes all the representations, warranties, guarantees, certifications and affirmations included in this Contract. If Contractor signs this Contract with a false statement or it is subsequently determined that Contractor has violated any of the representations, warranties, guarantees, certifications or affirmations included in this Contract, Contractor shall be in default under this Contract, and TFC may terminate or void this Contract for cause and pursue other remedies available to TFC under this Contract and applicable law.

11.29. Abandonment and Default. If A/E defaults on this Agreement, TFC reserves the right to cancel the Agreement without notice and either re-solicit or re-award the Agreement to the next best responsive and responsible respondent. The defaulting A/E will not be considered in the re-solicitation and may not be considered in future solicitations for the same type of work.

11.30. Antitrust and Assignment of Claims. A/E represents and warrants that neither A/E nor any firm, corporation, partnership, or institution represented by A/E, or anyone acting for such firm, corporation or institution has (i) violated the antitrust laws of the State of Texas under Tex. Bus. & Com. Code, Chapter 15, or the federal antitrust laws; or (ii) communicated directly or indirectly the proposal to any competitor or any other person engaged in such line of business during the procurement process for this Agreement. A/E assigns to the State of Texas all of A/E's rights, title, and interest in and to all claims and causes of action A/E may have under the antitrust laws of Texas or the United States for overcharges associated with the Agreement.

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TFC Contract No. 19-039-000

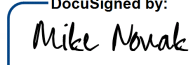
Raba Kistner, Inc.

RFQ No. 303-9-00434

Project No. 17-016-8002

11.31. Entire Agreement and Modification. This Agreement and its integrated attachment(s) constitute the entire agreement of the parties and such are intended as a complete and exclusive statement of the promises, representations, negotiations, discussions, and other agreements that may have been made in connection with the subject matter hereof. Unless an integrated attachment to this Agreement specifically displays a mutual intent to amend a particular part of this Agreement, general conflicts in language between any such attachment and this Agreement shall be construed consistently with the terms of this Agreement. Unless otherwise expressly authorized by the terms of this Agreement, no modification, renewal, extension, or amendment to this Agreement shall be binding upon the parties unless the same is in writing and signed by the respective parties hereto.


**TEXAS FACILITIES COMMISSION****RABA KISTNER, INC.**

By:    
B1C9FC0A8020417...

Mike Novak

Executive Director

Date of Execution: 04/21/2019 | 10:37 AM CDT

By:    
E4CC6C5DF06944A...

Paul R. Lampe

Executive Vice President

Date of Execution: 04/21/2019 | 6:28 AM CDT

GC Dir DED 

**TFC Contract No. 19-039-000**

**EXHIBITS A, B, C, & D  
INCORPORATED BY REFERENCE WITH TFC  
WEBSITE LINKS PROVIDED**

# **TFC Contract No. 19-039-000**

## **EXHIBIT E**

TFC Contract No. 19-039-000  
Raba Kistner, Inc.  
RFQ No. 303-9-00434  
Project No. 17-016-8002

## **Exhibit "E" – CMT's**

### **Key Personnel**

#### **Raba Kistner, Inc.**

##### **Prime Consultant: Raba Kistner Consultants**

Gabriel Ornelas, Jr., P.E. – Project Manager/Principal-in-Charge  
Paul Lampe – QA/QC Manager  
James Dedrick, P.E. – Construction Materials Testing & Observation Engineer  
Yvonne Thomas, P.E. – Geotechnical Project Manager  
James Stearman, Nicet II, ACI I – Project Coordinator  
Ramon Campos, - Materials Testing Laboratory Supervisor  
Sabrena Gumbert – Dispatcher  
Marco Saldana, CWI, NDE Level II – Certified Welding Inspector  
Field Technicians – To be determined

##### **SubConsultant: Balcones Geotechnical, LLC**

Rebecca Russo, P.E. – Senior Engineering Consultant  
John Wooley, P.E. – Senior Engineering Consultant  
David Mason, PG – Laboratory Supervisor

##### **SubConsultant: E TTL**

Christopher Tyler, SET – Senior Technician/Field Supervisor  
Tyler Sutherland – Field Technician  
Samuel Welch – Field Technician



# **TFC Contract No. 19-039-000**

## **EXHIBIT F**

TFC Contract No. 19-039-000

Raba Kistner, Inc.

RFQ No. 303-9-00434

Project No. 17-016-8002

**Exhibit "F" – CMT's Fee  
Schedule  
Raba Kistner Inc.**

<b>Description</b>	<b>Unit</b>	<b>Unit Fee Cost</b>
Moisture Density Relationship, TxDOT or ASTM (includes Atterberg Limits and sieve Analysis)	each	\$350.00
In-Place Field Nuclear Density	each	\$12.00
Soils Materials Technician	hour	\$57.00
Soils Materials Technician (Overtime)	hour	\$74.10
Concrete Materials Technician	hour	\$57.00
Concrete Materials Technician (Overtime)	hour	\$74.10
Through-Wall Firestop Caulking Penetration Technician	hour	\$57.00
Post-Tension Materials Technician	hour	\$65.00
Post-Tension Materials Technician (Overtime)	hour	\$74.10
Daily Equipment Usage Fee	each	\$40.00
Concrete Compressive Strength Cylinders	each	\$25.00
Compressive Strength Mortar Cubes	each	\$17.00
Compressive Strength Grout	each	\$17.00
Certified Welding Inspector	hour	\$102.00
Certified Welding Inspector (Overtime)	hour	\$132.60
Floor Flatness	each	\$400.00
Project Coordinator	hour	\$70.00
Project Engineer	hour	\$165.00
Clerical	hour	\$60.00

# **TFC Contract No. 19-039-000**

## **EXHIBIT G**

TFC Contract No. 19-039-000

Raba Kistner, Inc.

RFQ No. 303-9-00434

Project No. 17-016-8002

**Exhibit "G" – Hourly Fee Rates for Additional Services  
Raba Kistner Inc.**

<b>TITLE</b>	<b>HOURLY RATE</b>
Principal	\$ 220.00
Senior Engineer Consultant	\$ 220.00
Project Manager	\$ 195.00
Project Engineer	\$ 165.00
Engineer	\$ 110.00
Engineer in Training	\$ 105.00
Geotechnical Technician	\$ 70.00
CADD Operator	\$ 90.00
Clerical	\$ 60.00
Geologist	\$ 145.00
Environmental Scientist	\$ 118.00
Senior CMT Technician	\$ 65.00
CMT Technician	\$ 57.00
Archaeologist	\$ 125.00
Project Coordinator	\$ 70.00

**DIRECT EXPENSES**

Mileage (Privately Owned Vehicle)	current GSA allowable rate
Copies 8 1/2 x 11, 11 x 17	\$0.17/page
Mylar 11 x 17	\$2.15/page
Schematic Plots	\$1.60/sq ft
Misc. Non-Travel Expenses	cost + 10%
Field Expenses	cost + 10%

# **TFC Contract No. 19-039-000**

## **EXHIBIT H**

TFC Contract No. 19-039-000

Raba Kistner, Inc.

RFQ No. 303-9-00434

Project No. 17-016-8002

**Exhibit "H" – Professional Services  
Schedule  
Raba Kistner, Inc.**

1. We understand that Texas Facilities Commission will require the services of experienced engineering technician(s) as scheduled by you or your representatives. We anticipate the bulk of our services will be required on a full-time basis for those periods where the construction activities will require a representative(s) of RKCI to perform observation and testing prior to items being covered up or concealed in order to move to the next construction task.
2. During the preparation of the materials testing cost estimate, RKCI review the preliminary baseline schedule, dated January 14, 2018 prepared by Flintco, the general contractor and have a good understanding of the duration of the project. RKCI is prepared to service the project throughout the duration of the project.
3. We understand the construction activities will require RKCI representatives to service the project Monday through Friday during normal work hours. Normal work hours are defined as Monday through Friday, 7:00 am to 5:00 pm. RKCI is prepared to service the project during those times.
4. We understand the construction activities may require RKCI representatives to service the project after normal working hours, including early morning concrete placements and Saturday work. RKCI is prepared to service the project during those times.
5. During ramping up, ramping down, and lulls in the construction, our services may be required on a call-out basis. If so, we request twenty-four (24) hour notification to properly schedule our work.

**TFC Contract No. 19-039-000**

**EXHIBIT I**

TFC Contract No. 19-039-000 - Exhibit I

[Delivered by E-Mail to [janie.gribble@tfc.state.tx.us](mailto:janie.gribble@tfc.state.tx.us)]

PAD19-012-00

April 9, 2019

Ms. Janie Gribble, AIA, LEED AP, CTCM  
 Texas Facilities Commission  
 1711 San Jacinto Blvd  
 Austin, Texas 78711



8100 Cameron Road  
 Ste. B-150  
 Austin, TX 78754  
 www.rkci.com

P 512.339.1745 F 512.339.6174  
 TBPE Firm F-3257

**Re: Confirming Proposal for Construction Materials Testing Services – TFC Project # 16-018-8001**  
**Capital Complex – Package 4 (TFC RFQ# 303-9-00434)**  
**1801 Congress Avenue**  
**Austin, Texas**

Dear Ms. Gribble:

Raba Kistner Consultants, Inc. (RKCI) is pleased to have been selected to provide Construction Materials Testing and Inspections for the above-referenced project. These services will be provided in accordance with the Texas Facilities Commission Contract No. XX (To Be Determined) between RKCI and Texas Facility Commission.

We are pleased to provide this confirming proposal. We propose an estimated budget of **\$537,737.60** for construction materials testing and observation services for the referenced project. This budget is based on our understanding of the project, an estimate of quantities, past experience with similar projects, and a review of the preliminary Baseline Schedule, dated January 14, 2018 prepared by Flintco, the general contractor.

A cost estimate breakdown is presented in the attached spreadsheet. Construction sequencing, delays, and the number of times that the client or their representative requests our services will affect the suggested budget. Services will be provided for the unit fees attached to this proposal. The scope of work includes the observation and testing of the following construction materials:

- Laboratory testing, in-place field nuclear density testing,
- Reinforcing steel observations,
- Concrete and masonry compressive strength specimen sampling, testing, and reporting,
- Through wall firestop caulking penetration observations,
- Structural steel inspection,
- Post tension stressing observation, and
- Floor flatness (Add-On No.1, if selected additional budget of **\$34,000.00**)

Inspection of the drilled pier foundation construction and sampling of the concrete placed into the drilled piers for compressive strength is **not** included in our scope of work and is being provided by others.

Thank you for allowing RKCI the opportunity to submit our proposal for the construction materials observation and testing services. We have a fully equipped AASHTO Accredited laboratory and we look forward to providing these services to you during the construction of this project. If you have any questions concerning our scope of work or need any additional information, please call us at (512) 339-1745.

Very truly yours,

**RABA KISTNER CONSULTANTS, INC.**

Approved  
 By:

\_\_\_\_\_  
 (Signature)

\_\_\_\_\_  
 (Printed or Typed Name)

\_\_\_\_\_  
 (Title)

\_\_\_\_\_  
 (Company Name)

\_\_\_\_\_  
 (Date)

Gabriel Ornelas, Jr., P.E.  
 Senior Vice President  
 GO:cr

Attachments: Cost Estimate Breakdown  
 Scope of Work  
 Report Distribution



PAD19-012-00  
April 9, 2019

TFC Contract No. 19-039-000 - Exhibit I

2

COST ESTIMATE BREAKDOWN				
Project Name:	Capitol Complex - Package 4			
Project Location:	1801 Congress Avenue, Austin, Texas			
Contact Name:	Janie Gribble, AIA, LEED AP, CTCM			
Client:	Texas Facilities Commission			
Address:	1711 San Jacinto			
City/State /Zip	Austin, Texas 78711			
Phone Number:	512-463-3456			
E-Mail:	<a href="mailto:janie.gribble@tfc.state.tx.us">janie.gribble@tfc.state.tx.us</a>			
TESTING/OBSERVATION ITEM	UNIT COST	UNIT	ESTIMATED QUANTITY	COST EXTENSION
<b>SOILS</b>				
Laboratory Testing				
Moisture Density Relationship, TxDOT or ASTM (Includes Atterberg Limits and Sieve Analysis)	\$350.00	each	3	\$1,050.00
Field Testing/Observation				
In-Place Nuclear Densities	\$12.00	each	118	\$1,416.00
Materials Technician	\$57.00	hour	77	\$4,389.00
Materials Technician (overtime)	\$74.10	hour	0	\$0.00
Daily Equipment Usage Fee	\$40.00	each	23	\$920.00
Subtotal				\$7,775.00
<b>REINFORCING STEEL OBSERVATIONS</b>				
Field Observation/Testing				
Materials Technician	\$57.00	hour	1740	\$99,180.00
Materials Technician (overtime)	\$74.10	hour	530	\$39,273.00
Daily Equipment Usage Fee	\$40.00	each	315	\$12,600.00
Subtotal				\$151,053.00
<b>CONCRETE</b>				
Laboratory Testing				
Concrete Compressive Strength Cylinders	\$25.00	each	2850	\$71,250.00
Field Testing/Observation				
Materials Technician	\$57.00	hour	1992	\$113,544.00
Materials Technician (overtime)	\$74.10	hour	806	\$59,724.60
Daily Equipment Usage Fee	\$40.00	each	462	\$18,480.00
Subtotal				\$262,998.60
<b>MASONRY</b>				
Laboratory Testing				
Mortar Cubes	\$12.00	each	0	\$0.00
Compressive Strength Grout	\$17.00	each	60	\$1,020.00
Field Testing/Observation				
Materials Technician	\$57.00	hour	90	\$5,130.00
Daily Equipment Usage Fee	\$40.00	each	30	\$1,200.00
Subtotal				\$7,350.00
<b>THROUGH WALL FIRESTOP CAULKING PENETRATION OBSERVATIONS</b>				
Field Testing/Observation				
Materials Technician	\$57.00	hour	140	\$7,980.00
Daily Equipment Usage Fee	\$40.00	each	28	\$1,120.00
Subtotal				\$9,100.00
<b>STRUCTURAL STEEL INSPECTION</b>				
Field Testing/Observation				
CWI Inspector	\$102.00	hour	112	\$11,424.00
Non Destructive Testing (Ultrasonic Testing)	\$132.60	hour	0	\$0.00
Daily Equipment Usage Fee	\$40.00	each	28	\$1,120.00
Subtotal				\$12,544.00
<b>POST TENSION STRESSING OBSERVATION</b>				
Field Testing/Observation				
Materials Technician	\$65.00	hour	540	\$35,100.00
Materials Technician (Overtime)	\$74.10	hour	120	\$8,892.00
Daily Equipment Usage Fee	\$40.00	each	70	\$2,800.00
Subtotal				\$46,792.00
<b>PROJECT ADMINISTRATION</b>				
Project Coordinator	\$70.00	hour	180	\$12,600.00
Project Engineer	\$165.00	hour	85	\$14,025.00
Clerical	\$60.00	hour	225	\$13,500.00
Subtotal				\$40,125.00
GRAND TOTAL				\$537,737.60
<b>ADD-ON NO. 1</b>				
FLOOR FLATNESS				
Floor Flatness Testing	\$400.00	each	85	\$34,000.00
Subtotal				\$34,000.00

PAD19-012-00  
April 9, 2019

**SCOPE OF WORK**  
**Texas Facilities Commission**  
**1801 Capital Complex**  
**Austin, Texas**

**General:**

1. We understand that Texas Facilities Commission will require the services of experienced engineering technicians as scheduled by you or your representatives. Client will incur a 3-hour minimum charge per each site visit. We request twenty-four (24) hour notification to properly schedule our work.
2. Service charges are based on the hourly rates stated herein and will be assessed from the time the Engineer or Technician leaves our office until he returns from the project.
3. Travel shall be in compliance with TFC contract 4.3.
4. Our total cost estimate of services is based upon the assumption that this project will require a technician on site during normal work hours as well as during early morning concrete placements. We have assumed an average of 15 to 20 hours of overtime per week. Services requested during days and/or outside of normal work hours will be assessed a 1.3 overtime factor. Normal work hours are defined as Monday through Friday, 7:00 am to 5:00 pm. Overtime rates will be assessed after eight (8) hours of work per day and/or when working outside of normal hours.
5. Raba-Kistner will utilize the on-site initial field curing facilities provided by the contractor. The cost of providing and maintaining these initial curing facilities is not included in our proposal.

PAD19-012-00  
April 9, 2019

### REPORT DISTRIBUTION LIST

Please provide RKCI with project distribution for our submittal of reports on this project. Unless otherwise indicated, testing and observation reports will be distributed via email.

Client: \_\_\_\_\_  
\_\_\_\_\_

Attention: \_\_\_\_\_

Phone No.: \_\_\_\_\_ Email: \_\_\_\_\_

Architect: \_\_\_\_\_  
\_\_\_\_\_

Attention: \_\_\_\_\_

Phone No.: \_\_\_\_\_ Email: \_\_\_\_\_

Engineer: \_\_\_\_\_  
\_\_\_\_\_

Attention: \_\_\_\_\_

Phone No.: \_\_\_\_\_ Email: \_\_\_\_\_

Contractor: \_\_\_\_\_  
\_\_\_\_\_

Attention: \_\_\_\_\_

Phone No.: \_\_\_\_\_ Email: \_\_\_\_\_

Other: \_\_\_\_\_  
\_\_\_\_\_

Attention: \_\_\_\_\_

Phone No.: \_\_\_\_\_ Email: \_\_\_\_\_

Please return this Attachment via fax or mail with signed Authorization

# **TFC Contract No. 19-039-000**

## **EXHIBIT J**

TFC Contract No. 19-039-000

Raba Kistner, Inc.

RFQ No. 303-9-00434

Project No. 17-016-8002

## **Exhibit “J” – List of CMT’s Project Manager and Subconsultants**

### **Raba Kistner, Inc.**

#### **Prime Consultant: Raba Kistner Consultants**

*Point of Contact:*

Gabriel Ornelas, Jr., P.E. – Project Manager/Principal-in-Charge

#### **SubConsultant: Balcones Geotechnical, LLC**

*Point of Contact:*

Rebecca Russo, P.E. – Senior Engineering Consultant

#### **SubConsultant: E TTL**

*Point of Contact:*

Christopher Tyler, SET – Senior Technician/Field Supervisor

# **TFC Contract No. 19-039-000**

## **EXHIBIT K**

TFC Contract No. 19-039-000

Exhibit K

Raba Kistner, Inc.

Page 1 of 2

**Texas Facilities Commission (TFC)**  
**HUB Program**  
**EVALUATION OF RESPONDENT'S HUB SUBCONTRACTING PLAN (HSP)**

**Instructions:** This evaluation must be completed for each response before it can be considered further. Please complete a separate evaluation sheet for each response within five (5) business days after the opening date of the solicitation.

**Section I:**Name of Respondent: Raba Kistner IncName of Project: Professional Engineering Services for CMT and Special Inspections- Capitol Complex Project PHASE 1

Contract #: \_\_\_\_\_ Req #: \_\_\_\_\_ PO #: \_\_\_\_\_ Project #:  
 RFQ #: 303-9-00434 RFP #: \_\_\_\_\_ IFB #:

Services ☒ AE: ☐ CMR: ☐ RC: ☐ IDIQ: ☒ Assignment #: 1 Amendment #: GMP #: POCN #:  
☐ CMA:

TFC HUB Coordinator has reviewed the above referenced HSP response to this solicitation and finds that the HSP:

☒ **complies with**☐ **does not comply with**

applicable HUB requirements under the Texas Government Code and Texas Administrative Code. See Sections II & III for specific details.

The Respondent will utilize ALL HUBs on their HUB Plan; this meets Good Faith Effort (GFE) per TAC Rules 20.14(d)(D)(ii).

Shonté Gordon

Print/Type Name:

Shonté Gordon 11/30/18  
TFC HUB Coordinator/Date**Section II:**

Does the respondent intend to subcontract?

YES

☒

NO

☐

N/A

☐

**Instructions:** If "Yes," do not proceed to the following questions. If "No," proceed to the next question.

Comments: \_\_\_\_\_

Did the respondent verify that no subcontractors would be used in the performance of the work (verification must be provided on the form prescribed in the solicitation).

☐☒☐**Section III:**Respondents who DO intend to subcontract:

YES

☒

NO

☐

1. Did the respondent divide the work into reasonable portions, consistent with prudent industry practices (Identified the areas of subcontracting)?B

Comments: \_\_\_\_\_



TFC Contract No. 19-039-000

Exhibit K

Raba Kistner, Inc.

Page 2 of 2

**Texas Facilities Commission (TFC)**  
**HUB Program**  
**EVALUATION OF RESPONDENT'S HUB SUBCONTRACTING PLAN (HSP)**

	N/A	YES	NO
2. Did the respondent provide notice to HUBs of the work that the respondent intends to subcontract, in accordance with 1 T.A.C. Section 111.14?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Comments: _____			
3. Did the respondent include an executed Mentor Protégé Agreement (per Section 2161.065 Government Code), registered with TPASS? Does the HUB subcontracting plan identify the area(s) of subcontracting the protégé will perform? (Submission of a protégé as a subcontractor constitutes a good faith effort for the particular area to be subcontracted with the protégé).	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Comments: _____			
4. Did the respondent provide written justification of the selection process if a non-HUB subcontractor was selected by a process other than by competitive bidding, or a HUB bid was the best value responsive bidder to a competitive bid invitation, but was not selected?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments: _____			
5. Did the respondent provide notice to minority or women trade organizations or development centers to assist in identifying HUBs by disseminating subcontracting opportunities to their membership/participants? Did the notice in all instances, include the scope of the work, specifications, and identify a contact person? Did Respondent provide notice to organizations or development centers no less than five (5) working days for construction contracts prior to submission of the response (bid, proposal, offer, or other applicable expression of interest)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments: _____			



**Section 8 3.2.8 Attachment C HUB Subcontracting Plan**

Rev. 2/17

# HUB Subcontracting Plan (HSP)

In accordance with Texas Gov't Code §2161.252, the contracting agency has determined that subcontracting opportunities are probable under this contract. Therefore, all respondents, including State of Texas certified Historically Underutilized Businesses (HUBs) must complete and submit this State of Texas HUB Subcontracting Plan (HSP) with their response to the bid requisition (solicitation).

NOTE: Responses that do not include a completed HSP shall be rejected pursuant to Texas Gov't Code §2161.252(b).

The HUB Program promotes equal business opportunities for economically disadvantaged persons to contract with the State of Texas in accordance with the goals specified in the 2009 State of Texas Disparity Study. The statewide HUB goals defined in 34 Texas Administrative Code (TAC) §20.284 are:

- **11.2 percent for heavy construction other than building contracts,**
- **21.1 percent for all building construction, including general contractors and operative builders' contracts,**
- **32.9 percent for all special trade construction contracts,**
- **23.7 percent for professional services contracts,**
- **26.0 percent for all other services contracts, and**
- **21.1 percent for commodities contracts.**

**- - Agency Special Instructions/Additional Requirements - -**

In accordance with 34 TAC §20.285(d)(1)(D)(iii), a respondent (prime contractor) may demonstrate good faith effort to utilize Texas certified HUBs for its subcontracting opportunities if the total value of the respondent's subcontracts with Texas certified HUBs meets or exceeds the statewide HUB goal or the agency specific HUB goal, whichever is higher. When a respondent uses this method to demonstrate good faith effort, the respondent must identify the HUBs with which it will subcontract. If using existing contracts with Texas certified HUBs to satisfy this requirement, only the aggregate percentage of the contracts expected to be subcontracted to HUBs with which the respondent **does not** have a **continuous contract** in place for **more than five (5) years** shall qualify for meeting the HUB goal. This limitation is designed to encourage vendor rotation as recommended by the 2009 Texas Disparity Study.

**SECTION 1 RESPONDENT AND REQUISITION INFORMATION**

- a. Respondent (Company) Name: Raba Kistner, Inc. State of Texas VID #: 174-16115347  
 Point of Contact: Gabriel Ornelas, Jr, PE, PMP Phone #: 512.339.1745  
 E-mail Address: gornelas@rkci.com Fax #: 512.339.6174
- b. Is your company a State of Texas certified HUB? ☐ - Yes ☒ - No
- c. Requisition #: RFQ #303-9-00434 Bid Open Date: 11/13/18

TEC Contract No. 19-039-000  
**Section 8** 3.2.8 Attachment C HUB Subcontracting Plan

Exhibit K

Raba Kistner, Inc.

Rev. 2/17

Enter your company's name here: Raba Kistner, Inc.Requisition #: RFQ #303-9-00434**SECTION 2 RESPONDENT'S SUBCONTRACTING INTENTIONS**

After dividing the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, and taking into consideration the scope of work to be performed under the proposed contract, including all potential subcontracting opportunities, the respondent must determine what portions of work, including contracted staffing, goods and services will be subcontracted. Note: In accordance with 34 TAC §20.282, a "Subcontractor" means a person who contracts with a prime contractor to work, to supply commodities, or to contribute toward completing work for a governmental entity.

a. Check the appropriate box (Yes or No) that identifies your subcontracting intentions:

☒ - Yes, I will be subcontracting portions of the contract. (If Yes, complete Item b of this SECTION and continue to Item c of this SECTION.)

☐ - No, I will not be subcontracting any portion of the contract, and I will be fulfilling the entire contract with my own resources, including employees, goods and services. (If No, continue to SECTION 3 and SECTION 4.)

b. List all the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you <u>do not</u> have a continuous contract* in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to HUBs with which you have a continuous contract* in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to non-HUBs
1	Materials Testing Support	24 %	%	%
2		%	%	%
3		%	%	%
4		%	%	%
5		%	%	%
6		%	%	%
7		%	%	%
8		%	%	%
9		%	%	%
10		%	%	%
11		%	%	%
12		%	%	%
13		%	%	%
14		%	%	%
15		%	%	%
	Aggregate percentages of the contract expected to be subcontracted	24 %	%	%

(Note: If you have more than fifteen subcontracting opportunities, a continuation sheet is available online at <https://www.comptroller.texas.gov/purchasing/vendor/hub/forms.php>.)

c. Check the appropriate box (Yes or No) that indicates whether you will be using only Texas certified HUBs to perform all of the subcontracting opportunities you listed in SECTION 2, Item b.

☒ - Yes (If Yes, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for each of the subcontracting opportunities you listed.)

☐ - No (If No, continue to Item d, of this SECTION.)

d. Check the appropriate box (Yes or No) that indicates whether the aggregate expected percentage of the contract you will subcontract with Texas certified HUBs with which you do not have a continuous contract\* in place with for more than five (5) years, meets or exceeds the HUB goal the contracting agency identified on page 1 in the "Agency Special Instructions/Additional Requirements."

☐ - Yes (If Yes, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for each of the subcontracting opportunities you listed.)

☐ - No (If No, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method B (Attachment B)" for each of the subcontracting opportunities you listed.)

**\*Continuous Contract:** Any existing written agreement (including any renewals that are exercised) between a prime contractor and a HUB vendor, where the HUB vendor provides the prime contractor with goods or service under the same contract for a specified period of time. The frequency the HUB vendor is utilized or paid during the term of the contract is not relevant to whether the contract is considered continuous. Two or more contracts that run concurrently or overlap one another for different periods of time are considered by CPA to be individual contracts rather than renewals or extensions to the original contract. In such situations the prime contractor and HUB vendor are entering (have entered) into "new" contracts.

TEC Contract No. 19-039-000 Exhibit K  
**Section 8 3.2.8 Attachment C HUB Subcontracting Plan**

Raba Kistner, Inc.

Rev. 2/17

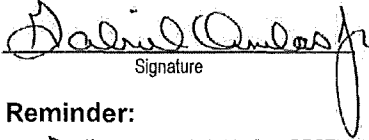
Enter your company's name here: Raba Kistner, Inc.Requisition #: RFQ #303-9-00434

**SECTION 3 SELF PERFORMING JUSTIFICATION** (If you responded "No" to SECTION 2, Item a, you must complete this SECTION and continue to SECTION 4.) If you responded "No" to SECTION 2, Item a, in the space provided below explain how your company will perform the entire contract with its own employees, supplies, materials and/or equipment.

**SECTION 4 AFFIRMATION**

As evidenced by my signature below, I affirm that I am an authorized representative of the respondent listed in SECTION 1, and that the information and supporting documentation submitted with the HSP is true and correct. Respondent understands and agrees that, if awarded any portion of the requisition:

- The respondent will provide notice as soon as practical to all the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor for the awarded contract. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity they (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.
- The respondent must submit monthly compliance reports (Prime Contractor Progress Assessment Report – PAR) to the contracting agency, verifying its compliance with the HSP, including the use of and expenditures made to its subcontractors (HUBs and Non-HUBs). (The PAR is available at <https://www.comptroller.texas.gov/purchasing/docs/hub-forms/ProgressAssessmentReportForm.xls>).
- The respondent must seek approval from the contracting agency prior to making any modifications to its HSP, including the hiring of additional or different subcontractors and the termination of a subcontractor the respondent identified in its HSP. If the HSP is modified without the contracting agency's prior approval, respondent may be subject to any and all enforcement remedies available under the contract or otherwise available by law, up to and including debarment from all state contracting.
- The respondent must, upon request, allow the contracting agency to perform on-site reviews of the company's headquarters and/or work-site where services are being performed and must provide documentation regarding staffing and other resources.

  
 Signature

Gabriel Ornelas, Jr, PE, PMP  
 Printed Name

Sr Vice President  
 Title

11/09/2018  
 Date  
(mm/dd/yyyy)

**Reminder:**

- If you responded "Yes" to SECTION 2, Items c or d, you must complete an "HSP Good Faith Effort - Method A (Attachment A)" for each of the subcontracting opportunities you listed in SECTION 2, Item b.
- If you responded "No" SECTION 2, Items c and d, you must complete an "HSP Good Faith Effort - Method B (Attachment B)" for each of the subcontracting opportunities you listed in SECTION 2, Item b.





**CMBL/HUB Vendor Detail**

<b>Vendor ID /</b>	
<b>Vendor Number</b>	1751235316400 / 482042
<b>Vendor Name</b>	EAST TEXAS TESTING LABORATORY, INC.
<b>Vendor Address</b>	1717 E ERWIN ST TYLER, TX 75702-6346 USA
<b>county</b>	SMITH
<b>Contact</b>	Pres./Darrell Flatt
<b>Phone/Fax</b>	903-595-4421 /
<b>Email Address</b>	<a href="mailto:dflatt@ettlinc.com">dflatt@ettlinc.com</a>
<b>Website</b>	<a href="http://www.ettlinc.com">http://www.ettlinc.com</a>
<b>Business Description</b>	ETTL provides geotechnical engineering services, constr materials engineering, and environmental consulting serv
<b>Business Category</b>	<u>Architectural/Engineering And Surveying (05)</u>
<b>Small Business</b>	<u>Y</u>
<b>Service Disabled Veteran</b>	<u>Yes</u>
<b>CMBL Status</b>	<u>Active Bidder</u>
<b>CMBL Expires</b>	08-JAN-2019
<b>HUB Status</b>	<u>Active Bidder ( A-Approved; Active Texas certified HUB )</u>

**CMBL/HUB Vendor Detail**

<b>HUB Expires</b>	05-APR-2022
<b>HUB Eligibility</b>	<u>DV ( Service-Disabled Veteran )</u>
<b>HUB Gender</b>	<u>M</u>
	Commodity items shown above are available for district(s) 1,2,3,4,5,6,7,8,9,10,11,12,13,14,15,16,17,18,19,20,21,22

**CMBL/HUB Vendor Detail****Vendor ID /  
Vendor  
Number**

1823817497500 / 506531

**Vendor  
Name**

BALCONES GEOTECHNICAL, LLC

**Vendor  
Address** 5926 BALCONES DR SUITE 230 AUSTIN,  
TX 78731-4290 USA**county** TRAVIS**Contact** Rebecca A. Russo**Phone/Fax** 512-380-9969 /**Email  
Address** [rrusso@balconesgeotech.com](mailto:rrusso@balconesgeotech.com)**Website** <http://www.balconesgeotech.com>**Business  
Description** Site Investigation; Geotechnical Engineering  
and Consulting; and Foundation, Tunnel,  
and Roadway Design recommendations**Business  
Category** Architectural/Engineering And Surveying  
(05)**Small  
Business** Y**Service  
Disabled** No**Veteran****CMBL Status** Active Bidder**CMBL  
Expires** 25-JAN-2019

**CMBL/HUB Vendor Detail****HUB Status**Active Bidder ( A-Approved; Active Texas  
certified HUB )**HUB Expires**

26-FEB-2022

**HUB  
Eligibility**WO ( American Woman )**HUB Gender**ECommodity items shown above are  
available for district(s)  
2,9,10,12,14,15,17,18,23



**GLENN HEGAR TEXAS COMPTROLLER OF PUBLIC ACCOUNTS**

The Texas Comptroller of Public Accounts (CPA) administers the Statewide Historically Underutilized Business (HUB) Program for the State of Texas, which includes certifying minority, woman, and service disabled veteran-owned businesses as HUBs and facilitates the use of HUBs in state procurement and provides them with information on the state's procurement process.

We are pleased to inform you that your application for certification/re-certification as a HUB has been approved. Your company's profile is listed in the State of Texas HUB Directory and may be viewed online at <https://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp>. Provided that your company continues to meet HUB eligibility requirements, the attached HUB certificate is valid for the time period specified.

You must notify the HUB Program in writing of any changes affecting your company's compliance with the HUB eligibility requirements, including changes in ownership, day-to-day management, control and/or principal place of business. *Note: Any changes made to your company's information may require the HUB Program to re-evaluate your company's eligibility.*

Please visit our website at <http://comptroller.texas.gov/procurement/prog/hub/> and reference our publications (i.e. Grow Your Business pamphlet, HUB Brochure and Vendor Guide) providing additional information on state procurement resources that can increase your company's chances of doing business with the state.

Thank you for your participation in the HUB Program! If you have any questions, you may contact a HUB Program representative at 512-463-5872 or toll-free in Texas at 1-888-863-5881.

**Texas Historically Underutilized Business (HUB) Certificate**

Certificate/VID Number:	1751235316400
File/Vendor Number:	482042
Approval Date:	05-APR-2018
Scheduled Expiration Date:	05-APR-2022

The Texas Comptroller of Public Accounts (CPA), hereby certifies that

**EAST TEXAS TESTING LABORATORY, INC.**

has successfully met the established requirements of the State of Texas Historically Underutilized Business (HUB) Program to be recognized as a HUB. This certificate printed 06-APR-2018, supersedes any registration and certificate previously issued by the HUB Program. If there are any changes regarding the information (i.e., business structure, ownership, day-to-day management, operational control, business location) provided in the submission of the business' application for registration/certification as a HUB, you must immediately (within 30 days of such changes) notify the HUB Program in writing. The CPA reserves the right to conduct a compliance review at any time to confirm HUB eligibility. HUB certification may be suspended or revoked upon findings of ineligibility.

Laura Cagle-Hinojosa, Statewide HUB Program Manager  
Statewide Support Services Division

Note: In order for State agencies and institutions of higher education (universities) to be credited for utilizing this business as a HUB, they must award payment under the Certificate/VID Number identified above. Agencies, universities and prime contractors are encouraged to verify the company's HUB certification prior to issuing a notice of award by accessing the Internet (<https://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp>) or by contacting the HUB Program at 512-463-5872 or toll-free in Texas at 1-888-863-5881.

Rev. 06/16

**GLENN HEGAR TEXAS COMPTROLLER OF PUBLIC ACCOUNTS**

The Texas Comptroller of Public Accounts (CPA) administers the Statewide Historically Underutilized Business (HUB) Program for the State of Texas, which includes certifying minority, woman, and service disabled veteran-owned businesses as HUBs and facilitates the use of HUBs in state procurement and provides them with information on the state's procurement process.

We are pleased to inform you that your application for certification/re-certification as a HUB has been approved. Your company's profile is listed in the State of Texas HUB Directory and may be viewed online at <https://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp>. Provided that your company continues to meet HUB eligibility requirements, the attached HUB certificate is valid for the time period specified.

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Please visit our website at <http://comptroller.texas.gov/procurement/prog/hub/> and reference our publications (i.e. Grow Your Business pamphlet, HUB Brochure and Vendor Guide) providing additional information on state procurement resources that can increase your company's chances of doing business with the state.

Thank you for your participation in the HUB Program! If you have any questions, you may contact a HUB Program representative at 512-463-5872 or toll-free in Texas at 1-888-863-5881.

**Texas Historically Underutilized Business (HUB) Certificate**

Certificate/VID Number: 1823817497500  
File/Vendor Number: 506531  
Approval Date: 26-FEB-2018  
Scheduled Expiration Date: 26-FEB-2022

The Texas Comptroller of Public Accounts (CPA), hereby certifies that

**BALCONES GEOTECHNICAL, LLC**

has successfully met the established requirements of the State of Texas Historically Underutilized Business (HUB) Program to be recognized as a HUB. This certificate printed 02-MAR-2018, supersedes any registration and certificate previously issued by the HUB Program. If there are any changes regarding the information (i.e., business structure, ownership, day-to-day management, operational control, business location) provided in the submission of the business' application for registration/certification as a HUB, you must immediately (within 30 days of such changes) notify the HUB Program in writing. The CPA reserves the right to conduct a compliance review at any time to confirm HUB eligibility. HUB certification may be suspended or revoked upon findings of ineligibility.

Laura Cagle-Hinojosa, Statewide HUB Program Manager  
Statewide Support Services Division

Note: In order for State agencies and institutions of higher education (universities) to be credited for utilizing this business as a HUB, they must award payment under the Certificate/VID Number identified above. Agencies, universities and prime contractors are encouraged to verify the company's HUB certification prior to issuing a notice of award by accessing the Internet (<https://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp>) or by contacting the HUB Program at 512-463-5872 or toll-free in Texas at 1-888-863-5881.

Rev. 06/16





## City of Austin

Small & Minority Business Resources Department, 4201 Ed Bluestein Boulevard, Austin, TX 78721  
Mailing Address: PO Box 1088, Austin, Texas 78767, Telephone (512) 974-7645

August 21, 2018

Balcones Geotechnical LLC  
Attn: Rebecca Russo  
5926 Balcones Drive Suite 230  
Austin, TX 78731

**RE: MBE/WBE CERTIFICATION**

Dear Mrs. Russo,

**Congratulations!**

Balcones Geotechnical LLC has been certified as a **Women-Owned Business Enterprise (WBE)** by the City of Austin's Small and Minority Business Resources Department (SMBR) to participate in the City of Austin Minority and Women-Owned Business Enterprise (MBE/WBE) Procurement Program.

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

**This firm's next Annual Review documentation is due prior to 08/31/2019.**

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

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

[https://www.austintexas.gov/financeonline/account\\_services/search/vendors/certvendor.cfm](https://www.austintexas.gov/financeonline/account_services/search/vendors/certvendor.cfm)

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

As a City of Austin registered vendor, you are responsible for maintaining accurate information on your vendor profile. You are asked to update **any changes** related to your business in the City's Vendor Connection system at

[https://www.austintexas.gov/financeonline/vendor\\_connection/index.cfm](https://www.austintexas.gov/financeonline/vendor_connection/index.cfm). You can perform these changes daily from 7:00AM to 7:00PM. If you need assistance making changes, please contact Vendor Registration at (512) 974-2018 or by email at [vendorreg@austintexas.gov](mailto:vendorreg@austintexas.gov).

Thank you for your interest in the program and we wish you continued success. If you have any questions, please feel free to call the Certification Office at (512) 974-7645.

*The City of Austin is committed to compliance with the Americans with Disabilities Act.  
Reasonable modifications and equal access to communications will be provided upon request.*

# **TFC Contract No. 19-039-000**

## **EXHIBIT L**



# HUB Subcontracting Plan (HSP)

## QUICK CHECKLIST

While this HSP Quick Checklist is being provided to merely assist you in readily identifying the sections of the HSP form that you will need to complete, it is very important that you adhere to the instructions in the HSP form and instructions provided by the contracting agency.

- If you will be awarding all of the subcontracting work you have to offer under the contract to only Texas certified HUB vendors, complete:
  - ☐ Section 1 - Respondent and Requisition Information
  - ☐ Section 2 a. - Yes, I will be subcontracting portions of the contract.
  - ☐ Section 2 b. - List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to Texas certified HUB vendors.
  - ☐ Section 2 c. - Yes
  - ☐ Section 4 - Affirmation
  - ☐ GFE Method A (Attachment A) - Complete an Attachment A for each of the subcontracting opportunities you listed in Section 2 b.
- If you will be subcontracting any portion of the contract to Texas certified HUB vendors and Non-HUB vendors, and the aggregate percentage of all the subcontracting work you will be awarding to the Texas certified HUB vendors with which you do not have a continuous contract\* in place for more than five (5) years meets or exceeds the HUB Goal the contracting agency identified in the "Agency Special Instructions/Additional Requirements", complete:
  - ☐ Section 1 - Respondent and Requisition Information
  - ☐ Section 2 a. - Yes, I will be subcontracting portions of the contract.
  - ☐ Section 2 b. - List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to Texas certified HUB vendors and Non-HUB vendors.
  - ☐ Section 2 c. - No
  - ☐ Section 2 d. - Yes
  - ☐ Section 4 - Affirmation
  - ☐ GFE Method A (Attachment A) - Complete an Attachment A for each of the subcontracting opportunities you listed in Section 2 b.
- If you will be subcontracting any portion of the contract to Texas certified HUB vendors and Non-HUB vendors or only to Non-HUB vendors, and the aggregate percentage of all the subcontracting work you will be awarding to the Texas certified HUB vendors with which you do not have a continuous contract\* in place for more than five (5) years does not meet or exceed the HUB Goal the contracting agency identified in the "Agency Special Instructions/Additional Requirements", complete:
  - ☐ Section 1 - Respondent and Requisition Information
  - ☐ Section 2 a. - Yes, I will be subcontracting portions of the contract.
  - ☐ Section 2 b. - List all the portions of work you will subcontract, and indicate the percentage of the contract you expect to award to Texas certified HUB vendors and Non-HUB vendors.
  - ☐ Section 2 c. - No
  - ☐ Section 2 d. - No
  - ☐ Section 4 - Affirmation
  - ☐ GFE Method B (Attachment B) - Complete an Attachment B for each of the subcontracting opportunities you listed in Section 2 b.
- If you will not be subcontracting any portion of the contract and will be fulfilling the entire contract with your own resources (i.e., employees, supplies, materials and/or equipment), complete:
  - ☐ Section 1 - Respondent and Requisition Information
  - ☐ Section 2 a. - No, I will not be subcontracting any portion of the contract, and I will be fulfilling the entire contract with my own resources.
  - ☐ Section 3 - Self Performing Justification
  - ☐ Section 4 - Affirmation

**\*Continuous Contract:** Any existing written agreement (including any renewals that are exercised) between a prime contractor and a HUB vendor, where the HUB vendor provides the prime contractor with goods or service, to include under the same contract for a specified period of time. The frequency the HUB vendor is utilized or paid during the term of the contract is not relevant to whether the contract is considered continuous. Two or more contracts that run concurrently or overlap one another for different periods of time are considered by CPA to be individual contracts rather than renewals or extensions to the original contract. In such situations the prime contractor and HUB vendor are entering (have entered) into "new" contracts.



Rev. 2/17

# HUB Subcontracting Plan (HSP)

In accordance with Texas Gov't Code §2161.252, the contracting agency has determined that subcontracting opportunities are probable under this contract. Therefore, all respondents, including State of Texas certified Historically Underutilized Businesses (HUBs) must complete and submit this State of Texas HUB Subcontracting Plan (HSP) with their response to the bid requisition (solicitation).

**NOTE: Responses that do not include a completed HSP shall be rejected pursuant to Texas Gov't Code §2161.252(b).**

The HUB Program promotes equal business opportunities for economically disadvantaged persons to contract with the State of Texas in accordance with the goals specified in the 2009 State of Texas Disparity Study. The statewide HUB goals defined in 34 Texas Administrative Code (TAC) §20.284 are:

- **11.2 percent for heavy construction other than building contracts,**
- **21.1 percent for all building construction, including general contractors and operative builders' contracts,**
- **32.9 percent for all special trade construction contracts,**
- **23.7 percent for professional services contracts,**
- **26.0 percent for all other services contracts, and**
- **21.1 percent for commodities contracts.**

## -- Agency Special Instructions/Additional Requirements --

*In accordance with 34 TAC §20.285(d)(1)(D)(iii), a respondent (prime contractor) may demonstrate good faith effort to utilize Texas certified HUBs for its subcontracting opportunities if the total value of the respondent's subcontracts with Texas certified HUBs meets or exceeds the statewide HUB goal or the agency specific HUB goal, whichever is higher. When a respondent uses this method to demonstrate good faith effort, the respondent must identify the HUBs with which it will subcontract. If using existing contracts with Texas certified HUBs to satisfy this requirement, only the aggregate percentage of the contracts expected to be subcontracted to HUBs with which the respondent does not have a continuous contract\* in place for more than five (5) years shall qualify for meeting the HUB goal. This limitation is designed to encourage vendor rotation as recommended by the 2009 Texas Disparity Study.*

## SECTION 1: RESPONDENT AND REQUISITION INFORMATION

- a. Respondent (Company) Name: \_\_\_\_\_ State of Texas VID #: \_\_\_\_\_  
 Point of Contact: \_\_\_\_\_ Phone #: \_\_\_\_\_  
 E-mail Address: \_\_\_\_\_ Fax #: \_\_\_\_\_
- b. Is your company a State of Texas certified HUB? ☐ - Yes ☐ - No
- c. Requisition #: \_\_\_\_\_ Bid Open Date: \_\_\_\_\_

(mm/dd/yyyy)

Enter your company's name here: \_\_\_\_\_ Requisition #: \_\_\_\_\_

## SECTION 2: RESPONDENT'S SUBCONTRACTING INTENTIONS

After dividing the contract work into reasonable lots or portions to the extent consistent with prudent industry practices, and taking into consideration the scope of work to be performed under the proposed contract, including all potential subcontracting opportunities, the respondent must determine what portions of work, **including contracted staffing, goods and services will be subcontracted**. Note: In accordance with 34 TAC §20.282, a "Subcontractor" means a person who contracts with a prime contractor to work, to supply commodities, or to contribute toward completing work for a governmental entity.

a. Check the appropriate box (Yes or No) that identifies your subcontracting intentions:

- ☐ - **Yes**, I will be subcontracting portions of the contract. (If **Yes**, complete Item b of this SECTION and continue to Item c of this SECTION.)
- ☐ - **No**, I will not be subcontracting any portion of the contract, and I will be fulfilling the entire contract with my own resources, including employees, goods and services. (If **No**, continue to SECTION 3 and SECTION 4.)

b. List all the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you <b>do not</b> have a continuous contract* in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to HUBs with which you have a continuous contract* in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to non-HUBs.
1		%	%	%
2		%	%	%
3		%	%	%
4		%	%	%
5		%	%	%
6		%	%	%
7		%	%	%
8		%	%	%
9		%	%	%
10		%	%	%
11		%	%	%
12		%	%	%
13		%	%	%
14		%	%	%
15		%	%	%
Aggregate percentages of the contract expected to be subcontracted:		%	%	%

(Note: If you have more than fifteen subcontracting opportunities, a continuation sheet is available online at <https://www.comptroller.texas.gov/purchasing/vendor/hub/forms.php>.)

c. Check the appropriate box (Yes or No) that indicates whether you will be using **only** Texas certified HUBs to perform **all** of the subcontracting opportunities you listed in SECTION 2, Item b.

- ☐ - **Yes** (If **Yes**, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed.)
- ☐ - **No** (If **No**, continue to Item d, of this SECTION.)

d. Check the appropriate box (Yes or No) that indicates whether the aggregate expected percentage of the contract you will subcontract **with Texas certified HUBs** with which you **do not** have a **continuous contract\*** in place with for **more than five (5) years**, **meets or exceeds** the HUB goal the contracting agency identified on page 1 in the "Agency Special Instructions/Additional Requirements."

- ☐ - **Yes** (If **Yes**, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method A (Attachment A)" for **each** of the subcontracting opportunities you listed.)
- ☐ - **No** (If **No**, continue to SECTION 4 and complete an "HSP Good Faith Effort - Method B (Attachment B)" for **each** of the subcontracting opportunities you listed.)

**\*Continuous Contract:** Any existing written agreement (including any renewals that are exercised) between a prime contractor and a HUB vendor, where the HUB vendor provides the prime contractor with goods or service under the same contract for a specified period of time. The frequency the HUB vendor is utilized or paid during the term of the contract is not relevant to whether the contract is considered continuous. Two or more contracts that run concurrently or overlap one another for different periods of time are considered by CPA to be individual contracts rather than renewals or extensions to the original contract. In such situations the prime contractor and HUB vendor are entering (have entered) into "new" contracts.



Enter your company's name here: \_\_\_\_\_

Requisition #: \_\_\_\_\_

**SECTION 2: RESPONDENT's SUBCONTRACTING INTENTIONS (CONTINUATION SHEET)**

This page can be used as a continuation sheet to the HSP Form's page 2, Section 2, Item b. Continue listing the portions of work (subcontracting opportunities) you will subcontract. Also, based on the total value of the contract, identify the percentages of the contract you expect to award to Texas certified HUBs, and the percentage of the contract you expect to award to vendors that are not a Texas certified HUB (i.e., Non-HUB).

Item #	Subcontracting Opportunity Description	HUBs		Non-HUBs
		Percentage of the contract expected to be subcontracted to HUBs with which you <u>do not</u> have a continuous contract* in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to HUBs with which you have a continuous contract* in place for more than five (5) years.	Percentage of the contract expected to be subcontracted to non-HUBs.
16		%	%	%
17		%	%	%
18		%	%	%
19		%	%	%
20		%	%	%
21		%	%	%
22		%	%	%
23		%	%	%
24		%	%	%
25		%	%	%
26		%	%	%
27		%	%	%
28		%	%	%
29		%	%	%
30		%	%	%
31		%	%	%
32		%	%	%
33		%	%	%
34		%	%	%
35		%	%	%
36		%	%	%
37		%	%	%
38		%	%	%
39		%	%	%
40		%	%	%
41		%	%	%
42		%	%	%
43		%	%	%
Aggregate percentages of the contract expected to be subcontracted:		%	%	%

**\*Continuous Contract:** Any existing written agreement (including any renewals that are exercised) between a prime contractor and a HUB vendor, where the HUB vendor provides the prime contractor with goods or service under the same contract for a specified period of time. The frequency the HUB vendor is utilized or paid during the term of the contract is not relevant to whether the contract is considered continuous. Two or more contracts that run concurrently or overlap one another for different periods of time are considered by CPA to be individual contracts rather than renewals or extensions to the original contract. In such situations the prime contractor and HUB vendor are entering (have entered) into "new" contracts.



Enter your company's name here: \_\_\_\_\_

Requisition #: \_\_\_\_\_

**SECTION 3: SELF PERFORMING JUSTIFICATION** (If you responded "No" to SECTION 2, Item a, you must complete this SECTION and continue to SECTION 4.) If you responded "No" to SECTION 2, Item a, in the space provided below **explain how** your company will perform the entire contract with its own employees, supplies, materials and/or equipment.

#### SECTION 4: AFFIRMATION

As evidenced by my signature below, I affirm that I am an authorized representative of the respondent listed in SECTION 1, and that the information and supporting documentation submitted with the HSP is true and correct. Respondent understands and agrees that, if awarded any portion of the requisition:

- The respondent will provide notice as soon as practical to all the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor for the awarded contract. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity they (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.
- The respondent must submit monthly compliance reports (Prime Contractor Progress Assessment Report – PAR) to the contracting agency, verifying its compliance with the HSP, including the use of and expenditures made to its subcontractors (HUBs and Non-HUBs). (The PAR is available at <https://www.comptroller.texas.gov/purchasing/docs/hub-forms/ProgressAssessmentReportForm.xls>).
- The respondent must seek approval from the contracting agency prior to making any modifications to its HSP, including the hiring of additional or different subcontractors and the termination of a subcontractor the respondent identified in its HSP. If the HSP is modified without the contracting agency's prior approval, respondent may be subject to any and all enforcement remedies available under the contract or otherwise available by law, up to and including debarment from all state contracting.
- The respondent must, upon request, allow the contracting agency to perform on-site reviews of the company's headquarters and/or work-site where services are being performed and must provide documentation regarding staffing and other resources.

\_\_\_\_\_  
Signature\_\_\_\_\_  
Printed Name\_\_\_\_\_  
Title\_\_\_\_\_  
Date  
(mm/dd/yyyy)

#### Reminder:

- If you responded "Yes" to SECTION 2, Items c or d, you must complete an "HSP Good Faith Effort - Method A (Attachment A)" for each of the subcontracting opportunities you listed in SECTION 2, Item b.
- If you responded "No" SECTION 2, Items c and d, you must complete an "HSP Good Faith Effort - Method B (Attachment B)" for each of the subcontracting opportunities you listed in SECTION 2, Item b.





**HSP Good Faith Effort - Method B (Attachment B)**

Rev. 2/17

Enter your company's name here: \_\_\_\_\_ Requisition #: \_\_\_\_\_

**IMPORTANT:** If you responded "**No**" to **SECTION 2, Items c and d** of the completed HSP form, you must submit a completed "HSP Good Faith Effort - Method B (Attachment B)" for **each** of the subcontracting opportunities you listed in **SECTION 2, Item b** of the completed HSP form. You may photo-copy this page or download the form at <https://www.comptroller.texas.gov/purchasing/docs/hub-forms/hub-sbcont-plan-gfe-achm-b.pdf>.

**SECTION B-1: SUBCONTRACTING OPPORTUNITY**

Enter the item number and description of the subcontracting opportunity you listed in **SECTION 2, Item b**, of the completed HSP form for which you are completing the attachment.

Item Number: \_\_\_\_\_ Description: \_\_\_\_\_

**SECTION B-2: MENTOR PROTÉGÉ PROGRAM**

If respondent is participating as a Mentor in a State of Texas Mentor Protégé Program, submitting its Protégé (Protégé must be a State of Texas certified HUB) as a subcontractor to perform the subcontracting opportunity listed in **SECTION B-1**, constitutes a good faith effort to subcontract with a Texas certified HUB towards that specific portion of work.

Check the appropriate box (Yes or No) that indicates whether you will be subcontracting the portion of work you listed in **SECTION B-1** to your Protégé.

☐ - Yes (If **Yes**, continue to **SECTION B-4**.)

☐ - No / Not Applicable (If **No** or **Not Applicable**, continue to **SECTION B-3** and **SECTION B-4**.)

**SECTION B-3: NOTIFICATION OF SUBCONTRACTING OPPORTUNITY**

When completing this section you **MUST** comply with items **a, b, c and d**, thereby demonstrating your Good Faith Effort of having notified Texas certified HUBs and trade organizations or development centers about the subcontracting opportunity you listed in **SECTION B-1**. Your notice should include the scope of work, information regarding the location to review plans and specifications, bonding and insurance requirements, required qualifications, and identify a contact person. When sending notice of your subcontracting opportunity, you are encouraged to use the attached HUB Subcontracting Opportunity Notice form, which is also available online at <https://www.comptroller.texas.gov/purchasing/docs/hub-forms/HUBSubcontractingOpportunityNotificationForm.pdf>.

Retain supporting documentation (i.e., certified letter, fax, e-mail) demonstrating evidence of your good faith effort to notify the Texas certified HUBs and trade organizations or development centers. Also, be mindful that a working day is considered a normal business day of a state agency, not including weekends, federal or state holidays, or days the agency is declared closed by its executive officer. The initial day the subcontracting opportunity notice is sent/provided to the HUBs and to the trade organizations or development centers is considered to be "day zero" and does not count as one of the seven (7) working days.

- a.** Provide written notification of the subcontracting opportunity you listed in **SECTION B-1**, to three (3) or more Texas certified HUBs. Unless the contracting agency specified a different time period, you must allow the HUBs **at least seven (7) working days** to respond to the notice prior to you submitting your bid response to the contracting agency. When searching for Texas certified HUBs and verifying their HUB status, ensure that you use the State of Texas' Centralized Master Bidders List (CMBL) - Historically Underutilized Business (HUB) Directory Search located at <http://mycpa.cpa.state.tx.us/passcmlsearch/index.jsp>. HUB status code "A" signifies that the company is a Texas certified HUB.
- b.** List the **three (3) Texas certified HUBs** you notified regarding the subcontracting opportunity you listed in **SECTION B-1**. Include the company's Texas Vendor Identification (VID) Number, the date you sent notice to that company, and indicate whether it was responsive or non-responsive to your subcontracting opportunity notice.

Company Name	Texas VID (Do not enter Social Security Numbers.)	Date Notice Sent (mm/dd/yyyy)	Did the HUB Respond?
			<input type="checkbox"/> - Yes <input type="checkbox"/> - No
			<input type="checkbox"/> - Yes <input type="checkbox"/> - No
			<input type="checkbox"/> - Yes <input type="checkbox"/> - No

- c.** Provide written notification of the subcontracting opportunity you listed in **SECTION B-1** to **two (2)** or more trade organizations or development centers in **Texas** to assist in identifying potential HUBs by disseminating the subcontracting opportunity to their members/participants. Unless the contracting agency specified a different time period, you must provide your subcontracting opportunity notice to trade organizations or development centers **at least seven (7) working days** prior to submitting your bid response to the contracting agency. A list of trade organizations and development centers that have expressed an interest in receiving notices of subcontracting opportunities is available on the Statewide HUB Program's webpage at <https://www.comptroller.texas.gov/purchasing/vendor/hub/resources.php>.
- d.** List **two (2) trade organizations or development centers** you notified regarding the subcontracting opportunity you listed in **SECTION B-1**. Include the date when you sent notice to it and indicate if it accepted or rejected your notice.

Trade Organizations or Development Centers	Date Notice Sent (mm/dd/yyyy)	Was the Notice Accepted?
		<input type="checkbox"/> - Yes <input type="checkbox"/> - No
		<input type="checkbox"/> - Yes <input type="checkbox"/> - No

**HSP Good Faith Effort - Method B (Attachment B) Cont.**

Rev. 2/17

Enter your company's name here: \_\_\_\_\_ Requisition #: \_\_\_\_\_

**SECTION B-4: SUBCONTRACTOR SELECTION**

Enter the item number and description of the subcontracting opportunity you listed in **SECTION 2, Item b**, of the completed HSP form for which you are completing the attachment.

- a. Enter the item number and description of the subcontracting opportunity for which you are completing this Attachment B continuation page.

Item Number: \_\_\_\_\_ Description: \_\_\_\_\_

- b. List the subcontractor(s) you selected to perform the subcontracting opportunity you listed in **SECTION B-1**. Also identify whether they are a Texas certified HUB and their Texas Vendor Identification (VID) Number or federal Employer Identification Number (EIN), the approximate dollar value of the work to be subcontracted, and the expected percentage of work to be subcontracted. When searching for Texas certified HUBs and verifying their HUB status, ensure that you use the State of Texas' Centralized Master Bidders List (CMBL) - Historically Underutilized Business (HUB) Directory Search located at <http://mycpa.cpa.state.tx.us/tpasscmbsearch/index.jsp>. HUB status code "A" signifies that the company is a Texas certified HUB.

Company Name	Texas certified HUB	Texas VID or federal EIN <small>Do not enter Social Security Numbers. If you do not know their VID / EIN, leave their VID / EIN field blank.</small>	Approximate Dollar Amount	Expected Percentage of Contract
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%
	<input type="checkbox"/> - Yes <input type="checkbox"/> - No		\$	%

- c. If any of the subcontractors you have selected to perform the subcontracting opportunity you listed in **SECTION B-1** is not a Texas certified HUB, provide written justification for your selection process (attach additional page if necessary):

**REMINDER:** As specified in SECTION 4 of the completed HSP form, if you (respondent) are awarded any portion of the requisition, you are required to provide notice as soon as practical to all the subcontractors (HUBs and Non-HUBs) of their selection as a subcontractor. The notice must specify at a minimum the contracting agency's name and its point of contact for the contract, the contract award number, the subcontracting opportunity it (the subcontractor) will perform, the approximate dollar value of the subcontracting opportunity and the expected percentage of the total contract that the subcontracting opportunity represents. A copy of the notice required by this section must also be provided to the contracting agency's point of contact for the contract no later than ten (10) working days after the contract is awarded.



# HUB Subcontracting Opportunity Notification Form

In accordance with Texas Gov't Code, Chapter 2161, each state agency that considers entering into a contract with an expected value of \$100,000 or more shall, before the agency solicits bids, proposals, offers, or other applicable expressions of interest, determine whether subcontracting opportunities are probable under the contract. The state agency I have identified below in **Section B** has determined that subcontracting opportunities are probable under the requisition to which my company will be responding.

34 Texas Administrative Code, §20.285 requires all respondents (prime contractors) bidding on the contract to provide notice of each of their subcontracting opportunities to at least three (3) Texas certified HUBs (who work within the respective industry applicable to the subcontracting opportunity), and allow the HUBs at least seven (7) working days to respond to the notice prior to the respondent submitting its bid response to the contracting agency. In addition, at least seven (7) working days prior to submitting its bid response to the contracting agency, the respondent must provide notice of each of its subcontracting opportunities to two (2) or more trade organizations or development centers (in Texas) that serves members of groups (i.e., Asian Pacific American, Black American, Hispanic American, Native American, Woman, Service Disabled Veteran) identified in Texas Administrative Code §20.282(19)(C).

We respectfully request that vendors interested in bidding on the subcontracting opportunity scope of work identified in **Section C, Item 2**, reply no later than the date and time identified in **Section C, Item 1**. Submit your response to the point-of-contact referenced in **Section A**.

## SECTION A: PRIME CONTRACTOR'S INFORMATION

Company Name: \_\_\_\_\_  
 Point-of-Contact: \_\_\_\_\_  
 E-mail Address: \_\_\_\_\_

State of Texas VID #: \_\_\_\_\_  
 Phone #: \_\_\_\_\_  
 Fax #: \_\_\_\_\_

## SECTION B: CONTRACTING STATE AGENCY AND REQUISITION INFORMATION

Agency Name: \_\_\_\_\_  
 Point-of-Contact: \_\_\_\_\_  
 Requisition #: \_\_\_\_\_

Phone #: \_\_\_\_\_  
 Bid Open Date: \_\_\_\_\_  
 (mm/dd/yyyy)

## SECTION C: SUBCONTRACTING OPPORTUNITY RESPONSE DUE DATE, DESCRIPTION, REQUIREMENTS AND RELATED INFORMATION

### 1. Potential Subcontractor's Bid Response Due Date:

If you would like for our company to consider your company's bid for the subcontracting opportunity identified below in Item 2,

we must receive your bid response no later than \_\_\_\_\_ on \_\_\_\_\_ .  
 Central Time Date (mm/dd/yyyy)

*In accordance with 34 TAC §20.285, each notice of subcontracting opportunity shall be provided to at least three (3) Texas certified HUBs, and allow the HUBs at least seven (7) working days to respond to the notice prior to submitting our bid response to the contracting agency. In addition, at least seven (7) working days prior to us submitting our bid response to the contracting agency, we must provide notice of each of our subcontracting opportunities to two (2) or more trade organizations or development centers (in Texas) that serves members of groups (i.e., Asian Pacific American, Black American, Hispanic American, Native American, Woman, Service Disabled Veteran) identified in Texas Administrative Code, §20.282(19)(C).*

*(A working day is considered a normal business day of a state agency, not including weekends, federal or state holidays, or days the agency is declared closed by its executive officer. The initial day the subcontracting opportunity notice is sent/provided to the HUBs and to the trade organizations or development centers is considered to be "day zero" and does not count as one of the seven (7) working days.)*

### 2. Subcontracting Opportunity Scope of Work:

### 3. Required Qualifications:

☐ - Not Applicable

### 4. Bonding/Insurance Requirements:

☐ - Not Applicable

### 5. Location to review plans/specifications:

☐ - Not Applicable

# **TFC Contract No. 19-039-000**

## **EXHIBIT M**





# HUB Subcontracting Plan (HSP)

## Prime Contractor Progress Assessment Report

Rev. 10/16

***This form must be completed and submitted to the contracting agency each month to document compliance with your HSP.***

Contract/Requisition Number: \_\_\_\_\_ Date of Award: \_\_\_\_\_ Object Code: \_\_\_\_\_

**Contracting Agency/University Name:** \_\_\_\_\_

**Contractor (Company) Name:** \_\_\_\_\_ **State of Texas VID #:** \_\_\_\_\_

**Point of Contact:** \_\_\_\_\_ **Phone #:** \_\_\_\_\_

Reporting (Month) Period: \_\_\_\_\_ Total Amount Paid this Reporting Period to Contractor: \$ \_\_\_\_\_ -

### ***Report HUB and Non-HUB subcontractor information***

**When verifying subcontractors' HUB status, ensure that you use the State of Texas' Centralized Master Bidders List (CMBL) - Historically Underutilized (HUB)**

Directory Search located at: <http://mycpa.cpa.state.tx.us/tpasscmblsearch/index.jsp>. HUB status code "A" signifies that the company is a Texas certified HUB.

[illegible]

Signature: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_